

**COUNCIL CORPORATE RISK REGISTER
2020/21 ANNUAL REFRESH
(Quarter 1 - Progress to 30 June 2020)**

Direction of travel arrows will indicate whether progress for that quarter is:

better  *worse*  *stayed the same*  since the last quarter

All changes made since last quarter are **highlighted in RED.**

1.Impact of COVID-19 on the provision of Council Services – Extended Leadership Team		
There is a risk that due to the prolonged response and recovery phases of COVID-19 there will be significant impact on the provision of Council Services.		
Caused by loss or degradation to	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
Council Services	<ul style="list-style-type: none"> During the period April-June many council services underwent significant change up to an including temporary suspension of service. These changes were managed and documented through DMT's via the production of Record(s) of Decision. Where required service changes were subject to decision making through the Council's Emergency Powers regime. As services have responded to the easing of lock-down restrictions the decisions to re-launch services or return them back to a more business as usual footing has been subject to the same process in DMT's and the production of Record(s) or Decision. Throughout the pandemic the Council has operated an internal Silver / Tactical co-ordination group consisting of Assistant Directors or their appointed Senior Managers. The silver co-ordination group has worked to ensure joint situational awareness and to provide support across the organisation. National guidance in relation to Council services has been reviewed throughout to ensure compliance. 	<ul style="list-style-type: none"> The Council's internal silver co-ordination group has been adapted such that one meeting per week focusses entirely on the management and co-ordination of Council service re-launch plans. The Council has undertaken the production of an Equalities Impact Assessment to ensure service planning in response to COVID-19 takes proper account of equalities considerations. As national guidance has allowed for services to be re-launched carefully risk managed processes have been implemented (and documented through DMT's) to plan for and implement service delivery.

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Council Workforce – Wellbeing and Health & Safety	<ul style="list-style-type: none">• Regular corporate messages have been provided to support staff to look after their own mental and physical health & wellbeing.• A new wellbeing and coaching support line has been launched• Staff surveys have been carried out to identify what the Council can do to help staff work at home, helping staff to access equipment and office chairs.• COVID specific risk assessments and safe methods of working have been produced in relevant service areas.• All staff have been asked to confirm that they have seen and understood COVID-19 risk assessments.• The Council established a centralised Personal Protective Equipment (PPE) function to ensure that all staff received the PPE and associated guidance required by national guidance to safely undertake their job.• A weekly PPE meeting has been conducted with recognised trade unions to ensure shared situational awareness and staff feedback.• Throughout the pandemic as national safety guidance has evolved, for example in relation to use of PPE, reviews have been undertaken and the requirements communicated to staff along with guidance and support.	<ul style="list-style-type: none">• Many new e-learning courses have been updated to reflect our new ways of working as a result of COVID-19 and it was agreed by the Organisational Programme Board that all staff must complete these courses as soon as possible.• As national lock-down measures have been relaxed enabling some services to recommence service specific risk assessment and safe methods of working have been produced as part of a risk managed approach to service re-launch.• Staff surveys have been undertaken to gather feedback on staff experience of current working arrangements.
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<p>Council ICT</p>	<ul style="list-style-type: none"> • Large numbers of employees working remotely at home using approx. 5500VPN connections per day & increased reliance of technology to maintain operations. • In April 2020, a Corporate ICT & Information Security Position Statement in context of COVID-19 was presented to CMT to provide an update on the increased cyber threat to Local Authorities in general as a result of the pandemic. • Increased engagement and support from the National Cyber Security Centre (NCSC) and the North West Warning & Reporting Point (NW WARP) to maintain awareness of increasingly activity of malicious actors seeking to exploit vulnerabilities of LA's while resources are focussed elsewhere. • Cumbria County Council has a strong foundation on which to defend its ICT infrastructure. All core elements of industry best practice and NCSC direction and guidance are in place, closely monitored and regularly reviewed. • New controls and measures were implemented to ensure security was maximised, including daily reporting. • New technologies were implemented including audio and videoconferencing solutions, ensuring chosen technology provided latest innovative solution whilst keeping corporate network secure at all times. • Various staff communications were issued relating to ICT & Cyber Security via corporate messages. <p>Refer to additional controls & measures noted within the Information Security Arrangements Risk.</p>	<ul style="list-style-type: none"> • Ongoing engagement with National Cyber Security Centre (NCSC) and the North West Warning & Reporting Point (NW WARP). • Ongoing daily monitoring of cyber threat. • To re-enforce the Council's approach to Information Security & Data Protection, the Organisational Programme Board agreed that all employees are to complete the Council's new and updated Information Security & Data Protection e-learning course by the 1st September.
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<p>Council Premises</p>	<ul style="list-style-type: none"> • 'Workplace Guidance' and an e-learning module has been developed for staff who need to return to the office. • A Working Group has been established to look at a new operating model for the corporate estate and to oversee the programme of alterations needed to make buildings COVID-19 secure. • A Strategy for enabling increased face to face contact with customers and service users in COVID-19 safe building is underway. • Staff Job role classification completed by senior managers and assistant directors. • Working with Trade Unions on COVID- secure buildings and constructive discussions in terms of home working. 	<ul style="list-style-type: none"> • The Council continues to apply the national guidance that those staff who can work from home should do so. • 6 main offices now COVID-secure with a further 99 to be made COVID-secure by end of August, with further priority buildings under review. • Buildings to include team-touchdown and welfare meeting spaces. • Councils approach remains that all staff who can work from home should continue to do so. A phased approach will be undertaken in September and October to enable essential staff to return to some working from Council office buildings. • As services have re-launched priority face to face customer contact, this has been subject to detailed risk assessment and specific modifications through "COVID-secure" standards in the relevant premises. • Joint workplace inspections are being conducted with recognised trade unions at a sample of the premises being re-opened for customer contact / return of priority essential staff.
<p>Council Finances</p>	<ul style="list-style-type: none"> • Finance & Legal Multi Agency sub group in place • Emergency cost codes were issued for the COVID-19 incident and additional codes were introduced as required. • ODR and log mechanism introduced for additional expenditure • Actual and forecast additional spend relating to COVID-19 is being monitored on a monthly basis and reported to MHCLG, Members and CMT • Financial impact of COVID-19 on 2019/20 budget was reported to Cabinet on 11th June. 	<ul style="list-style-type: none"> • Areas of reduced spend as a result of COVID-19 are being subject to a deep dive review to further understand the longevity and permanence of the reduced expenditure. The initial focus being on property, staffing and travel costs. • Financial Challenge group meeting monthly to develop plans to address any financial impact of COVID-19. • Refer to additional controls & measures noted against the separate Corporate Financial Sustainability Risk.

