

**COUNCIL CORPORATE RISK REGISTER
2020/21 ANNUAL REFRESH
(Quarter 3 - Progress to 31 December 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 4
Council Services	<ul style="list-style-type: none"> During March to December 2020, 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 responded to the changes relating to 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 dedicated Gold (Strategic) command structures in place supported by an internal Silver (Tactical) co-ordination group consisting of Assistant Directors or their appointed Senior Managers with elected members regularly updated. The twice weekly 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 with health safety and wellbeing a key focus. 	<ul style="list-style-type: none"> The Council's Gold and Silver co-ordination arrangements are flexible and able to adapt depending on the current status of lockdown and tiering for Cumbria. When cases spike, and a full lockdown situation in place, both Silver meetings focus on COVID-19 response. When restrictions are eased, then one meeting per week focusses entirely on the management and co-ordination of Council service re-launch plans with the other maintaining required focus on COVID-19 response requirements. 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 and when national guidance allows for services to be re-launched, carefully risk managed processes have been implemented (and documented through DMT's) to plan for and implement safe service delivery. A weekly meeting takes place each Friday with all recognised Trade Unions and Senior Officers leading the response to ensure joint awareness, prompt discussion on key issues and co-production of solutions wherever possible. Risk assessments and safe systems of work are regularly reviewed and considered alongside national and local guidance, with changes communicated when they arise given the rapidly changing policy position of the pandemic.

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<p>Council Workforce – Wellbeing and Health & Safety</p>	<ul style="list-style-type: none"> • COVID 19 implications, risks and controls have been debated at all levels with the Corporate Health, Safety & Wellbeing Policy now inclusive of Covid19 management and agreed through Cabinet in Sept 2020. • Regular corporate messages have been provided to support staff to maximise their own mental and physical health & wellbeing. Key issues are also cascaded through management structures to enable two-way debate and confirmation of understanding. • 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 support to work at home. • COVID specific risk assessments and safe methods of working have been produced in relevant service areas with training and reviews in place. • 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 role. • 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 or other safety controls, 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 Development Programme Board that all staff will be encouraged to complete these courses as soon as possible. • As national lock-down restrictions change, and some services are able 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. This will be kept under regular review as transmission levels increase and regional and local lockdowns are considered or implemented. • A programme of joint premises visits will be undertaken to satisfy COVID-19 Secure arrangements are in place with H&S, Trade Union and service managers jointly working together. • Follow up staff surveys have been undertaken to gather feedback on staff experience of current working arrangements. • Home working guidance has been published with a strong focus on ensuring safe systems of work in the home environment as well on Council premises. • Additional support is being offered to assist employees, management and teams to assess workload challenges with a focus on tools to help prioritisation and the opportunity to escalate any concerns to management to support non priority work to be paused, delayed or stopped to maintain service delivery but minimise employee anxiety, stress or wellbeing challenges.
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<p>Council ICT</p>	<ul style="list-style-type: none"> • Large numbers of employees working remotely at home using approx. 5500 VPN connections per day & increased reliance of technology to maintain resilient and secure ICT operations. • In April 2020, a Corporate ICT & Information Security Assurance 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 implemented to ensure security was maximised, including daily reporting. A weekly ICT security meeting chaired by AD Organisational Change to maintain focus on required security levels and external threats given increased number of public sector cyber-attacks. • 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. • Positive ICT security feedback from Audit Committee received in January 2021 meeting. 	<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. • Weekly ICT Security meeting chaired by AD Organisational Change and reported by exception to Council SIRO, Cabinet Portfolio Holder and Shadow Portfolio Holder. • Action Plan progressing to further review and enhance existing security arrangements. • Regular reminders issued to staff to ensure 'strong passwords' are used and dual factor authentication used. • 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. <p>Refer to additional controls & measures noted within the Information Security Arrangements Risk.</p>
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<p>Council Premises</p>	<ul style="list-style-type: none"> • ‘Workplace Guidance’ and an e-learning module is in place for staff who need to return to the office. • A Working Group 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 progressing. • 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. • Council workplaces are COVID-secure and have processes in place for carefully managed reopening when restrictions allow. 	<ul style="list-style-type: none"> • Councils approach remains that all staff who can work from home should continue to do so. When restrictions allow, a phased approach will be undertaken to enable essential staff to return to some working from Council office buildings. • As services continue regardless of delivery model, priority face to face customer contact will be subject to detailed risk assessment and specific modifications through “COVID-secure” standards in the relevant premises. • Joint workplace inspections with recognised trade unions will continue at a sample of the premises being re-opened for customer contact / return of priority essential staff. • Regular Lateral Flow Testing will be offered to staff who are unable to work from home commencing February 2021.
<p>Council Finances</p>	<ul style="list-style-type: none"> • Finance & Legal Multi Agency subgroup 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 11.06.20 and 17.12.20 • A claim for the part-reimbursement of irrecoverable income for from sales, fees and charges was submitted to MHCLG by 30.09.20. 	<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 is meeting fortnightly 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. • The Draft Annual Governance Statement for 2019/20 was issued to the July Audit & Assurance Committee confirming 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. 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. 	<ul style="list-style-type: none"> • A review of Governance continues and ongoing impacts of COVID-19 will be monitored and included in the final publication of the Annual Governance Statement. • For significant COVID-19 related projects led by the County Council, a strong focus on governance has been implemented. An example of this is the County Council lead on C19 Lateral Flow Testing (30 minute results of COVID-19 risk) with the project implementing strong governance arrangements and proactively inviting Internal Audit input and challenge from the outset
<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 2020 • An Incident Response and associated governance framework developed and working well • A multiagency Recovery Advisory Group (RAG) was 	<ul style="list-style-type: none"> • COVID-19 response arrangements continue with the SCG and Health Protection Board. • 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

