

Corporate Risk Register										Reported to: Date: 11 November 2019											
Details of Risk							Inherent Risk			Residual Risk			Actions			Target score					
Ref	Risk Description	Trigger	Result	Owner	Probability	Impact	Score	Existing Controls			Probability	Impact	Score	Proposed Action Plans		Action Owner	Target Date	Probability	Impact	Score	Action Status
Finance	<p>Dedicated Schools Grant High Needs Funding for Special Educational Needs is inadequate to meet requirements.</p> <p><b>Core Purpose</b></p> <ul style="list-style-type: none"> <li>Protect the most vulnerable</li> <li>Commission, broker and provide core services</li> </ul>	<p>High Needs budgets are under considerable pressure from increasing numbers of children being diagnosed with complex and life-long SEND related issues.</p> <p>National funding allocations are not increasing annually to reflect increases in local population demand and so any additional commissioned places need to be financed from within existing budget envelope.</p> <p>The number of pupils needing High Needs top-up funding is increasing year on year, in-house provision is at full capacity and external provision is very expensive (3 or 4 times more expensive than in-house provision).</p> <p>Central Government have advocated parental preference for SEND provision with no additional funding.</p>	<p>Overspending occurred in 2017/18 (£1.8m) and 2018/19 the overspend was (£1.9m+). Likely for overspend to increase to £4 million for 2019/20 and beyond.</p> <p>Requirement to complete an action plan by DFE. DSG overspend of more than 1% results in action plan with Secretary of State and interventions (schools/high needs block)</p>	HoEE	5	5	25	<p>Engagement with Head of Education Excellence and the SEN team Managers on how costs can be contained.</p> <p>Engagement with special schools actively working with individual schools to review impact of any proposed changes to their funding, reviewing 3 year financial plans, identifying any strategic savings to mitigate high calls on DSG High Needs funding.</p> <p>Review of place and top up levels of funding to special schools to try to reduce costs.</p> <p>Schools Forum agreed to move funding between the DSG funding blocks in 2018/19 (£0.45m from schools) and (£0.20m from Early Years) to help support High Needs budget pressures in the current year, but this has proven to be nowhere near enough to balance the budget</p> <p>Late in 2016 the DfE provided each LA with grant funding to help provide additional capacity to undertake strategic needs assessment of SEN provision (£104k for Sefton). This grant was used in appointing an external consultant, who engaged to undertake a High Needs review. The review has been completed and has recommended areas for improvement</p> <p>Additional funding from Central Government - £500k for 19/20 financial year and similar available for 20/21 financial year to ease pressure.</p> <p>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.</p>	5	5	25	<p>Recommendations and a draft action plan with proposed resources and desired outcomes are being submitted to Schools Forum Jan-20</p> <p>Action plan to be presented to ELT with proposals on resources to implement.</p> <p>Lobbying of Government continues with a view to securing increased funding.</p> <p>There is a review team plotting expected demand over the next 5 years, so as to provide clarity on likely future needs.</p>	HoEE	April - July 2020	2	4	8	Green			
Finance	<p>Market failure of Adult Social Care provision.</p> <p><b>Core Purpose</b></p> <ul style="list-style-type: none"> <li>Protect the most vulnerable</li> <li>Commission, broker and provide core services</li> </ul>	<p>Lack of market engagement and market development due to lack of capacity and resource.</p> <p>Capability and capacity of the available workforce to provide domiciliary care.</p> <p>Lack of diversity of supply in the market to provide choice and control</p>	<p>Inability to provide packages of care for service users</p> <p>Inability to maximise the opportunity of reablement</p> <p>Lack of alternative providers able to support social care</p> <p>Poor quality service provision</p> <p>Significant increase in unmet needs of service users due to a fragile market that is not developing</p>	HoASC/HoSS	4	5	20	<p>Market Position Statement 2014</p> <p>Integrated Commissioning Group</p> <p>Centralised Commissioning Support function</p>	4	5	20	<p>Full review of the Market Position Statement and revision of the Market Position Statement</p> <p>Review and align strategic plans to current contracts to ensure Value for Money and objectives are met.</p> <p>Review ways of working</p> <p>Development of new opportunities through working with LCR, CCG and wider commissioning partnerships.</p> <p>Commissioning priorities and full work plan.</p> <p>Workforce development of the independent workforce.</p> <p>Ensure involvement of key stakeholders</p> <p>As per commissioning workshop, review structure and workplan to deliver the above.</p>	HoSS	March 2020 Ongoing	3	4	12	Green			