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<p>Council Governance</p>	<ul style="list-style-type: none"> • The Chief Legal Officer re-issued updated guidance on decision making in civil emergencies to officers April 2020 and further guidance in June 2020 to strengthen assurance on officer decision making. • The statutory officers undertake regular monitoring of decisions taken by officers through weekly decision logs submitted by Executive Directors and reviewed by the Corporate Governance • Member meetings were postponed from 16 March 2020 and after a change in regulations meetings were re-established as soon as practicable as 'Virtual' internet based meetings from 22 May 2020. • Routine monitoring of National COVID-19 developments are ongoing and reported routinely to CMT/ELT. 	<ul style="list-style-type: none"> • The Draft Annual Governance Statement for 2019/20 was issued to the July Audit & Assurance Committee. • The statement confirmed that an additional review had been carried out into the impacts of the coronavirus pandemic on the Council's governance, in line with guidance issued by CIPFA in April 2020 - 'The Annual Governance Statement 2019/20: Matters to consider as a result of the coronavirus pandemic'. • This review demonstrated that while the Council has experienced significant disruption to its day to day operations, robust emergency planning and business continuity arrangements ensured that the Council could both respond effectively and maintain an effective response to the continuing pandemic. • A review of Governance continues and ongoing impacts of COVID-19 will be monitored up to final publication of the Annual Governance Statement in Nov 2020.
<p>Council Incident Response & Recovery Structure</p>	<p>Multi Agency Incident Response & Recovery</p> <ul style="list-style-type: none"> • Strategic Coordination Group (SCG) formally declared COVID-19 as a MAJOR Incident on 11 March. • An Incident Response and associated governance framework was developed. • A multiagency Recovery Advisory Group (RAG) was established in April and transitioned to a Strategic Recovery Coordinating Group (SRCG) in mid-June. • The Chairs of all SRCG key Strategic Partnerships establish a 'Chairs Forum' to ensure oversight of plans and alignment of resources to key priorities. • Health Protection Board is now established to provide oversight for managing Health issues related to COVID-19 and outbreak control. • Cumbria Local COVID-19 Outbreak Control Plan in place. 	<ul style="list-style-type: none"> • The Strategic Recovery Group will continue to coordinate critical aspects of the recovery strategy and prioritise key themed areas of work to help support and assist the development of a long term Strategic Recovery Strategy & Plan to support the recovery of communities and businesses across Cumbria. • The Council continues to have a 7-day per week allocated gold incident commander and silver commander throughout. • The internal silver command group continues to meet.

	<ul style="list-style-type: none"> • On 25th June, Cumbria hosted a ministerial visit from Minister Simon Clarke to focus on the short term measures required to help the local economy start its recovery. • Throughout the incident the Council has operated an internal silver / tactical co-ordination group consisting of Assistant Directors of their appointed senior managers. • Throughout the incident the Council has had a designated Gold / Strategic incident commander in place on a rota basis to lead the Council's multi-agency response through the SCG 7-days per week. The Council's gold commanders have been from the trained and experienced cohort of Assistant Directors. • An additional resource (highly qualified and experienced person) has been procured to provide a continuous silver / tactical command function. 	
	<p>CCC Tactical Silver Co-ordination Group</p> <ul style="list-style-type: none"> • CCC Silver Command was established in March to ensure a coordinated leadership approach was in place across the whole of the County Council. • The CCC silver co-ordination group has had connectivity into the multi-agency strategic and tactical co-ordinating groups via the council's gold and silver commanders who also lead the CCC silver co-ordination group • All Directorates were represented at Silver meetings and produced SITREPS for each meeting. • In addition to the gold incident commander a lead Executive Director rota has been in place to ensure direct support to the gold commander from CMT throughout the incident. 	<ul style="list-style-type: none"> • CCC Silver Command will continue to meet and coordinate the ongoing needs of the Council to address both Response and Recovery activities. • All the arrangements described for the period April to June continue to operate.

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Independent assurance of key risk controls									
Resulting in; Main Impacts of risk		Links to Council Plan Delivery Plan		Quarter 1 Risk Rating					
<ul style="list-style-type: none"> • Impact on Council Plan Delivery Plan • Impact on MTFP & Financial sustainability of CCC • Legal implications • Reputational Impact • Impact on customers 		This is a cross cutting risk and has consequences across all aspects of the CPDP.		Q1 RISK RATING likelihood x impact		20			
				Previous quarter		Current quarter		End Yr Target	DOT
				20		20		20	
				4	5	4	5		

2.Deliver a Financially Sustainable Authority – Julie Crellin		
There is a risk that the Council’s revenue & capital budget is insufficient to fund current services over the medium term		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
	<p>Common Controls across all risk causes</p> <ul style="list-style-type: none"> Monthly financial monitoring and reporting via Directorate Management Teams and Corporate Management Team – with quarterly reporting to Cabinet Financial Challenge Group in place to consider all aspects of financial sustainability. 	<ul style="list-style-type: none"> Monthly reports continue to be prepared following engagement with Service Managers, Assistant Directors and DMT’s with final reports being presented to CMT. The Quarter 1 monitoring report will be presented to Cabinet on 24 September 2020. Financial Challenge Group to meet weekly.
Slippage and non-delivery of existing savings	<ul style="list-style-type: none"> Assurance framework in place for the delivery of MTFP savings. Monthly updates on savings delivery as part of the budget monitoring report and bi-monthly updates from Transformation Programmes & Programme Boards on delivery of MTFP savings. Remediation activity identified where required. Children Looked After Recovery Plan, associated delivery mechanisms and expenditure being managed through CLA Strategic Board. Reserves being reviewed on regular basis – to accommodate budget fluctuations in year. 	<ul style="list-style-type: none"> Forecast delivery of savings reported to DMT’s and the Financial Challenge group on a monthly basis. Deep dive review of current savings and mitigations to be undertaken by DMT’s and overseen by the Financial Challenge Group.

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Overspending of budgets	<ul style="list-style-type: none"> Budget monitoring process improved to reduce time taken to produce budget monitoring reports for CMT providing earlier notification of the budget position and earlier agreement of mitigating actions should they be required. Rigorous assessment and authorisation of significant areas of expenditure e.g. care packages for vulnerable children and adults. Implementation of revised financial decision making delegations by People Services in respect of commissioned care packages and support. 	<ul style="list-style-type: none"> Actual and forecast additional spend relating to COVID-19 is being monitored on a monthly basis and reported to MHCLG, Members and CMT. Areas of reduced spend as a result of COVID-19 are being subject to a deep dive review to further understand the longevity and permanence of the reduced expenditure. The initial focus being on property, staffing and travel costs. Areas of overspend to be subject to challenge within DMT's and then Financial Challenge Group in order to ensure effective remedial action has been planned, implemented and delivered.
Underachieving of income budgets	<ul style="list-style-type: none"> Quarterly meetings with District Council Technical Finance Officers – to review forecasts of Business Rates Income (and appeals) and Council Tax receipts. 	<ul style="list-style-type: none"> Business Rates and Council Tax project group Chaired by the County Council and including representation from all District Councils is undertaking a detailed review of collection rates and risk areas such as the change in number of Local Council Tax Reduction Scheme recipients and a risk review of Business Rate payers.
Uncertainty of local government funding framework	<ul style="list-style-type: none"> Continue to monitor Government funding announcements, respond to requests for information as appropriate. Direct dialogue with MHCLG financial sustainability team ensuring that the “Cumbria voice” is heard during consultations and lobbying exercises. Active participation in national groups e.g. Society of County Treasurers, North West ADASS Group (adult Social care), LGA and CCN. 	<ul style="list-style-type: none"> Regular dialogue with MHCLG and active participation with national groups remains an ongoing priority. Funding announcements are monitored, reviewed and implications, where known and quantifiable, are included in briefing notes to Corporate Management Team and Members.
Increased demand for Statutory Services	<ul style="list-style-type: none"> Working group established to oversee modelling of future demand for Statutory Services and the resulting financial impact, chaired by the deputy s151 Officer. Established Programme Boards continue to monitor and manage demand in key service areas. 	<ul style="list-style-type: none"> Modelling with regards to the financial impact of future demand for Adult Social Care Services continues to be refined. Engagement with Commissioning and Performance & Intelligence Teams to identify demand trends continues, the outcome of which will feed into the financial model.

