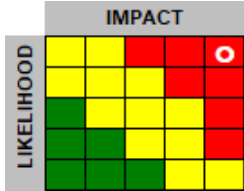
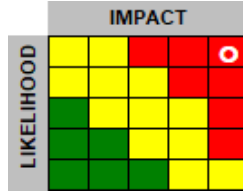
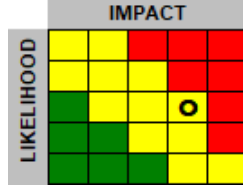


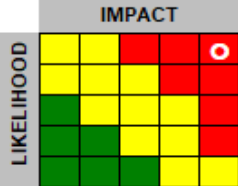
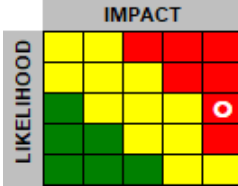
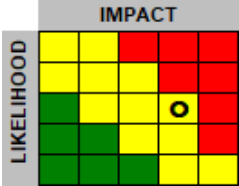
## Appendix A - Corporate Risk Register March 2024

| 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 both 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 March 2024

|                                |   |
|--------------------------------|---|
|                                | <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 noy 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>   |
| <p><b>Risk owner</b></p>       | <p>Assistant Director of 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 conducted in summer 2023 with a work programme of planned improvements and changes in SEN support for HN children commencing from September 2023.</li> </ul> |

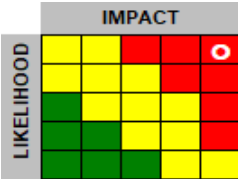
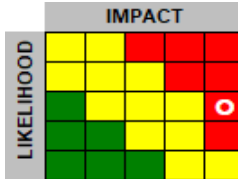
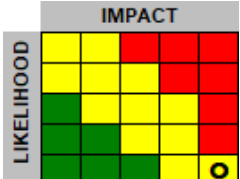
## Appendix A - Corporate Risk Register March 2024

| 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 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 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 that was 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 Adults and Children's Services. Within Childrens 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>                        | ED CR&CS   |   |   |

## Appendix A - Corporate Risk Register March 2024

|                         |   |
|-------------------------|---|
| <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>• Budget Package for 24/25 has been developed and will be presented to Budget council on 29 February 2024</li></ul> |
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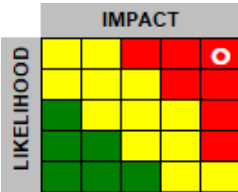
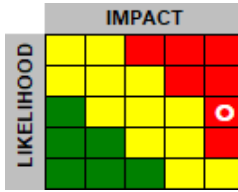
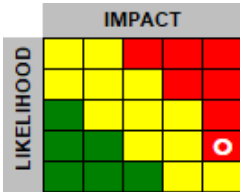
## Appendix A - Corporate Risk Register March 2024

| 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>○ - Acceptable use policy updated annually</li> <li>○ - LGA Stocktake completed/Cyber 360 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, for both cloud based and on premises 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>• Anti-virus software is constantly updated across the estate.</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 and work completed to bring all services into scope of the support contract.</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> </ul>   |   |   |

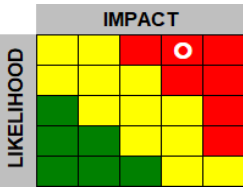
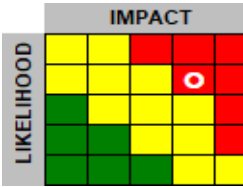
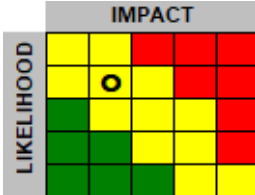
## Appendix A - Corporate Risk Register March 2024

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|  | <ul style="list-style-type: none"><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> |
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## Appendix A - Corporate Risk Register March 2024

| 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-ordinators (EDCs) are able to access Resilience Direct containing incident response plans.</li> <li>• Relevant training provided to Emergency Duty Co-ordinators 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> <li>• Corporate BC plan drafted and endorsed by ELT in January 2024</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 March 2024


