

COUNCIL CORPORATE RISK REGISTER PROGRESS REPORT

(Quarter 1 - Progress to 30 June 2021)

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

Improving  Sustaining  Declining  since the last quarter

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

1.Deliver a Financially Sustainable Authority – Pam Duke		
There is a risk that the Council’s revenue & capital budget is insufficient to fund current services over the medium term		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
	<p>Common Controls across all risk causes</p> <ul style="list-style-type: none"> • Monthly financial monitoring and reporting via Directorate Management Teams and Corporate Management Team – with quarterly reporting to Cabinet • Financial Challenge Group in place to consider all aspects of financial sustainability (revenue and capital). • Monthly reports continue to be prepared following engagement with Service Managers, Assistant Directors and DMT’s with final reports being presented to CMT. • A 2020-21 Revenue and Capital Draft Outturn and Year-End Progress update was presented to CMT on 21 April 2021 and to the Leader and Deputy Leader on 27 April 2021. • The Provisional Financial Outturn report was presented to CMT on 12 May, to Cabinet Briefing on 27 May and was reported through a Leader decision record in June 2021. • Regular briefings with Portfolio holder’s and Leader by Assistant Director’s and Director of Finance 	<ul style="list-style-type: none"> • The Financial Challenge Group continues to meet fortnightly. • The end of May budget monitoring position was reported to DMT and CMT linked to COVID expenditure and general position
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 	<ul style="list-style-type: none"> • Strategic Planning has commenced with ELT Members actively working on the identification of savings proposals to meet both current MTFP Budget Gap and any ongoing impact of non-delivery of existing MTFP Savings. The outcome of this work to be reviewed by Financial Challenge Group and CMT during

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	<p>delivery of MTFP savings. Remediation activity identified where required.</p> <ul style="list-style-type: none"> • 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. • Forecast delivery of savings is reported to DMT's and the Financial Challenge group on a monthly basis. 	<p>August. Leading to Cabinet discussions in Sept/ October.</p> <ul style="list-style-type: none"> • Financial Challenge Group to review delivery of MTFP savings regularly throughout the Quarter. • Some of the vacancies being held within the Finance Team have been recruited to with successful candidates due to start with the Council over the next few months. These posts will support benefits realisation of MTFP savings and Innovation Funded projects. • Establishment of an Adult Social Care Financial Sustainability Board to review and model future demand for Adult Social Care services and actions to ensure sustainable funding position is achieved
<p>Underspending/ Overspending of budgets</p>	<ul style="list-style-type: none"> • Budget monitoring process improved to reduce time taken to produce budget monitoring reports for CMT providing earlier notification of the budget position and earlier agreement of mitigating actions should they be required. • Rigorous assessment and authorisation of significant areas of expenditure e.g. care packages for vulnerable children and adults. Implementation of revised financial decision-making delegations by People Services in respect of commissioned care packages and support. • Actual and forecast additional spend relating to COVID-19 is being monitored on a monthly basis and reported to MHCLG, Members and CMT. 	<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. • 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. • Continue to maximise appropriate grant funding for COVID related expenditure
<p>Overspending of capital budgets</p>	<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 of significant capital schemes through the establishment of finance sub-groups, eg for CSLR 	<ul style="list-style-type: none"> • Governance to be reviewed with a focus on the escalation process for capital schemes forecasting overspends, either in total or for particular elements of the scheme. • Continued lobbying around national cost increases as a result of COVID/ Brexit


Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	<ul style="list-style-type: none"> • Lead officers and members briefed on potential cost increases as a result of COVID and Brexit with lobbying for national response through LGA, SCT etc 	
Underachieving of income budgets	<ul style="list-style-type: none"> • Quarterly meetings with District Council Technical Finance Officers – to review forecasts of Business Rates Income (and appeals) and Council Tax receipts. • Fees & Charges were agreed by Council on 18 February 2021 with the achievement of 2021/22 income targets being closely monitored through the usual budget monitoring process 	<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 continues to review 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. • Benchmarking of the local impact against statistical neighbours to take place in order to inform future planning with regards of Council Tax & Business Rates. • COVID grant funding for lost income reviewed and maximised
Uncertainty of local government funding framework	<ul style="list-style-type: none"> • Continue to monitor Government funding announcements, respond to requests for information as appropriate. • Direct dialogue with MHCLG financial sustainability team ensuring that the “Cumbria voice” is heard during consultations and lobbying exercises. • Active participation in national groups e.g. Society of County Treasurers, North West ADASS Group (adult Social care), LGA and CCN. 	<ul style="list-style-type: none"> • Regular dialogue with MHCLG and active participation with national groups remains an ongoing priority. • Funding announcements are monitored, reviewed and implications, where known and quantifiable, are included in briefing notes to Corporate Management Team and Members. • As the Settlement was for one year only engagement and active participation with national groups and MHCLG continues.
Increased demand for Statutory Services	<ul style="list-style-type: none"> • Established Programme Boards continue to monitor and manage demand in key service areas. • Establishment of an Adult Social Care Financial Sustainability Board to review and model future demand for Adult Social Care services. 	<ul style="list-style-type: none"> • The Finance Team continue to work closely with other service areas to understand demand, particularly where this is being or has been impacted by COVID-19, e.g. ENCTS.
Independent assurance of key risk controls 2018/19 – Main Accounting System		

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating					
<ul style="list-style-type: none"> 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 	<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>1.10 All services delivered in line with their agreed 2020/21 revenue budget, including allocations of COVID-19-related grant.</p>	Q1 RISK RATING likelihood x impact				20	
		Previous quarter		Current quarter		End Yr Target	DOT
		20		20		20	
		4	5	4	5		

2. 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 2
<p>Workforce Plan 2018-2022 not delivered.</p>	<ul style="list-style-type: none"> • Workforce Plan and 20/21 Workforce Delivery Plan in place • 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. • 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 • 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. • 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"> • Recommendation to continue with COVID-19 safe measures to support workforce health, safety and wellbeing. • Commencing LGA peer led service review to identify strengths and areas of development across Workforce & Organisational Development, to ensure alignment with organisational priorities • 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. • 'Reconnection' stage of New Ways of Working Transition Plan in progress. • Development of recruitment and retention interventions for 'hard to fill' Social workers in progress • Review of 'EPW' provider contract to support statutory service needs on a temporary basis, due to reduced candidate pool and concerns regarding current contract provision. • Review and refresh of apprenticeship marketing strategy • Development of employability pathways ie. Traineeships • Identify capacity planning requirements for forthcoming HMICFRS inspection due February 2022.

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

<p>High staff absence levels</p>	<ul style="list-style-type: none"> • A refocussed approach from sickness absence management approach to wellness, including a review of workplace stressors and root cause. • 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"> • Academic research will commence with Dr Vickers, a specialist in organisational development and human resources interventions and solutions, in support of our approach to deep dive sickness absence management, benchmarked with best industry practice. • Continuation of support to those shielding and self-isolating and supporting them through Occupational Health to return to the workplace following the government's lifting of Covid-19 measures. • Manager's Guidance to support New Ways of Working in progress. • Working Group to consider the impact of government guidance in respect of mandatory vaccinations for care workers. • Monitoring the impact of self-isolation on workforce capacity and business continuity for essential front-line services. • Workplace stressors diagnostic to identify the root cause of workplace stress in response to this Pandemic in progress. • Psychological support and targeted intervention in progress.
<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 followed across Council services during pandemic. • 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. 	<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 in response to lifting of Covid-19 measures. • Additional wellbeing actions in place to support colleagues experiencing challenges with new ways of work. Commencement of key priorities, as part of New Ways of Working, reflecting our 'Reconnection' stage in the Transition Plan. • Specific measures put in place to support staff to return to the workplace, where safe to do so, for reasons of either physical,


Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	<ul style="list-style-type: none"> Weekly meetings in place with recognised Trade Unions to focus on COVID H&S issues. Any changes as a result of COVID closely managed with documented risk assessments and safe systems of work in place and communicated to key stakeholders. Undertaking recruitment in Occupational Health & People Management to build capacity following a number of resignations & internal promotions 	<p>mental, or financial wellbeing.</p> <ul style="list-style-type: none"> Home Working Guidance in place but will be strengthened in Q2 to support longer term home working requirements, which requires a strong H&S focus. Significant H&S focus on supporting new model for schools ongoing and well received by School Heads, Governors and Trade Union colleagues.
<p>Service Reviews negatively impact on capacity or delivery of services.</p>	<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"> A focus on meaningful consultation and genuine partnership working continues.
<p>Industrial Relationships between the Council and Trade Unions.</p>	<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. JCGs progressing as per normal schedule 	<ul style="list-style-type: none"> 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 the Nurturing Industrial Relations Development programme launched and progressing during Q2. The Pay & Grading Review process goes live in Q2.
<p>LGR and workforce planning</p>	<ul style="list-style-type: none"> LGR Programme Board in progress and dedicated Workforce & Organisational Development workstream identified. 	<ul style="list-style-type: none"> Scoping of Workforce & Organisational Development workstream key priorities. Identification of additional capacity to support this workstream
<p>Disclosing & Barring Service (DBS) Inspection Concerns</p>	<ul style="list-style-type: none"> People Management and Service Centre working collaboratively to establish the risks and pulling together an action plan to deliver essential work in respect of DBS. Complete the registration process for a new lead signatory. 	<ul style="list-style-type: none"> Seek additional capacity to support the completion of key tasks. Undertake requirements following the inspection. Identify future options for the delivery of DBS.

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

Independent assurance of key risk controls							
<ul style="list-style-type: none"> • LGA Peer Review in progress during Quarter 2. • The North West Employer's Diagnostic tool was launched in Quarter 1. • Service review commencing Quarter 2. • Hull University Workplace Stress Review ongoing (progressed in Quarter 1) • Academic Review on absence and wellbeing progressing Quarter 2. • Independent Pay & Grading Review progressing Quarter 2. 							
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating					
<ul style="list-style-type: none"> • Major injury, illness or fatality • Non delivery of services or financial savings • Non delivery of prioritised workforce skills and apprenticeship targets. • Trade Union relationship challenges with increased numbers of grievances, formal disputes or industrial action (and queries in relation to COVID-19). 	<p>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>1.2 In line with the changing world of work following the pandemic deliver the actions in the 2021/22 Workforce Plan Delivery Plan continuing our focus on organisational development and workplace health, safety and wellbeing by March 2022.</p>	Q1 RISK RATING likelihood x impact			20		
		Previous quarter	Current quarter		End Yr Target	DOT	
		20		20		20	
		4	5	4	5		

3. 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 further waves of COVID-19 and additional winter pressures.		
Caused by	Key controls to manage the risk	Further planned activity around key controls for Q2
	<p>Common Controls to manage demand across all areas</p> <ul style="list-style-type: none"> • System wide strategic engagement • Weekly leadership team meeting • Weekly transformation programme meeting • Weekly performance reporting on activity • Bed Capacity meetings • Long length stay meetings • Ongoing monitoring of demand • ASC Winter Planning for 2021/22 underway. 	<p>Common Controls to manage demand across all areas</p> <ul style="list-style-type: none"> • Define Key Strategic Priorities • The development of an interim position statement for the next 12 months is underway. • Map the sustainability and recovery for Care Homes is ongoing • Planning for 2021/22 winter pressures including the financial agreements for both CCG's especially around 'discharge to assess' (D2A) is underway. • Develop increased capacity within communities by increasing engagement with the third sector and the use of community micro-enterprises is ongoing. • The consideration of options for Home Care capacity building is ongoing. • Develop financial agreements to support hospital discharges in line with DHSC guidance is ongoing. • Develop an 'Agency' Framework during Q1/Q2
<p>Changes in types and volumes of demand for services Increased demand for support at home Significant reduction in residential and nursing care demand impacting on care homes financial</p>	<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 • During Q4, 'Designated Settings' were 	<ul style="list-style-type: none"> • The use of demand analysis during COVID-19 response and recovery to model future demand is ongoing • 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

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

<p>viability</p>	<p>developed to house people who were leaving hospital and who had tested positive for COVID-19 when discharged from hospital.</p>	<ul style="list-style-type: none"> • 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 • There is a need to review the position for ‘Designated Settings’ during Quarter 2.
<p>Increased costs of delivering services that are safe and effective during and post COVID-19.</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"> • We will continue to support the market where appropriate to be financially viable • The review of iBCF funded schemes to identify best use of resources is still ongoing and will continue for the rest of 2021/22. • Continuing to explore more effective use of resources around direct payments & individual service funds. • There is a continuing increase in demand for Home Care that as a Health & Social Care System we are trying to find ways of managing that demand better.
<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 • An interim Quality Assurance process, to enable assessments to be conducted virtually/ via telephone is still in the development and implementation stage. • Home Care Provider on-line webinars have taken place and are ongoing for the purpose of relationship building and to understand how we can provide additional support to them. 	<ul style="list-style-type: none"> • Continuing to work with CCG’s around Winter pressures and wider medium/longer term commissioning plans
<p>Uncertainty of future government funding for market support</p>	<ul style="list-style-type: none"> • Additional Infection Prevention and Control (IPC) funding has been received and has been distributed to the Care Market to provide financial support. 	<ul style="list-style-type: none"> • Recovery of Hospital Discharge funding from CCG comes to an end 30 September 2021 and the work needed to secure new arrangements beyond that point requires to be accelerated during Quarter 2. • In Quarter 2, there will be distribution of a further Infection Prevention and Control grant to the Care Market

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

<p>The impact of COVID-19 on staffing capacity and resilience 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"> • Availability and access to PPE is in place. • During late Q3 and into early Q4, a significant response was provided to support market stability and sustainability as a direct result of staff being COVID-19 positive and either being ill or asymptomatic. • The Local Resilience Forum Care Home Group remains in place with a focus on Recovery and Development. • An escalation process remains in place should it be needed. • Mutual aid arrangements remain in place. 	<ul style="list-style-type: none"> • From 22nd July and in line with Government guidance, the Council will be required to implement a mandatory vaccination programme for care home staff and will have 16 weeks to comply. • Care home staff are being encouraged to be vaccinated but there is a risk that some staff may chose to leave before or during this period, and this is being monitored. • Work has commenced on the 2021/22 System Wide Winter Plan, with the intention of developing mitigating actions to help manage staff shortages. 																					
<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 and this work is ongoing. - National CQC system review on the response to COVID-19 has taken place. 																							
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<p>Quarter 1 Risk Rating</p>																					
<ul style="list-style-type: none"> • Failure to deliver a well-integrated service to our customers/the public. • Potential fatalities • Impact on budget • Reputational damage to the Council/Partnerships. 	<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>	<table border="1"> <thead> <tr> <th colspan="4">Q1 RISK RATING likelihood x impact</th> <th>20</th> </tr> <tr> <th colspan="2">Previous quarter</th> <th colspan="2">Current quarter</th> <th>End Yr Target</th> <th>DOT</th> </tr> </thead> <tbody> <tr> <td colspan="2">20</td> <td colspan="2">20</td> <td rowspan="2">20</td> <td rowspan="2">↓</td> </tr> <tr> <td>5</td> <td>4</td> <td>5</td> <td>4</td> </tr> </tbody> </table>	Q1 RISK RATING likelihood x impact				20	Previous quarter		Current quarter		End Yr Target	DOT	20		20		20	↓	5	4	5	4
Q1 RISK RATING likelihood x impact				20																			
Previous quarter		Current quarter		End Yr Target	DOT																		
20		20		20	↓																		
5	4	5	4																				