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Independent assurance of key risk controls 2018/19 – Main Accounting System		Quarter 1 Risk Rating					
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan						
<ul style="list-style-type: none"> Financial sustainability of the Council Reduced or non-delivery of services impacting on service users Significant budget overspends & unsustainable drawing on reserves Reputational damage to the Council Intervention by central government 	This is a cross cutting risk and it links across many aspects of the CPDP.	Q1 RISK RATING likelihood x impact			20		
		Previous quarter	Current quarter		End Yr Target	DOT	
		20		20		20	→
		4	5	4	5		

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3. WORKFORCE CAPACITY, SKILLS, RELATIONSHIPS, SAFETY & WELLBEING – Dawn Roberts and Paul Robinson		
There is a risk that the Council does not have the workforce capacity, skills or relationships to deliver the Council Plan or experiences a significant impact to the safety and welfare of the workforce.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
Workforce Plan 2018-2022 not delivered.	<ul style="list-style-type: none"> • Workforce Plan and Workforce Delivery Plan in place • Organisational Change Senior Management Team provides monthly performance monitoring of Workforce Delivery Plan • EPW Strategy Group in place to oversee Council Plan Target for EPW's • System wide Workforce Strategy for North & South Cumbria Health & Care System in place • Senior Manager People Management role expanded to lead Learning & Skills functions to ensure cohesion and monitor progress against allocated actions across multiple work streams following Senior Manager Learning & Skills leaving the Council. 	<ul style="list-style-type: none"> • 2020/21 Workforce Plan Delivery plan being refreshed with Quarter 1 progress performance managed through SMT, DMTs and reported through the performance framework to OD Board, CMT and Cabinet members where required. • Learning & Skills teams being aligned to those of People Management to maximise capacity and ensure join up. • Workshop planned with NHS leaders July 2020 to discuss collaboration opportunities.
High staff absence levels	<ul style="list-style-type: none"> • Provisions implemented early during COVID-19 to record and monitor absences arising from COVID-19 (suspected and confirmed) and other associated absence from the workplace (shielding or caring responsibilities). • Provisions established early during COVID-19 to ensure individuals weren't at detriment due to COVID-19 and associated welfare arrangements to support the workforce health and wellbeing. • Continuing focus on staff wellbeing and engagement initiatives to positively support and impact staff wellbeing and attendance. 	<ul style="list-style-type: none"> • Continuation of support to those shielding and self-isolating and supporting them through Occupational health to return to the workplace. • Planning to support winter flu vaccination programme. • Continuation of support for flexible and remote working. • Increase of incidences of Mental Health absences which may be associated with COVID-19 – support engaged from Shared Psychological Support from NHS Partners. • Increase in incidences of musculoskeletal absences – further detailed work to be undertaken to understand causality and plan future actions.

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	<ul style="list-style-type: none"> • Monthly reporting of absence & attendance to Directorate Management Team, Corporate Management Team and reported to elected members of Cabinet & Scrutiny Management Board in place. • Continuation of deep dive' absence clinics at Assistant Director and Senior Manager level in place to address longer term complex cases, supported by Council's Employee Health & Wellbeing professionals and clinical physicians. 	
<p>Ineffective Health, Safety and Wellbeing management</p>	<ul style="list-style-type: none"> • Corporate Health Safety and Wellbeing Policy Statement agreed by Cabinet Sept 2019, now on intranet & displayed in all Council buildings. • Health & Safety Committees in place across all directorates, including Senior Officer and Trade Union co-chair arrangements. • CMT and Lead Member received detailed H&S Position statement April 2020 to be assured of health and safety governance in place for COVID 19. • IOSH Leading Safely programme well attended by Elected Members, Trade Unions and senior officer leaders. • Corporate and Directorate level Health & Safety risk assessments undertaken to prioritise resources on areas of higher risk. • Health and Safety a standing agenda item at CMT & DMT meetings and standard section in all Cabinet reports. • Corporate Mental Health programme continues. • Weekly meetings in place with recognised Trade Unions to focus on COVID H&S issues. • Any changes as a result of COVID closely managed with documented risk assessments and safe systems of work in place and communicated to key stakeholders. 	<ul style="list-style-type: none"> • Strong Health Safety and wellbeing governance remains in place overseen by Lead Member Environment and driven by AD Organisational Change and Trade Union Committee co-chairs. • Weekly meetings continue with recognised Trade Union colleagues working well to ensure collective focus, co-production and prompt resolution of ongoing issues. • Next phase of COVID-19 'transition' being closely managed with risk assessments and safe systems of work in place and buildings COVID-secure as per national guidance. • Director of Public Health leading the test, track and trace system with regular links to health and safety. • Additional wellbeing actions in place to support colleagues experiencing challenges with new ways of work. • All staff invited to complete survey to inform COVID next phase and longer term ways of working modelling – ensuring business requirements are balanced with employee consultation and input. • Potential for longer term Home working programme requires same strong focus as buildings workstream to maintain H&S obligations of staff working in any environment. • Significant H&S focus on supporting new model for schools by Sept 2020.

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Service Reviews negatively impact on capacity or delivery of services.	<ul style="list-style-type: none"> • A programme of reshaping and service review continues, including regular planned meetings between management and recognised Trade Unions. • Where any concerns are raised by staff or Trade Union representatives, they are considered and addressed as promptly as possible. 	<ul style="list-style-type: none"> • Planning to restart reshaping programme has commenced. • Work has progressed to resolved outstanding disputes which had halted progress on key reshaping activities. 															
Industrial Relationships between the Council and Trade Unions.	<ul style="list-style-type: none"> • JCG and HR1 meetings will continue to be held corporately and within each Directorate in line with agreed framework. • Health & Safety Committees with Union co-chairs are in place. 	<ul style="list-style-type: none"> • JCGs paused for first 6 weeks of Covid response. Now restarted and progressing as planned. • Significant additional capacity and engagement time invested in Trade Union relations through meetings, consultation and co-production of new guidance which is ongoing. 															
Independent assurance of key risk controls <ul style="list-style-type: none"> • Council achieved the maximum 'Continuing Excellence' accreditation of TUC Better Health at Work Award in December 2019 • LGA Peer Review recognised some challenging industrial relationship environment in some of Cumbria's Trade Union and County Council relationships and recommendations for improvement are planned during 2020. 																	
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating															
<ul style="list-style-type: none"> • Major injury, illness or fatality • Non delivery of services or financial savings • Non delivery of prioritised workforce skills and apprenticeship targets. • Trade Union relationship challenges with increased numbers of grievances, formal disputes or industrial action (and queries in relation to COVID-19). 	<p>4.2 Deliver the actions in the 2020/21 Workforce Delivery Plan including maintain or improve on the Better Health at Work Gold Award standard.</p> <p>4.3 Produce and implement a system wide Workforce Strategy with North Cumbria and South Cumbria Health and Care systems.</p>	<table border="1"> <tr> <td colspan="3">Q1 RISK RATING likelihood x impact</td> <td>20</td> </tr> <tr> <td>Previous quarter</td> <td>Current quarter</td> <td>End Yr Target</td> <td>DOT</td> </tr> <tr> <td colspan="2">20</td> <td>20</td> <td rowspan="2">→</td> </tr> <tr> <td>4</td> <td>5</td> <td>4</td> </tr> </table>	Q1 RISK RATING likelihood x impact			20	Previous quarter	Current quarter	End Yr Target	DOT	20		20	→	4	5	4
Q1 RISK RATING likelihood x impact			20														
Previous quarter	Current quarter	End Yr Target	DOT														
20		20	→														
4	5	4															

4.Increasing demand on Children’s Services - Lynn Berryman		
There is a risk that Children’s Services will experience a further increase in demand as an impact of COVID-19 due to the secondary consequences of COVID-19 for children and their families.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
	<p>Common Controls across all risk causes</p> <p>The service has developed good financial and performance management systems which are now firmly embedded in the services and these are used across various Boards and Meetings;</p> <ul style="list-style-type: none"> • Quality & Development Plan • Quality & Development Board • Weekly Performance Board • External Scrutiny & Support • Two dedicated practice development officers in place to support the delivery of the quality and development plan 	
<p>Insufficient placement sufficiency to meet the increase in numbers of Children looked after</p>	<ul style="list-style-type: none"> • Edge of Care Panel is in place to ensure that our services are working with the right children to prevent unnecessary entry to care. • Legal and Placement Panel is in place to agree any planned entry of children into care and provides authorisation to undertake court proceedings • We have met our fostering target for 2020/21 by end of August 20 for this financial year. 	<ul style="list-style-type: none"> • Second Residential Home due to be opened during Quarter 3. • Ongoing fostering recruitment campaign