	<p>established in April and transitioned to a Strategic Recovery Coordinating Group (SRCG) in mid-June.</p> <ul style="list-style-type: none"> • 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 COVID-19 Outbreak Control Plan in place. • On 25th June, Cumbria hosted visit from Minister Simon Clarke to focus on the short-term measures required to help the local economy start its recovery. • Council has 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. Council gold commanders are trained and experienced cohort of Assistant Directors. • Throughout the incident, Council has operated internal tactical co-ordination group of Assistant Directors of their appointed senior managers. • An additional resource (highly qualified and experienced person) has been procured to provide a continuous silver / tactical command function. • In December 2020, Cumbria confirmed to government interest in delivering a locally led Director of Public Health community testing programme (Lateral Flow Testing) and focused on delivering a pilot in secondary schools in Jan 2021. 	<p>of communities and businesses across Cumbria.</p> <ul style="list-style-type: none"> • The Council continues to have a 7-day per week allocated gold incident commander and silver commander cadre throughout. • The internal silver command group continues to meet twice weekly • A dedicated Assistant Director leads COVID-19 co-ordination with senior leadership also in place for major programmes of work such as Council's role in PPE management, vaccination programme, lateral flow testing and health and social care response and co-ordination requirements. • Following the pilot in Secondary Schools, a formal plan for a Community Lateral Flow Testing Programme was submitted to DHSC on 25 January with further financial modelling/delivery model detail submitted on 4 February. Written approval of the submission was received 23 February. Cumbria's plan focuses on the delivery of lateral flow testing to organisations via workplace testing and in the community for those people who are unable to work from home. This will include CCC staff. By mid-Feb over 60 organisations have been trained to undertake their own workplace testing to date and eleven publicly accessible community test sites have been established across the county. More sites will follow should the need arise. • The Corporate Resilience Team continue to link with national government and local partners.
	<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 	<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 have continued for the period April to December with resilient resource plan in place and reviewed weekly to balance required resource levels with the

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	<p>tactical co-ordinating groups via the Council’s gold and silver commanders.</p> <ul style="list-style-type: none"> 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. 	<p>importance of responder rest periods given length and ongoing nature of the incident.</p> <ul style="list-style-type: none"> A Business Continuity task and finish group undertook a review of the risks of concurrent disruptive incidents facing the Council during this winter period 2020/21 and presented their findings and recommendations in a report to CMT on 18th November 2020. 																					
<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 3 Risk Rating</p>																					
<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 	<p>This is a cross cutting risk and continues to impact many aspects of the Council and the Council Plan Delivery Plan (CPDP) including.</p> <p>1.1 We will continue to take the lead enabling role for multi-agency recovery from COVID-19 in Cumbria maximising opportunities and facilitating recovery across the county, with our communities.</p> <p>1.2 Ensure the restarting of County council services is aligned to new ways of working and builds on enhancements identified during the COVID-19 response.</p>	<table border="1"> <tr> <td colspan="4" data-bbox="1397 671 1906 762"> <p>Q3 RISK RATING likelihood x impact</p> </td> <td data-bbox="1906 671 2067 762"> <p>20</p> </td> </tr> <tr> <td colspan="2" data-bbox="1397 762 1579 850"> <p>Previous quarter</p> </td> <td colspan="2" data-bbox="1579 762 1760 850"> <p>Current quarter</p> </td> <td data-bbox="1760 762 1906 850"> <p>End Yr Target</p> </td> <td data-bbox="1906 762 2067 850"> <p>DOT</p> </td> </tr> <tr> <td colspan="2" data-bbox="1397 850 1579 927"> <p>20</p> </td> <td colspan="2" data-bbox="1579 850 1760 927"> <p>20</p> </td> <td data-bbox="1760 850 1906 927"> <p>20</p> </td> <td data-bbox="1906 850 2067 1018" rowspan="2"> <p></p> </td> </tr> <tr> <td data-bbox="1397 927 1494 1018"> <p>4</p> </td> <td data-bbox="1494 927 1579 1018"> <p>5</p> </td> <td data-bbox="1579 927 1675 1018"> <p>4</p> </td> <td data-bbox="1675 927 1760 1018"> <p>5</p> </td> </tr> </table>	<p>Q3 RISK RATING likelihood x impact</p>				<p>20</p>	<p>Previous quarter</p>		<p>Current quarter</p>		<p>End Yr Target</p>	<p>DOT</p>	<p>20</p>		<p>20</p>		<p>20</p>	<p></p>	<p>4</p>	<p>5</p>	<p>4</p>	<p>5</p>
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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 4
	<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 3 monitoring report will be presented to Cabinet on 18 March 2021. Financial Challenge Group continues to meet fortnightly.
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. Alongside the review of delivery of savings within the current financial year DMT’s will be reviewing the forecast delivery of savings for the 2021/22 financial year to inform the strategic planning process. 2021 impact of non-delivered savings built into 2021-2026 MTFP to be considered by Cabinet on 4 February 2021 for recommendation to Council on 18 February 2021.
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 	<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.

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	<p>children and adults. Implementation of revised financial decision-making delegations by People Services in respect of commissioned care packages and support.</p>	<ul style="list-style-type: none"> • 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. • Finance team continuing to support services to review COVID-19 related financial impact to inform the monthly MHCLG return.
<p>Underachieving of income budgets</p>	<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. • Fees & Charges have been reviewed as part of the strategic planning process and will be presented to Cabinet on 4 February 2021 for recommendation to Council on 18 February 2021. 	<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 reviewing the previous assumptions with regards to the COVID-19 impact on the 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. • Council Tax and Business Rates end of year returns being finalised with the Council supporting Districts where necessary. • Benchmarking of the local impact against statistical neighbours to take place in order to inform future planning with regards of Council Tax & Business Rates.
<p>Uncertainty of local government funding framework</p>	<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, including the Provisional Grant Settlement, are monitored, reviewed and implications, where known and quantifiable, are included in briefing notes to Corporate Management Team and Members. • The outcome of the Provisional Grant Settlement, and subsequent funding announcements, has been built into the 2021-2026 MTFP to be considered by Cabinet on 4 February 2021 for recommendation to Council on 18 February 2021. • As the Settlement is for one year only engagement and active participation with national groups and MHCLG continues.
<p>Increased demand for Statutory Services</p>	<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"> • The finance team continue to engage with Adult Social Care Operational Teams and the Commissioning Team with the aim to understand the financial impact of future demand for Adult Social Care Services. The Performance Team are currently undertaking demand modelling which will also inform this work. • The Finance Team continue to work closely with other service