Statutory/Legal	<p>Data breach resulting in the wrongful release of personal and/or sensitive information</p> <p><b>Core Purpose</b></p> <ul style="list-style-type: none"> <li>Place-leadership and influence</li> </ul>	<p>Policies and processes coordinated by Information Management and Governance Executive Group are not adhered to, resulting in a higher incidence of breaches caused by human error.</p> <p>System error occurs.</p>	<p>Failure to comply with legal requirements; loss of privacy, distress or harm to the data subject; damage to Council's reputation; loss of public confidence; and significant financial penalties.</p>	All Heads of Service	4	5	20	<p>Information management and governance, including data breaches and actions to prevent data breaches, is overseen by the Information Management and Governance Executive Group (IMGEG), which consists of Heads of Service with lead responsibilities for key aspects of IMG (i.e. designated Chief Information Officer, Senior Information Risk Owner and Lead officer for ICT infrastructure) supported by other officers with key roles relating to IMG.</p> <p>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 Tactical Group.</p> <p>Support, co-ordination, advice and guidance is provided corporately and appropriate training/refresher training is in place.</p> <p>The Council has implemented policies, procedures and processes to prevent, manage and respond to potential and actual data breaches.</p>	4	5	20	<p>Appropriate resourcing, prioritisation and focus on information management and governance across the Council include the following: Regular monitoring and review by IMGEG of policies, procedures and processes to prevent, manage and respond to potential and actual data breaches.</p> <p>Ongoing review of information systems to ensure no inappropriate or unforeseen data linkages exist within systems or reports. Review of systems ahead of updates to identify any unintended changes.</p> <p>Ongoing education of staff and monitoring of activity by IAOs and IAAs to identify and prevent areas of human error.</p> <p>Regular review of information contained to ensure information is accurate and any information that should be removed is removed.</p> <p>Regular reporting by IMGEG to SLB and Audit and Governance Committee as necessary.</p> <p>Maximise the opportunities from the Council's ICT Transformation to increase and embed effective information management and governance.</p>	IMGEG	Ongoing	3	2	6	Green			

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Statutory/Legal	<p>Failure to manage historic records effectively</p> <p><b>Core Purpose</b></p> <ul style="list-style-type: none"> <li>Place-leadership and influence</li> </ul>	<p>The risk is amplified by the implementation of GDPR (in particular the right to erasure and tighter deadlines for response to Subject Access Requests). In addition, the Council's Asset Maximisation programme which may lead the Council to leaving, redeveloping or selling buildings where records are held and moving to Paper Light working arrangements.</p>	<p>Failure to comply with legal requirements relating to retention, consideration, release or correct disposal of historical information; damage to Council's reputation; loss of public confidence; and significant financial penalties.</p> <p>Historical information is not stored or managed correctly, such that it is lost, damaged or incorrectly disposed of.</p> <p>Not known to the organisation when making relevant decisions; retained when it should have been correctly disposed of.</p>	All Heads of Service	4	5	20	<p>Information management and governance is overseen by the Information Management and Governance Executive Group (IMGEG), which consists of Heads of Service with lead responsibilities for key aspects of IMG (i.e. designated Chief Information Officer; Senior Information Risk Owner; and Lead officer for ICT infrastructure), supported by other officers with key roles relating to IMG.</p> <p>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 &amp; Governance Tactical Group.</p> <p>Support, co-ordination, advice and guidance is provided corporately and appropriate training/refresher training is in place.</p> <p>The Council has implemented policies, procedures and processes for the management of information and has in place corporate contracts for appropriate digitisation, disposal and archive storage services.