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<p>Early help offer is ineffective in preventing Children’s needs escalating to need statutory social work intervention</p>	<p>In Quarter 1 and during the COVID-19 outbreak, our approach to Early Help and Think Family was driven by the reinvigorated Children’s Trust Board, chaired by the Executive Director People. This has further embedded our Partnership approach to working with families and to prevent Children’s needs escalating and requiring Social Work intervention The Board is overseeing the development of:</p> <ul style="list-style-type: none"> • Early Help Strategy • Early Help Panel • Six newly established Locality Children’s Partnership Groups which have identified service priorities to meet local needs and use a Think Family Approach <p>We have also established our internal Think Family Board chaired by the Executive Director to oversee and manage our internal early help approach and ways of working.</p>	<ul style="list-style-type: none"> • Review of Early Help Panels • Review of Family Group Service during Quarter 2 & 3. • Development of the Early Help Strategy action plan. • Consideration is being given to extend the Safer Families Project across the County after the success within West Cumbria. • The nationally funded Social Workers in School (SWIS) Project will commence in Quarter 2 which will enable 8 secondary schools to have social workers placed in their schools to help to identify needs early and meet these in a coordinated way to prevent escalation for statutory intervention.
<p>Lack of Resources to meet increasing demand</p>	<ul style="list-style-type: none"> • Workforce Plan; specifically proactive recruitment campaign, ongoing Continual Professional Development to add our ability to retain a good staff retention level and staff satisfaction. 	<ul style="list-style-type: none"> • Review all aspects of the Workforce Plan to ensure fit for purpose. • The National Assessment & Accreditation System for Social Workers (NAAS) project with the DFE will commence during Quarter 2. • Review of our progression route for social workers
<p>Deterioration in our ability to meet regulatory standards</p>	<ul style="list-style-type: none"> • Preparation for Inspection group is now in place to provide Leadership and Management for effective engagement with external assessment bodies for the purpose of inspection and review activity. 	<ul style="list-style-type: none"> • Update of our self-evaluation in Quarter 3 for NW peer challenge and Ofsted annual conversation

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<p>Children needs not being identified due to not being seen by various partners during the period of COVID-19 restrictions.</p>	<ul style="list-style-type: none"> • Team around Schools has been developed to identify the key professionals and services needed and to work collaboratively to identify children’s needs in schools at the earliest opportunity and prevent need for statutory intervention. 	<ul style="list-style-type: none"> • Plans are in place for Children to return to School from Sept 20 • Cumbria Safeguarding Children’s Partnership continue to meet on a monthly basis to share intelligence, approaches and risks during COVID-19. 																
<p>Independent assurance of key risk controls</p>																		
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<p>Quarter 1 Risk Rating</p>																
<ul style="list-style-type: none"> • Placement Sufficiency • Increase in caseloads for Social Workers • Increase in Looked After Numbers • Impact on Budget 	<p>Children, young people and the most vulnerable will be protected from harm. Implement the Children and Young People Quality and Development Plan –to ensure consistently good practice for children and young people and successful outcomes from external review and inspection with a revised Quality Assurance Framework introduced by Dec 20, signs of safety implemented for all service areas and ICT system further aligned by December</p>	<table border="1"> <tr> <td colspan="3" data-bbox="1393 569 1901 655"> <p>Q1 RISK RATING likelihood x impact</p> </td> <td data-bbox="1901 569 2063 655"> <p>16</p> </td> </tr> <tr> <td data-bbox="1393 655 1570 746"> <p>Previous quarter</p> </td> <td data-bbox="1570 655 1756 746"> <p>Current quarter</p> </td> <td data-bbox="1756 655 1901 746"> <p>End Yr Target</p> </td> <td data-bbox="1901 655 2063 746"> <p>DOT</p> </td> </tr> <tr> <td data-bbox="1393 746 1570 820"> <p>Rewrite</p> </td> <td colspan="2" data-bbox="1570 746 1756 820"> <p>16</p> </td> <td data-bbox="1756 746 1901 820"> <p>16</p> </td> </tr> <tr> <td data-bbox="1393 820 1491 911"></td> <td data-bbox="1491 820 1570 911"></td> <td data-bbox="1570 820 1675 911"> <p>4</p> </td> <td data-bbox="1675 820 1756 911"> <p>4</p> </td> </tr> </table>	<p>Q1 RISK RATING likelihood x impact</p>			<p>16</p>	<p>Previous quarter</p>	<p>Current quarter</p>	<p>End Yr Target</p>	<p>DOT</p>	<p>Rewrite</p>	<p>16</p>		<p>16</p>			<p>4</p>	<p>4</p>
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		<p>4</p>	<p>4</p>															

5.Health and Social Care Demand and System Failure – Cath Whalley, Jo Atkinson & Pam Duke		
There is a risk that Health and Social Care Services will experience an increase in unprecedented and unmanageable demand as a secondary consequence of COVID-19, a second wave of COVID-19 and/or winter pressures.		
Caused by	Key controls to manage the risk	Further planned activity around key controls for Q2
Increased number of individuals requiring health care and support	Common Controls to manage demand across all areas <ul style="list-style-type: none"> • System wide strategic engagement • Cumbria Safeguarding Adults Board (CSAB) • Weekly leadership team meeting • Weekly transformation programme meeting • Weekly performance reporting on activity • Mental Health Concordat (bi-monthly) • Multi-Agency Mental Health Crisis Care meeting (fortnightly meetings) • Bed Capacity meetings • Long length stay meetings 	
Increase in demand for review & assessment activity, lack of integrated service delivery and the implementation of phase 3 of the NHS response	<ul style="list-style-type: none"> • Workforce management plan • Ongoing reshaping of service • Use of interim EPW's to fill skills gap during recruitment process 	<ul style="list-style-type: none"> • Review of 1,100+ service users by year end; arising from initial COVID-19 period where funded under the national guidance – prioritised activity across ASC. Priority review programme has been central to work throughout COVID-19 and will continue to manage priority demand. • Refreshed recruitment campaign to fill outstanding vacancies in the ASC structure • Move to new ASC structure which will support demand management with short and long term intervention teams

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	<p>Partnership & Integration</p> <ul style="list-style-type: none"> • Ensure active participation at the right level within appropriate system forums across the North & South Systems. • Manage the changing demands and inconsistencies between the North & South CCG's. • Work with partners to develop more integrated service delivery models around: • LGA Peer review in the North is ongoing and will help shape new ways of working. 	<ul style="list-style-type: none"> • In Q2, a letter has been received from the NHS CEO outlining Central Government Changes to the future of Health & Social Care. • Outcome of LGA Peer review in the North will help reshape and improve current operating practices.
<p>Increase in level of Acuity - high end need/ more complex cases</p>	<ul style="list-style-type: none"> • Workforce management plan & availability of skilled staff for face to face interaction • Development of Integrated Care and Assessment Team • System wide strategic engagement & working with Health colleagues • Hospital Interface and engagement in North & South • Multi-Agency Mental Health Crisis Care meeting • Mental Health Concordat – six defined work streams for managing MH across all services 	<ul style="list-style-type: none"> • Aim is for Integrated Care and Assessment model to go live in the South of the County which will include a Frailty Co-ordination hub • Implementation of Discharge to Assess models in the North of the County • Programme of review for COVID related cases which are new or where support needs have changed • Robust triage processes implemented across urgent care MH services in response to COVID-19. • Reshaping of Mental Health and Learning Disability services – inclusive of Urgent Care and Transition services • Development of the Advanced Practice Lead role to drive excellent and legally literate practice
<p>Increase in demand for lower level needs, especially mental health needs</p>	<ul style="list-style-type: none"> • Monitoring of new referrals to social care as result of COVID-19 • Monitoring of activity in Mental Health service 	<ul style="list-style-type: none"> • Review of cases which have arisen as a result of COVID-19 and which currently may have health funding. • Signposting of lower level need to Prevention services - Health and Wellbeing Coaches and third sector provision, online resources.

