



Ref	Ref	Strategic Risks	Pre-mitigation RAG	Risk Control / Response and Post Mitigation RAG score	Post-mitigation RAG
Strat-16	16	<p><b>COVID-19</b> Adverse impact of COVID-19 sickness and restrictions on Council finances and services. Reduced ability to deliver services, priorities and long-term planning, impacting on e.g., protecting and supporting vulnerable adults and children, education and schools, roads and infrastructure, local economic growth, and the Council's workforce. Capacity to manage a response to a significant sustained increase in COVID-19 cases alongside other winter pressures. Adverse impact of COVID-19 on local health, wellbeing and economy, creating new long-term need for Council services.</p>	R ↔	<p>Our robust business continuity plans mean that we continue to ensure that services operate as normally as possible. Due to the rise in cases as a result of the Omicron variant, and the additional seasonal pressures on staffing due to flu and other viruses, staff continue to work remotely where possible. Where staff, members and the public do access the Council's buildings, appropriate measures are still in place to minimise risk. However, this situation is expected to improve in the short-term; as a result preparations are underway for a full return to the office in the Spring.</p> <p>We continue to monitor the impacts of the pandemic on our local economy and the wider community and to implement recovery plans with our partners. The latest information on the likely medium and long-term impact of COVID-19 has been factored into our Reconciling Policy, Performance and Resource (RPPR) finance and business planning.</p> <p>Our planning for different scenarios continues including the emergence of further variants. Our Local Outbreak Plan remains in place to prevent, where possible, and respond to and contain any local outbreaks should they occur in the future. We are continuing to support efforts to increase vaccination rates, as well as the delivery of community testing.</p>	R ↔

Strat-12	12	<p><b>CYBER ATTACK</b>  The National Cyber Security Centre (NCSC) has highlighted the substantial risk to British web infrastructure, with elevated levels of Cyber Crime being reported against all areas of government.</p> <p>Cyber attacks are growing more frequent, sophisticated, and damaging when they succeed. The COVID-19 pandemic has increased the need to carry out many additional functions virtually and remotely. Changes in working practice give rise to more requests to relax security controls, with services more likely to take risks on the technology they procure and how they use it.</p>	R ↔	<p>Most attacks leverage software flaws and gaps in boundary defences. IT&amp;D use modern security tools to assure our security posture: Monitoring network activity and identifying security threats; Keeping software up to date with regular patching regimes; Continually monitoring evolving threats and re-evaluating the ability of our toolset to provide adequate defence against them; Ongoing communication with the Security industry to find the most suitable tools and systems to secure our infrastructure. IT&amp;D continues to invest in new tools, which use pre-emptive technology to identify threats and patterns of abnormal behaviour.</p> <p>Enhancing user awareness: Expanding E-Learning and policy delivery mechanisms to cover Cyber threat; educating staff around the techniques and methods used by active threats; and providing General Data Protection Regulation (GDPR) training and workshops to cascade vital skills and increase awareness of responsibilities under GDPR legislation.</p> <p>Services hosted in ISO 27001 accredited Orbis Data Centres.</p>	R ↔
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**HEALTH**

Failure to secure maximum value from partnership working with the National Health Service (NHS). If not achieved, there will be impact on social care, public health and health outcomes and increased social care operational and cost pressures. This would add pressures on the Council's budget and/or risks to other Council objectives, as well as shared system objectives in the context of our Integrated Care System across workforce and patients who are medically ready for discharge (MRD) from hospital or community beds.

Preparation has continued for the Health and Care Bill 2021 to put the Sussex Integrated Care System (ICS) on legal footing, and the specific agreements needed between the NHS and East Sussex County Council. The formal start has now been delayed nationally until 1st July. The extreme pressure and increased level of activity across all parts of our health and care system remains a constant due to the ongoing pandemic and close system working has continued to mitigate immediate risks, manage the Pandemic, support our care market and the ongoing recovery of NHS elective care.

This includes daily system calls to manage placements and packages of care for individuals and improve system flow and the average length of stay within acute hospital settings. Adult Social Care (ASC) contributed resource and participated strongly in the successful Medically Ready for Discharge (MRD) Improvement Programme but concerns remain for the sustainability of MRD performance and flow in the absence of long-term funding. This continues to be flagged through the South East Association of Directors of Adult Social Services (SE ADASS) route. The profile of health activity continues to be monitored and modelled into the future. It remains important to work together to understand the impact on ASC resources to support local people and facilitate decision-making and commissioning for Discharge to Assess (D2A - where patients who no longer need acute hospital care are moved to a temporary placement for further care and assessment of their long-term needs); and Home First pathways generally to better enable patients into appropriate onward care after an episode in hospital.