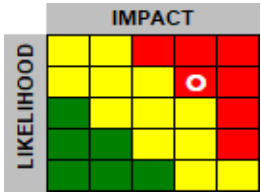
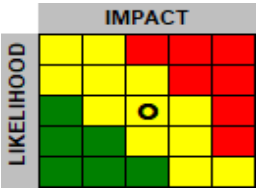
| Risk Description   | Previous risk score  | Current risk score  | Target risk score   |
|--|--|---|---|
| Market Failure of Social Care Provision across Adults and Children's |    |  |  |
| <b>Causes</b>  | <ul style="list-style-type: none"> <li>• Lack of national response to the Independent Review 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>• 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>• Regular review of supply chain contracts</li> <li>• Demand Management Programme embedded in adults and children's.</li> <li>• Recommissioning of Local Dynamic Purchasing system for Domiciliary Care</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>• CQC Assurance preparation</li> <li>• Provider Failure Policy updated.</li> <li>• Regular Cost of Care exercises</li> <li>• Market Engagement Strategies in production to focus on relationship based market management.</li> </ul> |   |   |
| <b>Risk owner</b>  | DCS/DASCH  |   |   |
| <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> </ul>   |   |   |




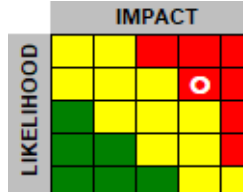
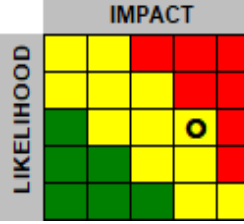
## Appendix A - Corporate Risk Register March 2024

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|  | <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</li><li>• Recruitment campaign developed with Market with ongoing input from Sefton at Work - Workforce Strategy now developed, and subsequent Market Sustainability Plan roll out 2023/24. Work includes use of International Recruitment funding to be allocated to Providers.</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 completed.</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 requests. Cost of Care / fee setting work for 2024/25 is commencing, including Care Analytics being commissioned to support with 2024/25 fee setting work, including analysis of impacts of implementing RLW across all ASC sectors. SOP for fee setting in place.</li></ul> |
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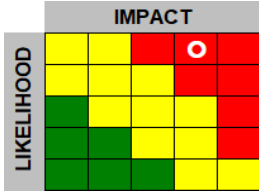
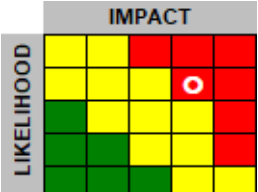
## Appendix A - Corporate Risk Register March 2024

| 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>• Rising number of children and young people with an Education Health and Care Plan</li> <li>• 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> <li>• Parental choice</li> </ul>  |   |   |
| <b>Result</b>   | <ul style="list-style-type: none"> <li>• Supply unable to match demand.</li> <li>• Increased waiting times 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>• A comprehensive review of all systems, procedures and contractual arrangements and structures in relation to Home to School Transport has been launched by the council- this is an internal review that will aim to develop a sustainable model that supports children in the Borough</li> </ul>  |   |   |
| <b>Risk owner</b>   | Assistant Director of Education  |   |   |
| <b>Proposed actions</b>   | <ul style="list-style-type: none"> <li>• The outcome of the comprehensive review of the system has commenced inc reviewing all commercial arrangements, key cost drivers and all decisions that impact cost over the next 6-9 months is the key activity currently being undertaken.</li> </ul>  |   |   |