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<p>Increase in demand for Safeguarding referrals</p>	<ul style="list-style-type: none"> Safeguarding Adults Board (CSAB) Strategic business plan Weekly Safeguarding service interface meeting with health partners (north and south) Weekly Safeguarding interface meeting with Cumbria Police safeguarding hub 	<ul style="list-style-type: none"> Multi Agency Risk Assessment Conference (MARAC) and Domestic violence Disclosure meetings now stepped up to a weekly from Monthly to respond to increased demand and improve outcomes for domestic abuse concerns Police access to IAS to screen appropriate referrals to adult service Implementation of provision of case tracking data for health partners 														
<p>Increase in demand due to winter pressures & second wave of COVID-19</p>	<ul style="list-style-type: none"> Peer review underway to evaluate Winter Planning & Winter Pressures. 	<ul style="list-style-type: none"> Outcome of Peer review is underway to assist with Winter Planning & Winter Pressures A Winter Planning Summit will take place in September 2020 Learning from COVID-19 first wave and planning for COVID-19 second wave. 														
<p>Independent assurance of key risk controls -LGA Peer review in the North -Peer review of Winter Planning & Planning Pressures.</p>																
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<p>Quarter 1 Risk Rating</p>														
<ul style="list-style-type: none"> Failure to deliver a well-integrated service to our customers/the public. Potential fatalities Impact on budget Reputational damage to the Council/Partnerships. 	<ul style="list-style-type: none"> In context of the national landscape, develop a vision and strategy for Adult Social Care in maximising the opportunities from closer alignment with health but while retaining the expertise and community focus of social care by December 2021. Develop and implement a service model for Mental Health and Learning Disabilities by Sept 2021 	<table border="1"> <tr> <td colspan="3">Q1 RISK RATING likelihood x impact</td> <td>16</td> </tr> <tr> <td>Previous quarter</td> <td>Current quarter</td> <td>End Yr Target</td> <td>DOT</td> </tr> <tr> <td>Rewrite</td> <td>16</td> <td rowspan="2">16</td> <td rowspan="2"></td> </tr> <tr> <td></td> <td>4 4</td> </tr> </table>	Q1 RISK RATING likelihood x impact			16	Previous quarter	Current quarter	End Yr Target	DOT	Rewrite	16	16			4 4
Q1 RISK RATING likelihood x impact			16													
Previous quarter	Current quarter	End Yr Target	DOT													
Rewrite	16	16														
	4 4															

6.Resilience of the Care Sector and impact on meeting care needs - Jo Atkinson		
There is a risk that the stability and sustainability of the care market will be further impacted upon following the COVID-19 pandemic and during any potential second wave and winter pressures.		
Caused by	Key controls to manage the risk	Further planned activity around key controls for Q2
	<p>Common Controls to manage demand across all areas</p> <ul style="list-style-type: none"> • System wide strategic engagement • Weekly leadership team meeting • Weekly transformation programme meeting • Weekly performance reporting on activity • Bed Capacity meetings • Long length stay meetings • Ongoing monitoring of demand 	
<p>Changes in types and volumes of demand for services Increased demand for support at home Significant reduction in residential and nursing care demand impacting on care homes financial viability</p>	<ul style="list-style-type: none"> • Revisiting our Strategic system approach to Commissioning • Refreshing Joint commissioning intentions with CCG partners • Approach to data and intelligence relating to capacity and quality • To facilitate the development of the market to respond to the shift in demand from Residential & Nursing Care to people being supported at Home 	<ul style="list-style-type: none"> • Use of demand analysis during COVID-19 to model future demand • Ongoing review of existing and legacy demand to generate additional capacity • Commissioning of a rapid response, step up/step down service • Ongoing review and development of alternative delivery models, including Extra Care Housing and the development of informal support from micro-enterprises • Ongoing engagement with the market to help it reshape in terms of delivery models and capacity in line with changing demand in Adult Social Care

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<p>Increased costs of delivering services that are safe and effective post COVID</p>	<ul style="list-style-type: none"> To help reshape the market post COVID-19 Residential Care framework in place Support at Home framework in place Extra Care Housing Development pipeline in place 	<ul style="list-style-type: none"> Supporting the market where appropriate to be financially viable Review of iBCF funded schemes to identify best use of resources Commence implementation of the adam Ltd system to manage residential placements and monitor quality Increasing use of direct payments & individual service funds 																			
<p>Trust and confidence of the regulated care sector given their experiences throughout COVID</p>	<ul style="list-style-type: none"> Continued focus on relationship management Working together across care market to maintain Quality & Safety 	<ul style="list-style-type: none"> Continuing to work with CCG's around Winter pressures and wider medium/longer term commissioning plans Provider Webinars 																			
<p>Independent assurance of key risk controls -LGA Peer review in the North -Peer review of Winter Planning & Planning Pressures. -CQC system review of response to COVID-19</p>																					
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<p>Quarter 1 Risk Rating</p>																			
<ul style="list-style-type: none"> Failure to deliver a well-integrated service to our customers/the public. Potential fatalities Impact on budget Reputational damage to the Council/Partnerships. 	<ul style="list-style-type: none"> A market position statement for adult social care will be based on the previous strategy and will give early indications of future need based on the impact of Covid-19 to date. A revised strategy will take into account a possible second wave and winter pressures by March 2021, based on Covid-19 response and recovery work towards new commissioning in health and social care Work with the Provider sector and commissioning to ensure a sustainable and high quality provider sector that deliver highly rated person centred care based on joint needs analysis to inform development of services to meet demand and capacity expectations by December 2021 Work towards increasing the proportion of homecare services delivered by Cumbria Care to 40% of the market share. 	<table border="1"> <tr> <td colspan="3">Q1 RISK RATING</td> <td>16</td> </tr> <tr> <td colspan="3">likelihood x impact</td> <td></td> </tr> <tr> <td>Previous quarter</td> <td>Current quarter</td> <td>End Yr Target</td> <td>DOT</td> </tr> <tr> <td>Rewrite</td> <td>16</td> <td>16</td> <td rowspan="2"></td> </tr> <tr> <td></td> <td>4</td> <td>4</td> </tr> </table>	Q1 RISK RATING			16	likelihood x impact				Previous quarter	Current quarter	End Yr Target	DOT	Rewrite	16	16			4	4
Q1 RISK RATING			16																		
likelihood x impact																					
Previous quarter	Current quarter	End Yr Target	DOT																		
Rewrite	16	16																			
	4	4																			

7.Information Security Arrangements – Paul Robinson & Iolanda Puzio		
There is a risk the Council will experience a significant information security incident.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
Inadequate information security arrangements	<ul style="list-style-type: none"> Information Security a key element of the 2020/21 ICT Delivery Plan A suite of Information Management & System Security Policies in place. ICT Disaster Recovery & Service Continuity arrangements being refreshed and exercised. Routine scanning of ICT networks and systems in place to highlight system vulnerabilities, with an exceptions report produced for Senior Manager ICT and AD Organisational Change. Participation in National Cyber Security Centre (NCSC) initiatives including web check, public sector Domain Name System & Cyber Info Sharing Partnership. Ongoing assessment of cyber threat via cyber security partners; the NCSC, North West WARP including weekly threat reports and the NHS Cumbria Cyber Group in place. Information asset register (IAR) in place. A Data Protection Accountability statement is in place to measure data protection compliance to all GDPR mandatory requirements. ICT Security Position Statement presented to ICT June specific to COVID 19 risk position. Report well received with appropriate controls and assurance in place. 	<ul style="list-style-type: none"> A remediation project plan has been submitted to PSN as part of the annual accreditation process and weekly exception reports are in place for us to keep PSN informed of any challenges faced in addressing outstanding vulnerabilities. Some remediation actions have slowed or in some cases placed on hold, due to unavailability of equipment from China and concerns over making changes to the corporate ICT service during the ongoing COVID-19 incident. Progress has been made to areas of the LGA cyber security report to achieve the top 'green rating' in all assessment categories. The LGA self-assessment portal continues to be updated. Creation of a new LRF Cyber Security Group and progress of new Cyber security Incident Response Plan. The annual submission of the NHS DSP was suspended by the NHS in March due to COVID-19 and the revised submission date is now 30th September 2020. The Council is on track to provide a submission within this timeline. A Data Protection position statement will be presented at Corporate Governance Group in Sept to provide assurance on the delivery of completed tasks from GDPR Phase 1 to Phase 2 as well as the current status of tasks being actively managed going forward. IAR to be relaunched with maintenance guide in Q2/Q3.