The focus of our transformation programme continues to be on the areas where changing care models and pathways can both help us build on the developments that have been accelerated by the pandemic and have the most impact in supporting restoration and recovery of our system in a sustainable way. Possible additional opportunities are also being explored by our shared Strategic Workforce Group to support our collective workforce recruitment in East Sussex, for the benefit of all providers including the independent care sector and voluntary, community and social enterprise sector.

Strat-5	5	<p><b>RECONCILING POLICY, PERFORMANCE &amp; RESOURCES</b> Ongoing uncertainty in relation to future funding levels and the longer-term local government funding regime creates a risk of insufficient resources being available to sustain service delivery at the agreed Core Offer level to meet the changing needs of the local community.</p>	R ↔	<p>We employ a robust Reconciling Policy, Performance and Resources (RPPR) process for business planning, which ensures a strategic corporate response to resource reductions, demographic change and regional economic challenges; and directs resources to priority areas. We take a commissioning approach to evaluating need and we consider all methods of service delivery. We work with partner organisations to deliver services and manage demand, making best use of our collective resources. We take a 'One Council' approach to delivering our priorities and set out our targets and objectives in the Council Plan. We monitor our progress and report it quarterly. Our plans take account of known risks and pressures, including social, economic and demographic changes and financial risks. The Coronavirus pandemic has had, and will continue to have for a long time, profound impacts on our communities and services. We continue to operate in changing and uncertain contexts. We have used the latest information available to track and understand the impacts. We will continue to review and update our performance targets, priorities, service offers and financial plans, as required, to reflect them. We lobby, individually and in conjunction with our networks and partners, for a sustainable funding regime for local government in general and adult social care specifically to meet the needs of the residents of East Sussex, and which recognises the likely long-term impact of COVID-19 on the Council's expenditure and income.</p>	R ↔
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Strat-15	15	<p><b>CLIMATE</b>  Failure to limit global warming to below 1.5°C above pre-industrialisation levels, which requires global net human-caused emissions of carbon dioxide (CO2) to be reduced by about 45 percent from 2010 levels by 2030, reaching 'net zero' by 2050 at the latest. The predicted impacts of climate change in East Sussex include more frequent and intense flooding, drought and episodes of extreme heat, as well as impacts from the effects of climate change overseas, such as on food supply. This will lead to an increase in heat-related deaths, particularly amongst the elderly, damage to essential infrastructure, increased cost of food, disruption to supply chains and service provision, and greater coastal erosion.</p>	R ↔	<p>Climate change adaptation: we are following national adaptation advice, including working with partners on flood risk management plans, a heatwave plan and drought plans.</p> <p>Climate change mitigation: we must reduce our own operation carbon footprint by an average of 13% per year to stay within our carbon budget; and to achieve net zero carbon emissions from the County Council's own activities as soon as possible, and by 2050 at the latest.</p> <p>Our Climate Emergency Officer continues to work with teams across East Sussex County Council (ESCC) to deliver the corporate climate emergency plan covering 2020-22. The main focus is on buildings, which made up 79% of carbon emissions in 2020/21. Internal oversight of progress is via the corporate Climate Emergency Board.</p>	R ↔
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Strat-1	1	<p><b>ROADS</b> Wet winter weather, over recent years has caused significant damage to many of the county's roads, adding to the backlog of maintenance in the County Council's Asset Plan, and increasing the risk to the Council's ability to stem the rate of deterioration and maintain road condition.</p> <p>COVID-19 could lead to an increase in the level of staff sickness, as well as the need for staff to self-isolate/distance. It will lead to a change in our working approach and arrangements, even beyond the length of any Government imposed lockdown.</p>	R ↔	<p>While additional funding over the last few years has helped maintain road condition the latest condition and funding modelling shows renewed deterioration over the next 10 years if further investment is not introduced into road maintenance. This reflects the changing climate with wetter, cool but prolonged winters and the increasing frequency of heavy downpour events during the summer months, which deteriorate roads faster. Further investment was approved by Cabinet in November and utilisation of these funds is currently being considered through the Reconciling Policy, Performance &amp; Resources (RPPR) process to maintain condition at current levels and to help mitigate these factors over the next 10 years.</p> <p>Our contractor has adapted the service to ensure the workforce can work in a safe environment and has continued to successfully deliver the service on the ground or from home, with a full reactive service and capital programme delivered this year. Contract staff are beginning to implement hybrid working arrangements. Staff absence due to COVID related illness or self-isolation has remained very low and has had no significant impact on the service but clearly, in an ever-changing situation and coming into winter, the risk remains.</p> <p>East Sussex County Council staff managing the Highways contract have successfully worked from home with no impact and will start to implement hybrid working in line with the corporate approach and timescales.</p>	A ↔
Strat-7	7	<p><b>SCHOOLS</b> Impact of weak leadership in schools on outcomes for children and young people Failure to secure adequate leadership within East Sussex Schools, leading to: • reduced outcomes for children • poor Ofsted reports and reputational damage Failure to accelerate progress and improve attainment for all key groups of pupils • poor Ofsted reports • reputational damage Resulting in: • negative impacts on employability • undermining capacity for economic growth • increased pressures on services provided by social care and health.</p>	R ↔	<p>Continuing to secure high-quality leadership and governance across all our schools, colleges and settings is a high priority for the Standards and Learning Effectiveness Service (SLES) performance improvement plan. To achieve this, we are taking forward a number of actions: • Working with partnership networks to provide support and challenge for the recruitment, development and performance of high-quality school leaders. • Recognising governance expertise through Local Support Governors and increasing capacity for governor to governor support • Working with the existing Academy Chains within East Sussex, to ensure appropriate solutions for schools in East Sussex. • Accelerating the work to develop partnerships between schools that cannot secure adequate leadership alone and explore the options for partnership or school re-</p>	A ↔