4. Health and Social Care Demand and System Failure – Cath Whalley and Fiona Musgrave		
There is a risk that Health and Social Care Services will continue to experience an increase in unmanageable levels of demand and increased complexity of needs 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 Q2
Increased number of individuals requiring health care and support	Common Controls to manage demand across all areas <ul style="list-style-type: none"> • System wide strategic engagement • Cumbria Safeguarding Adults Board (CSAB) • Weekly leadership team meeting • Weekly transformation programme meeting • Weekly performance reporting on activity • Mental Health Concordat (bi-monthly) • Multi-Agency Mental Health Crisis Care meeting (fortnightly meetings) • Bed Capacity meetings • Long length stay meetings • ASC Winter Plan 2021/22 	<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 • Survey being carried out across the Short- and Long-Term Adult Teams to look at current tasks and demands on teams • Social Care system meetings established to monitor impact on the system with senior leadership representation. The frequency of meetings is responsive to the level of cases and demands on services. • 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 • 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. 	<ul style="list-style-type: none"> • Continue to review service users by year end; arising from initial and subsequent COVID-19 period where funded under the national guidance – prioritised activity across ASC. Priority review programme has been central to work throughout COVID-19 and will continue to manage priority demand. • Refreshed recruitment campaign to go live in Quarter 2 to fill social work and occupational therapy vacancies • Ongoing review of the new ASC structure to understand any impact on demand management with short- and long-term intervention teams

	<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 and the resource required to support this. • Work with partners to develop more integrated service delivery models and increase capacity. • NHS Integration & Innovation White Paper published, setting out proposals for the Health & Care Bill. We are awaiting further Social Care guidance from Government. • We also work alongside District Council on Changing Futures and New Ways of Working in areas such as homelessness and with people with complex needs. 	<ul style="list-style-type: none"> • We will be reviewing key participation at the Strategic Systems Level to make sure: <ul style="list-style-type: none"> - We have appropriate representation - We have effective mechanisms for sharing the approach and relevant information • We expect to receive a final version and detail of the Governments plans for NHS reform and integrated care, in the form of the Health and Care Bill 2021-22 during Quarter 2. • We will continue to work with Partners to respond to the NHS Health and Care Bill 2021-22 and consider the impact on the System and for ongoing working at Place.
<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 • Transfer of Care Hub is now established in the North of the County to support timely discharge from hospital • Robust triage processes implemented across 	<ul style="list-style-type: none"> • Joint working with health partners is for Integrated Care and Assessment model to go live in the South of the County • Additional resource has been identified to support the implementation and delivery of the Integrated Care and Assessment Team • 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 • 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.

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	urgent care MH services in response to COVID-19.	
Increase in demand for lower level needs, especially mental health needs	<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.
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 Police access to IAS to screen appropriate referrals to adult service in place Case tracking data for health partners in place ASC Safeguarding Adults Service in place CCC Safeguarding Adults Threshold in place 2020 CCC New Safeguarding Policy 2021 Multi-Agency (CSAB) Safeguarding Adults Procedure now in place 2021 ASC Safeguarding Adults Service assisted ASC Learning Disability services with Safeguarding Adults referrals to that service area to provide additional capacity and consistency of procedure application. 	<ul style="list-style-type: none"> CCC Safeguarding Adults Risk Prioritisation Tool to be implemented during 2021. Ongoing review of trends in safeguarding referrals to understand key drivers and source of referrals to be able to match service capacity.
Increase in demand due to winter pressures & further waves 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 Response to DHSC guidance, outcome of 	<ul style="list-style-type: none"> Input to Winter Planning 2021/22 has commenced and is ongoing Ongoing joint work with health partners in the North and the South to implement measures to further support discharge from hospital and admission avoidance.

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	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 to meet COVID-19 response needs and Winter Planning for 2021/22.	<ul style="list-style-type: none"> Funding was agreed with health partners to identify resources to implement measures in the ASC Winter Plan 	<ul style="list-style-type: none"> There will be ongoing staff cost implications in responding to COVID-19 and to support the 21/22 Winter Plan. Work is being undertaken with Council finance and health partners around continuation of funding and identifying estimated costs to meet Winter demands in 21/22. 																					
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 1 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 November 2021 . 2.5 Building on the establishment of the Recovery mechanisms following COVID, further develop the ways of working across all strategic partnerships to	<table border="1"> <tr> <th colspan="4">Q1 RISK RATING likelihood x impact</th> <th>16</th> </tr> <tr> <th colspan="2">Previous quarter</th> <th colspan="2">Current quarter</th> <th>End Yr Target</th> <th>DOT</th> </tr> <tr> <td colspan="2">16</td> <td colspan="2">16</td> <td rowspan="2">16</td> <td rowspan="2" style="text-align: center;">↓</td> </tr> <tr> <td>4</td> <td>4</td> <td>4</td> <td>4</td> </tr> </table>	Q1 RISK RATING likelihood x impact				16	Previous quarter		Current quarter		End Yr Target	DOT	16		16		16	↓	4	4	4	4
Q1 RISK RATING likelihood x impact				16																			
Previous quarter		Current quarter		End Yr Target	DOT																		
16		16		16	↓																		
4	4	4	4																				

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	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.	
--	---	--

5.Increasing demand on Children’s Services - Lynn Berryman		
There is a risk that Children’s Services will experience a further increase in demand as an impact of COVID-19 due to the secondary consequences of COVID-19 for children and their families.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
	<p>Common Controls across all risk causes 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 met our fostering target for 2020/21 and we have an ongoing proactive fostering recruitment campaign. • The second Residential Home was opened in early Quarter 1. • Two Independent Living flats adjacent to the second Residential Home will open in Quarter 1. This has increased our internal residential 	<ul style="list-style-type: none"> • We are continuing to progress further commissioning work with Blackpool, Lancashire & Blackburn & Darwin local authorities in a joint approach to meet our sufficiency demands.

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	<p>provision and independent provision to keep more children within Cumbria and in our own resources.</p>	
<p>Early help offer is ineffective in preventing Children’s needs escalating to need statutory social work intervention</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 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 review of Early Help Panels has been completed. • 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 has been extended by the Department for Education for another year. 	<ul style="list-style-type: none"> • The learning from the Early Help Panels review will be included within the Early Help Strategy Implementation Plan and will be shared through practitioner forums and locality partnership groups. • A review of Family Group Service has been further delayed due to COVID-19 priorities and we hope to complete this now within Quarter 2.




Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	<ul style="list-style-type: none"> • Robust contract management is in place for the commissioned for the Child and Family Support Services. 	
<p>Lack of Resources to meet increasing demand</p>	<ul style="list-style-type: none"> • The Workforce & Training Plan has been reviewed and signed off for the service. This plan includes a proactive recruitment campaign and ongoing Continual Professional Development to enhance staff retention levels and staff satisfaction. • The Aspiring Team Manager program was completed in Q2, 2020/21. 	<ul style="list-style-type: none"> • The National Assessment & Accreditation System for Social Workers (NAAS) project with the Department for Education is restarting in Quarter 2 and we are recruiting a project lead to take this forward within the Council. • The review of our progression program for social workers, advanced practitioner and team managers is still ongoing. • The Aspiring Advanced Practitioner program will now commence in Quarter 2, 2021/2022. • Work has commenced and is still ongoing with the AD Workforce and Organisational Development to develop a joint Recruitment and Retention Plan across Adults and Children’s Services. • Working with our procurement service in looking at fulfilling our EPW need to cover statutory services, this has become harder to recruit during COVID-19. • We are recruiting more newly qualified social workers via our Academy Approach in September 21. • We have yet to experience a significant increase in demand for statutory services, but it is still too early to know the likely impact and those through the secondary consequences of Covid on children and their families. Therefore, the anticipated surge in demand may still arrive in the coming months.
<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. • We completed a current Self-Assessment in Q4, 2020/21 	<ul style="list-style-type: none"> • The anticipating Ofsted Focus visit took place during July / within Quarter 2, 2021/22.

