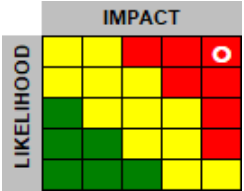

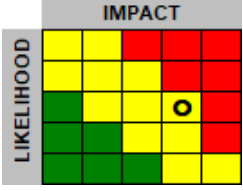
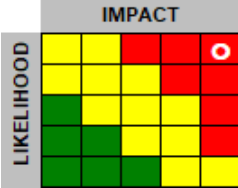
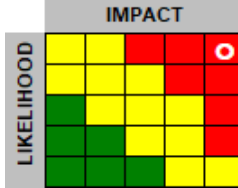
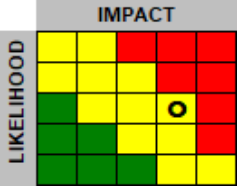


## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
Financial sustainability beyond 2022/23			
<b>Causes</b>	<ul style="list-style-type: none"> <li>The national economy, taking into account inflation and direct government funding which has been reflected in the financial settlement for 2023/24 and planning assumptions for 2024/25 and the demand for services will place substantial strain on the Council's overall medium-term budget.</li> <li>As a result, significant budget and cost reductions will be required. Due to the scale of budget reductions made since 2010 there is a risk that further suitable cost-saving / income generating measures will be difficult to identify.</li> <li>The impact on the financial sustainability of the Council is therefore a key risk.</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>The Council will need to identify substantial sustainable savings to meet the funding gap that arises from inflation, potential government grant reductions and increased demand for services for the next 3 year period 2024/25 to 2026/27.</li> <li>The Budget reductions could have an adverse impact on residents and communities.</li> <li>The reputation of the Council may be compromised.</li> <li>Financial sustainability could be compromised.</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>The council set a budget for 2023/24 at its meeting on 2 March 2023. Substantial investment has been made into ASC, CSC, and home to school transport as part of this and this is where the financial risk exists- robust financial management and monitoring will be required for the delivery of the approved budget. If there are any variations to the approved budget remedial plans will need to be put in place from within the already approved budget. The council does have an appropriate level of general fund reserves however these do not offer the scope to address a budget gap similar to that experienced in 2022/23 indeed there is no scope to support an overspend from reserves.</li> <li>Within that budget report the key issues that need to be addressed within the next MTFP are identified and work will commence from May 23 on refining these assumptions and the potential budget gap for these next 3 years 2024/25 to 2026/27- work will commence on bridging this gap as part of the next budget planning timetable and will be reported to Members. This is key to the financial sustainability of the council with the key risk remaining being Children's Services. This has been mitigated for 23/24 by all budget assumptions having been agreed with the DCS which ensured that the MTFP for the council was aligned to the improvement plan and provided the service with the resources required to meet this plan, but it is clear that this risk remains.</li> </ul>		
<b>Risk owner</b>	Executive Director Corporate Resources & Customer Services		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>Key financial risk for 2023/24 is delivery of savings and Children's Social Care delivering services within budget agreed with DCS - regular and rigorous financial management, monitoring and reporting is required by SLB.</li> <li>SLB have commenced work on the 3 year budget plan for 2024/25 to 2026/27 and an updated MTFP will be presented to cabinet in September 2023</li> </ul>		

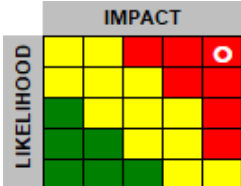
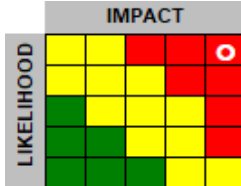
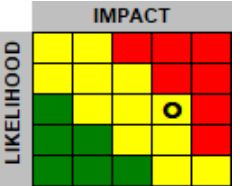
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Dedicated Schools Grant High Needs Funding for Special Educational Needs is inadequate to meet requirements.</p>			
<p><b>Causes</b></p>	<ul style="list-style-type: none"> <li>• High Needs budgets are under considerable pressure from increasing numbers of children being diagnosed with complex and life-long SEND related issues.</li> <li>• National funding allocations are not increasing annually at a rate to reflect increases in local population demand and so any additional commissioned places need to be financed from within existing budget envelope.</li> <li>• The number and value of requests from mainstream schools for "top-up" funding (for children with SEND) continues to increase year on year as schools face financial pressures to meet the first £6k of any SEN Support.</li> <li>• Maintained special school provision is full and more children are being placed in independent provision which is more expensive. Whilst this issue is being addressed through extra In-house provision, there remain risks that external placements may continue at high additional cost.</li> <li>• Central Government have advocated parental preference for SEND provision - which has added to the number of children being placed in independent provision - with no additional funding.</li> <li>• The current accounting override whereby the HNF deficit is ringfenced will continue until April 2026, but the increasing accumulative deficit poses a significant financial risk to the council</li> </ul>		
<p><b>Result</b></p>	<ul style="list-style-type: none"> <li>• Sefton's High Needs cumulative budget deficit is £18m at the end of 22/23.</li> <li>• The estimated deficit on the high needs block continues to be held on the Council's Balance Sheet. Whilst the current DfE regulations do not expect the Local Authority's General Fund to cover accumulated deficits, this is still only on a temporary basis until 2026. The council does not have the reserves or balances to meet this deficit if required in 2026 hence the threat to financial sustainability.</li> <li>• This is a significant risk to the council and quarterly monitoring statements will continue to be reported to cabinet throughout the 2023/24 financial year.</li> </ul>		
<p><b>Current treatment and controls</b></p>	<ul style="list-style-type: none"> <li>• The quarterly reporting to Cabinet and Council should focus on the work program that seeks to improve the support to children, the demand for the service and the financial forecast- it should also take full account of the progress in the DFEE led Delivering Better Value Programme.</li> <li>• Leadership from Sefton's Executive Director of Children's Social Care and Education, Assistant Head of Education, and the SEN team Managers on how costs can be contained.</li> <li>• Sufficiency statement produced that will drive future strategy and financial sustainability.</li> <li>• Lobbying and engagement of DLUHC, DfE and MCCLG on financial impact and the need for increased support or confirmation that this will continue to be a DSG issue post 2026.</li> <li>• Engagement with special schools actively working with individual schools to review impact of any proposed changes to their funding, reviewing three-year financial plans, identifying any strategic savings to mitigate high calls on DSG High Needs funding.</li> </ul>		

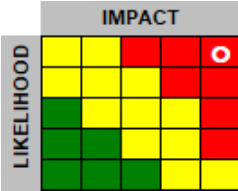
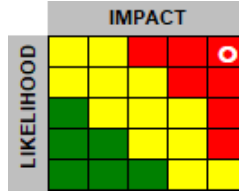
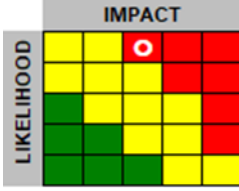
## Appendix A Corporate Risk Register September 2023

	<ul style="list-style-type: none"> <li>• Review of place and top up levels of funding.</li> <li>• In addition, further work is being undertaken on alleviating the barriers to inclusivity within mainstream settings and assessment of effectiveness of capital spend to maximise mainstream settings for children and young people.</li> <li>• Council now part of DfE Delivering Better Value Program-it should be noted however that this is focused on the system and not on delivering financial sustainability therefore the council cannot rely on this programme to meet its key financial objective.</li> <li>• Comprehensive quarterly reports to be presented to Cabinet and Council on sufficiency, in house provision, funding and deficit to provide rigor, transparency and inform decision making</li> </ul>
<b>Risk owner</b>	Assistant Director Children's Services (Education)
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• Through the High Needs Review the LA has been working on two specific workstreams with School representatives working on a number of key areas:</li> <li>• Developing a new funding model to support children with EHCPs.</li> <li>• Clarifying high needs funding outside of the EHCP process.</li> <li>• Reviewing provision and placement sufficiency.</li> <li>• Considering new ways of working with SEN children in schools, making them more cost effective and with good outcomes.</li> <li>• Review of the graduated response and supporting SEN leadership in schools.</li> <li>• Sefton has been working in partnership with the DfE since December 2022 to develop solutions to bring the High Needs Budget into a more financially secure position going forward and help to reduce the accumulated deficit over a set period.</li> <li>• The sign off of the High Needs Deficit action plan through the Delivering Better Value Programme is expected in June 2023 and then a work programme of planned improvements and changes in SEN support for HN children will commence in September 2023 which should reduce projected deficit but also improve outcome for SEN children in Sefton</li> </ul>