				<p>organisation of schools that are unable to deliver a high-quality education to their pupils. • Working with Primary Board, Secondary Board, East Sussex Learning Collaborative Network and Teaching School Hub to support the development of outstanding leaders. • Working with the primary and secondary board to implement the schools causing concern guidance. • Working with the primary board, secondary board and teaching schools to raise standards of provision, curriculum design and quality of teaching and learning in Key Stage 2 and improve outcomes in Key Stage 4. <b>These mitigations do not take account of COVID impacts/measures.</b></p>	
Strat-17	17	<p><b>SAFEGUARDING OF CHILDREN AND YOUNG PEOPLE</b></p> <p>Failure to recruit and retain an effective children's social care workforce leads to poor quality safeguarding practice, failing to prevent harm to children and young people, impacting on the Council's strategic objective of keeping vulnerable people safe.</p>	R	<p>Ensure social workers are well supported with manageable caseloads, strong supervision and effective support for wellbeing and development. Maintain the current strong East Sussex County Council reputation for providing high quality services and good support for social workers. This is extremely important in a highly competitive market for good social workers.</p>	A

Strat-18	18	<p><b>DATA BREACH</b></p> <p>A breach of security/confidentiality leading to destruction, loss, alteration, unauthorised disclosure of, or access to, personal data. This includes breaches that are the result of both accidental and deliberate causes. A personal data breach is a security incident that has affected the confidentiality, integrity or availability of personal data regardless of whether information has been accessed, altered or disclosed via electronic or manual means.</p> <p>Risks to individuals, reputational damage, fines from the Information Commissioner’s Officer (ICO), compensation claims.</p>	R	<p>Policy and guidance procedures in place to support practice.</p> <p>Staff training to develop awareness.</p> <p>Technical security measures operated by Information Technology and Digital (IT&amp;D), including access control.</p>	A
Strat-8	8	<p><b>CAPITAL PROGRAMME</b>Against a background of diminishing resources, the capital programme has been produced to support basic need only and as a result of this there is no resource for other investment that may benefit the County e.g., that may generate economic growth. Additionally, there is a risk, due to the complexity of formulas and factors that impact upon them, or changes in these, that the estimated Government Grants, which fund part of the programme, are significantly reduced. There are a number of risks and uncertainties regarding the capital programme over the current Medium Term Financial Plan period and beyond. The impact of Covid-19 and currently increased uncertainties that exist within the construction industry in terms supply chain issues and volatile cost inflation could impact on project deliverability and affordability. There is also a risk that increased burdens of planning reform and the move from S106 contributions to Community Infrastructure Levy will mean that the Council has reduced funding from this source as bids have to be made to Districts and Boroughs. The Council’s set target of achieving carbon neutrality from its activities as soon as possible and in any event by 2050 will partly depend on availability of capital resources to support identified actions. Diminishing resources and availability of external funding may impact on the deliverability and timing of actions and targets.Slippage</p>	R ↔	<p>The Council maintains a 20-year Capital Strategy and 10-year capital programme (currently 9 years due to the Spending Review 2020 setting budgets for 2021/22 only, providing no certainty over future years capital grants, and risks to long term local government financing) to provide