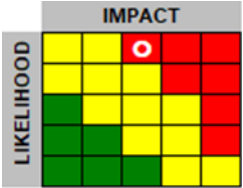
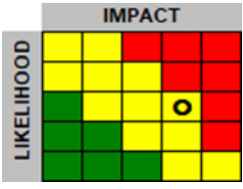
## Appendix A - Corporate Risk Register March 2024

| 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 its 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>   | DCS   |   |   |
| <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 March 2024

| Risk Description  | Previous risk score   | Current risk score  | Target risk score |
|---|---|---|-------------------|
| Increase in academisation of schools within the borough |   |  | TBC               |
| <b>Causes</b>   | <ul style="list-style-type: none"> <li>National Agenda</li> <li>DfE sponsored academies for schools in a category.</li> <li>Instability within LA</li> </ul>  |   |                   |
| <b>Result</b>   | <ul style="list-style-type: none"> <li>Loss of SLA income</li> <li>Loss of LA ability to monitor educational standards.</li> <li>Overall effect on services will mean loss of services and jobs.</li> <li>Impact of timescales between notification of academy order and timing of Cabinet meetings</li> <li>Academisation of Rowan Park (removal of mobile classroom) may result in reallocation of 43 SEN children</li> </ul> |   |                   |
| <b>Current treatment and controls</b>                   | <ul style="list-style-type: none"> <li>EE team continue to review offer.</li> <li>Engaging with academies to encourage purchase of SLAs.</li> <li>Promote "Sefton Family of Schools" image- working party established to support schools with decision making and to ensure compliance with academies act</li> </ul>  |   |                   |
| <b>Risk owner</b>                                       | Assistant Director of Education   |   |                   |
| <b>Proposed actions</b>                                 | <ul style="list-style-type: none"> <li>Many of the decisions are out of council control</li> </ul>  |   |                   |

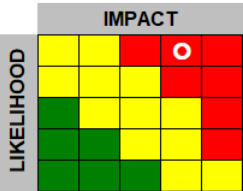
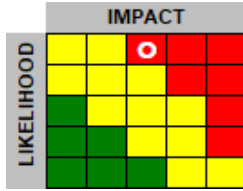
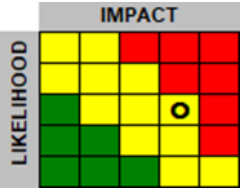
## Appendix A - Corporate Risk Register March 2024

| 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; enforcement action by the Information Commissioner's Office, damage to Council's reputation; loss of public confidence, 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. 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</p>   |   |   |

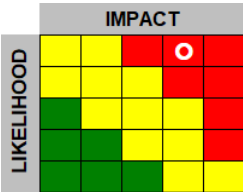
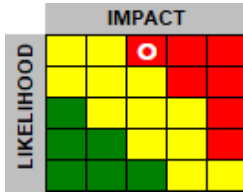

## Appendix A - Corporate Risk Register March 2024

|                         |   |
|-------------------------|---|
| <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 March 2024

| 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 in order 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 Moore's University to determine how pathways can be opened for graduates to join the council both on interim placements and full-time employment.</li> </ul> |   |   |