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		areas to understand demand, particularly where impacted by COVID-19, e.g. ENCTS.																			
Independent assurance of key risk controls 2018/19 – Main Accounting System																					
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 3 Risk Rating																			
<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 will impact all Council Services and our ability to deliver the outcomes of the Council Plan. 1.10 All services delivered in line with their agreed 2020/21 revenue budget, including allocations of COVID-19-related grant.	<table border="1"> <tr> <td colspan="3">Q3 RISK RATING</td> <td>20</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>20</td> <td>20</td> <td>20</td> <td rowspan="2"></td> </tr> <tr> <td>4</td> <td>5</td> <td>4</td> </tr> </table>	Q3 RISK RATING			20	likelihood x impact				Previous quarter	Current quarter	End Yr Target	DOT	20	20	20		4	5	4
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3. WORKFORCE CAPACITY, SKILLS, RELATIONSHIPS, SAFETY & WELLBEING – Tracy Boustead 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 4
Workforce Plan 2018-2022 not delivered.	<ul style="list-style-type: none"> Workforce Plan and 20/21 Workforce Delivery Plan in place Organisational Change Senior Management Team provides monthly performance monitoring of Workforce Plan Delivery Plan and OD Board progress EPW Strategy Group in place chaired by ED Corporate & Customer Services to oversee Council Plan Target for EPW numbers and costs System wide Workforce Strategy for North & South Cumbria Health & Care System in place Senior Manager People Management role expanded to lead Organisational Development, Workforce Training and Apprenticeship 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 has been refreshed with Quarterly progress performance managed through SMT, DMTs and reported through the performance framework to OD Board, CMT and Cabinet members where required. EPW's being managed within each specific Directorate as part of their regular performance management. However due to COVID-19 demands this is likely to not meet Council Plan targets. Organisational Development, Workforce Training and Apprenticeship s teams being aligned to those of People Management to maximise capacity and ensure join up. People Management resource continues to link with Health and Safety team with new Wellbeing Group being formed to lead and co-ordinate county wide employee wellbeing initiatives in line with OD Board work programme. Appointment of Assistant Director, Workforce & Organisational Development (Dec 2020).
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 were not at detriment due to COVID-19 and associated welfare arrangements to support the workforce health and wellbeing. 	<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. Continuation of support for flexible and remote working. Relaunched staff COVID-19 helpline with extended hours of operation and an enhanced suite of measures to support the health wellbeing and resilience of the workforce. Introduced a new time management priority setting toolkit. We have launched our 3rd How are you staff pulse survey

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	<ul style="list-style-type: none"> Continuing focus on staff wellbeing and engagement initiatives to positively support and impact staff wellbeing and attendance. 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. 	<ul style="list-style-type: none"> Key themes have been identified from the survey and this will be fashioned into a 'You said, We did' response. The data is also being used for management decisions on how best to support the wellbeing of our workforce. Workplace stressors diagnostic to identify the root cause of workplace stress in response to this Pandemic. We have PPE requirements under ongoing review. Psychological support and targeted intervention to be launched.
<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 2020, now on intranet & being updated 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 continues 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 	<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 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. AD Organisational Change leading Lateral Flow Test Programme. AD Health and Social Care leading council input to NHS led vaccination programme Additional wellbeing actions in place to support colleagues experiencing challenges with new ways of work. Staff questionnaire and workforce categorisation completed which has informed the next phase of COVID-19 transition and return to the workplace where safe to do so. Specific measures put in place to support staff to return to the workplace, where safe to do so, for reasons of either physical, mental, or financial wellbeing are currently on hold due to 3rd

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	stakeholders.	<p>Lockdown.</p> <ul style="list-style-type: none"> • Development of temporary Home Working Guidance to support longer term home working requirements, which requires a strong H&S focus. • Significant H&S focus on supporting new model for schools from Sept 2020 and ongoing.
Service Reviews negatively impact on capacity or delivery of services.	<ul style="list-style-type: none"> • Programme of reshaping and service review revised where COVID-19 has needed to take priority. Regular planned meetings between management and recognised Trade Unions continue. • 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"> • Work has progressed to resolve 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 progressing as per normal schedule • Significant additional capacity and engagement time invested in Trade Union relations through meetings, consultation and co-production of new guidance which is ongoing. • In response to the 2019 LGA Peer review an independent evaluation of industrial relations has been commissioned.
<p>Independent assurance of key risk controls</p> <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. 		

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Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 3 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>This is a cross cutting risk and will impact all Council Services and our ability to deliver the outcomes of the Council Plan.</p> <p>1.3 In line with the changing world of work following the pandemic deliver the actions in the 2020/21 Workforce Plan Delivery Plan continuing our focus on organisational development and workplace health, safety and wellbeing by March 2021.</p>	Q3 RISK RATING likelihood x impact		20	Previous quarter	Current quarter	End Yr Target	DOT
		20	20	20				
		4	5	4				