rigour and support strategic direction. The development and delivery of the capital programme is overseen by a Capital Strategic Asset Board (CSAB), a cross departmental group consisting of officers from each service department, finance, property and procurement. Governance arrangements continue to be reviewed and developed in support of robust programme delivery of the basic need programme. The Schools and Assets Sub Board, which in part focuses on future need for schools' places, continues to inform the CSAB of key risks and issues within the Basic Need Programme. Regular scrutiny by the CSAB of programme and project profiles (both in year and across the life of the programme) occurs on a quarterly basis.The capital programme includes an element of ‘normal’ level of inflation for ongoing target-based core programmes (as opposed to programmes that have cash limited envelopes). Additionally, as part of the Reconciling Policy, Performance and Resources (RPPR) process at February 2021, an ongoing capital risk provision of £7.5m was approved, providing the flexibility to react to emerging risks such as the impact of supply chain issues and</p>	A ↔

continues to occur within the programme, which has an impact on the effective use of limited resources.

inflationary pressures. It represents the ability to borrow for these risks and is managed through ensuring there is Treasury Management capacity, rather than representing funds that are within the Council's accounts. Its utilisation, subject to CSAB approval and adherence to financial regulations, would therefore require additional borrowing and be reported through the RPPR and quarterly monitoring process. The CSAB also proactively supports the seeking and management of all sources of capital funding, including grants; capital receipts; S106; Community Infrastructure Levy (CIL); and Local Growth Fund monies. A cross department sub board oversees the process for bidding for CIL and the use of S106 funds, and work continues with Districts and Boroughs to maximise the Council's receipt of these limited resources. Additionally, following review, CIL and S106 targets have been reduced and will continue to be reviewed regularly and opportunities sought to reduce the target further if considered appropriate. Officers will proactively monitor funding announcements, including central government capital grants following the Spending Review 2021, and seek to minimise the impact on delivery of the capital programme, ensuring that there is sufficient liquidity to meet funding requirements. The Capital Strategy was updated in February 2021 to reflect the Council's climate targets and set out how this can be supported through the capital programme and the RPPR process. It was agreed at State of the County 2021 that Climate Change would be included as basic need and this will be reflected through the RPPR process. CSAB continue to look to manage down the historical levels of programme slippage. Following a review of the programme's annual ambition (against historical deliverability and project risk), in 2021/22 a risk factor has been applied to help mitigate slippage.

**WORKFORCE**

Stress and mental health are currently the top two reasons for sickness absence across the Council, potentially leading to reduced staff wellbeing, reduced service resilience, inability to deliver efficient service and/or reputational issues.

An inability to attract high calibre candidates could lead to limited recruitment choices and therefore lack of the expertise, capacity, leadership and/or innovation required to deliver services and service transformation.

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The 2021/22 Q1-3 sickness absence figure for the whole authority (excluding schools) is 6.49 days lost per FTE, an increase of 14.5% since the same period last year. The year-end estimate for 2021/22 is 8.90 days/FTE, so the target of 9.24 days/FTE is predicted to be met.