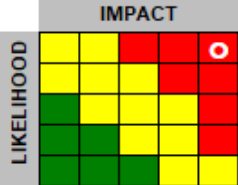
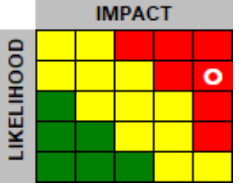
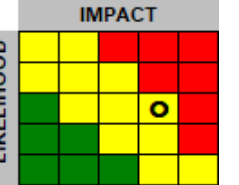
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
Financial sustainability beyond 2022/23			
<b>Causes</b>	The Council has a wholly owned Housing Development Company- due to the prevailing economic conditions at present, there is a risk that the value and timing of the dividend from phase 1 maybe the subject of change and the timing of the capital receipt is later than previously forecast.		
<b>Result</b>	Due to the national economic conditions at present, there is a risk that housing completions (driven by interest rates and potential inflation) will reduce from current levels. This could result in a delay to the completion of Phase 1 of company activity. This delay could reduce the dividend and it's timing together with the timing of the capital receipts and debt repayment due to the Council.		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• The Council, in December 2022, received a detailed update report on all aspects of the Company's activities including building programmes, grant funding and financial implications. This report including changes to timing of dividend and timing and value of receipt was approved by members. A further update report is to be presented to Cabinet as shareholder at the September meeting.</li> <li>• Within that report members will be provided with a comprehensive update on the business plan and financial projections that reflect the latest estimates on the build, completion and sales programme and the current risks driven by the national economic picture, especially rising interest rates and recession.</li> <li>• The report will focus on the progress on the first 2 sites for which sales are progressing and the 3rd site for which construction has yet to commence.</li> <li>• The Company will utilise the Council's internal audit team to undertake an annual work programme.</li> <li>• An update on governance arrangements for the company was approved by Cabinet in July 2022</li> <li>• An annual report was presented to Overview and Scrutiny management board in November 2022 and was then considered by the service O&amp;S meeting in January 2023</li> <li>• A self-assessment against the local partnership's guidance re management of wholly owned companies is currently underway by the Council's monitoring officer</li> </ul>		
<b>Risk owner</b>	AD Economic Growth and Housing		
<b>Proposed actions.</b>	<ul style="list-style-type: none"> <li>• Due to prevailing market conditions and the volatility that exists, the housing market is currently seeing substantial change within it- this includes the cost of construction, house prices and the cost of mortgages, all of which could impact sales, completions, and the performance of the phase 1 business plan. These risks will need to be managed by the company but as a number of these are outside of its control, close working with the Council will be required to inform effective decision making that protects the Council's financial interests and supports the original objectives of the company.</li> <li>• The governance arrangements and current controls will be continually updated - there is a lot of coverage nationally in respect of the management of wholly owned companies and as the guidance and best practice is updated on how these should be governed and managed is published, this will be taken into account by the Council.</li> </ul>		

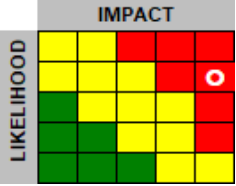
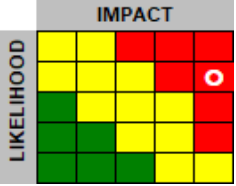
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
The Council is the victim of a cyber-attack.			
<b>Causes</b>	Malware, ransomware, or another virus infects the Council's systems.		
<b>Result</b>	<ul style="list-style-type: none"> <li>• Services will not have access to systems and data as standard and will have to fall back on non-ICT delivery methods, albeit without access to key data.</li> <li>• Data breach occurs.</li> <li>• Financial impact of ransom.</li> <li>• Reputational damage</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• Cyberattack prevention measures are in place, including. <ul style="list-style-type: none"> <li>○ - Upgraded Council firewalls and active SIEM monitoring service.</li> <li>○ - Anti malware tools</li> <li>○ - New Acceptable use policy</li> <li>○ - LGA Stock take completed</li> <li>○ - PSN Accreditation achieved and reviewed annually</li> <li>○ - New security standards for email encryption implemented</li> <li>○ - Further network security in place to reduce risk</li> </ul> </li> <li>• Back-up disaster recovery facility is in place at a separate site, allowing Agilisys to restore the top 20 critical systems.</li> <li>• Agilisys has a Business Continuity-Disaster Recovery plan in place which covers an action plan for this priority restoration, and the subsequent restoration of all other systems.</li> <li>• Ongoing monitoring in in place via ICT governance arrangements</li> <li>• Windows Defender anti-virus software is constantly updated alongside ESET also deployed.</li> <li>• Communication to employees regarding the rise in malware attacks is in place, with an enhanced training offer in place.</li> <li>• Review of Cyber Incident planning completed and revised policy released.</li> <li>• Removal of unsupported systems from the network and segregation in place as required</li> </ul>		
<b>Risk owner</b>	ED CR&CS		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• The ongoing ICT Transformation programme has seen most systems and data migrated to Microsoft Azure cloud hosting, which will reduce the overall risk; and improve Business continuity however further work is underway to improve the current security posture further.</li> <li>• Ongoing Cyber Security Improvement plan in place, including plans to bring all systems in the support of the existing ICT Contract</li> <li>• External validation and assurance ongoing linked to improvement plan.</li> </ul>		

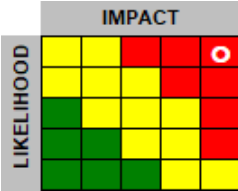
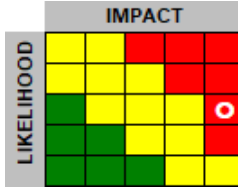
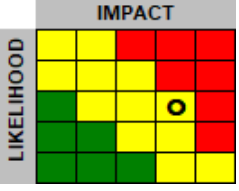
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to adequately invest in the Highway network and associated assets.</p>			
<b>Causes</b>	<p>Inadequate funding to meet need; budget reductions; inflationary cost pressures; insufficient internal staffing resource; insufficient market capacity, contractor availability and contractor capacity; insufficient availability of materials and/or labour; delayed lead-in times for materials or services; rising prices for services, materials, and equipment.</p>		
<b>Result</b>	<ul style="list-style-type: none"> <li>• Deterioration of highway assets</li> <li>• Potential increase in claims</li> <li>• Financial and reputational risks</li> <li>• Potential increase in accidents resulting in injury and/or death.</li> <li>• Reduction in amount of work able to be done within budget</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• Essential work is prioritised within available budget. Regular inspections of most assets to monitor and guide prioritisation of works to mitigate risk.</li> <li>• Regular updates provided to Cabinet Member.</li> <li>• Preventive surface treatments used to prolong the life of the network and to treat more of it than if more long-term maintenance solutions were used (i.e., resurfacing)</li> <li>• Increased Capital funding received through City Region Sustainable Transport Settlement (CRSTS) for 2022-24. Will require additional staffing resource to deliver.</li> </ul>		
<b>Risk owner</b>	<p>Assistant Director Highways &amp; Public Protection</p>		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• Actively pursue opportunities for additional external funding via LCRCA and others to maintain and improve network.</li> <li>• Work with Contractors and suppliers to manage risk, mitigate for price rises, material, and labour shortages, and manage supply chain.</li> <li>• Undertake recruitment to vacant posts; create and recruit to additional posts and/or commissions where funding available to do so.</li> <li>• Further refine and strengthen project planning, delivery, and governance measures</li> </ul>		

## Appendix A Corporate Risk Register September 2023

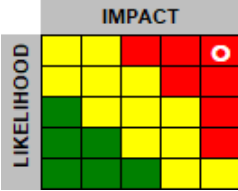
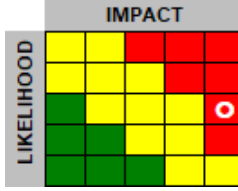
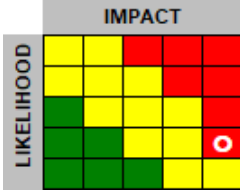
Risk Description	Previous risk score	Current risk score	Target risk score
Condition of Assets			<b>TBC</b>
<b>Causes</b>	<ul style="list-style-type: none"> <li>The council like all local authorities has a mix of assets with each asset being in different condition based on age, use etc. The maintenance of these assets continues to be a challenge due to the size of the estate and the investment required to maintain it.</li> <li>Significant maintenance backlog due to insufficient local government funding being available through providing limited opportunity to invest.</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>With insufficient funding being available to the council to provide the right investment or use approved resources in the right areas can lead to Health and Safety risk or injury to staff and public if the statutory requirements are not fulfilled.</li> <li>Component or Systems failure</li> <li>Building closures</li> </ul>		
<b>Current treatment and controls</b>	<p>A delivery team is in place with a percentage of Capital investment funding secured to deliver an initial phase (1) of works. This phase 1 of works is being developed/delivered. Wider essential maintenance Capital investment funding and work requirements have also been identified with approval of funding pending. Once approval of funding is approved then further development of phases/works can take place.</p>		
<b>Risk owner</b>	ED CR&CS		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>Whilst a percentage of works are in train, the risk remains high due to the significant work required and the capacity and funding that is available - further funding as identified in the MTFP is required to allow the ability to develop and deliver further phases of works. The approval of this future year's funding is pending.</li> </ul>		