4. Health and Social Care Demand and System Failure – Cath Whalley, Jo Atkinson, Fiona Musgrave & 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 and during subsequent waves of COVID-19 and/or winter pressures.		
Caused by	Key controls to manage the risk	Further planned activity around key controls for Q4
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 • ASC Winter Plan 2020/21 	<ul style="list-style-type: none"> • ASC Leadership team review of activity at a team level to identify any pressures and identify any actions required to support • Work with performance team to develop caseload management tool which will provide improved intelligence around team caseloads
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 • Use of interim EPW's to fill skills gap during recruitment process • Reshaping of ASC service now complete 	<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. • Ongoing recruitment campaign to fill outstanding vacancies in the ASC structure – this will include a range of measures to support hard to recruit posts and areas. • Ongoing review of the new ASC structure to understand any impact on 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. • In Q2, a letter has been received from the NHS CEO outlining Central Government Changes to the future of Health & Social Care. 	<ul style="list-style-type: none"> • We continue to work as a system to increase capacity. • The outcome of the LGA Peer review in the North is continuing to help reshape and improve 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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Increase in demand for Safeguarding referrals	<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"> Police access to IAS to screen appropriate referrals to adult service in place Case tracking data for health partners in place Safeguarding Adults service launch November 2020 ASC Safeguarding Adults Threshold Tool now adopted by CSAB 																		
Increase in demand due to winter pressures & second wave of COVID-19	<ul style="list-style-type: none"> Peer review undertaken to evaluate Winter Planning & Winter Pressures. DHSC Winter Planning Guidance issued Joint Winter planning events held with North and Morecambe Bay systems 	<ul style="list-style-type: none"> Response to DHSC guidance, outcome of Peer review, joint winter planning and other improvement work has been incorporated into a composite Adults Social Care Winter Plan – agreed by Adults DMT Learning from previous waves of COVID-19 and planning for COVID-19 recovery phase wave has also been incorporated. 																		
Uncertainty of future funding for additional costs in winter plan	<ul style="list-style-type: none"> Work is being undertaken with health partners to identify resources that can be used to implement some of the measures in the ASC Winter Plan 	<ul style="list-style-type: none"> There will be staff cost implications in supporting the Winter Plan. As such, additional staff cost pressures could be supported by Cumbria County Council's allocation of £1.972m COVID funding as they emerge, in addition to other sources of funding. 																		
Independent assurance of key risk controls -LGA Peer review in the North -Peer review of Winter Planning & Planning Pressures.																				
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 3 Risk Rating																		
<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. 	1.5 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. 2.1 Work with partners to develop more integrated service delivery models around: Admission avoidance, Discharge, Integrated Care Communities and Population Health by April 2021. 2.3 Develop and implement a service model for Mental Health and Learning Disabilities by Sept 2021.	<table border="1"> <tr> <td colspan="3" style="text-align: center;">Q3 RISK RATING likelihood x impact</td> <td style="background-color: red; color: white; text-align: center;">20</td> </tr> <tr> <td style="background-color: #d9e1f2;">Previous quarter</td> <td colspan="2" style="background-color: #d9e1f2;">Current quarter</td> <td style="background-color: #d9e1f2;">End Yr Target</td> <td style="background-color: #d9e1f2;">DOT</td> </tr> <tr> <td style="background-color: red; color: white; text-align: center;">16</td> <td colspan="2" style="background-color: red; color: white; text-align: center;">20</td> <td rowspan="2" style="background-color: red; color: white; text-align: center;">16</td> <td rowspan="2" style="background-color: yellow; text-align: center;"></td> </tr> <tr> <td style="background-color: red; color: white; text-align: center;">4</td> <td style="background-color: red; color: white; text-align: center;">4</td> <td style="background-color: red; color: white; text-align: center;">5</td> <td style="background-color: red; color: white; text-align: center;">4</td> </tr> </table>	Q3 RISK RATING likelihood x impact			20	Previous quarter	Current quarter		End Yr Target	DOT	16	20		16		4	4	5	4
Q3 RISK RATING likelihood x impact			20																	
Previous quarter	Current quarter		End Yr Target	DOT																
16	20		16																	
4	4	5			4															

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	<p>2.5 Building on the establishment of the Recovery mechanisms following COVID, further develop the ways of working across all strategic partnerships to ensure joined up response to cross-cutting themes such as Domestic Abuse, poverty, mental health and wellbeing and publish a shared protocol by March 2021.</p>	
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5. 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 following the first wave of COVID-19 and during subsequent waves of COVID-19 and additional winter pressures.		
Caused by	Key controls to manage the risk	Further planned activity around key controls for Q4
	Common Controls to manage demand across all areas <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 • ASC Winter Plan 2020/21 	
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	<ul style="list-style-type: none"> • Revisiting our Strategic system approach to Commissioning • Refreshing Joint commissioning intentions with CCG partners • 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 during and post COVID</p>	<ul style="list-style-type: none"> 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 An electronic system, to manage residential placements and monitor quality will be implemented by end of Quarter 3/ early Quarter 4. Continuing to explore more effective use of resources around direct payments & individual service funds
<p>Trust and confidence of the regulated care sector and the ability to meet the demands in a safe way during COVID-19.</p>	<ul style="list-style-type: none"> Continued focus on relationship management Working together across care market to maintain Quality & Safety Implementing an interim Quality Assurance process, to enable assessments to be conducted virtually/ via telephone. Home Care Provider on-line webinars have taken place. 	<ul style="list-style-type: none"> Continuing to work with CCG's around Winter pressures and wider medium/longer term commissioning plans Care Home Organisations on-line webinars are due to take place for the purpose of relationship building and to understand how we can provide additional support to them.
<p>Uncertainty of future government funding for market support</p>	<ul style="list-style-type: none"> The two tranches of the IPC grants are being fully utilised to support the care market 	<ul style="list-style-type: none"> Additional Department of Health & Social Care funding to be made available for Infection Prevention & Control in care homes.
<p>The impact of COVID-19 on staffing capacity as the result of infection, testing, track and trace and self-isolation. Potentially exacerbated by additional winter staff pressures due to flu and Norovirus.</p>	<ul style="list-style-type: none"> The Winter Plan outlines a number of mitigating actions to continuously review and help manage staff shortages. Availability and access to PPE now in place. 	<ul style="list-style-type: none"> Local Resilience Forum Care Home Group is actively managing the situation with support mechanisms developed during phase one now well embedded. Escalation process in now in place where a multi-agency response is required to support a care home. Mutual aid arrangements are now in place The Vaccine programme is being rolled out to staff and residents.
<p>Independent assurance of key risk controls</p> <ul style="list-style-type: none"> - The LGA peer review in the North, the peer review of Winter Planning & Planning Pressures, and the Department of Health & Social Care Winter Plan peer review have all taken place. The follow up action plans are currently being developed. - National CQC system review on the response to COVID-19 has taken place. 		

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Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 3 Risk Rating					
<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. 	<p>1.9 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.</p> <p>2.12 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</p> <p>2.14 Work towards increasing the proportion of homecare services delivered by Cumbria Care to 40% of the market share.</p>	Q3 RISK RATING likelihood x impact			20		
		Previous quarter	Current quarter	End Yr Target	DOT		
		16		20		16	
		4	4	5	4		

6.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 Q4
Insufficient resources to adequately implement the Plan	<ul style="list-style-type: none"> Resources flowing from Government through Test and Trace Support Grant and Contain Outbreak Management Fund over the short term. 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. 	<ul style="list-style-type: none"> Continuing to lobby government for clarity on longer term resourcing. Ongoing recruitment for additional staff for Contact Tracing & Testing as required.
Ineffective Data Integration	<ul style="list-style-type: none"> Condition of National Data on Contact Tracing improving. During Q3 we formally become part of the locally supported contact tracing system and we now have access to National Data System, and this is improving data integration although there remain challenges. 	<ul style="list-style-type: none"> Ongoing improvements to local data system.