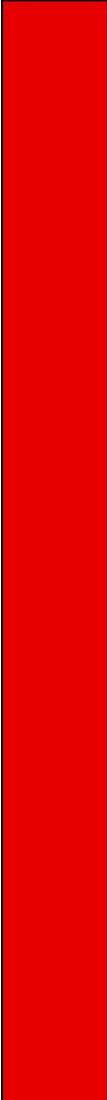
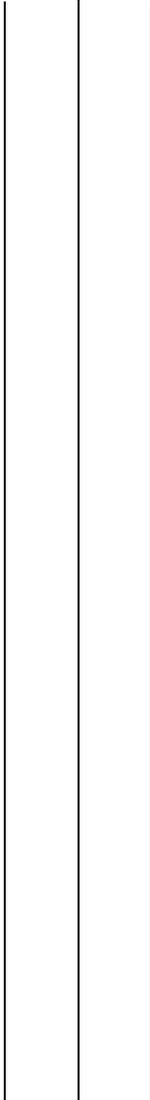
The predominant reason for the increase in absence rates is due to Covid related absence, with a 2,300 day increase of days lost compared to the same period last year (Q1-Q3 2020). Mental health absence has also increased by 44%, but it is positive to note that, conversely, stress has decreased by 30%. Set against this background, we have increased our commitment to support staff by:

- using key health awareness campaigns to run regular bespoke virtual workshops for staff on pertinent health topics including Winter Wellbeing, Mental Fitness and Coping at Christmas.
- holding a Mental Health First Aid (MHFA) AGM in October 2021 with clear action points generated on how the MHFAers can further support colleagues and what support they need in place to do this.

More broadly we have:

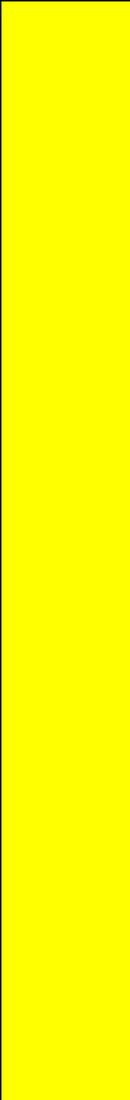
- worked with our wellbeing contractors; occupational health and our absence management provider to host 'Top Tips for Managers' workshops. Over 300 managers signed up to attend these.
- launched a new interactive e-learning package for employees and managers on 'Menopause in the Workplace' with the aim of improving knowledge and awareness of support available. Being an employer of choice is key to ensuring the Council is able to attract and retain the high calibre staff it needs. There are a number of initiatives underway that will support this, including:
  - the implementation of hybrid working arrangements as part of the Workstyles Review
  - updating the Council's job pages on our website and the development of a refreshed 'employer brand' to ensure the Council's jobs stand out in the market and we have a clear narrative around the benefits of working for the Council
  - the development of a corporate Equality, Diversity and Action plan which includes a number of workforce specific actions to support having a diverse workforce with equality confidence,

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knowledge and skills

- preparation for the launch of 2 new leadership development programmes to support our talent management strategies