## Appendix A Corporate Risk Register September 2023

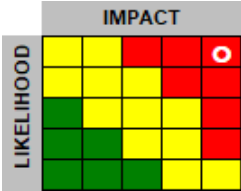
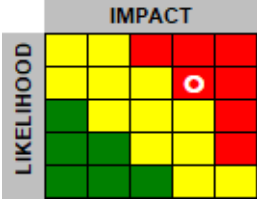
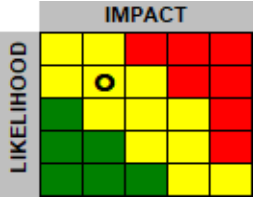
Risk Description	Previous risk score	Current risk score	Target risk score
Impact of Cost-of-Living Crisis on Residents and Demand for Council Services			
<b>Causes</b>	As residents become more vulnerable there is an increased demand for Council services - this increases pressure on teams and available resources.		
<b>Result</b>	<p>Increased demand will create:</p> <ul style="list-style-type: none"> <li>• Increased waiting time for some services</li> <li>• Issues around the capacity of the workforce to meet this demand.</li> <li>• Budget pressure that cannot be contained</li> <li>• The requirement for the Council to administer central government support to residents in a tight timescale.</li> <li>• Community cohesion will be compromised.</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• Continual review of impact of cost-of-living crisis will be made based on demand for services, feedback from ward Councillors and performance information- this will lead to an agreed response with cabinet both in terms of direct support and impact on financial sustainability.</li> <li>• In the event that the council is asked to administer support to residents, the resource requirement will be evaluated and will be supported by new burdens funding and cabinet will be engaged on the most effective and efficient manner of providing that support.</li> <li>• A specific Child Poverty Strategy was approved by Cabinet in Oct 2022, and this was launched in December 2022 with partners and stakeholders.</li> <li>• The Cabinet has considered regular reports on Cost of Living and the Health and Well Being Board has requested the matter be a standing item on the Board agenda going forward.</li> </ul>		
<b>Risk owner</b>	All Assistant Directors		
<b>Proposed actions</b>	The council will continue to lobby central government for support for residents impacted by the cost-of-living crisis and will continue to direct resources and support to those who need it most reflecting the core purpose objective of protecting the most vulnerable.		



## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Inadequate capability to prepare for and respond effectively to a Major Incident affecting the Council or occurring in Sefton as per the Council's responsibilities under the Civil Contingencies Act 2004.</p>			
<b>Causes</b>	A major incident occurs affecting the Council or the Borough		
<b>Result</b>	<ul style="list-style-type: none"> <li>• Loss of human life, illness, or serious injury</li> <li>• Major damage or destruction to infrastructure, property and/or the environment</li> <li>• Disruption or loss of critical services such as transport, communications, utility services</li> <li>• Reputational or financial harm to the authority</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• Emergency Response Manual and Major Incident Guidance in place.</li> <li>• Revised Command and Control structure in place which defines Strategic and Tactical level officers.</li> <li>• Emergency Duty Co-Ordinator's (EDCs) can access Resilience Direct containing incident response plans.</li> <li>• Relevant training provided to Emergency Duty Co-Ordinator's and volunteers on an ongoing basis.</li> <li>• Five EDCs have now completed Multi Agency Gold Incident Commander (MAGIC) accredited training.</li> <li>• Attendance and participation in Merseyside Resilience Forum and joint planning across Merseyside.</li> <li>• Humanitarian volunteers in place and regular meetings and training now offered.</li> <li>• Continuous development and review of supporting plans.</li> <li>• Service Level Business Continuity plans now completed. Business Continuity eLearning package available to all staff</li> <li>• Business Continuity risk register completed and review on quarterly basis.</li> <li>• Business Continuity Policy and strategy have been devised and approved.</li> <li>• BC exercise completed in January 2023 for Senior Leadership Board</li> </ul>		
<b>Risk owner</b>	CEX/ED CR&CS		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• A Business Continuity Management System has been devised and is currently being implemented. This includes the following:</li> <li>• Six monthly review of BC plans and activation exercise undertaken to confirm accuracy of contact details included.</li> <li>• External provider to continually provide support in hosting regular BC exercises for all Exec/Assistant Directors.</li> <li>• Review and update of BC manual ongoing</li> </ul>		

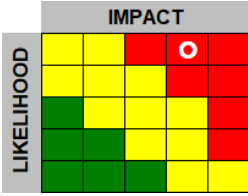
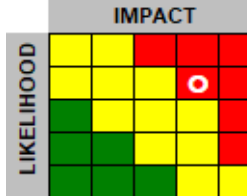
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
Market failure of Social Care provision across Adult and Children's			
<b>Causes</b>	<ul style="list-style-type: none"> <li>• Lack of diversity of supply in the market to provide choice and control.</li> <li>• Ongoing legacy of Covid-19</li> <li>• Capability and capacity of the available workforce within the care home market</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>• Lack of alternative providers able to support social care.</li> <li>• Poor quality service provision and high costs</li> <li>• Significant increase in unmet needs of service users due to a fragile market that is not developing.</li> <li>• Inability to meet sufficiency duty.</li> <li>• Increase in placing young people within Borough, by other LAs placing additional pressure on ASC markets linked to transitions</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• Market Position Statement and refresh of Children's Sufficiency strategy 22-25 allows market management.</li> <li>• Strengthen governance via actions and oversight of Executive Commissioning Group/Strategic Commissioning Group</li> <li>• Strategic Commissioning Team more permanent capacity to increase resource.</li> <li>• Implementation of Commissioning priorities improvement plan</li> <li>• Delivery of Health and Wellbeing Strategy 2020-2025</li> <li>• Implementation of robust and timely Winter Planning/checklist</li> <li>• Ongoing review of supply chain contracts</li> <li>• Demand Management Programme embedded in adults and children.</li> <li>• Recommissioning of Local Dynamic Purchasing system for Domiciliary Care</li> <li>• Internal cost of care programme commenced between Strategic Commissioning and Finance - allows ASC assurance on VFM, and budgetary controls and assists provider achieve sustainable business model.</li> <li>• Mitigation of market failure by block purchasing arrangements to support hospital discharge.</li> <li>• Weekly escalation/ visibility of capacity and costs with AD, DASS and wider system</li> <li>• Maximising learning opportunities across C&amp;M DASS group with key areas of focus</li> <li>• LGA Peer challenge completed in July 2022 Action Plan prepared December 2022</li> <li>• Senior Commissioning Leadership post - Agency Consultant in place</li> <li>• Provider Failure Policy updated.</li> <li>• Cost of care exercises completed and submitted to DHSC. Outcomes used to inform fee setting</li> </ul>		
<b>Risk Owner</b>	ED ASC&H, ED CSC&E		

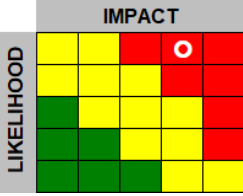
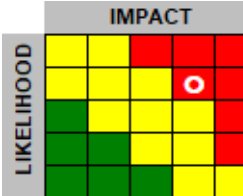
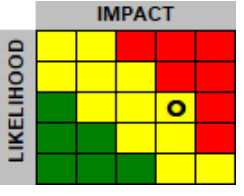
## Appendix A Corporate Risk Register September 2023

<b>Proposed actions</b>	<ul style="list-style-type: none"><li>• Strengthened oversight of Quality Assurance (QA) with dedicated Senior Manager support will add the ability to refocus QA resources on identified areas of Market Risk. Gather intelligence to inform risks and ensure resilience and capacity.</li><li>• Continue to focus on strategic plans to current contracts to ensure Value for Money and objectives are met.</li><li>• Development of new opportunities through Sefton Place Based Partnership development</li><li>• Children's High Risk/High-Cost Project, Commissioning priorities and full work plan in progress with extension</li><li>• Recruitment campaign developed with Market with ongoing input from Sefton at Work - Workforce Strategy now developed. 2022, and subsequent Market Sustainability Plan roll out 2023/24</li><li>• Links maintained with LCR on key market risks (capacity, workforce, cost of living, ceasing of covid funding, demand)</li><li>• New Procurement for Domiciliary Care to commence in March 2023 (with new framework in place from Oct 2023) - agreed at June Cabinet</li><li>• Integrated commission arrangements will develop via new place arrangement. Market Sustainability Plan and Fair Cost of Care Exercise to be sent to Central Government mid Oct. National Government Market Sustainability funding applied to Dom Care and Care Homes 65+. Discharge funding now recurrent through the Better Care Fund. Work continues to mobilise a rapid reablement expansion. Linked to ND review. Work jointly with Health to develop approach to reduction of one to one request.</li></ul>
-------------------------	---