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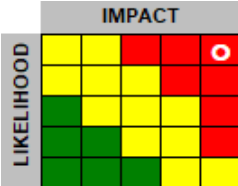
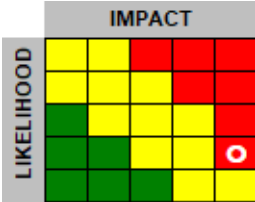
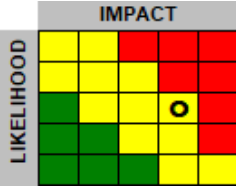
| Risk Description  | Previous risk score   | Current risk score  | Target risk score   |
|---|---|---|---|
| <p>Non achievement of our aim and ambition to secure the best outcome from a CQC assessment, against current local pressures and demands.</p> |   |  | <div style="border: 1px solid black; padding: 5px;">  This image cannot currently be displayed.         </div> |
| <p><b>Causes</b></p>  | <ul style="list-style-type: none"> <li>Lack of sufficient preparedness for CQC Regulatory Visit and Assessment Strategic - Not having in place the right workforce targeted skills, experience, and resources to deliver such a significant programme of change, that delivers the best outcomes for Sefton residents.</li> <li>Workforce - insufficient resources and skills to effectively and responsively meet local demand and pressures across ASC.</li> </ul>  |   |   |
| <p><b>Result</b></p>  | <ul style="list-style-type: none"> <li>Reputational Damage - CQC rating for the Council will reflect requiring improvement or inadequate that impacts on Council reputation across its market and with partners.</li> <li>Operational - Unsatisfactory outcomes for individuals/Carers identified, impacting people who access and use services.</li> <li>Legal Compliance/ Regulatory - 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 and under its Care Act legal duties and obligations meaning the SOS will intervene.</li> <li>Reputational - Loss of confidence with local residents, not yet known to ASC.</li> <li>Workforce - Impact on recruitment and retention of staff, resulting in service disruption.</li> <li>Financial - Impact of 'new' regulation on ASC budget with additional pressures. 8) The Cost of additional resources will impact budget.</li> </ul>        |   |   |
| <p><b>Current treatment and controls</b></p>  | <ul style="list-style-type: none"> <li>Executive Assurance Board (EAB) and monitoring in place and ELT reporting and Monitoring in place.</li> <li>Part 1 Codesigned CQC Self-Assessment completed.</li> <li>HR and Learning Resource Plan in Place.</li> <li>Comms and Marketing Resource Plan in place.</li> <li>Sefton Safeguarding Board Resource and Plan in place</li> <li>Health and Social Care Community Partners Continued Engagement in Place</li> <li>Workforce Plan in place</li> <li>Finance</li> <li>Budget setting, reporting, and monitoring in place.</li> <li>Transformation programmes in place</li> <li>Workforce and Delivery</li> <li>Operational Assurance Groups in place, reporting to SMT/EAB/ELT with actions.</li> <li>Monthly Assurance Reporting to ELT</li> <li>Overview and Scrutiny Reporting and Monitoring in place</li> <li>National and Regional ADASS Assurance reporting and monitoring in place</li> <li>Application of the National ADASS/LGA Guide.</li> </ul> |   |   |



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|                         |   |
|-------------------------|---|
|                         | <ul style="list-style-type: none"> <li>• Monthly Practice Forums and feedback in place</li> <li>• Let's Chat Assurance and feedback in place.</li> <li>• ASC Policy Board and actions in place</li> <li>• ASC IT Systems Group and actions in place</li> <li>• Workforce Plan in place, leading positive culture of change.</li> <li>• LGA to Peer Review Safeguarding to take place. (Jan 24)</li> <li>• C&amp;M Assurance Lead Workshops and Learning</li> </ul>  |
| <b>Risk owner</b>       | Executive Director of Adult Social Care (ASC) and Health (DASS)   |
| <b>Proposed actions</b> | <ul style="list-style-type: none"> <li>• Governance - To review current EAB and consider implementation of an ASC Quality and Improvement Programme Board.</li> <li>• Resources - Identify corporate strategic resources to support programme of work over the next 12 months.</li> <li>• Improvement Plan Operational finalised and regular reporting in place.</li> <li>• ELT Data Reporting and Monitoring - To Review CQC Outcomes Data, ELT reporting and ensure Plans are robust. Regular reports to Overview and Scrutiny Committee</li> <li>• CQC Risk Reporting - To implement CQC Risk Reporting Framework across operational services regarding - Is the Council Safe, Effective, Responsive, Caring and Well-led.</li> <li>• Completion of Quality Statements and Local Account</li> <li>• Peer review for Safeguarding to be explored</li> </ul> |

## Appendix A - Corporate Risk Register March 2024

| 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 Programme 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 prioritisation 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</p>  |   |   |
| <p><b>Proposed actions</b></p>  | <ul style="list-style-type: none"> <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> |   |   |