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<p>Lack of Training, Awareness & ongoing learning</p>	<ul style="list-style-type: none"> • Mandatory Information Security & Data Protection e-learning course in place and routinely updated. • Automatic reminders are issued to staff who have not completed or are close to the expiry date of the e-learning course. 	<ul style="list-style-type: none"> • 2020/21 e-learning course was delayed due to COVID-19 but was published in June and for completion by end Sept 2020. • Ongoing communications campaign. • Funding has been received from LGA for Cyber Security accreditation training for the Information Security Team and to conduct an email phishing simulation exercise later in 2020/21 resources and competing priorities allowing.
<p>Human error</p>	<ul style="list-style-type: none"> • Incident reporting framework, procedure & on line incident form in place and updated as required. • The Council Senior Information Risk Officer (SIRO) continues to chair weekly & quarterly meetings to consider Data Protection, GDPR and Cyber Security matters to enable effective response to breaches, tracking, learning and ICO referral assessments. • Subgroup of Corporate Governance Group in place to drive cross-directorate learning and communication. 	<ul style="list-style-type: none"> • Data breaches, near misses, causes and actions continue to be collated into a central database, with each issue being evaluated to identify further targeted action and further shared learning. • All issues are discussed at weekly SIRO meetings, service teams and escalated to CMT as required.
<p>Independent assurance of key risk controls</p> <ul style="list-style-type: none"> • Annual Public Services Network (PSN), PCI DSS & NHS DSP compliance maintained and supported by the external IT Health Check (ITHC). • Annual 2019/20 PSN certificate issued with effect from 12 July 2019 with Cumbria commended for their approach to the PSN accreditation process and risk management by the PSN assessor. 2020/21 discussions ongoing with PSN who accept that COVID-19 has impacted on timescales and are comfortable with Council timelines. • Routine ICT system penetration tests to check system vulnerabilities are now incorporated into the annual ITHC, as are the externally hosted systems including those “in the cloud”. • Council received second highest LGA cyber-security rating of ‘Green / Amber’ with a number of strengths recognised. • In June 2019, an Internal Audit of GDPR Phase 1 Action Plan achieved ‘substantial assurance’ rating and in July 2019 a further Internal Audit of Cyber Security achieved a ‘reasonable assurance’ rating. 		

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Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating			
<ul style="list-style-type: none"> • Disclosure of personal data leading to personal distress and potential liability claims. • Data breach leading to financial penalties & intervention by the ICO. • Cyber incident leading to partial or total interruption to service delivery to customers, suppliers or partners leading to partial or non-delivery of corporate priorities and having a reputational impact. 	<p>This is a cross cutting risk and it links across all aspects of the Council.</p>	Q1 RISK RATING (likelihood x impact)			15
		Previous quarter	Current quarter	End Yr Target	DOT
		15	15	15	
		3	5		

8.CUMBRIA COVID-19 Local Outbreak Control Plan – Colin Cox		
There is a risk that the Cumbria COVID-19 Local Outbreak Control Plan fails to prevent or reduce the extent and severity of COVID-19 outbreaks in Cumbria leading to increased lockdown restrictions.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Q2
<p>Insufficient resources to adequately implement the Plan</p>	<ul style="list-style-type: none"> Local governance structures and arrangements are in place with oversight & implementation of the Plan being shared between Partnership Groups including; the Health Protection Board, Strategic Coordination Group, Public Health Alliance & the Local Outbreak Board. Full terms of reference including; chairmanship, membership, roles & responsibilities & decision making capacity are listed in Part 1 of the plan – Appendix 1. The new County wide Health Protection Board (HPB), chaired by the Director of Public Health for Cumbria, takes overall responsibility for the multi-agency management of the emergency and establishes the local policy & strategic framework within which other coordinating groups will work. Given the complexity of the systems and processes in place for this plan to be effective, ongoing capacity will need to be drawn from various Partner Agencies using existing capacity & expertise as well as using available Government funding. National Funding for Cumbria in place of £1.7m Recruitment campaign in place. 	<ul style="list-style-type: none"> Continuing to lobby government for clarity on longer term resourcing

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Ineffective Data Integration	<ul style="list-style-type: none"> • Condition of National Data on Contact Tracing improving 	<ul style="list-style-type: none"> • National Contact Tracing System due to be specified • Ongoing improvements to local data system
Inability to Influence People’s behaviour to ensure compliance with National & Local COVID-19 guidance.	<ul style="list-style-type: none"> • Running communications campaigns on a routine basis to make people aware of current guidance and the importance of following the guidelines • Informal intelligence in place to monitor people’s behaviours, the nature and causes of local outbreaks • Escalating levels of controls and restrictions as necessary 	<ul style="list-style-type: none"> • Communications campaigns will be adjusted dependent on local outbreaks and changes to the level of restrictions required.
Uncertainty around the impact of Schools re-opening in full from September 2020		<ul style="list-style-type: none"> • During August, a session will take place to review schools COVID-19 response at end of last term and to plan jointly with Education and Schools what local response plans may be needed for September • Monitor impact and take learning from Scottish Schools reopening in August 2020
Uncertainty around the impact of the Winter Flu Campaign		<ul style="list-style-type: none"> • Implement Flu campaign- flu vaccination programme will help reduce numbers of people getting flu and assist with the identification of people who have the COVID-19 virus. • Communications campaign to support Flu vaccination programme.
Independent assurance of key risk controls		

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2020/21 QUARTER 1 – RISK REGISTER

Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating				
<ul style="list-style-type: none"> • Mortality and harm from COVID-19 • Increased lockdown restrictions • CCC Service Disruption • Reputational, financial & legal • Further socio/economic impacts 	This is a cross cutting risk and it links across many aspects of the Council.	Q1 RISK RATING likelihood x impact			15	
		Previous quarter	Current quarter	End Yr Target	DOT	
		New Risk	15		15	
			3	5		

9.Management of Significant Contracts – Jo Atkinson		
There is a risk the Council has a failure in a ‘significant contract’.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
<p>Lack of timely closure of non-compliance issues, resulting in dispute escalation.</p> <p>Supplier/Market Failure to deliver the service required</p>	<ul style="list-style-type: none"> Quarterly reviews of ‘significant’ and all other contracts in place at DMT’s Quarterly Reports on ‘significant contracts’ provided to CMT as part of the Business Assurance Framework. Contracts Register is reviewed and risk assessed in relation to organisational impact, should the contract fail. Investing in commercial aspects of contractual relationships. Proactive management of the contract including Performance & Risk Management & Board meetings. 	<ul style="list-style-type: none"> External consultants being used for advice regarding existing contract performance/options and planned, upcoming contracts. The governance arrangements are through completion of a COVID-19 Modification to contract and an ODR, with subsequent supplier checks and balances as appropriate, on a case by case basis. Changes to contract could be as a result of failure to provide the services as required, and/or, a need to vary the contract as a result of the COVID-19 situation.
<p>Lack of adherence to key Contractual terms/ requirements</p>	<ul style="list-style-type: none"> Sustainable Procurement Strategy Contract Procedure Rules Corporate Contract Management Workbook and Guidance Procedure Step by step guide to Commissioning, Procurement and Contract Management process, including links to Risk Management guidance ‘Speak up’ arrangements in place to supplement ‘Whistleblowing’ policy. 	<ul style="list-style-type: none"> Ongoing evidence of effective Contract Management and compliance as contracts are being routinely monitored and managed through Directorate Management Teams, with escalation to Corporate Management Team as appropriate. The Council engaged Grant Thornton to undertake a review of seven of its key contracts during the autumn 2019. It concluded both detailed officer interviews and desk-top reviews with an actions and recommendations report in December 2019, specifically identifying activities to realise benefits in several contracts ie. in the Waste and CNDR contracts.
<p>Independent assurance of key risk controls 2019/20 - Internal Audit of External Fostering Framework Peer review – CSLR Contract</p>		