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<p>Inability to Influence People’s behaviour to ensure compliance with National & Local COVID-19 guidance.</p>	<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. • During Q3, multiagency partners were given greater enforcement powers. 	<ul style="list-style-type: none"> • Communications campaigns will be adjusted dependent on local outbreaks and changes to the level of restrictions required. • Additional investment to enable people to access financial support where this will help them to self-isolate, is being put in place.
<p>Impact of new or amended Government-led programmes, controls and measures.</p>	<ul style="list-style-type: none"> • The Local Outbreak control plan outlines how Cumbria will manage the ongoing risk posed by COVID-19 however, any new or amended measures imposed by central government could have a significant impact on this risk. 	<ul style="list-style-type: none"> • Continuing to follow and support the National Program of Lockdown and Controls.
<p>Uncertainty around the impact of the Winter Flu Campaign</p>	<ul style="list-style-type: none"> • In Quarter 3, the Flu campaign and Flu vaccination programme was implemented to help reduce numbers of people getting flu and assist with the identification of people who have the COVID-19 virus. • The Communications campaign was also implemented during Q3 to support the Flu vaccination programme. 	<ul style="list-style-type: none"> • At present very low levels of Flu are circulating in the community.
<p>Ineffective roll out of the COVID-19 Vaccination Program</p>	<ul style="list-style-type: none"> • The NHS is responsible for the roll out of the Vaccination program with Public Health providing oversight of the plans in place for the roll out of COVID-19 vaccines as quickly and as equitably as possible in line with National prioritisations. • The County Council is responsible for the coordination and prioritisation of the vaccination of Council staff in accordance with the Joint Committee on Vaccination and Immunisation (JCVI) nationally identified priorities. 	<ul style="list-style-type: none"> • Increased engagement in data oversight and reporting to ensure equitable distribution of COVID-19 Vaccine across the County is under development.
<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 3 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 	2.6 Establish and embed a robust system for outbreak management and infection prevention and control, initially focused on COVID-19 but applicable in the longer term to wider health protection support with an integrated hub with Public Health England from October 2020.	Q3 RISK RATING likelihood x impact			20	DOT		
		Previous quarter	Current quarter		End Yr Target	DOT		
		15		20		15		
		3	5	4	5			

7.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 4
	<p>Common Controls across all risk causes 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 and this continues to increase. 	<ul style="list-style-type: none"> • It is hoped that the second Residential Home will be opened during Quarter 4 2020 or Quarter 1 2021 as further delays have been experienced due to COVID-19. • In Q3 & Q4 we are progressing further commissioning work with Blackpool, Lancashire & Blackburn & Darwin local authorities in a joint approach. • Ongoing fostering recruitment campaign
<p>Early help offer is ineffective in preventing Children’s needs escalating to need</p>	<p>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</p>	<ul style="list-style-type: none"> • The review of Early Help Panels is ongoing. • A review of Family Group Service will be completed by the end of Quarter 4 and has been delayed due to COVID-19 priorities. • The new Early Help Implementation Plan is in development. • Reviewing all of the commissioned Early Health Services in line

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<p>statutory social work intervention</p>	<p>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"> • The new Early Help Strategy was signed off during Q3 2020/21. • The nationally funded Social Workers in School (SWIS) Project commenced during Quarter 2 and 8 secondary schools have been identified to have social workers placed in their schools. All social workers have now been recruited to these posts and the project is ongoing. 	<p>with the new Early Health Strategy & Action Plan.</p> <ul style="list-style-type: none"> • The nationally funded Social Workers in School (SWIS) Project commenced during Quarter 2 and having recruited relevant staff this project is ongoing.
<p>Lack of Resources to meet increasing demand</p>	<ul style="list-style-type: none"> • Workforce Plan; specifically a proactive recruitment campaign, ongoing Continual Professional Development to add our ability to retain a good staff retention level and staff satisfaction. • The Aspiring Team Manager program has commenced during Q2. 	<ul style="list-style-type: none"> • Review all aspects of the Workforce Plan to ensure fit for purpose, this work is ongoing. • The National Assessment & Accreditation System for Social Workers (NAAS) project with the DFE was due to commence during Quarter 3 but is now on hold due to COVID-19. • The review of our progression program for social workers, advanced practitioner and team managers is still ongoing. • The Aspiring Advanced Practitioner program will commence in Q4.

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<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"> Our self-evaluation has been updated and we have our North West peer challenge in February 2021. The Ofsted annual conversion will take place during Q4 2020/21 																				
<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"> Cumbria Safeguarding Children’s Partnership continues to meet on a regular basis. Schools remain open for Vulnerable and Key Workers children and the service is working on encouraging on-site attendance of the vulnerable children. Health Partners and Health Visitors are also seeing Children during this third COVID-19 Lockdown period. 																				
<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 3 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>2.2 Increase community capacity to support effective early help delivery in localities.</p> <p>2.6 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, and ICT system further aligned by December 2021.</p> <p>2.9 Successfully implement the Children Looked After and Care Leavers Strategy and deliver the action plan by December 2021.</p> <p>2.10 Develop and publish a Children’s Trust Board Early Help Strategy by March 2021.</p> <p>3.8 Lead the development of community and locality based early help services which strengthen families to meet children’s needs earlier to prevent escalation with a</p>	<table border="1"> <tr> <td colspan="3" data-bbox="1397 783 1906 871"> <p>Q3 RISK RATING likelihood x impact</p> </td> <td data-bbox="1906 783 2072 871"> <p>16</p> </td> </tr> <tr> <td data-bbox="1397 871 1576 959"> <p>Previous quarter</p> </td> <td data-bbox="1576 871 1756 959"> <p>Current quarter</p> </td> <td data-bbox="1756 871 1906 959"> <p>End Yr Target</p> </td> <td data-bbox="1906 871 2072 959"> <p>DOT</p> </td> </tr> <tr> <td colspan="2" data-bbox="1397 959 1576 1031"> <p>16</p> </td> <td data-bbox="1576 959 1756 1031"> <p>16</p> </td> <td data-bbox="1756 959 1906 1031"> <p>16</p> </td> </tr> <tr> <td data-bbox="1397 1031 1498 1126"> <p>4</p> </td> <td data-bbox="1498 1031 1576 1126"> <p>4</p> </td> <td data-bbox="1576 1031 1677 1126"> <p>4</p> </td> <td data-bbox="1677 1031 1756 1126"> <p>4</p> </td> </tr> <tr> <td colspan="3" data-bbox="1397 1126 1906 1198"> <p>16</p> </td> <td data-bbox="1906 1126 2072 1198"> <p></p> </td> </tr> </table>	<p>Q3 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>16</p>		<p>16</p>	<p>16</p>	<p>4</p>	<p>4</p>	<p>4</p>	<p>4</p>	<p>16</p>			<p></p>
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<p>16</p>			<p></p>																			