</p> <p>The Council has implemented a Historic Records Pilot Project to identify the scale, condition and correct management of all historic records held. This project reports regularly to IMGEG.</p>	4	5	20	<p>Appropriate resourcing, prioritisation and focus on information management and governance across the Council, including support for Information Asset Owners and Information Asset Administrators including action on the following.</p> <p>Regular monitoring and review by IMGEG of policies, procedures and processes for the management of information, including historic information.</p> <p>Regular monitoring and review by IMGEG of the progress and implications of the Historic Records Pilot Project, including reporting to SLB and Audit and Governance Committee as necessary.</p> <p>Maximise the opportunities from the Council's ICT Transformation to increase and embed effective information management and governance.</p> <p>Commission training to improve understanding of data handling requirements and checks and controls</p>	IMGEG	Ongoing	2	3	6					
Finance	<p>Failure to deliver allocated budget and achieve savings targets</p> <p><b>Core Purpose</b></p> <ul style="list-style-type: none"> <li>Place-leadership and influence</li> </ul>	<p>Public Sector Reform and reduced ASC budget as part of overall Council reductions</p> <p>Increased demand and regulation and interdependent with ASC risk noted above.</p>	<p>Overspend on council budget</p> <p>Poor service reputation</p> <p>Need to reduce services and workforce</p> <p>Interdependent with ASC risk noted above.</p>	HoASC	4	5	20	<p>Regular budget monitoring, including monthly budget monitoring meeting and updates giving clear picture of budget position across service</p> <p>Scheme of delegation</p> <p>Annual budget</p> <p>Contracts with providers</p> <p>Commissioning staff</p> <p>Standard item on DMT and Managers Team Meetings</p> <p>Exception reporting in place on spend and ASC waiver process</p> <p>Review of high cost packages - move to existing</p>	4	4	16	<p>Devolved budget responsibilities and budget monitoring arrangements developed</p> <p>Clear identification of savings against targets relating to PSR and other projects</p> <p>Close working relationship with finance colleagues</p> <p>Better forecasting and projections</p> <p>Review of high cost packages</p> <p>Robust review strategy in place</p>	Finance Service Manager	31/03/2020								
Finance	<p>Financial sustainability post 2020.</p> <p><b>Core Purpose</b></p> <p>This risk is directly related to the delivery of all aspects of the councils core purpose</p>	<p>The national review of local government funding and the next financial settlement places further strain on the Council's overall medium term budget.</p> <p>Due to the scale of budget reductions since 2010 there is a risk that further suitable cost-saving/income generating measures will be difficult to identify.</p>	<p>Degradation of service could have an adverse impact on residents and communities</p> <p>The reputation of the Council may be compromised</p> <p>Financial sustainability could be compromised</p>	All Heads of Service	5	5	25	<p>Work is on going to deliver financial sustainability up to and including 2019/20. In addition to this work has commenced on developing the Medium Term Financial Plan (MTFP) for 2020/21 and beyond together with initial work on potential budget proposals and projects that could be developed under the Framework for Change.</p>	4	4	16	<p>Develop the Council's MTFP for the 3 years from 2020/21 to 2022/23</p> <p>Continually monitor the delivery of the current 3 year budget</p> <p>Start the development of budget proposals for 2020/21 and beyond as part of the Framework for Change 2020.</p>	ELT and SLB	Ongoing	2	3	6					

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Statutory/Legal	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.  <b>Core Purpose</b> • Facilitate confident and resilient communities • Cleaner and greener	A major incident occurs affecting the Council or the Borough. This risk is accentuated as the government has determined the terror threat level as "severe" and was raised to "critical" on two occasions in 2017.	