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Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating					
<ul style="list-style-type: none"> • Significant Contract(s) not demonstrating Value for Money. • Significant Contract under performance/ service disruption • Significant Contract commercial consideration costs • Increased volume of Contract breaches and/or 'material' breach, resulting in the escalation of disputes & the potential for early termination of contract • Reputational damage to the Council. 	<p>The effective management of significant and other contracts is a cross-cutting risk and has a wide ranging impact on the delivery of the CPDP outcomes and deliverables.</p>	Q1 RISK RATING likelihood x impact			10		
		Previous quarter	Current quarter		End Yr Target	DOT	
		10		10		10	
		2	5	2	5		

10.Safeguarding of Children - Lynn Berryman & Fiona Musgrave		
There is a risk that there may be a serious failure in protecting children at risk of abuse or neglect		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
Staff shortages: a lack of capacity or capability	<ul style="list-style-type: none"> Children's Workforce Strategy in place to address staff shortages across all areas particularly for experienced social work staff and social work qualified team managers. Staff shortages in West Cumbria continue to be addressed through proactive recruitment campaigns. Social work academy approach embedded for newly qualified social workers to join the workforce Grow your own – social work apprenticeship scheme 	<ul style="list-style-type: none"> With regard to staff shortages in West Cumbria, internal progression programmes are being developed over the coming quarter. COVID-19 continues to reduce the amount of recruitment activity that can take place during this period however, we have and will continue to use virtual means to ensure recruitment will take place. We have an Academy Cohort being progressed in Quarter 2. A task and finish group will be reviewing commissioning arrangements regards the use of EPW's.
Failure to adequately follow regulations, policies, procedures & protocols.	<ul style="list-style-type: none"> A Policy Framework is in place and continues to be updated using TriX. Audit Quality Assurance Framework in place to ensure compliance. Quality Development Plan – including weekly and monthly performance review meetings. 	<ul style="list-style-type: none"> The Audit Quality Assurance Framework is under review during Quarter 2. Ongoing monitoring of performance and compliance and taking action as required.
Training and supervision being ineffective or inadequate	<ul style="list-style-type: none"> Quality Assurance Framework in place to ensure compliance and adequacy. Children's Workforce Strategy in place 	<ul style="list-style-type: none"> The Audit Quality Assurance Framework is under review during Quarter 2. The training needs of the service will be clarified during Quarter 2.

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Breakdown of partner relationships	<ul style="list-style-type: none"> Cumbria Safeguarding Children Partnership (CSCP), business plan and performance monitoring is in place to provide oversight, challenge partners and monitor partners individually and collectively. Oversight is provided by an independent person. 	<ul style="list-style-type: none"> During this COVID-19 period the CSCP has been meeting weekly, fortnightly and now monthly to ensure the partnership is still working effectively through this period. 																							
Independent assurance of key risk controls 2019/20 – Internal Audit of Recruitment and retention of social workers in Children’s Services.																									
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating																							
<ul style="list-style-type: none"> Serious injury or death to a Child or young person Investigations carried out by Liability claims against the Council Reputational damage to the Council 	<p>Children, young people and the most vulnerable will be protected from harm</p> <p>Increase the oversight and reach for children’s safeguarding across the county by improving the locality engagement of stakeholders by October 2020.</p> <p>Establish the new Cumbria Safeguarding Children Partnership’s (CSCP) locality safeguarding arrangements –groups formed, priorities set, schedule of meetings and activity in place. First locality safeguarding priority-learning events held by January 2021</p>	<table border="1"> <tr> <td colspan="4" data-bbox="1393 566 1901 655"> Q1 RISK RATING likelihood x impact </td> <td data-bbox="1901 566 2060 655"> 10 </td> </tr> <tr> <td colspan="2" data-bbox="1393 655 1574 745"> Previous quarter </td> <td colspan="2" data-bbox="1574 655 1756 745"> Current quarter </td> <td data-bbox="1756 655 1901 745"> End Yr Target </td> <td data-bbox="1901 655 2060 745"> DOT </td> </tr> <tr> <td colspan="2" data-bbox="1393 745 1574 818"> 10 </td> <td colspan="2" data-bbox="1574 745 1756 818"> 10 </td> <td data-bbox="1756 745 1901 818"> 10 </td> <td data-bbox="1901 745 2060 818">  </td> </tr> <tr> <td data-bbox="1393 818 1491 914"> 2 </td> <td data-bbox="1491 818 1574 914"> 5 </td> <td data-bbox="1574 818 1673 914"> 2 </td> <td data-bbox="1673 818 1756 914"> 5 </td> <td data-bbox="1756 818 1901 914"></td> <td data-bbox="1901 818 2060 914"></td> </tr> </table>	Q1 RISK RATING likelihood x impact				10	Previous quarter		Current quarter		End Yr Target	DOT	10		10		10		2	5	2	5		
Q1 RISK RATING likelihood x impact				10																					
Previous quarter		Current quarter		End Yr Target	DOT																				
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2	5	2	5																						

11.Safeguarding of Adults - Cath Whalley & Fiona Musgrave		
There is a risk that there may be a serious failure in protecting adults at risk of abuse or neglect		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
Staff shortages: a lack of capacity or capability	<ul style="list-style-type: none"> Rolling recruitment campaign Workforce & Practise Board now established Use of the Social Work Academy approach Weekly Leadership Team Meetings to proactively focus on restructure and recruitment Exploring Incentives for hard to reach areas 	<ul style="list-style-type: none"> Safeguarding Service partially implemented at start of COVID-19 EPW 's recruited to enable transfer of permanent staff into new structure posts Initial COVID-19 7 day working now stepped down to 5 day a week working in line with needs analysis.
Policies, procedures & protocols not being clear, up to date, understood and adhered to	<ul style="list-style-type: none"> Adult Social Care TriX system in place Safeguarding Case File quality file audit process in place 7 steps safeguarding procedure reviewed at the start of COVID-19 to reflect news ways of working. Internal audit completed. 	<ul style="list-style-type: none"> Currently undertaking an annual review of all Safeguarding Policies & Multiagency Policy Performance monitoring systems are reported on weekly and quarterly basis to Leadership Team Meetings to identify early any concerns to be addressed.
Training and supervision being ineffective or inadequate	<ul style="list-style-type: none"> ASC training standards in place to define mandatory training and ongoing monitoring of compliance in place. The Practice Learning Group has been established with oversight being provided by the new Principal Social worker for ASC; to support practise standards and effective supervision and learning across Adults. Safeguarding Threshold guidance tools in place. 	<ul style="list-style-type: none"> ASC mandatory training offer to be finalised in August that will support the mandatory training offer to the service as whole. This will allow training evaluation for all ASC staff. Specialist safeguarding training plan review completed and commissioning of developed training modules underway Principle Social worker in place to lead training on the post-qualifying standards for adult Social Workers and Principal Social Workers.