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	<p>review complete February 2021. 3.9 Continue to develop and embed the new role and purpose for Children’s Trust Board including the development of locality partnership groups to drive children’s partnership agenda in relation to Think Family by October 2020.</p>	
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8.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 4
Inadequate information security arrangements	<ul style="list-style-type: none"> Information Security a key element of the 2020/21 ICT Plan Delivery Plan A suite of Information Management & System Security Policies in place. ICT Disaster Recovery & Service Continuity arrangements are 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, DKIM and DMARC. 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 SMT in June 20 specifically on the COVID 19 risk position. Report well received with appropriate controls and assurance in place. 	<ul style="list-style-type: none"> The ICT Health check report will be submitted to PSN for review once the outstanding critical and high vulnerabilities have been addressed. It is expected our annual PSN accreditation will be confirmed by the end of Q4. Given increase of public sector cyber-attacks (NE Universities and Hackney Council) and potential data losses from any system issues (eg national Police), AD Org Change chairs weekly ICT Security Board attended by key ICT and Security professionals. CCC procedures, records retention, backup and data recovery arrangements regularly reviewed and updated where required. LGA funding has been used to support certified information security professional training within the information security team. Creation of a new LRF Cyber Security Group and progress of new Cyber security Incident Response Plan. Internal Audit have timetabled a review of GDPR Phase 2 for Q3/4 2020/21 The audit scope and review of GDPR Phase 2 outstanding tasks has taken place. The Councils Information Asset Register was published on 15 January 2021 via SharePoint Online. All Information Asset Owners have been contacted to confirm their key Information asset register entries. Information Asset Register training options are under review with the Learning and Development Team. To improve the governance arrangements and provide assurance of compliance with regulatory requirements, an annual Data Protection Accountability Statement and CCTV Compliance Statement will be completed at the end of each year to align with

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	<ul style="list-style-type: none"> • 2020 ICT Health Check completed with remediation of vulnerabilities progressing. Weekly updates to dedicated Security meeting chaired by Assistant Director Org Change. • Data Loss Prevention (DLP) has now been enabled as part of the Microsoft 365 implementation. This functionality enables the information security team to monitor all external emails for sensitive information and provide challenge when deemed to be inappropriate. • The annual submission of the NHS DSP was completed at the end of Q1. • The format of the CCC Information Asset Register has been refreshed and a delivery proposal submitted to the SIRO Performance Reporting Group for ensuring all IAO/IAM have access to the IAR and are responsible for ensuring it is regularly reviewed and kept up to date. • A Data Protection Accountability Statement (DPAS) was presented to the Corporate Governance Group (CGG) on 29th Sept 2020 for review and this approach to Data Protection Compliance was approved. The ICO published their Accountability Framework on 7th Sept 2020 and CGG requested that the CCC DPAS is compared with the ICO version and then reviewed by Internal Audit. The DPAS is timetabled to be delivered alongside the CCTV Compliance Statement at end Q4. 	<p>the Council's Annual Governance Statement. Both documents are on track to be completed by the end of Quarter 4.</p>
<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 2020 and for completion target date by end Sept 2020. • Communications campaign ongoing to promote completion of the training alongside COVID-19 immediate response demands. • Funding has been received from LGA for Cyber Security accreditation training for the Information Security Team. The initial courses have been completed. Additional courses have

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		<p>now been made available from the same funding and will be completed during Q4.</p> <ul style="list-style-type: none"> • Planning/redesign of 2021-22 eLearning is now underway and scheduled for delivery on 1st April 2021. • eLearning will be supplemented throughout the year by quarterly employee communications on key/emerging thematic issues, delivery plan to be submitted to SIRO in early March 2021.
<p>Human error</p>	<ul style="list-style-type: none"> • Incident reporting framework, procedure & online 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. • 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. 	<ul style="list-style-type: none"> • All issues are discussed at weekly SIRO meetings, service teams and escalated to CMT as required. • A refreshed Data Breach Reporting Criteria submitted to/approved by SIRO Group on 14th January 2021.
<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). • 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 and plan for resubmission for 20/21 PSN accreditation. • 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. • June 2019 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. GDPR Phase 2 Internal Audit follow up planned for Q3/Q4 2020/21 		

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Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 3 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 will impact all Council Services and our ability to deliver the outcomes of the Council Plan, including;</p> <p>1.14 Deliver the actions in the 2020/21 ICT Plan Delivery Plan and further progress ICT improvement programmes with key partners, particularly the NHS and police by March 2021.</p>	Q3 RISK RATING (likelihood x impact)			15
		Previous quarter	Current quarter	End Yr Target	DOT
		15		15	
		3	5	3	5
				15	
<p>Although overall risk score recommended to remain at 15 (3 likelihood x 5 impact), additional controls have been implemented to maintain this risk level in a controlled manner given the ongoing and rising external threats and recent cyber-attacks to Public sector organisations and wider international sectors.</p>					

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 4
<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 used for advice regarding some existing contract performance/options and planned future ways forward. Some governance arrangements have been implemented through a COVID-19 Modification to contract and an ODR, with subsequent supplier checks and balances, as appropriate, on a case by case basis. More recent changes have been to move into a 'recovery phase' with regards to these earlier COVID related changes. Unfortunately, due to the third wave of COVID-19 both the on-going COVID-19 response and recovery phase activities remain a constant factor moving into 2020/21.
<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"> Whilst COVID-19 factors are taken into account on a contract by contract basis, on-going evidence continues to be sought of effective and proactive Contract Management and compliance as contracts are being routinely monitored and managed through Directorate Management Teams, with escalation to Corporate Management Team as appropriate.
<p>Independent assurance of key risk controls 2019/20 - Internal Audit of External Fostering Framework</p>		