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	<ul style="list-style-type: none"> We had our Ofsted annual conversation in Q4. Our fortnightly and monthly performance meetings led by the Assistant Director ensure that we track meeting regulatory standards, and this is also monitored within our monthly audit schedule. 																					
Independent assurance of key risk controls Ofsted Focus visit – July 2021/22																						
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating																				
<ul style="list-style-type: none"> Lack of 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 review complete February 2021.</p> <p>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>	<table border="1"> <tr> <td colspan="3" data-bbox="1397 603 1906 692"> Q1 RISK RATING likelihood x impact </td> <td data-bbox="1906 603 2069 692"> 16 </td> </tr> <tr> <td data-bbox="1397 692 1576 782"> Previous quarter </td> <td data-bbox="1576 692 1756 782"> Current quarter </td> <td data-bbox="1756 692 1906 782"> End Yr Target </td> <td data-bbox="1906 692 2069 782"> DOT </td> </tr> <tr> <td colspan="2" data-bbox="1397 782 1576 855"> 16 </td> <td data-bbox="1576 782 1756 855"> 16 </td> <td data-bbox="1756 782 1906 855"> 16 </td> </tr> <tr> <td data-bbox="1397 855 1494 944"> 4 </td> <td data-bbox="1494 855 1576 944"> 4 </td> <td data-bbox="1576 855 1673 944"> 4 </td> <td data-bbox="1673 855 1756 944"> 4 </td> </tr> <tr> <td colspan="3" data-bbox="1397 944 1756 957"></td> <td data-bbox="1756 944 2069 957">  </td> </tr> </table>	Q1 RISK RATING likelihood x impact			16	Previous quarter	Current quarter	End Yr Target	DOT	16		16	16	4	4	4	4				
Q1 RISK RATING likelihood x impact			16																			
Previous quarter	Current quarter	End Yr Target	DOT																			
16		16	16																			
4	4	4	4																			
																						

6.Impact of COVID-19 on the provision of Council Services – Extended Leadership Team		
There is a risk that due to the prolonged response and recovery phases of COVID-19 there will be significant impact on the provision of Council Services.		
Caused by loss or degradation to	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
Council Services	<ul style="list-style-type: none"> From Mar 20 to Apr 2021, many Council services underwent significant change, temporary suspension of service or amended delivery. Changes were managed and documented via Decision Records. Where required service changes were subject to decision making through the Council's Emergency Powers regime. As case rates improved and lock-down restrictions eased, decisions to re-launch services or return them back to a more business as usual status were also subject to DMT's and Officer Decision Records in consultation with Lead Members where required. Dedicated Gold (Strategic) and Silver (Tactical) co-ordination structures consisting of Assistant Directors or their appointed Senior Managers were in place with elected members regularly updated. The twice weekly silver co-ordination group has worked well to ensure joint situational awareness and to provide support and co-ordination 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. The risk to virus transmission has been tracked through an evidence based approach and on 15 April the Strategic Co-ordination Group stood down as case rates were improved and leadership transferred to the Strategic Recovery Co-ordination Group structures. 	<ul style="list-style-type: none"> Following major incident stand down on 15 April, leadership transferred to the Strategic Recovery Coordination Group (SRCG) chaired by the County Council. Health Protection Board will focus on ongoing people related impacts and a multi-agency Tactical Delivery Group in place to co-ordinate place related impacts of national roadmap milestones and opening of local services. Co-ordination arrangements are flexible and able to adapt depending on the current status of case rates. If cases spike, resources are available to respond, and risk lowered due to the success of the vaccination programme and a universal Covid 19 Testing programme now in place. The Council has undertaken the production of an Equalities Impact Assessment to ensure service planning in response to COVID-19 takes proper account of equalities considerations. As national guidance 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 and new ways of working. A weekly meeting takes place each Thursday with Senior officers and each Friday with Trade Unions leading the Covid programme 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.

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

<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 July 2021. • 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 with staff surveys carried out to identify where the Council can help staff wellbeing, access equipment and support to work at home and workplace locations. • COVID specific risk assessments and safe methods of working produced and reviewed 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 all staff received the PPE and guidance required 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"> • New e-learning courses have been updated to reflect 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 or if regional/local actions are considered or implemented. • Joint premises visits will continue to 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 more planned to ensure a stronger 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.
---	---	--

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

<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 Covid 19 Corporate ICT & Information Security Assurance Statement was provided to CMT to update on the increased cyber threat to Local Authorities in general as a result of the pandemic. • Increased engagement and support from the National Cyber Security Centre (NCSC) and the North West Warning & Reporting Point (NW WARP) to maintain awareness of increasingly activity of malicious actors seeking to exploit vulnerabilities of LA's while resources are focussed elsewhere. • Cumbria County Council has a strong foundation on which to defend its ICT infrastructure. All core elements of industry best practice and NCSC direction and guidance are in place, closely monitored and regularly reviewed. • New controls and measures were implemented to ensure security was maximised, including daily reporting. A weekly ICT security meeting chaired by AD Organisational Change maintained 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. • PSN accreditation was confirmed in March 2021 with Audit Committee commenting on good ICT security assurance. 	<ul style="list-style-type: none"> • As part of the Council planned Enabling Services Programme the Council has received feedback from the PWC invited technology, data and digital progress review to assist in planning additional security controls that would add additional industry best practice for the Council to consider. • Ongoing engagement with National Cyber Security Centre (NCSC) and the North West Warning & Reporting Point (NW WARP). • Ongoing daily monitoring of cyber threats will continue. Where risks are identified the Council has dedicated capacity in place to respond and isolate any threats asap. • Regular ICT Security item forms part of ICT management 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 following external learning and emerging technologies to counter any known threats. • 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 Development Programme Board agreed that all employees are to complete the Council's new and updated Information Security & Data Protection e-learning course. <p>Please also refer to additional controls & measures noted within the Information Security Arrangements Risk.</p>
---------------------------	--	---

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

<p>Council Premises</p>	<ul style="list-style-type: none"> • ‘Workplace Guidance’ and an e-learning module is in place for staff who are unable to work from home which is encouraged wherever possible. • A Working Group established to look at a new operating model for the corporate estate and to oversee the programme of alterations needed to ensure buildings remain 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 being updated within context of new ways of working opportunities • Working with Trade Unions on COVID- secure buildings and home working options • Weekly meeting of senior service reps ensure focus to carefully manage reopening and transition. 	<ul style="list-style-type: none"> • The 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. • Face coverings encouraged indoors with hand hygiene promoted • Joint workplace inspections with recognised trade unions will continue at a sample of the premises re-opened for customer contact / return of priority essential staff. • Regular Lateral Flow Testing now offered to all staff to self-test at home and to self-isolate if positive, reducing workplace risk of transmission.
<p>Council Finances</p>	<ul style="list-style-type: none"> • Finance & Legal Multi Agency subgroup in place • Emergency cost codes issued for the COVID-19 incident. Additional codes 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 2020/21 budget reported quarterly to Cabinet on 11.06.20, 17.12.20 and 18.03.21. • Financial impact of COVID-19 on 2021/22 budget reported to CMT monthly with the impact at Q1 being reported to Cabinet on 23 September. • Claims for the part-reimbursement of irrecoverable income for from sales, fees and charges submitted to MHCLG. Various COVID-19 grants successfully claimed and allocated to services where additional 	<ul style="list-style-type: none"> • Services impacted by COVID-19 impacts will continue to be supported. Where expenditure is reduced, deep dive review to further understand the longevity and permanence of the reduced expenditure will continue to ensure prudent forecasting and impact assessments. 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 for the 2020/21 financial year. <p>Please refer to additional controls & measures noted against the separate Corporate Financial Sustainability Risk.</p>

Appendix 2

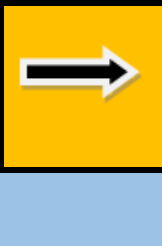
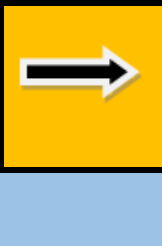
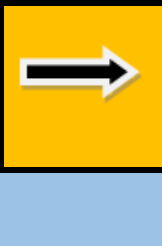
2020/21 QUARTER 1 – RISK REGISTER

	expenditure required.	
Council Governance	<ul style="list-style-type: none"> The Chief Legal Officer re-issued updated guidance on decision making in civil emergencies to officers during 20/21 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 and Elected Member meetings. The Annual Governance Statement for 2020/21 considered by June Audit & Assurance Committee in line with guidance issued by CIPFA. 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 within good governance principles. 	<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 2020/21 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 with the project receiving positive feedback with strong governance arrangements and proactively inviting Internal Audit input and challenge from the outset. Good governance of new services such as the PPE service will continue to ensure robust quality standards and value for money delivery of the DHSC funded programme.
Council Incident Response & Recovery Structure	<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 worked well Multiagency Recovery Advisory Group (RAG) was 	<ul style="list-style-type: none"> The Strategic Recovery Group will continue to coordinate critical aspects of the recovery strategy and prioritise key themed areas of work to help support and assist the development of a long-term Strategic Recovery Strategy & Plan to support the recovery of communities and businesses across Cumbria. COVID-19 response arrangements continue though the Health