Strat-14	14	<p><b>Post European Union (EU) Transition</b>The United Kingdom has left the EU with a negotiated outcome. However, there are likely to be areas of disruption, when paperwork checks on imports begin on 1st January 2022 and physical checks on imported goods begin on 1st July 2022. Key areas at risk of disruption are:•At Newhaven Port and on the surrounding road network due to new port checks. •In business and economic activity, due to import/export administrative complexities for Small and Medium-sized Enterprises, supply chain disruption, impact of trade tariffs on consumer purchasing power, and workforce supply. •The COVID-19 pandemic response and local outbreak management. E.G., through disrupting international supply chains for Personal Protective Equipment, and •Delivery of Council Services.</p>	R ↔	<p>The risks have reduced with the revised implementation dates for import checks in January 2022 and July 2022. HGV traffic remains slightly lower than usual at Newhaven and East Sussex County Council continues to monitor the situation at Newhaven and is ready to react, should disruption look likely. Many of the key areas at risk of disruption are already on the Strategic risk register (COVID-19 response, Local Economic Growth) or departmental risk registers and are subject to business as usual risk and business continuity management. The Trading Standards team is working with Environmental Health colleagues and UK Border Force (UKBF) to smooth the impact of Government border policy on the capacity required to support new border enforcement arrangements at Newhaven Port. Provision of facilities at the port has been arranged and memoranda of understanding drawn up to facilitate effective joint working with UKBF. A recent successful pilot operation took place at Newhaven Port to test our operational plans and provided valuable intelligence on products being imported. Planning will also be informed by the Government Protocol and Border Group, of which the Director of Communities, Economy and Transport is a member. These relationships will continue until the newly revised import check dates and will then be reviewed again. Close working continues with the Sussex Chamber of Commerce to ensure clear advice is provided to Small and Medium Size enterprises engaged in import/export activity. Impacts on the local economy are monitored through Business East Sussex, although this is complex because of the challenge of disentangling COVID and Brexit impacts. The Sussex Resilience Forum has run exercises to support multi-agency emergency planning for the implications of additional border controls. The Chief Executive is a representative for the South East on the Department for Levelling Up, Housing and Communities group of nine regional chief executives, which provides a direct channel of communication into the Ministry on local and regional issues emerging from the end of the transition period.</p>	G ↔
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Strat-6	6	<p><b>LOCAL ECONOMIC GROWTH</b>  Failure to deliver local economic growth, and failure to maximise opportunities afforded by Government proposal to allocate Local Growth Funding to South East Local Enterprise Partnership, creating adverse reputational and financial impacts.</p>	A ↔	<p>The County Council and its partners have been successful in securing significant amounts of growth funding totalling £129m, via both the South East and Coast 2 Capital Local Enterprise Partnerships, to deliver a wide range of infrastructure projects in East Sussex. We have also secured outgoing European Funding (EU) for complementary economic development programmes supporting businesses to grow, including: South East Business Boost (SEBB); Low Carbon across the South East (LoCASE); TRANSFORM Apprenticeships; South East Creative, Cultural &amp; Digital Support Programme (SECCADS); and inward investment services for the county. We have continued to bid for further EU funding on the above projects and have secured over £4m of investments to be delivered from April 2020 for a further 3 years.</p> <p>Government issued a funding call in mid-June 2020 through the Getting Building Fund programme for pipeline projects to create jobs and deliver over the next 18 months, with East Sussex securing £11.2m on 8 projects in late July. All 8 projects were approved by SELEP in October/November, and we are now confirming their grant agreements, with several commencing delivery. Unfortunately, the Fast Track business solutions, Hastings has had to return the monies allocated to SELEP. However, we have been able to have two further projects allocated to the pipeline amounting to £300k, with East Sussex now delivering on £8m on 9 projects.</p> <p>We have been actively working with partners in developing projects and submitting proposals to a number of recent funds, including: the Green Homes Fund (secured a further £1m); Future High Streets (secured £5m); Stronger Towns Fund (Hastings awarded £24.3m and Lewes awarded £19.3m); Levelling Up Fund bids (awarded £40m see below); the SELEP COVID-19 Skills and Business Support Fund (secured £500k) and the Local Skills Improvement Plan (LSIP) for Sussex.</p> <p>The COVID-19 outbreak in early March 2020 is seemingly changing the funding landscape, and alongside the impacts of leaving the European Union, is having an impact on major funding decisions from Government.</p>	G ↔
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We officially launched in September 2020 the East Sussex Economy Recovery Plan, called 'East Sussex Reset'. The plan identifies deliverable actions in the short term, alongside more aspirational asks, and has already aligned and secured new monies totalling £170m investment into East Sussex. It has and will continue to be an important bidding document to Government and into the SELEP, with the new SELEP Recovery and Renewal Strategy approved in March 2021. Both documents will look at ways to address the recent Government policy and Budget announcements (27 October 2021), that have a clear focus on the green revolution (net zero carbon reduction); the allocation of the new £4bn Levelling Up Fund (LUF); and the delivery of the new one year £220m UK Community Renewal Fund pilot (UKCRF), which is a precursor to the larger UK Shared Prosperity Fund officially launching in 2022 once the Levelling Up White Paper is released over coming months. The prospectuses for LUF and UKCRF were launched in March 2021.

As a result, East Sussex County Council (ESCC) was the lead authority responsible for co-ordinating and appraising bids to the UKCRF. We provided our submission on 18 June 2021 and the outcome was received on 3 Nov 2021. ESCC secured £2.5m on 5 projects to be delivered by June 2022. ESCC is now responsible for overseeing the implementation and delivery.

On the LUF, ESCC submitted a transport package for Exceat Bridge of £8m, while four of the local Borough and District Councils (except Hastings) submitted in June major capital funding bids under this first round for town centre/regeneration and cultural investment. Outcomes were announced on 27 October 2021, with the following awarded monies: Exceat Bridge (£8m), Eastbourne (£19.8m) and Lewes (£12.6m) all to be delivered by March 2024. The other Borough and Districts were unsuccessful and will apply under Round 2 in 2022. Business cases now need to be worked on for the implementation of projects.