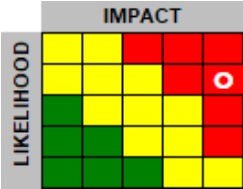
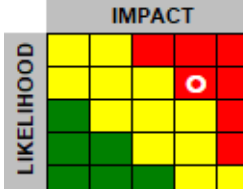
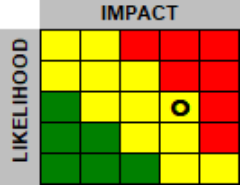
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
Market Failure of Social Care Provision across Adults and Children's			TBC
<b>Causes</b>	<ul style="list-style-type: none"> <li>• Lack of national response to the Independent Review of Children's Social Care and report by the Competition and Markets Authority calling for action on the children's social care market</li> <li>• National and regional pressures in Social Work recruitment and available workforce</li> <li>• Sufficiency in children's residential provision</li> <li>• Inflation</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>• Lack of alternative providers able to support social care.</li> <li>• Poor quality service provision and high costs</li> <li>• Increase in unmet needs of children and young people due to a fragile market that is not developing.</li> <li>• Inability to meet sufficiency duty.</li> <li>• Growing number of children placed out of borough with more LA's placing young people within Borough, placing additional pressure on ASC markets linked to transitions.</li> <li>• Reliance on high cost out of borough residential provision for children and young people</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• Joint Strategic Needs Assessment and supporting Children's Chapters</li> <li>• Market Position Statement and refresh of Children's Sufficiency strategy 22-25</li> <li>• Strengthened governance - Executive Commissioning Group/Strategic Commissioning Group</li> <li>• Strategic Commissioning Team - increased interim capacity.</li> <li>• Commissioning priorities reset and improvement plan in place.</li> <li>• Local Dynamic Purchasing system - approved by Cabinet.</li> <li>• Re-procurement framework development has now commenced, and update scheduled for Cabinet.</li> <li>• Strengthened oversight of Quality Assurance with dedicated Senior Manager support will add the ability to refocus quality assurance resources on identified areas of risk in the market and gather intelligence to inform risks and ensure resilience and capacity.</li> </ul>		
<b>Risk owner</b>	Executive Director of Children's Services		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• Development of new opportunities through Sefton Place Based Partnership development.</li> <li>• Children's High Risk/High-Cost Project, Commissioning priorities and full work plan in progress</li> <li>• Recruitment for Senior Commissioning Leadership post in process</li> <li>• Development of contingency plans for provider failure - risk escalation process</li> <li>• Links maintained with LCR on key market risks (capacity, workforce, cost of living, ceasing of covid funding, demand)</li> <li>• Develop business case for inhouse provision of Children's residential care</li> </ul>		

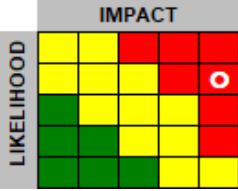
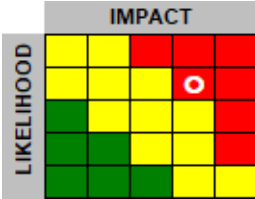
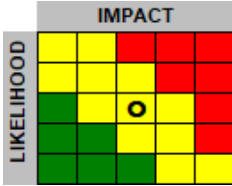
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
Inflation and cost of care impact on budget availability			
<b>Causes</b>	<ul style="list-style-type: none"> <li>Increasing provider costs – CPI etc. recruitment and retention challenges</li> <li>Increase to National Living Wage and/or pressure to meet real living wage.</li> <li>Increased market unit price</li> <li>Inflation and cost of living</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>Overspent budget</li> <li>Failure to meet statutory obligations and level of need due to Provider failure.</li> <li>Potential increased use of non-contracted Providers to meet demand.</li> <li>Reputational damage</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>Cost of Care exercises commissioned externally and completed in line with DHSC requirements.</li> <li>Market management by strategic commissioning re increased efficiencies</li> <li>Establishment of Local Framework Agreements to manage costs in process.</li> <li>Establishment of Strategic Partnerships with providers</li> <li>Utilisation of workforce grants to support the market.</li> <li>Involvement with regional forums e.g., NW ADASS Operational Commissioners Group to ensure collaborative approach, updates on key developments.</li> <li>Collaborative fee setting exercise ongoing- paper to cabinet May and June 2023</li> <li>LGA Peer review completed July 2022</li> <li>Strategic review of budget in process as part of Sector Led Improvement offer.</li> <li>Cost of Care Exercises completed in line with DHSC requirements.</li> <li>Benchmarking exercises conducted - outcomes used to inform final 2023/24 fee proposals - continuing work to agree savings targets to absorb.</li> <li>Use of bespoke cost of care tools to calculate costs</li> </ul>		
<b>Risk owner</b>	ED ASC&H		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>Implementation of Local Frameworks to control costs and commissioning activity (in process)</li> <li>Enhance pooled budget arrangements with Health in development, in line with Place arrangements.</li> <li>Integrated approach to commissioning further enhanced (Intermediate care, market sustainability)</li> <li>Transformation programme – realignment / redistribution of expenditure across service sectors to reflect actual/desired changes in demand.</li> <li>Care Cap reform work commenced – however nationally on hold. Winter funding utilised to support block bookings. Continued focus on provider relationships and increased brokerage team capacity also supporting this area.</li> </ul>		

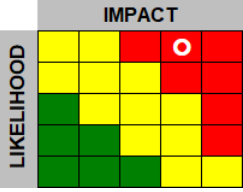
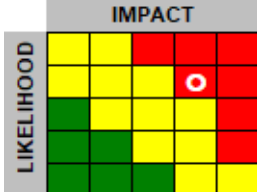
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
Climate Emergency - Failure to meet the targets set out in the Council's declared climate emergency.			
<b>Causes</b>	The Council has declared a climate emergency with a view to becoming a net zero contributor by 2030 - the aim of this declaration is to improve the lives of residents, make the Borough a more attractive place to live and work, contribute to addressing the global impact of climate change and contribute to stopping the deterioration of the Sefton environment.		
<b>Result</b>	<ul style="list-style-type: none"> <li>• Further deterioration in air quality</li> <li>• Extensive Coastal Erosion</li> <li>• Further deterioration in overall Sefton Environment</li> <li>• Sefton fails to support the drive to reduce carbon emissions that are having a significant impact on climate change.</li> <li>• Reduced life expectancy.</li> <li>• Reputational damage having declared an emergency and agreed a strategy and implementation plan</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• Council has declared a climate emergency.</li> <li>• Council has agreed the Strategy to meet this Declaration.</li> <li>• Initial activities all completed.</li> <li>• 3 year implementation plan agreed by council for 2020-2023- this first plan has been completed.</li> <li>• Pathway to net zero articulated in latest annual report including residual amount that maybe left and the financial support that will be required from central government for decarbonisation.</li> <li>• Annual Reports track progress and are reported to Cabinet and Council</li> <li>• Initial projects in 3 year period include- move to agile working for staff, street lighting energy scheme, decarbonation work at Bootle and Southport Town Halls and procurement of 100% renewable electricity</li> </ul>		
<b>Risk owner</b>	ED CR&CS and ED People		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• Introduce 100% renewable electricity from April 2023</li> <li>• Complete LED programme</li> <li>• Deliver next approved 3 year implementation plan for 2023-2026</li> <li>• Identify and bid for external funding to support change initiatives as without such financial support this will compromise the council's ability to meet its target.</li> <li>• Work with Combined Authority on communication strategy and leverage the CA to identify external funding and align with their programme of works.</li> <li>• Work with the voluntary sector who have also declared a climate emergency - this will support delivery of schemes, external funding generation and community engagement for both organisations. Work on-going with Multi Agency Partnership to galvanise alignment with Partners activity in this area and influence delivery in line with Sefton's Strategy.</li> </ul>		