	<p>established in April 2020 and planned early for when transition was possible to Strategic Recovery Coordinating Group (SRCG) when cases rates allow transfer from response to recovery.</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 established to provide oversight for managing ongoing Public Health and people related issues. • Cumbria COVID-19 Outbreak Control Plan in place. • Council designated Gold (Strategic) incident commander rota effective to lead the Council's multi-agency response through the SCG 7-days per week. Council gold commanders cadre of trained and experienced Assistant Directors. • Throughout the incident, Council has operated internal tactical co-ordination group of Assistant Directors of their appointed senior managers. • 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. • On 15 April 2021, major incident ended, SCG stood down and County Council co-ordination amended accordingly to a greater focus on recovery, but able to stand up again at short notice should that be required. 	<p>Protection Tactical Oversight Group and working well.</p> <ul style="list-style-type: none"> • The Council has reverted to a single 7 day Duty AD rota to respond to both Covid or non-Covid related issues. • The internal silver command group continues to meet weekly but with a greater focus on transition, recovery and new ways of working opportunities. • A dedicated Assistant Director continues to be available for any transition co-ordination with partners as a Covid Single Point of Contact during transition phase. • Major programmes of work continue to be resourced to ensure service such as PPE management and Lateral Flow Testing continue. • The Corporate Resilience Team will transition and refocus on non-Covid related threats and risks, but remain available to advise and support and required links 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 2020 to ensure a coordinated leadership approach was in place across the whole of the County Council. • The CCC silver co-ordination group has had effective connectivity into the multi-agency strategic and 	<ul style="list-style-type: none"> • CCC ADs continue to meet weekly to manage transition and new ways of working alongside longer term recovery activity. • Duty rotas are in place to maintain capacity yet ensure key responders plan rest and wellbeing with support available where required. • Business Continuity Plans will continue to be reviewed to

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	<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>assess risks and controls.</p>																				
<p>Independent assurance of key risk controls</p>																						
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<p>Quarter 1 Risk Rating</p>																				
<ul style="list-style-type: none"> • 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>1.3 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="3" data-bbox="1397 671 1906 762"> <p>Q1 RISK RATING likelihood x impact</p> </td> <td data-bbox="1906 671 2067 762"> <p>15</p> </td> </tr> <tr> <td data-bbox="1397 762 1579 850"> <p>Previous quarter</p> </td> <td 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 922"> <p>15</p> </td> <td data-bbox="1579 850 1760 922"> <p>15</p> </td> <td data-bbox="1760 850 1906 922"> <p>15</p> </td> </tr> <tr> <td data-bbox="1397 922 1494 1018"> <p>3</p> </td> <td data-bbox="1494 922 1579 1018"> <p>5</p> </td> <td data-bbox="1579 922 1677 1018"> <p>3</p> </td> <td data-bbox="1677 922 1760 1018"> <p>5</p> </td> </tr> <tr> <td colspan="3" data-bbox="1397 1018 1906 1096"></td> <td data-bbox="1906 850 2067 1096">  </td> </tr> </table>	<p>Q1 RISK RATING likelihood x impact</p>			<p>15</p>	<p>Previous quarter</p>	<p>Current quarter</p>	<p>End Yr Target</p>	<p>DOT</p>	<p>15</p>		<p>15</p>	<p>15</p>	<p>3</p>	<p>5</p>	<p>3</p>	<p>5</p>				
<p>Q1 RISK RATING likelihood x impact</p>			<p>15</p>																			
<p>Previous quarter</p>	<p>Current quarter</p>	<p>End Yr Target</p>	<p>DOT</p>																			
<p>15</p>		<p>15</p>	<p>15</p>																			
<p>3</p>	<p>5</p>	<p>3</p>	<p>5</p>																			
																						

7.CUMBRIA COVID-19 Local Outbreak Control Plan – Colin Cox		
There is a risk that the Cumbria COVID-19 Local Outbreak Control Plan fails to prevent or reduce the extent and severity of COVID-19 outbreaks in Cumbria leading to increased lockdown restrictions.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Q2
<p>Insufficient resources to adequately implement the Plan</p>	<ul style="list-style-type: none"> Resources flowing from Government through Test and Trace Support Grant and Contain Outbreak Management Fund over the short term will be sufficient to take us through 2021/22. 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 and the Public Health Alliance. Full terms of reference including chairmanship, membership, roles & responsibilities & decision-making capacity are listed in Part 1 of the plan – Appendix 1. The County wide Health Protection Board (HPB), chaired by the Leader of the County Council and 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. Recovery structure 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"> Continuation of planning for full spend of the Contain Outbreak Management Fund.




Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

<p>Ineffective Data Integration</p>	<ul style="list-style-type: none"> • Condition of National Data on Contact Tracing improving. • During Q3 2020/21 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"> • Reviewing the approach to data integration as the National Contact Tracing System is changed in the coming months.
<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 2020/21, multiagency partners were given greater enforcement powers. • Additional investment to enable people to access financial support where this will help them to self-isolate is in place. 	<ul style="list-style-type: none"> • Communications campaigns will be adjusted dependent on local outbreaks and changes to the level of restrictions required.
<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"> • The Council continued to follow and support the National Program of Lockdown and Controls until they ended on 19th July 2021.
<p>Uncertainty around the impact of the Winter Flu Campaign</p>	<ul style="list-style-type: none"> • In Q3 2020/21, 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. • Starting to contribute to planning for the Winter Flu Campaign for 2021/22. 	<ul style="list-style-type: none"> • During Quarter 1, there has been no flu circulating across Cumbria. • Flu campaign and vaccination activity will restart in Q3 2021/22.

Appendix 2


2020/21 QUARTER 1 – RISK REGISTER

Ineffective roll out of the COVID-19 Vaccination Program	<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. The Vaccination Programme has been going very well. 	<ul style="list-style-type: none"> We now have much better data on equity and are putting in place programs of work to make sure there is greater equity on take up now that we know where the challenges are. 																							
Independent assurance of key risk controls																									
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating																							
<ul style="list-style-type: none"> 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.	<table border="1"> <tr> <td colspan="4" data-bbox="1350 745 1883 818"> Q1 RISK RATING likelihood x impact </td> <td data-bbox="1890 745 2056 818"> 15 </td> </tr> <tr> <td colspan="2" data-bbox="1350 823 1538 896"> Previous quarter </td> <td colspan="2" data-bbox="1545 823 1733 896"> Current quarter </td> <td data-bbox="1740 823 1883 896"> End Yr Target </td> <td data-bbox="1890 823 2056 896"> DOT </td> </tr> <tr> <td colspan="2" data-bbox="1350 901 1538 959"> 15 </td> <td colspan="2" data-bbox="1545 901 1733 959"> 15 </td> <td data-bbox="1740 901 1883 959"> 12 </td> <td data-bbox="1890 901 2056 959">  </td> </tr> <tr> <td data-bbox="1350 963 1456 1072"> 3 </td> <td data-bbox="1462 963 1538 1072"> 5 </td> <td data-bbox="1545 963 1650 1072"> 3 </td> <td data-bbox="1657 963 1733 1072"> 5 </td> <td colspan="2" data-bbox="1740 963 2056 1072"></td> </tr> </table>	Q1 RISK RATING likelihood x impact				15	Previous quarter		Current quarter		End Yr Target	DOT	15		15		12		3	5	3	5		
Q1 RISK RATING likelihood x impact				15																					
Previous quarter		Current quarter		End Yr Target	DOT																				
15		15		12																					
3	5	3	5																						