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Breakdown of partner relationships	<ul style="list-style-type: none"> The Cumbria Safeguarding Adult Board has recently redefined its purpose and terms of reference for its subgroups Recent development of operational safeguarding interventions through weekly meetings with Health & Police colleagues. 	<ul style="list-style-type: none"> Fortnightly CSAB Assurance and Business Continuity meeting with exec board members during COVID-19. CSAB continues to ensure training, learning and communications are available and adapted for the current situation CSAB sub group activity and coproduction maintained during COVID-19 Implementation of IT solutions has positively assisted with improved and partnership working. 																				
Independent assurance of key risk controls 2019/20 – Internal Audit of Safeguarding Adults																						
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating																				
<ul style="list-style-type: none"> Serious injury or death to an adult Investigations carried out by Safeguarding Adults review (SAR) or Serious Case review (SCR) Liability claims against the Council Reputational damage to the Council 		<table border="1"> <tr> <td colspan="3" data-bbox="1377 646 1883 730"> Q1 RISK RATING likelihood x impact </td> <td data-bbox="1883 646 2042 730"> 10 </td> </tr> <tr> <td data-bbox="1377 730 1554 826"> Previous quarter </td> <td data-bbox="1554 730 1731 826"> Current quarter </td> <td data-bbox="1731 730 1883 826"> End Yr Target </td> <td data-bbox="1883 730 2042 826"> DOT </td> </tr> <tr> <td colspan="2" data-bbox="1377 826 1554 895"> 10 </td> <td colspan="2" data-bbox="1554 826 1731 895"> 10 </td> <td data-bbox="1731 826 1883 895"> 10 </td> <td data-bbox="1883 826 2042 895">  </td> </tr> <tr> <td data-bbox="1377 895 1473 991"> 2 </td> <td data-bbox="1473 895 1554 991"> 5 </td> <td data-bbox="1554 895 1650 991"> 2 </td> <td data-bbox="1650 895 1731 991"> 5 </td> <td data-bbox="1731 895 1883 991"> </td> <td data-bbox="1883 895 2042 991"> </td> </tr> </table>	Q1 RISK RATING likelihood x impact			10	Previous quarter	Current quarter	End Yr Target	DOT	10		10		10		2	5	2	5		
Q1 RISK RATING likelihood x impact			10																			
Previous quarter	Current quarter	End Yr Target	DOT																			
10		10		10																		
2	5	2	5																			

12. Impact on Council Services of exiting the Brexit transition period without a trade deal – Dawn Roberts

There is a risk that there may be an impact on the provision of Council Services as a result of exiting the Brexit Transition Period without an agreed UK/EU trade deal, in context of the winter period and the continuing impact of COVID-19.

Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
<p>Competing priorities limiting preparations</p>	<ul style="list-style-type: none"> • The Councils Brexit Working Group has been in place and meeting regularly since September 2018 to coordinate cross organisational preparations for both a Brexit with a Deal and a No-Deal Brexit. • The Council's Business Continuity Plans have been reviewed in context of the most significant impacts and further arrangements developed as necessary. • CMT received update reports on Brexit Council Preparedness on 27 March & 23 Oct 2019. • In August 2019, a Brexit Lead Officer was identified as requested by MHCLG, the Council's Brexit Lead Officer being the Executive Director Corporate, Customer and Community Services. Continuity of leadership remains, officer leadership remains. • Concurrent risks are a key consideration for the county's Local Resilience Forum and to strengthen arrangements the LRF is currently reviewing the relevant elements of the county wide Emergency Plan. Cumbria County Council, as a member of the forum, is providing input as required into this review and will consider the developing scenarios as part of its wider business continuity preparations. 	<p>SHORT/ MEDIUM TERM IMPACT ON SERVICE PROVISION</p> <ul style="list-style-type: none"> • The Council's Brexit Working Group is in place and has a programme of ongoing meetings to the end of and beyond the transition period • The Brexit Working Group will be overseeing a programme to further review and refresh all previous risk assessments during Quarter 2 onwards • All Business Continuity Plans and arrangements will be reviewed in context of the refreshed risk assessments and will also consider other potential concurrent events that may occur close to the end of the transition period, such as winter flu and the continuing and possible escalating impact of COVID-19. <p>MEDIUM/ LONG TERM REFORM</p> <ul style="list-style-type: none"> • The Brexit process is initiating a significant package of reform of (post EU) UK policy and legislation which is likely to be introduced over a number of years and which, individually and cumulatively, will lead to substantial change to the Council's operating environment. • These developments will also be monitored and any future risks identified to inform decision-making and further activity. • National developments and government planning assumptions for the end of the Transition Period remain under review.

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<p>Increased reliance on ICT & Cyber security concerns</p>	<ul style="list-style-type: none"> • Due to changes in working practise as a result of COVID-19, home working & VPN capacity is adequate and working well. • Existing Internal controls and mitigations are in place to address concerns over cyber security and are detailed in Corporate Risk No.7 Information Security Arrangements & specifically in the section 'Inadequate information security arrangements'. • Critical Services have Business Continuity arrangements in place to address the loss of ICT as part of their Business Continuity Plans. 	<ul style="list-style-type: none"> • Ongoing monitoring and improvements to Cyber Security are detailed in Corporate Risk No.7 Information Security Arrangements • Existing specific impact assessment to be reviewed during Quarter 2.
<p>Disruption to Supply chains (due to additional customs requirements or non-tariff barriers)</p>	<ul style="list-style-type: none"> • Corporate and Service Level Business Continuity Plans and arrangements are in place to address any high impact threat to service provision linked to specific disruptions of the supply chain. • Assurances received from major and critical suppliers about risks and business continuity planning. • As well as coordinating activity across the Council any wider supply chain issues are addressed via the Local Resilience Forum. 	<ul style="list-style-type: none"> • Any concerns over supply chain will be reviewed and addressed via refreshed impact assessments & reviewed BC arrangements
<p>Inadequate Data Sharing between EU & UK</p>	<ul style="list-style-type: none"> • After the UK's exit from the EU, the UK will be considered a third country for the purposes of data processing adequacy under the GDPR. Adequacy decision will not be made by the European Data Protection Board until after the transition period. • Relevant contracts have been identified. • Contracts are under review. 	<ul style="list-style-type: none"> • Existing specific impact assessment to be reviewed during Quarter 2.

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<p>Increased costs of goods & services due to supply chain disruption or additional tariffs (incl. food, fuel, hardware, equipment spare parts, safety equipment)</p>	<ul style="list-style-type: none"> • An additional 1% has been built-in into budget planning for 2020/21 to account for Brexit inflation pressures. • Monitoring to identify emerging issues and escalated as appropriate. • Assurances received from major and critical suppliers about risks and business continuity planning. 	<ul style="list-style-type: none"> • Short, Medium & Long term economic impact on Council Services to be monitored post transition period.
<p>Increase in demand for Trading Standards Services (due to increased checks at Ports and/or increased amount of unsafe goods on the market.)</p>	<ul style="list-style-type: none"> • Arrangements are in place to contact high risk importers to carry out checks of goods coming into Cumbria directly. 	<ul style="list-style-type: none"> • Arrangements are in place to contact high risk importers as necessary. • Existing specific impact assessment to be reviewed during Quarter 2.
<p>Impact on the workforce of the end of free movement of people and the requirements of the EU Settlement Scheme</p>	<ul style="list-style-type: none"> • Tracking Legislation & Policy Changes • Information provided to staff who are EU citizens, and support offered for those making applications through the EU Settlement Scheme, including ICT access for making an application • No significant issues raised by affected staff to date. 	<ul style="list-style-type: none"> • Existing specific impact assessment to be reviewed during Quarter 2.
<p>Independent assurance of key risk controls</p>		

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Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating				
<ul style="list-style-type: none"> • Reputational Impact • Financial Impact linked to the potential costs of Inflation & increased supply chain costs • Provision of Services linked to the disruption of the supply chain for goods or services 		Q1 RISK RATING likelihood x impact			9	
		Previous quarter	Current quarter		End Yr Target	DOT
		New	9		9	
				3		