## Appendix A Corporate Risk Register September 2023

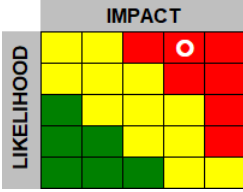
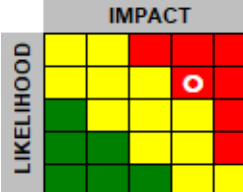
Risk Description	Previous risk score	Current risk score	Target risk score
Demand and Cost of Home to School Transport – Impact on the Financial Sustainability of the Council			
<b>Causes</b>	<p>Increasing expenditure is being driven by:</p> <ul style="list-style-type: none"> <li>• The rising number of children and young people with an Education Health and care plan.</li> <li>• The rising number of children and young people whose needs are not met in local mainstream provision and placed in educational provision outside the local area.</li> <li>• The rising cost of fuel and living.</li> <li>• Driver and escort shortages, competing for scarce resources</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>• Supply unable to match demand.</li> <li>• Increased waiting time for users, impact on school attendance</li> <li>• Financial and reputational risks, financial sustainability of council could be compromised, budget pressure cannot be contained.</li> <li>• Capacity of the workforce to meet this demand.</li> <li>• Potential for poor service delivery</li> <li>• Negative socio-economic impact</li> <li>• High level of media and public interest in the council's actions</li> <li>• Loss of reputation</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• Report to Leadership Team and Cabinet</li> <li>• Engagement with SEND on how demand can be contained.</li> <li>• Review of in-house Fleet and Post 16 Charging Policy</li> <li>• Monthly finance reports.</li> <li>• Ongoing review of all position</li> <li>• Personal Travel Budgets.</li> </ul>		
<b>Risk owner</b>	Assistant Director of Education Excellence		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• Expand Personal Travel Budget program.</li> <li>• Explore expansion of in-house fleet</li> <li>• Engagement with SEND on how demand can be contained.</li> <li>• Review of travel solutions, focus on Post 16, out of borough, single occupancy, and personal assistants.</li> </ul>		

## Appendix A Corporate Risk Register September 2023

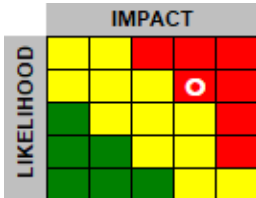
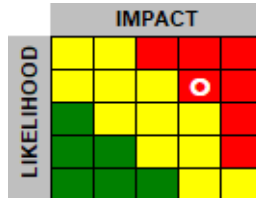
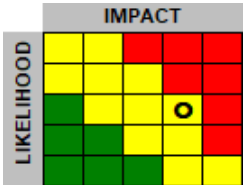
Risk Description	Previous risk score	Current risk score	Target risk score
Failure to Manage Increasing Demand for Services			TBC
<b>Causes</b>	<ul style="list-style-type: none"> <li>• Lack of national response to the Independent Review of Children’s Social Care and report by the Competition and Markets Authority calling for action on the children’s social care market</li> <li>• Increase in the number of children needing a Social Care intervention across the spectrum of need.</li> <li>• Lack of common understanding of spectrum of need.</li> <li>• Budget pressures – inflation (cost of placements continue to increase) Cost of Living Crisis</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>• Increased safeguarding risks.</li> <li>• Poor outcomes for children in Sefton</li> <li>• Inability to cope with demand.</li> <li>• Reputational damage</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• Joint Strategic Needs Assessment and supporting Children's Chapters</li> <li>• People Strategy and Action Plan</li> <li>• Sefton Stronger Together Partnership</li> <li>• Level of Need document shared across partnership.</li> <li>• Recruitment campaign for in house foster carers.</li> <li>• Quality Assurance Framework</li> <li>• Practice Standards</li> <li>• Monthly Senior Management Performance Management meetings</li> <li>• Regular audit of cases, scrutiny of data and understanding of cohort to predict future demand (needs analysis).</li> <li>• Greater emphasis on the right response at the right time to enable intervention more swiftly and avoid drift and delay.</li> <li>• Budget monitoring</li> <li>• Increased scrutiny on the decision to bring a child and the exploration of safe alternatives.</li> <li>• Social Work academy</li> <li>• Recruitment of permanent Social Workers from overseas (May 2023)</li> </ul>		
<b>Risk owner</b>	Executive Director of Children’s Services		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• Transfer of Early Help into Children's Services</li> <li>• Embed performance culture.</li> <li>• Review of Safeguarding Partnership</li> <li>• Review of existing kinship care placements with a view to making these into SGO arrangements.</li> <li>• Develop channels to gain family feedback and incorporate into service delivery.</li> </ul>		



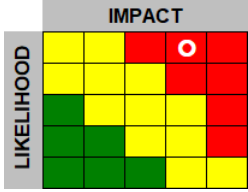
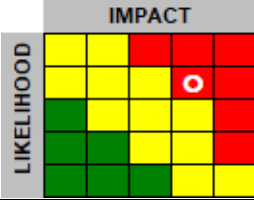
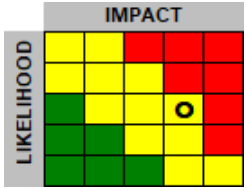
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
Impact of Regulatory Framework Outcomes			TBC
<b>Causes</b>	<ul style="list-style-type: none"> <li>• Increase in Monitoring – e.g., OFSTED visits and re-organisation of Children's Services (transfer of Early Help and Youth Justice teams) increases inspection frequency.</li> <li>• Further inspection of services under the ILAC framework</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>• Services are found to not adequately safeguard children.</li> <li>• Reputational damage to the Council and Statutory partners</li> <li>• Loss of confidence in partnership arrangements</li> <li>• Workforce pressures</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• Improvement board established under DfE improvement notice.</li> <li>• DfE Advisor supporting Improvement Programme</li> <li>• Phase 1 Improvement Plan now in Phase 2</li> <li>• Regular reports to Overview &amp; Scrutiny</li> <li>• Self-evaluation has been refreshed and updated.</li> <li>• Performance dashboard development</li> <li>• Quality Assurance Framework</li> <li>• Practice Standards</li> <li>• Triangulation of evidence through audit and peer review, regular auditing, and monitoring of performance.</li> </ul>		
<b>Risk owner</b>	Executive Director of Children's Services		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• Continue with Improvement Board oversight.</li> <li>• Scrutineer to join Improvement Board</li> <li>• Progress recommendations made by Children's Commissioner</li> <li>• Report progress and risk to Overview &amp; Scrutiny</li> <li>• Develop Phase 2 of Improvement Plan</li> <li>• Review Quality Assurance Framework</li> <li>• Continue with Audit regime.</li> </ul>		

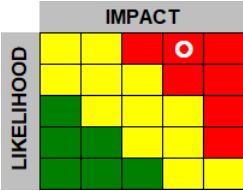
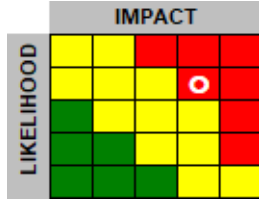
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
Lack of SEND placements for Children and Young People			
<b>Causes</b>	Increase in request for specialist provisions. This also has an impact on the transport budget.		
<b>Result</b>	<ul style="list-style-type: none"> <li>• Results in an increase in high needs deficit in funding in and out of borough / independent settings.</li> <li>• Significant impact on transport costs</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• Group funding opportunities in mainstream schools.</li> <li>• Additional RBs for reception aged children to start in September.</li> <li>• Sufficiency works ongoing.</li> <li>• Agreed action to reinstate High Needs Funding</li> <li>• Management scrutinises placement options and are open to creative solutions within maintained settings.</li> <li>• Improved working around the school approach for graduated approach to SEND across EE partnership.</li> </ul>		
<b>Risk owner</b>	Service Manager - SEND		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• Continuation of agreed projects to generate additional resourced places.</li> <li>• Sufficiency report for longer term in-borough placements for next academic year.</li> <li>• Review and improve consultation process and challenge under SEND code of practice under reasonable steps.</li> </ul>		