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Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 3 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>This is a cross cutting risk and will impact all Council Services and our ability to deliver the outcomes of the Council Plan.</p>	Q3 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 4
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 The Academy Cohort has been progressed (in Q2) Staff Internal Progression Programmes, in the form of the Aspiring Team Manager program commenced in Q2 and has now finished. 	<ul style="list-style-type: none"> 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. A task and finish group will be reviewing commissioning arrangements regards the use of EPW’s (Status). A further Academy Cohort will be progressed within the first 2 Quarters of 2021/22. A Work Force Strategy Board has been set up to re-invigorate our external recruitment activity and program, with the first meeting of this Board taking place during Quarter 4.
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. Ongoing monitoring of performance, compliance and subsequent actions are monitored by the Quality & Development & the weekly Performance Board. The Audit Quality Assurance Framework has been revised, approved and launched in Q3. 	<ul style="list-style-type: none"> Routine monitoring of performance is carried out to evaluate regulatory compliance, with any follow up actions taken to make further improvements.

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<p>Training and supervision being ineffective or inadequate</p>	<ul style="list-style-type: none"> • Quality Assurance Framework in place to ensure compliance and adequacy. • The Audit Quality Assurance Framework has been revised, approved and launched in Q3. • Children’s Workforce Strategy in place. 	<ul style="list-style-type: none"> • A revised training needs plan will be clarified and progressed over the coming 6 months. • An updated Supervision Policy will be signed off during Quarter 4. • An audit will be carried out during Quarter 4 to evaluate staff feedback on the Quality of their Supervision.
<p>Breakdown of partner relationships</p>	<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. • The Children’s Trust Board has developed and launched a new early help strategy due for implementation. • Implementation Plan for Children’s Services to include CCC as a good partner. 	<ul style="list-style-type: none"> • During COVID-19, Cumbria Safeguarding Children’s Partnership continues to meet on a regular basis. • The Children’s Trust Board continues to meet regularly to ensure effective partner relationships at this challenging time. This Board has also established Locality Children and Family Groups linked to Resilience Groups within the Districts who are taking the lead for Children around COVID-19 response and recovery as well as Think Family. • The first area of safeguarding practice the groups are focusing on is Child in Need (CIN). The groups are meeting in January and February 2021 to pull out the key points of learning from the quality assurance work that has been undertaken, this will be developed into an action plan for each group and learning events will be held at the March 2021 Cumbria Safeguarding Children Partnership Practitioner Forums.
<p>Independent assurance of key risk controls</p> <p>2019/20 – Internal Audit of Recruitment and retention of social workers in Children’s Services.</p>		

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Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 3 Risk Rating					
<ul style="list-style-type: none"> • Serious injury or death to a Child or young person • Investigations carried out by a Serious Case Review (SCR) • Liability claims against the Council • Reputational damage to the Council 	2.7 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.	Q3 RISK RATING likelihood x impact				10	
		Previous quarter	Current quarter		End Yr Target	DOT	
		10		10		10	
		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 4
Staff shortages: a lack of capacity or capability	<ul style="list-style-type: none"> Rolling recruitment campaign Workforce & Practice Board in place. Weekly Leadership Team Meetings discuss issues in relation to the recruitment of permanent staff Incentive proposal taken to DMT for hard to reach areas 	<ul style="list-style-type: none"> Safeguarding Service was implemented November 2020 Recruitment of EPW staff to fill gaps in new Safeguarding Service staff structure.
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. New Safeguarding Procedure has been reviewed by Leadership Team and also CSAB adopting the procedure Internal audit receiving final papers and assurance. 	<ul style="list-style-type: none"> Review of policy and guidance ongoing Performance monitoring systems are reported on weekly/monthly and quarterly basis to Leadership Team Meetings to identify early any concerns to be addressed at all levels from operations to Senior leadership level.
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 Principal Social worker for ASC; to lead training on the post-qualifying standards for adult Social Workers and Principal Social Workers and to 	<ul style="list-style-type: none"> ASC mandatory training offer finalised including additional training for members New Safeguarding Training Competency Passport due to launch in 2021. This allows for evaluation on My Learning for all ASC staff including Senior Leaders and members Key specialist safeguarding training plan review completed and commissioned. Dates provided for 2021

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	<p>support practice standards and effective supervision and learning across Adults.</p> <ul style="list-style-type: none"> • Safeguarding Threshold guidance tools in place. 																			
Breakdown of partner relationships	<ul style="list-style-type: none"> • The Cumbria Safeguarding Adult Board (CSAB) has recently redefined its purpose and terms of reference for its subgroups • CSAB has published its Business Plan, including mitigations around COVID-19 and Recovery. • Recent development of operational safeguarding interventions through weekly meetings with Health & Police colleagues. • Cumbria Safeguarding Adult Board continues to receive assurance from all partners on the ongoing impact of COVID-19 • The Performance & Quality oversight and reporting has been refined to make it easier to monitor issues 	<ul style="list-style-type: none"> • Monthly CSAB Assurance and Business Continuity meetings with exec board members continue to take place during COVID-19. • CSAB continues to ensure training, learning and communications are available and adapted for the current situation • During COVID-19 different parts of the system have been reporting in about their Safeguarding arrangements during the pandemic with satisfactory outcomes. 																		
<p>Independent assurance of key risk controls 2019/20 – Internal Audit of Safeguarding Adults</p>																				
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 3 Risk Rating																		
<ul style="list-style-type: none"> • Serious injury or death to an adult • Investigations carried out by a Safeguarding Adults review (SAR) • Liability claims against the Council • Reputational damage to the Council 		<table border="1"> <tr> <td colspan="3">Q3 RISK RATING</td> <td>10</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>10</td> <td>10</td> <td rowspan="2">10</td> <td rowspan="2"></td> </tr> <tr> <td>2</td> <td>5</td> </tr> </table>	Q3 RISK RATING			10	likelihood x impact				Previous quarter	Current quarter	End Yr Target	DOT	10	10	10		2	5
Q3 RISK RATING			10																	
likelihood x impact																				
Previous quarter	Current quarter	End Yr Target	DOT																	
10	10	10																		
2	5																			

