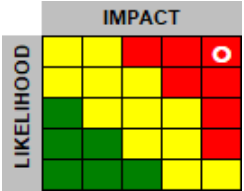
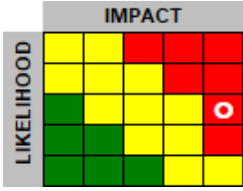
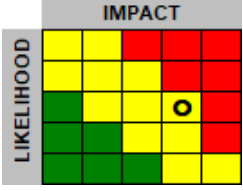


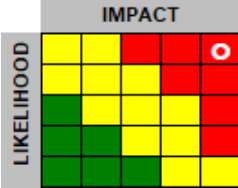
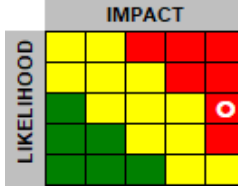
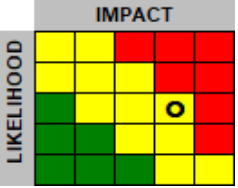
## Appendix A - Corporate Risk Register December 2023

Risk Description	Previous risk score	Current risk score	Target risk score
Financial Sustainability Beyond 2023/24			
<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.</li> <li>Within that budget report the key issues that need to be addressed within the next MTFP are identified and work commenced from May 23 on refining these assumptions and the potential budget gap for these next 3 years 2024/25 to 2026/27- this was reflected in the MTFP considered by Cabinet and Council in September 23. Work has commenced on bridging the budget in accordance with the 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>	<ul style="list-style-type: none"> <li>Executive Director Corporate Resources &amp; Customer Services</li> </ul>		

## Appendix A - Corporate Risk Register December 2023

<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 to inform Cabinet decision making and this is in place.</li><li>• SLB have commenced work on the 3-year budget plan for 2024/25 to 2026/27 with a view to setting a 3-year budget plan and this has been informed by the MTFP that was considered by Cabinet and Council in September 2023.</li></ul>
-------------------------	---


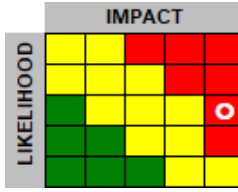
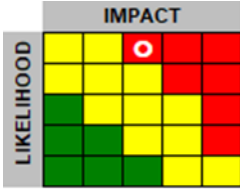
## Appendix A - Corporate Risk Register December 2023

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, sufficiency, in-house provision, funding and the forecast deficit to provide rigor, transparency and inform decision making.</li> <li>• Leadership from Sefton's Executive Director of Children's Social Care and Education, Assistant Director 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</li> </ul>		

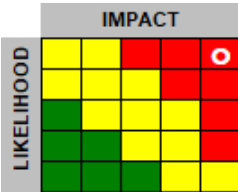
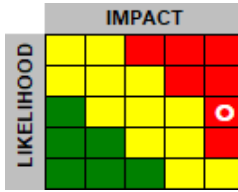
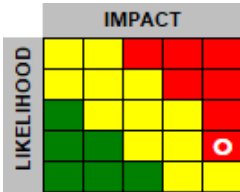
## Appendix A - Corporate Risk Register December 2023

	<p>Needs funding.</p> <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> </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>• 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 was completed in June 2023 and a work programme of planned improvements and changes in SEN support for HN children commenced which should reduce projected deficit but also improve outcome for SEN children in Sefton</li> </ul>

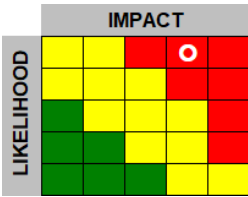
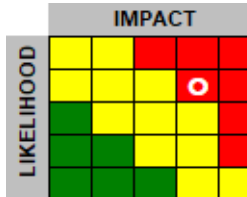
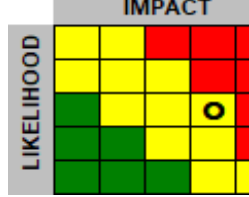
## Appendix A - Corporate Risk Register December 2023

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>		


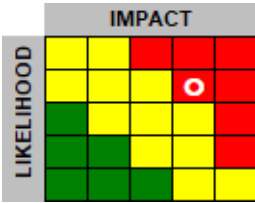
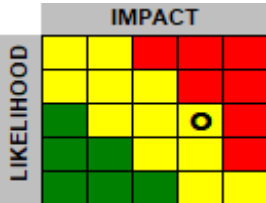
## Appendix A - Corporate Risk Register December 2023

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> <li>• Initiate planning for the introduction of Martyn's Law</li> </ul>		

## Appendix A - Corporate Risk Register December 2023


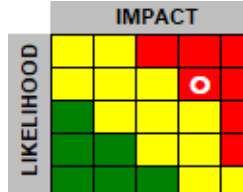
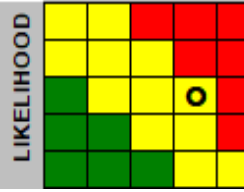
Risk Description	Previous risk score	Current risk score	Target risk score
Market Failure of Social Care Provision across Adults and Children's			
<b>Causes</b>	<ul style="list-style-type: none"> <li>• Lack of national response to the Independent Review of Children's Social Care and report by the Competition 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>• 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 December 2023