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 2
Inadequate technical information security arrangements	<ul style="list-style-type: none"> Information Security a key element of the 2021/22 ICT Plan Delivery Plan 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. Routine scanning of ICT networks and systems in place to highlight system vulnerabilities, with an exceptions report produced for Senior Mgr ICT and AD Org 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 security partners; the NCSC, North West WARP including weekly threat reports. NHS Cumbria Cyber Group in place. 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 2021/22. 2020 ICT Health Check has been completed and Council achieved the Public Sector Network (PSN) accreditation 19 March 2021 in context of increased global and UK security threats, following a programme of additional security improvements. 	<ul style="list-style-type: none"> The 2021 ICT Health check commenced in Q1 and is ongoing throughout Q2. Enabling Services programme has continued throughout Q1 with Information Security and the corporate network has received good feedback within the recent PWC report. The Information Security Team will be acting on any immediate information security 'quick wins' from this report during Q2. The service review of the Corporate systems team who manage key corporate systems such as Children's and Adults social care, HR and payroll system, education systems etc has progressed during Q1 and will be implemented from August 2021. A key element of the revised service included all role profiles having strengthened data and information security and key Enabling Services responsibilities. Following the 22 July 2021 announcement by Secretary of State relating to Unitary Review for Cumbria, work will begin in Q2 to understand, map and plan change requirements within the ICT workstream of the LGR programme. This will be a large and complex workstream, which will ensure that data and ICT security is at the core of all work to maintain existing security standards for ongoing delivery of county council services in parallel for a safe and secure transition to the 2 new Unitary Councils on 1 April 2023.

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	<ul style="list-style-type: none"> • A new LRF Cyber Security Group is in place. 	
Inadequate Organisational Measures	<ul style="list-style-type: none"> • Suite of Information Management & System Security Policies in place and reviewed annually. • ICT Disaster Recovery & Service Continuity arrangements refreshed with exercises planned. • The Data Breach Reporting Policy, Procedure and FAQs and GDPR Compliance Policy have now been reviewed by SIRO Group and republished. • The Councils Information Asset Register was published on 15 January 2021 via SharePoint Online and all Information Asset Owners have confirmed their key Information asset register entries. • The annual ICO Accountability Framework (previously the Data Protection Accountability Statement) has been completed for this year. • Progress against the ICO Accountability Framework Tracker is now being reported monthly to LDSMT • The Data Quality Policy was updated, signed-off by SIRO and republished 16/06/2021 https://www.intouch.ccc/performance/management/default5.asp 	<ul style="list-style-type: none"> • Input into a new Cyber Security Incident Response Plan has continued and will be finalised during Quarter 2. • The council's Information Asset Register (IAR) has been reviewed and updated to include all available data relating to physical and electronic assets. The IAR will be 'published' to InTouch by w/e/ 13/08/21 alongside multi-channel learning materials – written guidance, guided video and animated guide to asset management.
	Training, Awareness & Ongoing Learning <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. • Communications campaign ongoing to promote completion of the training alongside COVID-19 response and recovery demands. • eLearning will be supplemented throughout the year by quarterly employee communications on key/emerging thematic issues, delivery plan was submitted to SIRO in 	<ul style="list-style-type: none"> • It has been agreed with Corporate Communications that a message will be issued monthly via Weekly Staff News • The first Data Protection Update was issued on 19/08/21 <div style="text-align: center;">  <p>Your Weekly Staff News__ 19 July.msg</p> </div> <ul style="list-style-type: none"> • All Data Protection updates will be designed to include key learning points across Information Security, Data Protection and Records Management. • Content for the August and September Data Protection updates


Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	<p>early March 2021.</p> <ul style="list-style-type: none"> • Planning and redesign of the 2021-22 Security and Data Protection eLearning is now complete and scheduled for delivery to commence from April 2021. • The revised 2021/22 e-learning course was published on-line on 1st April 2021 supported by corporate communications. • LGA funding has been used during Q1 to support certified information security professional training within the information security team. 	<p>are currently being reviewed/collated and will include reminders to complete the mandatory Information Security & Data Protection e-learning 2021/22 training as standard.</p>
	<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. A refreshed Data Breach Reporting Criteria submitted to/approved by SIRO Group on 14th January 2021. 	<ul style="list-style-type: none"> • All issues continue to be discussed at weekly SIRO meetings, service teams and escalated to Risk Owners Group, DMTs or CMT as appropriate. • The 2020/21 SIRO and Information Governance Annual Report will be drafted for the September 2021 Audit & Assurance Committee's consideration.
<p>Inadequate Surveillance Camera Arrangements</p>	<ul style="list-style-type: none"> • Surveillance Camera Commissioner (SCC) survey completed. • The Council's Data Protection Officer confirmed as the Senior Responsible Officer (SRO) for the work required to ensure the Council's compliance with its responsibilities in this area of work. 	<ul style="list-style-type: none"> • Actions will be reviewed/progressed end of Q2 / start of Q3 2021.

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

Independent assurance of key risk controls						
<ul style="list-style-type: none"> Annual Public Services Network (PSN), PCI DSS & NHS DSP compliance maintained and supported by the external IT Health Check (ITHC). Annual PSN certificate issued with effect from 19th March 2021 with Cumbria commended for their approach to the PSN accreditation process and risk management by the PSN assessor given the challenges of delivering the ICT service during the pandemic. Routine ICT system penetration tests to check system vulnerabilities are now incorporated into the annual ITHC which is ongoing for 2021, 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. The Internal Audit of GDPR Phase 2 is now complete and initial findings reported to Chief Legal Officer and response being prepared by Senior Lawyer, Governance and Commercial/DPO. Information & Cyber security formed a key workstream of the PwC Peer Review currently being conducted within Cumbria County Council’s Enabling Services Programme led by AD Organisational Change as SRO. 						
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating				
<ul style="list-style-type: none"> Disclosure of personal data leading to personal distress and potential liability claims. Data breach leading to financial penalties & intervention by the ICO. Cyber incident leading to partial or total interruption to service delivery to customers, suppliers or partners leading to partial or non-delivery of corporate priorities and having a reputational impact. 	<p>This is a cross cutting risk and 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 2021/22 ICT Plan Delivery Plan and further progress ICT improvement programmes with key partners, particularly the NHS and police by March 2022.</p>	Q1 RISK RATING (likelihood x impact)			15	
		Previous quarter	Current quarter		End Yr Target	DOT
		15	15		15	
		3	5	3	5	
<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. Local Government Reform – Dawn Roberts

(note: this is a collective risk owned jointly by all seven councils responsible for the delivery of a successful LGR programme. It is envisaged that this risk will become a programme risk rather than a risk to the County Council. A risk relating to the impact of the LGR programme on the County Council will be developed during Q2)

There is a risk that the process of reorganisation of Local Government in Cumbria does not deliver the benefits of the proposed transition to, and transformation of, the new council(s) and long-term ambitions for public sector reform.

Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
Delays to commencement of the programme	<ul style="list-style-type: none"> • Ministerial decision announced 21 July, within expected timescales. Decision for a two unitary model to be implemented based on East/West geographical split. • Decision confirms implementation timescale with vesting day 1 April 2023. • Any potential challenge to the decision is not expected to impact on the development of the programme in Q2. 	<ul style="list-style-type: none"> • Continued dialogue with MHCLG and partners to ensure clarity of requirements in relation to agreed proposal and the structural change order process. • Preparatory programme planning work continues • Engagement with peer councils to gain learning from previous LGR process
Lack of engagement by County & District Council leadership teams & key staff and / or lack of clarity of leadership of the programme	<ul style="list-style-type: none"> • Weekly meetings of Chief Executives to discuss preparations in advance of decision announcement and are ongoing to develop programme. • Joint discussions regarding programme approaches with nominated representatives from all seven councils 	<ul style="list-style-type: none"> • Development and agreement to programme arrangements and approach to engage teams & staff
Inadequate engagement with staff, partners and communities in the design of Services	<ul style="list-style-type: none"> • Communications plan developed and launched for decision announcement • Within CCC, engagement activity with CMT, ELT and DMTs to build awareness and understanding of LGR, and inform initial thinking and implications for services 	<ul style="list-style-type: none"> • Development of design phase of the programme • Establishment of communications and engagement workstream and agreement of a communications and engagement plan

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	<p>post decision</p> <ul style="list-style-type: none"> • Preparatory work undertaken to establish communications and engagement as a key workstream, subject to final programme arrangement agreed with all councils. 	
Inadequate programme management, governance and resources	<ul style="list-style-type: none"> • CCC Chief Executive to be the lead/ SRO for the LGR Programme in Cumbria • Interim Senior Manager – LGR recruited • Financial earmarked reserve of £3m created to fund additional capacity requirements for LGR as they are identified • Engagement activity with CMT, DMTs and ELT and individual managers for input and refinement of Cumbria CC's proposed programme approach • Regular updates to CMT 	<ul style="list-style-type: none"> • Leads for themes and workstreams to be identified. • Programme capacity to be in place. • Programme to be agreed. • Influence content of Structural Change Order
Retention of key staff during a period of uncertainty and transition	<ul style="list-style-type: none"> • Engagement with CMT, DMTs and ELT as above • Workforce communications initiated. • TU Briefing 	<ul style="list-style-type: none"> • Human Resources and Organisational Development Workstream to develop approach • Develop approach to engagement of Trade Unions in the programme
Ineffective design and implementation of the people and cultural elements of the programme to deliver new ways of working	<ul style="list-style-type: none"> • To be addressed as part of the programme 	<ul style="list-style-type: none"> • Joint agreement to programme arrangements
Ineffective design and implementation of the infrastructure elements of	<ul style="list-style-type: none"> • To be addressed as part of the programme 	<ul style="list-style-type: none"> • Joint agreement to programme arrangements

Appendix 2




2020/21 QUARTER 1 – RISK REGISTER

the programme (e.g. ICT, Property etc) to establish and support the new organisation(s)																		
Reform in other areas of Public Services (e.g. Fire & Rescue, NHS, Social Care) creating competing priorities or not co-ordinated with LGR timescales	<ul style="list-style-type: none"> Ongoing assessment of these developments 	<ul style="list-style-type: none"> Continue to monitor and understand implications as necessary 																
The impact of competing priorities during the programme (e.g. further waves/new variants of COVID-19)	<ul style="list-style-type: none"> To keep under review with escalation of issues to senior leaders for decision if required 	<ul style="list-style-type: none"> To keep under review with escalation of issues to senior leaders for decision if required 																
Independent assurance of key risk controls																		
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating																
<ul style="list-style-type: none"> Delays in or partial / non-delivery of expected savings Poorer outcomes for residents, businesses and communities Disruption to business-as-usual service levels, current programmes of transformation and savings Reputational damage 	This is a cross cutting risk	<table border="1"> <tr> <td colspan="3" data-bbox="1391 991 1917 1082">Q1 RISK RATING likelihood x impact</td> <td data-bbox="1917 991 2087 1082">15</td> </tr> <tr> <td data-bbox="1391 1082 1576 1177">Previous quarter</td> <td data-bbox="1576 1082 1765 1177">Current quarter</td> <td data-bbox="1765 1082 1917 1177">End Yr Target</td> <td data-bbox="1917 1082 2087 1177">DOT</td> </tr> <tr> <td data-bbox="1391 1177 1576 1343">New Risk</td> <td data-bbox="1576 1177 1765 1343">15</td> <td data-bbox="1765 1177 1917 1343">15</td> <td data-bbox="1917 1177 2087 1343">New</td> </tr> <tr> <td></td> <td data-bbox="1576 1257 1682 1343">3</td> <td data-bbox="1682 1257 1765 1343">5</td> <td></td> </tr> </table>	Q1 RISK RATING likelihood x impact			15	Previous quarter	Current quarter	End Yr Target	DOT	New Risk	15	15	New		3	5	
Q1 RISK RATING likelihood x impact			15															
Previous quarter	Current quarter	End Yr Target	DOT															
New Risk	15	15	New															
	3	5																

10.Management of Significant Contracts – Jo Atkinson		
There is a risk the Council has a failure in a ‘significant contract’.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
<p>Lack of timely closure of non-compliance issues, resulting in dispute escalation.</p> <p>Supplier/Market Failure to deliver the service required</p>	<ul style="list-style-type: none"> Quarterly reviews of ‘significant’ and all other contracts in place at DMT’s Quarterly Reports on ‘significant contracts’ provided to CMT as part of the Business Assurance Framework. Contracts Register is reviewed and risk assessed in relation to organisational impact, should the contract fail. Investing in commercial aspects of contractual relationships. Proactive management of the contract including Performance & Risk Management & Board meetings. 	<ul style="list-style-type: none"> External consultants used for advice regarding some existing contract performance/options and planned future ways forward. Additional 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 moved into a ‘recovery phase’ with regards to these earlier COVID related changes. However, during this last quarter, whilst the new variant continues to create COVID spikes, the ‘recovery’ phase continues, but with a watchful eye, corporately, on risk/mitigation/BCP across services. Several contracts have been assessed recently and removed from the ‘Significant Contracts’ register.
<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 continues to be a factor, key contractual requirements are expected from Providers, and escalated where not the case. Proactive Contract Management and compliance are being routinely monitored and managed through Directorate Management Teams, with escalation to Corporate Management Team as appropriate. As you would expect, some contracts are operating better than others, but all are being monitored in a robust fashion and remedial actions taking place where appropriate. Currently, two key ‘Significant Contracts’, by definition, are being closely, and proactively, managed. The first, the CNDR, is still in the informal stage, regarding some concern about performance in a small number of areas within this complex contract. The second is the Waste contract), which, following adherence to the Amey

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

		Lessons Learnt, is currently in the formal contractual Dispute Resolution Process (DRP) stage with the Provider over two service area items within this very complex contract.																					
Independent assurance of key risk controls 2019/20 - Internal Audit of External Fostering Framework																							
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating																					
<ul style="list-style-type: none"> • Significant Contract(s) not demonstrating Value for Money. • Significant Contract under performance/ service disruption • Significant Contract commercial consideration costs • Increased volume of Contract breaches and/or 'material' breach, resulting in the escalation of disputes & the potential for early termination of contract • Reputational damage to the Council. 	This is a cross cutting risk and will impact all Council Services and our ability to deliver the outcomes of the Council Plan.	<table border="1"> <thead> <tr> <th colspan="4">Q1 RISK RATING likelihood x impact</th> <th>10</th> </tr> <tr> <th colspan="2">Previous quarter</th> <th colspan="2">Current quarter</th> <th>End Yr Target</th> <th>DOT</th> </tr> </thead> <tbody> <tr> <td colspan="2">10</td> <td colspan="2">10</td> <td rowspan="2">10</td> <td rowspan="2"></td> </tr> <tr> <td>2</td> <td>5</td> <td>2</td> <td>5</td> </tr> </tbody> </table>	Q1 RISK RATING likelihood x impact				10	Previous quarter		Current quarter		End Yr Target	DOT	10		10		10		2	5	2	5
Q1 RISK RATING likelihood x impact				10																			
Previous quarter		Current quarter		End Yr Target	DOT																		
10		10		10																			
2	5	2	5																				

11.Safeguarding of Children - Lynn Berryman & Fiona Musgrave		
There is a risk that there may be a serious failure in protecting children at risk of abuse or neglect		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
<p>Staff shortages: a lack of capacity or capability</p>	<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 across 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 in place • The Aspiring Team Manager program was completed in Q2, 2020/21. • A Work Force Strategy Board has been established to re-invigorate our external recruitment activity and program and to ensure our continuing professional development programme for staff is fit for purpose. 	<ul style="list-style-type: none"> • COVID-19 has continued 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. • Work continues with our commissioning service regarding our contract for Externally Provided Workforce (EPW). • A further Academy Cohort will be progressed within the first 2 Quarters of 2021/22. • Work has commenced and is still ongoing with the AD Workforce and Organisational Development to develop a joint Recruitment and Retention Plan across Adults and Children’s Services.
<p>Failure to adequately follow regulations, policies, procedures & protocols.</p>	<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 	<ul style="list-style-type: none"> • Routine monitoring of performance is ongoing to evaluate regulatory compliance, with any follow up actions taken to make further improvements.




Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	<p>Quality & Development & the weekly Performance Board.</p> <ul style="list-style-type: none"> The Audit Quality Assurance Framework has been revised, approved and launched in Q3. 	
<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. A ‘Quality of Supervision’ survey was carried out during Quarter 4. The established Work Force Strategy Board provides oversight of the adequacy of Training and Supervision. The Workforce & Training Plan has been reviewed and signed off for the service. Learning from the ‘Quality of Supervision’ survey has been progressed and an updated Supervision Policy was launched in Quarter 1. 	<ul style="list-style-type: none"> During Quarter 2, we will be delivering refreshed Supervision Training in line with the updated Supervision Policy.
<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. 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 	<ul style="list-style-type: none"> The development of a Children and Young People’s Plan has been completed and includes Early Help, Think Family and the Locality Groups. This plan is due to go to Cabinet on 23 Sep 2021. An annual report on work delivered over last 12-18 months during COVID-19 has been completed, this will be signed off in July 2021. As part of our ongoing compliance of Working Together 2018, we have refreshed the model for delivering Independent Scrutiny of the Cumbria Safeguarding Children Partnership (CSCP). We have appointed a new Independent scrutineer and will be transitioning to the new model in Sept 2021

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	<p>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 have focused on is Child in Need (CIN), to pull out the key points of learning from the quality assurance work that has been undertaken and develop into action plans for each group.</p> <ul style="list-style-type: none"> Implementation Plan for Children’s Services to include CCC as a good partner. 																						
<p>Independent assurance of key risk controls 2019/20 – Internal Audit of Recruitment and retention of social workers in Children’s Services.</p>																							
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating																					
<ul style="list-style-type: none"> Serious injury or death to a Child or young person Investigations carried out by a Serious Case Review (SCR) Liability claims against the Council Reputational damage to the Council 	<p>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.</p>	<table border="1"> <tr> <td colspan="4" data-bbox="1400 742 1904 821">Q1 RISK RATING likelihood x impact</td> <td data-bbox="1904 742 2060 821">10</td> </tr> <tr> <td colspan="2" data-bbox="1400 821 1579 917">Previous quarter</td> <td colspan="2" data-bbox="1579 821 1758 917">Current quarter</td> <td data-bbox="1758 821 1904 917">End Yr Target</td> <td data-bbox="1904 821 2060 917">DOT</td> </tr> <tr> <td colspan="2" data-bbox="1400 917 1579 997">10</td> <td colspan="2" data-bbox="1579 917 1758 997">10</td> <td data-bbox="1758 917 1904 997">10</td> <td data-bbox="1904 917 2060 997" rowspan="2"></td> </tr> <tr> <td data-bbox="1400 997 1489 1086">2</td> <td data-bbox="1489 997 1579 1086">5</td> <td data-bbox="1579 997 1668 1086">2</td> <td data-bbox="1668 997 1758 1086">5</td> </tr> </table>	Q1 RISK RATING likelihood x impact				10	Previous quarter		Current quarter		End Yr Target	DOT	10		10		10		2	5	2	5
Q1 RISK RATING likelihood x impact				10																			
Previous quarter		Current quarter		End Yr Target	DOT																		
10		10		10																			
2	5	2	5																				

12.Safeguarding of Adults - Cath Whalley & Fiona Musgrave		
There is a risk that there may be a serious failure in protecting adults at risk of abuse or neglect		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 2
Staff shortages: a lack of capacity or capability	<ul style="list-style-type: none"> • Rolling recruitment campaign • Workforce & 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 • Safeguarding Service was implemented in November 2020 • Secondment opportunities for community teams in Safeguarding Adults Service providing capacity as is the recruitment of externally provided workforce (EPW's). • Work has been completed to identify incentives that will make Cumbria Adult Social Care stand out as a preferred employer. 	<ul style="list-style-type: none"> • Recruitment campaign has been refreshed for 2021/22 and is ongoing
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 • Safeguarding Adults process reviewed at the start of COVID-19 to reflect new ways of working – 7 steps flow chart assists in clear system working • Safeguarding Procedure has been reviewed by Leadership Team and also CSAB • Internal audit receiving final papers and assurance. • CCC Safeguarding Adults Policy completed and in place 	<ul style="list-style-type: none"> • Ongoing review of Policies & procedures.




Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

	<ul style="list-style-type: none"> • Multi-Agency Safeguarding Adults Procedure completed and in place • Performance monitoring systems are reported on weekly basis within operational Safeguarding Adults Service • Performance monitoring and risk issues raised at ASC Leadership Team weekly meetings to identify early any concerns to be addressed at all levels. 	
<p>Training and supervision being ineffective or inadequate</p>	<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 support practice standards and effective supervision and learning across Adults. • Safeguarding Threshold guidance tools in place. • ASC mandatory training offer completed and launched including additional training for members • New Safeguarding Training Competency Passport launched. This allows for evaluation on My Learning for all CCC staff including Senior Leaders and members • Key specialist safeguarding training plan review completed and commissioned. Dates provided for 2021 	<ul style="list-style-type: none"> • Safeguarding adults practice audit revised and implemented to support continuing improvements in Practice. • Principal Social Worker and Advanced Practice Lead Team are supporting teams with quality audits on individual cases to provide assurance around practice quality.

Appendix 2

2020/21 QUARTER 1 – RISK REGISTER

Breakdown of partner relationships	<ul style="list-style-type: none"> CSAB has published its Business Plan, including mitigations around COVID-19 and Recovery Cumbria Safeguarding Adult Board continues to receive assurance from all partners on the ongoing impact of COVID-19 The Performance & Quality Group provide oversight and reports to this group have been refined to make it easier to monitor issues, embed learning and deliver training as required. This group also receives assurance reports from different parts of the system and they report any escalation up to the Board. A revised CSAB Business Plan was published in May 2021. During Q1, the monthly CSAB Assurance and Business Continuity meetings with exec board members that took place during COVID-19 have now stood down. 	<ul style="list-style-type: none"> Input to Winter Planning 2021/22 has commenced and is ongoing Joint work with health partners to support electronic referrals and improved data sharing. 																
Independent assurance of key risk controls 2019/20 – Internal Audit of Safeguarding Adults																		
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 1 Risk Rating																
<ul style="list-style-type: none"> Serious injury or death to an adult Investigations carried out by a Safeguarding Adults review (SAR) Liability claims against the Council Reputational damage to the Council 		<table border="1"> <tr> <td colspan="3" data-bbox="1384 954 1899 1038"> Q1 RISK RATING likelihood x impact </td> <td data-bbox="1906 954 2063 1038"> 10 </td> </tr> <tr> <td data-bbox="1384 1043 1563 1128"> Previous quarter </td> <td data-bbox="1570 1043 1749 1128"> Current quarter </td> <td data-bbox="1756 1043 1899 1128"> End Yr Target </td> <td data-bbox="1906 1043 2063 1128"> DOT </td> </tr> <tr> <td data-bbox="1384 1133 1563 1201"> 10 </td> <td data-bbox="1570 1133 1749 1201"> 10 </td> <td data-bbox="1756 1133 1899 1201"> 10 </td> <td data-bbox="1906 1133 2063 1201">  </td> </tr> <tr> <td data-bbox="1384 1206 1480 1291"> 2 </td> <td data-bbox="1487 1206 1563 1291"> 5 </td> <td data-bbox="1570 1206 1666 1291"> 2 </td> <td data-bbox="1673 1206 1749 1291"> 5 </td> </tr> </table>	Q1 RISK RATING likelihood x impact			10	Previous quarter	Current quarter	End Yr Target	DOT	10	10	10		2	5	2	5
Q1 RISK RATING likelihood x impact			10															
Previous quarter	Current quarter	End Yr Target	DOT															
10	10	10																
2	5	2	5															