12. Impact on Council Services of exiting the EU 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 EU 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 4
Competing priorities limiting preparations	<ul style="list-style-type: none"> On 24 December, a deal on the UK's future trading and security relationship with the European Union was agreed, a week before the end of the transition period on 31 December 2020. The Councils EU Exit Working Group has been in place and meeting regularly since September 2018 to coordinate cross organisational preparations for both an EU Exit with a negotiated Deal and a without a negotiated Deal. CMT received update reports on EU Exit Council Preparedness on 27 March & 23 Oct 2019 and Cabinet received an update on 23 Dec 2020. In August 2019, an EU Exit Lead Officer was identified as requested by MHCLG, the Council's EU Exit Lead Officer being the Executive Director Corporate, Customer and Community Services. Continuity of leadership remains, officer leadership remains. During Q3 2020, further planning took account of the multiple risk scenario resulting from the ongoing COVID-19 pandemic, the potential for severe weather events and pressures on the Health & Social Care Systems. A report on the potential risks and issues resulting from this scenario was presented to CMT on 18 November 2020. 	<p>SHORT/ MEDIUM TERM IMPACT ON SERVICE PROVISION</p> <ul style="list-style-type: none"> The Local Resilience Forum, Multiagency EU Exit planning subgroup and the Multi Agency Information Cell (MAIC) remain in place to provide oversight as well as identify and escalate any issues or further risks arising from the new trade agreement. The Council's EU Exit Working Group will continue to meet every quarter to review risk assessments and specific milestones. Ongoing liaison with the Local Enterprise Partnership to monitor the impact on all sectors of the business community. <p>MEDIUM/ LONG TERM REFORM</p> <ul style="list-style-type: none"> The EU/UK trade agreement will be closely reviewed by all relevant Service areas and their respective risk assessments refreshed to track any unplanned impacts or initiate any reform required as a result of the negotiated deal. These developments, known and emerging risks and issues will continue to be monitored to inform decision-making and further activity.

	<ul style="list-style-type: none"> The Council's Business Continuity Plans have been reviewed and refreshed in context of the most significant and concurrent impacts of a multiple risk scenario and also in context of changing National Planning Assumptions. Also, during Q3 the Local Resilience Forum established a Multiagency EU Exit planning subgroup to provide adequate planned arrangements to respond to a range of scenarios. In addition, the Multiagency Information Cell (MAIC) is in place to collate intelligence and evidence of notable impacts and escalate as necessary. 	
<p>Increased reliance on ICT & Cyber security concerns</p>	<ul style="list-style-type: none"> Due to COVID-19, changes to working practises and especially the introduction of Home Working was introduced, and subsequent VPN capacity was increased to meet demand. Existing and new Internal controls and mitigations are in place to address increasing concerns over cyber security and are detailed in Corporate Risk No.7 Information Security Arrangements, specifically 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. The specific ICT & Data Protection risk assessments will be kept under review during Quarter 4 and onwards.
<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. An Adequacy decision will not be made by the European Data Protection Board until after the transition period. Interim arrangements are now in place for up to 6 months between UK and EU. Data flow will continue however, preparations still need to be in place in case no adequacy decision by end of June 2021. 	<ul style="list-style-type: none"> The specific ICT & Data Protection risk assessments will be kept under review during Quarter 4 and onwards.

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	<ul style="list-style-type: none"> • During Q3, the Council undertook a follow up survey to identify Council Services receiving data from EU countries and to identify any new emerging risks. The survey confirmed that this risk remains low. 	
<p>Disruption to Supply Chains & supplies of medication in particular (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 have been received from critical and major suppliers about supply chain 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 arrangements (including the supply of PPE). • Transport of medication supplies has been reviewed by central Government and contingency plans are in place. • CFRS to ensure periodic servicing, testing and inspection of vehicles and equipment is up to date. 	<ul style="list-style-type: none"> • Any concerns over supply chain disruption are being monitored and any evidence of notable impacts will be escalated as necessary.
<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"> • With a trade deal in place at the end of Quarter 3, the agreement guarantees zero tariff and zero quota trade on goods from 1 January 2021. • There is however, still the potential for additional costs associated with non-tariff barriers, the impact of which will have to be monitored over time. • Assurances received from major and critical suppliers about risks and business continuity planning. • Recycling of high demand equipment will be prioritised, where relevant. Review of current CFRS Fleet and Asset Strategy – vehicle replacement profile. 	<ul style="list-style-type: none"> • The Short, Medium & Long term economic impacts on Council Services, The Council Plan and the wider economy will continue to be monitored from 1 January 2021 and escalated as necessary.

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<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, food importers and manufacturers of animal feed to carry out checks of goods coming into Cumbria directly. • There will be regular liaison with port authorities to monitor imports and inspect documents/goods where necessary. • Officers are actively promoting and signposting importing businesses to national and local sources of information, advice and guidance. • Additional capacity being sourced to enable the pre-checking of goods entering Cumbria. 	<ul style="list-style-type: none"> • The specific Trading Standards Services risk assessment will be kept under review during Quarter 4 and onwards. 																				
<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"> • 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 have been raised by affected staff. • The ASC Winter Plan 2020/21 includes a number of staff related mitigating actions. 	<ul style="list-style-type: none"> • Legislation & Policy Changes will be tracked going forward. • The Workforce risk assessment will be kept under review during Quarter 4 and onwards. 																				
<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 3 Risk Rating</p>																				
<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. 	<p>This is a cross cutting risk and may impact various aspects of Council Services and our ability to deliver the outcomes of the Council Plan.</p>	<table border="1"> <tr> <td colspan="3" style="text-align: center;">Q3 RISK RATING likelihood x impact</td> <td style="text-align: center;">9</td> </tr> <tr> <td colspan="2" style="text-align: center;">Previous quarter</td> <td colspan="2" style="text-align: center;">Current quarter</td> <td rowspan="2" style="text-align: center;">End Yr Target</td> <td rowspan="2" style="text-align: center;">DOT</td> </tr> <tr> <td colspan="2" style="text-align: center;">9</td> <td colspan="2" style="text-align: center;">9</td> </tr> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">3</td> <td style="text-align: center;">3</td> <td style="text-align: center;">3</td> <td style="text-align: center;">9</td> <td style="text-align: center;"></td> </tr> </table>	Q3 RISK RATING likelihood x impact			9	Previous quarter		Current quarter		End Yr Target	DOT	9		9		3	3	3	3	9	
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