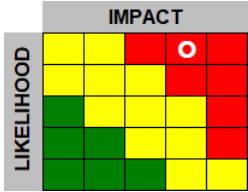
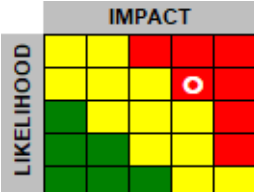
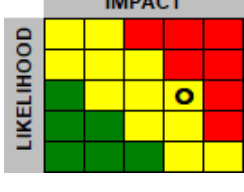
Risk Description	Previous risk score	Current risk score	Target risk score
Demand and Cost of Home to School Transport – Impact on the Financial Sustainability of the Council			
<b>Causes</b>	<p>Increasing expenditure is being driven by:</p> <ul style="list-style-type: none"> <li>• The rising number of 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 service 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 Children's Services (Education)		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>• Comprehensive project to be undertaken to review provision.</li> <li>• This project will need to cover each aspect of the service inc in-house/external provision, use of taxis, procurement activity, reassessment, use of personal budgets etc.</li> <li>• Scope and project launch to be completed by December 2023</li> <li>• Full project to be completed by end of August 2024</li> </ul>		




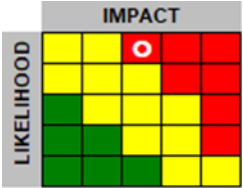
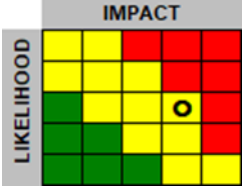
## Appendix A - Corporate Risk Register December 2023

Risk Description	Previous risk score	Current risk score	Target risk score
Children's Services - Impact of Regulatory Framework Outcomes			
<b>Causes</b>	<ul style="list-style-type: none"> <li>The Council's Children's Services are currently rated as Inadequate. As a result the council is currently delivering it's improvement with the support of a Commissioner and DFE advisor.</li> </ul>		
<b>Result</b>	<ul style="list-style-type: none"> <li>Social work practice does not meet the standard required.</li> <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 and financial pressures develop.</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>Regular reports to Overview &amp; Scrutiny Committee</li> <li>Self-evaluation has been refreshed and updated.</li> <li>Comprehensive Performance dashboard developed based on required specification</li> <li>Quality Assurance Framework in place</li> <li>Practice Standards in place</li> <li>Triangulation of evidence through audit and peer review, regular auditing, and monitoring of performance.</li> <li>Workforce strategy in place and delivering skilled and stable workforce.</li> <li>Financial plan in place based on DCS requirement.</li> <li>Accommodation in place for consolidated service.</li> </ul>		
<b>Risk owner</b>	Executive Director of Children's Services		
<b>Proposed actions</b>	<ul style="list-style-type: none"> <li>Role of Improvement Board to provide oversight, guidance and support will continue and will meet bi-monthly.</li> <li>The council will continue to progress the delivery of recommendations made by Children's Commissioner and the Improvement plan.</li> <li>Report progress and risks to Overview &amp; Scrutiny Committee each cycle in addition to Improvement Board.</li> </ul>		

## Appendix A - Corporate Risk Register December 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 November 23 with a report being presented to Cabinet in December 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>Comprehensive report to be provided to Cabinet in December 23 outlining findings of strategic review and proposed options for consideration.</li> </ul>		

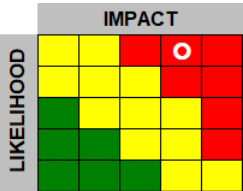
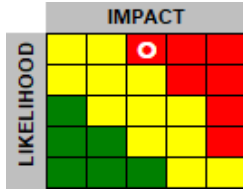
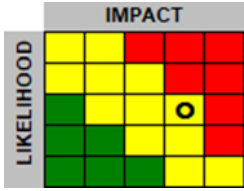
## Appendix A - Corporate Risk Register December 2023

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><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>		

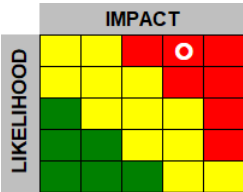
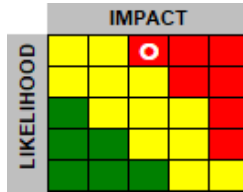
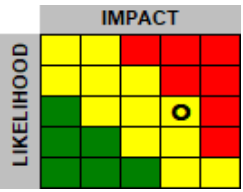
## Appendix A - Corporate Risk Register December 2023

<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>
-------------------------	---

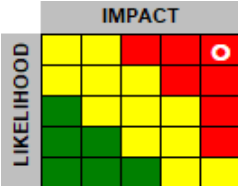
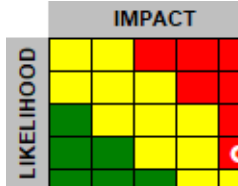
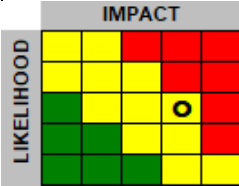
## Appendix A - Corporate Risk Register December 2023

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> <li>Work has commenced with Liverpool John Moores University to determine how pathways can be opened for graduates to join the council both on interim placements and full-time employment.</li> </ul>		

## Appendix A - Corporate Risk Register December 2023

Risk Description	Previous risk score	Current risk score	Target risk score
<p>Failure to ensure readiness for the planned National Assurance framework for Adult Social Care (due 23/24)</p>			
<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 December 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><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 December 2023**