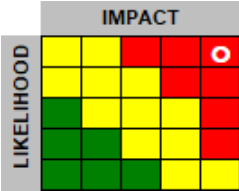
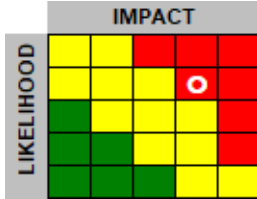
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Requirement to work collaboratively with Sefton New Directions to review delivery model, in order to meet market requirements and promote financial sustainability; identify opportunities and future risk mitigation.</p>			
<p><b>Causes</b></p>	<ul style="list-style-type: none"> <li>Sefton New Directions (SND) was set up as a wholly owned company by the Council in 2007 as a private company.</li> <li>Due to the increased complexity and acuity within the social care market there is a need for the company to transform to meet demand. This is within the context of financial and workforce challenges. In 22/23 SND incurred a loss of £1m which impacted on their reserves. Further financial challenges have been identified for 23/24 (including proposed investment and further reduction in reserves) which will impact on financial sustainability hence the need to transform.</li> <li>SND are also impacted by wider social /economic challenges faced by all providers</li> </ul>		
<p><b>Result</b></p>	<ul style="list-style-type: none"> <li>Inability to meet demand and provide the volume of support for individuals identified with eligible care and support needs.</li> <li>Recruitment challenges impacting on workforce capacity to deliver services.</li> <li>Requirement for ASC to commission alternative support leading to increased costs and budgetary pressures.</li> <li>Risk to financial viability and sustainability of the company</li> </ul>		
<p><b>Current treatment and controls</b></p>	<ul style="list-style-type: none"> <li>A strategic review of services being undertaken in collaboration with SND - including financial viability, forecasting and transformational requirements.</li> <li>Internal escalation arrangements and oversight of risk by Chief Executive-</li> <li>The council has received assurance that this position has been shared with SND Board who are fully engaged in the review.</li> <li>Conclusion of review is planned for end of September 23.</li> </ul>		
<p><b>Risk owner</b></p>	<p>Executive Director Adult Social Care and Health / NHS Place Director</p>		
<p><b>Proposed actions</b></p>	<ul style="list-style-type: none"> <li>Update on position and planned work to be provided to Cabinet in July 23 with further detailed report to Cabinet in Autumn outlining findings of strategic review and proposed options for consideration.</li> </ul>		

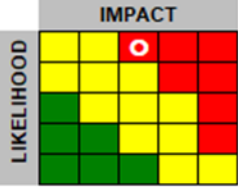
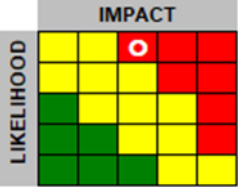
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
Education service not being able to meet statutory compliance at an acceptable level.			TBC
<b>Causes</b>	<ul style="list-style-type: none"> <li>Increasingly high levels of EHCP assessment requests leading to high levels of EHCPs. Coupled with the current staffing this is also leading to the impact on the ability to review outcomes and impact of EHCPs.</li> <li>Current staffing levels are insufficient to meet the increasing demand. The interim service manager has left, and it has not been possible to recruit a permanent manager.</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>Service is unable to meet statutory duties.</li> <li>High caseloads impacting on staff welfare and risk of absence.</li> <li>Impact on communication process/ QA.</li> <li>Poor outcomes for children/young people and their families.</li> <li>Increased complaints, service reputation and risk of financial compensation.</li> <li>Significant risk of adverse outcome from Ofsted SEND Inspection</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>Regular supervision is ongoing to support staff.</li> <li>Service Manager for Inclusion covering SEND while long term management solution found.</li> <li>Agreement to make 3 fixed term positions staff permanent and fill vacancies. Back log of assessments still in place and statutory compliance still under national average.</li> </ul>		
<b>Risk owner</b>	Service Manager for Inclusion		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>Review of Children's Services Budgets to find funding required to support additional staffing elements required for service including new management structure with capacity to deliver on strategic and operational priorities.</li> <li>Risk management of cases in overdue category - focus on reduction of cases and increasing compliance with timeliness</li> </ul>		

## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
ASC contracted rates are no longer sufficient to secure placements			TBC
<b>Causes</b>	Care homes are charging increasing top up fees for placements in response to their increasing costs		
<b>Result</b>	<ul style="list-style-type: none"> <li>Additional pressures on ASC budget was £1.5m in 2023/24</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>Cabinet Approval granted in May and June 2023 for 2023/24 fee increases that were higher than those originally proposed.</li> </ul>		
<b>Risk owner</b>	Executive Director of Adult Social Care		
<b>Proposed actions</b>	This is a new risk and further actions are yet to be identified.		

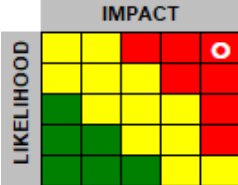
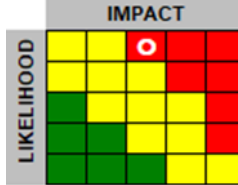
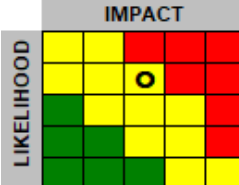
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to Comply with Sections 1 and 10 of the Freedom of Information Act 2000</p>			<p>TBC</p>
<p><b>Causes</b></p>	<ul style="list-style-type: none"> <li>• A person requesting information from a public authority has a right, subject to exemptions, to be informed by the public authority in writing whether it holds the information, and to have that communicated to him, if the public authority holds it (section 1 of The Freedom of Information Act 2000). Section 10(1) specifies that public authorities must respond to requests within 20 working days.</li> <li>• A public authority which fails to comply with any of the requirements of Part I of the FOIA, may be served with a notice by the Information Commissioner (referred to as an 'enforcement notice') requiring the authority 'to take within such time as may be specified in the notice, such steps as may be so specified for complying with those requirements' (section 52(1)).</li> <li>• Compliance performance levels differ across the Council, due to the demands on particular service areas. Consistency is required in terms of prioritising responses to FOIA requests so that the Council ensures it responds to requests in a timely way.</li> </ul>		
<p><b>Result</b></p>	<ul style="list-style-type: none"> <li>• Failure to comply with legal requirements.</li> <li>• Enforcement action by the Information Commissioner's Office</li> <li>• Damage to the Council's reputation</li> <li>• Loss of public confidence</li> <li>• Diversion of resource and financial consequences</li> </ul>		
<p><b>Current treatment and controls</b></p>	<ul style="list-style-type: none"> <li>• Information management and governance, including compliance with the Freedom of Information Act is overseen by the Information Management and Governance Executive Group (IMGEG), which consists of officers with lead responsibilities for key aspects of information compliance (i.e., Data Protection Officer / IG Lead, Senior Information Risk Owner, and Chief legal and Democratic officer) supported by other officers with key roles relating to IMG.</li> <li>• Each service is responsible for the handling and management of FOIA requests made to their respective service area.</li> <li>• Each service has designated Information Asset Owners and Information Asset Administrators.</li> <li>• Policies, procedures, processes, and issues are communicated to these officers through the Information Management and Governance Operational group.</li> <li>• Support, co-ordination, advice, and guidance is provided corporately.</li> <li>• The council has implemented policies, procedures, and processes to assist the management of FOIA requests made to the council.</li> </ul>		
<p><b>Risk owner</b></p>	<p>CEX/ED CR&amp;CS</p>		

## Appendix A Corporate Risk Register September 2023

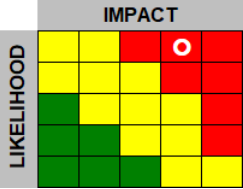
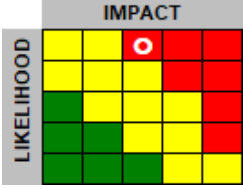
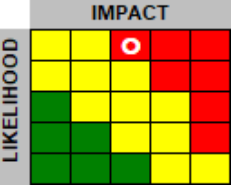
<b>Proposed actions</b>	<p>SLB to ensure Appropriate resourcing, prioritisation and focus on information management and governance across the Council include the following:</p> <ul style="list-style-type: none"><li>• Monthly reporting to Heads of Service of a list of any outstanding FOIA requests, to ensure appropriate action across their service.</li><li>• Regular monitoring and review by IMGEG of compliance with statutory timescales associated with requests and numbers outstanding.</li><li>• Set targets to ensure compliance with ICO recommendations (95% or more of requests are responded to within 20 working days = good, 90 to 95% of requests are responded to within 20 working days = adequate, fewer than 90% = unsatisfactory).</li><li>• Regular reporting by IMGEG to SLB and Audit and Governance Committee, as necessary, as to the Council's compliance with the FOIA.</li><li>• Maximise the opportunities from the Council's ICT Transformation to increase and embed effective information management and governance.</li></ul>
-------------------------	---