1) Loss of human life, illness or serious injury 2) Major damage or destruction to infrastructure, property and/or the environment 3) Disruption or loss of critical services such as transport, communications, utility services 4) Reputational or financial harm to the authority	All Heads of Service	4	5	20	Emergency Response Manual and Major Incident Guidance in place. Revised Command and Control structure in place which defines Strategic and Tactical level officers. Emergency Duty Co-ordinators invited to attend quarterly briefing sessions and all are able to access Resilience Direct containing incident response plans. Relevant training provided to Emergency Duty Co-ordinators and volunteers on an ongoing basis. Attendance and participation in Merseyside Resilience Forum and joint planning across Merseyside. Humanitarian volunteers in place and team strengthened following successful recruitment drive. Plans for response and recovery are the subject of ongoing review and update, particularly in light of the government's assessment of the terror threat level as "severe". Ongoing development and review of supporting plans. Business Impact Analysis training for the Risk and Resilience team has been completed. Ongoing exercise of plans and involvement of Strategic and Tactical level officers.	4	4	16	Business Continuity Planning Implementation Plan has been devised and is currently being implemented. This includes the following: Business Continuity Policy and strategy has been devised and approved Business Impact analysis across all services are currently being undertaken. Business Continuity Plans to be devised during 2019 Business Continuity Testing and exercising to be undertaken.	All Heads of Service	Dec 2019- March 2020	3	2	6				
Infrastructure	Failure to adequately invest in the Highway network and associated assets.  <b>Core Purpose</b> • Facilitate sustainable economic prosperity	Budget reductions; inadequate funding levels to meet need.	Deterioration of highway assets Potential increase in claims Financial and reputational risks Potential increase in accidents resulting in injury and/or death	Ho H&PP	4	5	20	Essential work is prioritised within available budget. Regular inspections of most assets to monitor and guide prioritisation of works in order to mitigate risk. Regular updates provided to Cabinet Member. Preventive surface treatments used to prolong the life of the network and to treat more of it than if more long-term maintenance solutions were used (i.e. resurfacing)	4	4	16	Seek opportunities for additional external funding via LCR/CA to maintain and improve network.	THI SM	Ongoing	2	3	6				
Infrastructure	The Council is the victim of a cyber attack.  <b>Core Purpose</b> • Protect the most vulnerable • Commission, broker and provide core services	Malware, ransomware or another virus infects the Council's systems.	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. Data breach occurs. Financial impact of ransom. Reputational damage	HoCR	4	5	20	Cyberattack prevention measures are in place, including - Upgraded Council firewalls and active SIEM monitoring service. - Anti malware tools - New Acceptable use policy ready for deployment - LGA Stocktake completed - PSN Accreditation achieved Back-up disaster recovery facility is in place at a separate site, allowing Agilisys to restore the top 20 critical systems. 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.- this is aligned to the Business Continuity work programme Ongoing monitoring in place via ICT governance arrangements Windows Defender anti-virus software is constantly updated- the Council will move to ESET imminently Communication to employees regarding the rise in malware attacks is in place, with plans to roll out better user education on this topic.	4	4	16	The ongoing ICT Transformation programme will see the majority of systems and data migrated to Microsoft Azure cloud hosting, which will reduce the overall risk; however a review of all security controls is underway by the Security Committee Deployment of industry standard ESET solution in progress Formal rollout of Cyber Security Awareness training. Develop new Business Continuity-Disaster Recovery plan in line with wider Corporate review of Business Continuity	HoCR	Ongoing	2	3	6				

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Statutory/Legal	<p>Failure to make progress in Ofsted and CQC SEND Improvement Plan following re-visit and notice to improve.</p> <p><b>Core Purpose</b></p> <ul style="list-style-type: none"> <li>Protect the most vulnerable</li> <li>Commission, broker and provide core services</li> </ul>	<p>Pupils with EHCPs do not make progress in comparison with peers</p> <p>Partnership does not improve the SEND system and hold each other to account.</p> <p>Co-production with parents not clearly evidenced</p> <p>Lack of progress in joint work with health</p>	<p>Notice to Improve remains in place beyond 2 year improvement plan</p> <p>Outcome for children does not improve.</p> <p>DfE considers intervention to deliver services.