## Appendix A Corporate Risk Register September 2023

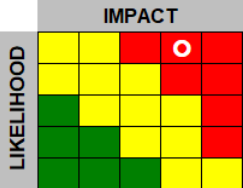
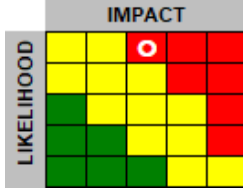
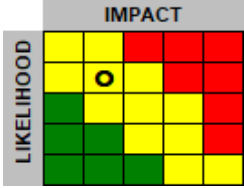
Risk Description	Previous risk score	Current risk score	Target risk score
<p>School debts transferring back to the Council in the event of them being forced into academy status or closing.</p>			
<p><b>Causes</b></p>	<ul style="list-style-type: none"> <li>Schools with Licensed Deficit Budget Agreements with the Council fail an OFSTED Inspection and the Secretary of State for Education issues and Academisation Order to transfer control of the school over to Multi Academy Trust.</li> <li>Governing Bodies of Schools with Licensed Deficit Budget Agreements are not able to provide an action plan and assurance that the school can address its' financial concerns and become viable and so Elected Members formally agree to the closure of the school.</li> </ul>		
<p><b>Result</b></p>	<ul style="list-style-type: none"> <li>There are 5 Schools who are operating under a Notice of Concern as they have an agreed licensed deficit agreement with the Council or are projected to be in a deficit balance situation in 2022/23.</li> <li>The overall deficit of the above establishments in 2022/23 is approx. £1.82m</li> </ul>		
<p><b>Current treatment and controls</b></p>	<ul style="list-style-type: none"> <li>All Schools requesting Licensed Deficit Budget agreement must provide 3-year financial plan to the Council by 30th April each year and get approval to operate under a Licensed Deficit Agreement.</li> <li>Along with any Licensed Deficit Budget Agreement Schools are also given a Financial Notice letter which sets out the financial framework under which the Governors and Senior Members of the school must operate while they are in deficit.</li> <li>Quarterly report to Sefton Council's Cabinet Member for Education on overall financial risk to the Council and performance of each school against the agreed Licensed Deficit Plans.</li> <li>Termly meetings with Assistant Director of Education and Finance staff with the Chair of Governors and Headteacher of each school operating under a Licensed Deficit Budget Agreement to discuss financial performance against agreed plan.</li> <li>Discussion of financial performance of schools at termly Schools Causing Concern meetings where educational performance is also discussed and identifies schools that could fail any upcoming OFSTED Inspection.</li> <li>The option for the Council to remove delegation from the school if an academy order is placed on the school and the Council has concerns regarding the overall deficit position of the school.</li> </ul>		
<p><b>Risk owner</b></p>	<p>Assistant Director Children's Services (Education)</p>		
<p><b>Proposed actions</b></p>	<ul style="list-style-type: none"> <li>Continued operation of Licensed Deficit Agreements and scrutiny of school financial plans and ongoing support to Governing Bodies</li> <li>Meetings between the Council and the Liverpool Archdiocese to develop strategy to support several VA Schools who present a significant financial concern to the Council.</li> <li>Agreement from the DfE to provide the Council with additional financial support through its School Resource Management Advisory Team to review the finances of specific schools and give some external / independent advice on a school's finances.</li> </ul>		



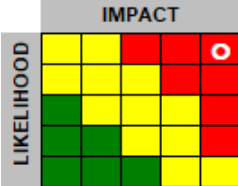
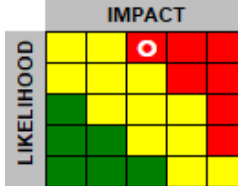
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Ability of the Council to Recruit to its Workforce in order to Deliver its Core Purpose.</p>			
<b>Causes</b>	<p>Due to the contraction of the labour market both nationally and locally the council cannot recruit sufficiently skilled staff to meet business need.</p>		
<b>Result</b>	<ul style="list-style-type: none"> <li>The Council does not have the capacity to deliver the services it needs to at the pace or standard required.</li> <li>Due to the contraction in the market the council cannot recruit to key roles - over the past 12 months this has been evident in Social Care, Regeneration, Procurement, Performance, Property and Finance</li> <li>Such a scenario places increased pressure on the workforce that cannot be maintained over the long term.</li> <li>In addition to the lack of candidates in the market seeking permanent employment and a reduction in availability of temporary or agency staff, the cost of bringing in temporary cover is increasing exponentially this creating budget pressure</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>The Council's approach to recruitment and retention has been and will continually be the subject of review. This is a key theme within the recently approved workforce strategy and action plan.</li> <li>The Council is building on the success in some areas will seek to 'grow its own' workforce with the promotion of apprenticeships, the social worker academy, and graduate programmes.</li> <li>The Council will seek to continually enhance its culture in order that staff remain in Sefton.</li> <li>The Council will work with Liverpool City Region Partners to recruit talent nationally and look at training and development programmes across the region that will be attractive to potential candidates.</li> </ul>		
<b>Risk Owner</b>	<p>ED CR&amp;CS</p>		
<b>Proposed Actions</b>	<ul style="list-style-type: none"> <li>The action plan for the workforce strategy details the key activities that will be undertaken to maximise the council's position in the workforce market.</li> <li>Extensive work has been undertaken within Childrens services over the last 18 months to ensure that a skilled and stable workforce can be recruited to and retained. This includes a full review of pay and benefits the development of the social worker academy and the recruitment of overseas social workers. this work will continue to support the service and similar activities and innovation will take place across the council.</li> </ul>		

## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
<p>ASC - Inability to recruit required staff and retention of current workforce.</p>			
<b>Causes</b>	<ul style="list-style-type: none"> <li>• Current vacancy rate within ASC is 8%</li> <li>• Use of agency to fill vacancies remains constant and is at 11%</li> <li>• Regional/nationwide issue shortage of qualified staff</li> <li>• Pay and conditions not always comparable with neighbouring authorities</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>• Increased waiting times leading to delays in responsiveness for some individuals and carers.</li> <li>• Risk to delivery of statutory functions</li> <li>• Potential to miss priority and vulnerable service users.</li> <li>• Potential for poor service delivery</li> <li>• Reduced of quality assessment</li> <li>• Challenges to budget should higher paid agency staff be employed.</li> <li>• Increase in complaints.</li> <li>• Poor morale and higher turnover of staff</li> <li>• Increased sickness absence</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• Targeted action to attract and retain key roles e.g., AMHP's, BIA's (enhancement for OOA AMHP now in place)</li> <li>• Wellbeing arrangements in place</li> <li>• Staff induction and training and induction plans reviewed.</li> <li>• Apprenticeship schemes, training schemes, PDRs, training plans and staff bulletin in place</li> <li>• Final draft of Career Progression Framework awaiting final sign off</li> <li>• Actions and metrics from ASC Strategic Workforce meeting</li> <li>• Rolling ASC Recruitment Advert</li> <li>• Corporate Workforce Plan approved by Cabinet.</li> <li>• Improvements in workforce data and use to inform actions</li> </ul>		
<b>Risk Owner</b>	<ul style="list-style-type: none"> <li>• Assistant Director ASC</li> </ul>		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• Review of existing salaries against LCR competition</li> <li>• Corporate Action plan to be embedded.</li> <li>• Paper on OT proposals to be presented to ELT.</li> <li>• Succession Planning to be undertaken with key teams.</li> <li>• LGA workshop findings presented to SMT with proposals.</li> <li>• Programme of staff visits by Cabinet Member and AD</li> <li>• Teams Talks and coproduction workshops</li> </ul>		

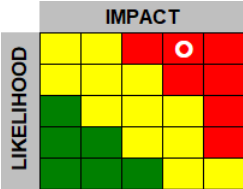
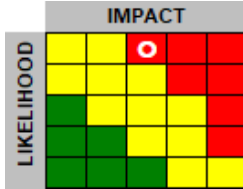
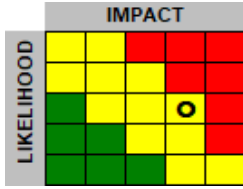
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
<p>The Provision of Children's Social Care is not Financially Sustainable</p>			<p>TBC</p>
<p><b>Causes</b></p>	<ul style="list-style-type: none"> <li>• Reduction in government funding</li> <li>• Lack of national response to the Independent Review of Children's Social Care and report by the Competition and Markets Authority calling for action on the children's social care market</li> <li>• Unprecedented demand</li> <li>• Increased placement costs in Children's Social Care not included in Medium Term Financial Plan.</li> <li>• Numbers of children in care remain high.</li> <li>• Insufficient local provision.</li> <li>• Inflation - Cost of placements continue to increase.</li> <li>• On-going Cost of Living crisis</li> <li>• Commissioning capacity not sufficient to undertake effective market development.</li> <li>• Placements are not effectively reviewed</li> </ul>		
<p><b>Result</b></p>	<ul style="list-style-type: none"> <li>• Impact on outcomes for children and young people</li> <li>• Lack of availability of suitable placements</li> <li>• Placements do not meet needs of children and young people.</li> <li>• Placements costs increase.</li> <li>• Quality and sufficiency of placements decreases.</li> <li>• Demand increases</li> <li>• Children placed out of borough and unregulated placements.</li> <li>• Budget overspend compromises service delivery in other services that need to make savings or the financial sustainability of the council</li> </ul>		
<p><b>Current Treatment and Controls</b></p>	<ul style="list-style-type: none"> <li>• Children's Service MTFP agreed by DCS and S 151 in line with DfE Advisor recommendations.</li> <li>• Joint Strategic Needs Assessment and supporting Children's Chapters.</li> <li>• Finance Training for all budget holders delivered May 23</li> <li>• 'How the council works' training delivered for senior managers June 23</li> <li>• Increased leadership capacity in Children's Services.</li> <li>• Regular review of MTFP and budget monitoring.</li> <li>• Joint Commissioning Strategy.</li> <li>• Sufficiency Strategy</li> <li>• Market engagement and development including regional collaboration.</li> <li>• Workforce initiatives around the Social Worker Academy and overseas recruitment reduces reliance on expensive agency provision.</li> <li>• LCR framework to co-ordinate the commissioning of independent residential and foster placements.</li> <li>• Marketing campaign to increase the number of in-house placements for children and young people.</li> </ul>		