</p>	HoEE	4	4	16	<p>Improvement Board in place chaired by Cabinet Member Adult Social Care</p> <p>Governance arrangements in place with sub-group structure and clear Terms of Reference</p> <p>Sefton Parent Carers Forum members of the Board</p> <p>Bi - monthly reporting to DfE and CQC advisors</p> <p>Data dashboard developed to clearly monitor performance and rate of progress</p> <p>Staffing reviewed and resources identified to support improvement</p>	4	4	16	<p>Increased accountability to Health &amp; Wellbeing board</p> <p>Strong links with Sefton Parent Carer Forum with HoS for Communities taking the lead and a co-production sub group.</p> <p>Implementation of actions identified in action plan (part way through planned actions)</p> <p>Outcome of Ofsted Inspection April 2019 and proposed actions to be shared with the Health and Wellbeing Board - September 2019</p> <p>Report progress to December 2019 Health &amp; Wellbeing Board.</p>	HoEE	June 2021	2	4	8				
Statutory/Legal	<p>Inadequate child and school record system</p> <p><b>Core Purpose</b></p> <ul style="list-style-type: none"> <li>Protect the most vulnerable</li> </ul>	Lack of capacity to change and system investment	<p>Paper files</p> <p>Labour intensive filing/recording/use of and validity of data</p> <p>Performance can not be effectively monitored</p> <p>Missed deadlines national performance indicators and FOI/subject access requests</p> <p>No ROPA completed</p>	HoEE	4	4	16	<p>Project implementation in development and board being set up.</p> <p>Options appraisal being undertaken to look at most appropriate system.</p> <p>Project has been given high priority to support SEND improvement</p> <p>Digitisation of Paper files in progress.</p> <p>CAPITA system – partial use</p>	4	4	16	<p>Options appraisal will identify most appropriate system</p> <p>Procurement of system with possible update of modules to ensure full capability</p> <p>Governance board being developed</p>	HoEE	April 2020	2	4	8				
Economic Development/Growth	<p>Failure to mitigate risks of, or develop and maximise opportunities from EU Exit</p> <p><b>Core Purpose</b></p> <ul style="list-style-type: none"> <li>Protect the most vulnerable</li> <li>Place-leadership and influence</li> <li>Facilitate sustainable economic prosperity</li> </ul>	<p>Implications of Brexit, both positive and negative, for Sefton and wider city region not fully understood making planning for the event challenging</p> <p>Lack of clarity at Central Government level regarding the details of Brexit (including but not limited to deal implications, timescales)</p> <p>Ineffective engagement with partners across the region on implications and opportunities</p>	<p>Increased costs to Council</p> <p>Service delivery to residents negatively impacted</p> <p>Loss of reputation</p> <p>Not positioned to proactively facilitate maximisation of any opportunity arising from Brexit in the borough, and in the wider city region</p>	Exec Director (SW)	4	4	16	<p>The Council has identified Strategic and Tactical Level Single Points of Contact for EU Exit related matters who lead engagement with the City Region EU Exit Working Group, the Merseyside Resilience Forum (MRF), North West CEOs and the Ministry of Housing, Communities and Local Government.</p> <p>A Sefton internal steering group has been set up comprising officers from across the organisation who are signed up to daily Gov. briefings and meet on a weekly basis.</p> <p>The Council has undertaken both community and organisational risk assessments based on central government National Planning Assumptions.</p> <p>Service Area EU Exit risk registers have been developed following an externally facilitated workshop.</p> <p>Sefton Council officers participate in multiple stakeholder planning groups to prepare for and mitigate identified community and organisational risks.</p> <p>Under Operation Yellowhammer arrangements, the council provides regular sitreps to report emerging risks to Central Government via the MRF.</p>	4	4	16	<p>All reporting for EU Exit is currently stood down pending an extension to 31/1/20 for a no deal exit.</p> <p>Monthly monitoring/review of risks will remain in place as a watching brief for continued intelligence e.g elections, protest activity, EU Settlement, FOIs and Communications.</p> <p>Proactive engagement to continue in Combined Authority working groups and with Central Government.</p> <p>Communications Team are engaged internally and represented on the MRF Communications Cell in place for EU Exit matters.</p> <p>On-going review/development of business continuity plans for council service provision and impact on the most vulnerable.</p> <p>Sefton Highways Management developed a successful Capital bid on behalf of the MRF and await result of a subsequent revenue bid request whilst continuing to review contingency and work with Port of Liverpool on plans to alleviate congestion on the key transport routes.</p>	All Heads of Service	Ongoing	4	3	12				