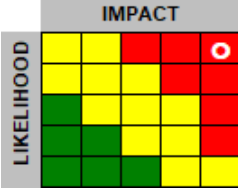
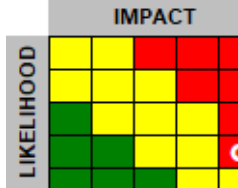
## Appendix A Corporate Risk Register September 2023

	<ul style="list-style-type: none"> <li>• Service Manager for Residential provision in post.</li> <li>• Fortnightly Placement Panel to monitor placement costs.</li> <li>• Monthly multi-agency panels to review high-cost placements</li> </ul>
<b>Risk Owner</b>	<ul style="list-style-type: none"> <li>• Executive Director Children's Services</li> </ul>
<b>Proposed Actions</b>	<ul style="list-style-type: none"> <li>• Budget to be rightsized for 2023.</li> <li>• Any additional expenditure required or requested will need the formal approval of Cabinet due to the wider Council budget pressures.</li> <li>• Develop a Market Position Statement for approval at December Executive Commissioning Group.</li> <li>• Reopen existing in house provision.</li> <li>• Develop a business case for inhouse provision.</li> <li>• Continue marketing activity to recruit inhouse foster carers.</li> <li>• Continue to collaborate across LCR and develop market including Independent Fostering Agency Forum and Residential Care Forum (January 2023)</li> </ul>

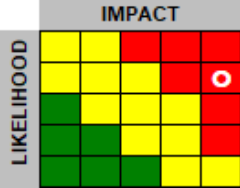
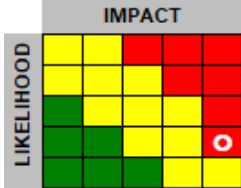
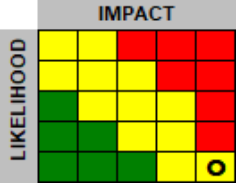
## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
Failure to ensure readiness for the planned National Assurance framework for Adult Social Care (due 23/24)			
<b>Causes</b>	Lack of sufficient preparedness for CQC Regulatory Visit and Assessment		
<b>Result</b>	<ul style="list-style-type: none"> <li>• Poor outcome of a CQC regulatory assessment and poor rating</li> <li>• Poor outcomes for individuals / Carers identified.</li> <li>• Service deemed to not be effectively discharging statutory duties for those adults with care and support needs in one or more areas of the assurance framework.</li> <li>• Loss of confidence with local residents</li> <li>• Significant reputational damage to the Council and with statutory partners.</li> <li>• Impact on recruitment and retention of staff</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>• The Social Care Executive Assurance Board has been established for oversight of readiness and regular reporting to ELT.</li> <li>• Assurance Leads and Champions identified supporting each Assurance Theme in our Weekly Assurance Steering Group reviewing evidence based action plans linked to Peer Review Action Plan.</li> <li>• Codesign partners, workforce and colleagues' workshops taken place over May/June and July, including Strength Based Workshops for staff. Staff briefings have commenced and are ongoing, supported by a CQC Assessment Q&amp;A approach.</li> <li>• ASC is member of NWADASS SLI Board and NW Performance Leads Group to receive updates regarding readiness for CQC assessment.</li> <li>• Performance framework and dashboard has been developed linked to national CQC Outcomes framework.</li> <li>• LGA Peer Review completed July 2022 and reported to Cabinet / O&amp;S, assurance plan and monitoring put in place.</li> <li>• Participated in local Oldham CQC Assessment peer challenge sessions &amp; CQC test and learn workshop – Manchester Council.</li> <li>• Quality Assurance Framework established - Professional Practice Forum in place for staff.</li> <li>• SMT and Assurance Governance review has been completed.</li> <li>• Resource impact reporting taking place, to identify gaps in assurance resources.</li> </ul>		
<b>Risk owner</b>	Executive Director of Adult Social Care		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• Communication and coproduction to continue with staff, partners, and people with lived experience as per schedule.</li> <li>• Schedule of reporting on progress to be agreed for OS committee.</li> <li>• Completion of the CQC self-assessment assurance Part 1 LGA Checklist</li> <li>• Completion of Quality Assurance Statements for each Theme as part of Phase 2 preparations</li> <li>• Corporate colleagues to provide details of enabling support and risks in delivery.</li> <li>• Targeted action plans in place for all areas identified as requiring action</li> </ul>		

## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Inability to deliver the Requirements and Commitments for the Growth Program and its Associated Projects</p>			<p>TBC</p>
<p><b>Causes</b></p>	<ul style="list-style-type: none"> <li>• Required Capital and Revenue funding not available to deliver the projects for Economic Recovery and Growth. This can be due to unavailability or timing of funds available.</li> <li>• External pressures affecting the construction sector, leading to challenges to project deliverability, affordability, or timescales. This includes inflationary cost pressures; insufficient market capacity, contractor availability and contractor capacity; insufficient availability of materials and/or labour; delayed lead-in times for materials or services; rising prices for services, materials, and equipment.</li> <li>• Insufficient internal staffing resource, hindering effective and timely delivery.</li> </ul>		
<p><b>Result</b></p>	<ul style="list-style-type: none"> <li>• Increased business failure</li> <li>• Reputational Damage especially on projects declared already in the public domain.</li> <li>• Increased unemployment</li> <li>• Financial and reputational risks to the Council</li> <li>• Impact on communities.</li> <li>• Loss of reputation</li> <li>• Impact of wider economic change on residents, particularly the most vulnerable</li> </ul>		
<p><b>Current treatment and controls</b></p>	<ul style="list-style-type: none"> <li>• Growth Program and associated Governance and project controls.</li> <li>• Bid process and expertise applied to all existing and new funding opportunities.</li> <li>• Members approval and prioritization of existing and new projects.</li> <li>• Constant and consistent evaluation and use of Growth Budget.</li> <li>• Opportunities in respect to Capital receipts from asset disposal.</li> </ul>		
<p><b>Risk owner</b></p>	<p>ED Place and Assistant Director of Place (Economic Growth and Housing)</p>		
<p><b>Proposed actions</b></p>	<ul style="list-style-type: none"> <li>• Immediate review of the Government White Paper on Levelling Up to ensure timely advantage taken of any funding opportunity.</li> <li>• Actively pursue all additional funding available in timely and at the earliest opportunity.</li> <li>• Create and make available Bid Team focused on and challenged with successful bids.</li> <li>• Establish Project Review forums and reporting mechanisms for early visibility of reporting of project progress and any emerging issues - on a project-specific and programme-wide basis.</li> <li>• Proactive external engagement with construction sector and key partners (e.g., LCR CA) to ensure visibility and understanding of risks to the sector and potential mitigants.</li> <li>• Develop and implement procurement strategy to ensure sustained competition, robustness of process and suitable partners for project delivery – currently being actioned.</li> <li>• Further refine and strengthen capital project planning, delivery, and governance measures</li> </ul>		

## Appendix A Corporate Risk Register September 2023

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to adequately maximise the benefits of digital growth to the local community and businesses.</p>			
<b>Causes</b>	Budget reductions, inadequate funding levels and capacity to meet needs of strategy.		
<b>Result</b>	<ul style="list-style-type: none"> <li>Digital and technology is a key enabler within multiple workstreams of the authority and its transformation programs as well as being recognised as an enabler of economic growth. Non-delivery across digital workstreams would impact on key workstreams and economic growth.</li> </ul>		
<b>Current treatment and controls</b>	<ul style="list-style-type: none"> <li>New and emerging challenges around digital infrastructure, inequalities and exclusion, and skills and training are addressed but a whole council approach is required to meet future challenges.</li> </ul>		
<b>Risk owner</b>	ED People		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>Key workstreams have been developed around infrastructure (linked to LCR Connect ((the LCRCA Backhaul Network), Digital Training and Skills Board and Digital Inclusion (both business and community focused). All report into the Council's Transformation Program. Overarching purpose is to develop the vision across all themes and to actively seek out collaborative opportunities to meet that vision through partners, VCF sector, LCRCA, private sector provides and central government funding streams.</li> </ul>		