

**COUNCIL CORPORATE RISK REGISTER
PROGRESS REPORT**

(Quarter 4 - Progress to 31 March 2022)

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. 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 Q1
	<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 around understanding the needs for both North and South Systems has now ended, as has the Adult Social Care Winter Action Plan. • Additionally, the Winter Planning financial agreements for both CCG's especially around 'discharge to assess' (D2A) was extended to 31st March 2022 and has now ended. • Ongoing mapping of the sustainability and recovery for Care Homes • Local Resilience Forum stood up during Q2 2021/22 and stood down early Quarter 3 2021/22. • Develop increased capacity within communities by increasing engagement with the third sector. The use of community micro-enterprises has been commissioned for the North of the County and is to be extended. 	<p>Common Controls to manage demand across all areas</p> <ul style="list-style-type: none"> • Adult Social Care Winter Action Plan standing down with a move back into promoting independence. This activity will be supported by the 3 established sub-groups and established actions. <ul style="list-style-type: none"> - New Ways of Managing Demand - Market Sustainability - Workforce Group • 'Discharge to assess' (D2A) is now a statutory requirement for the County Council and the Assistant Director Adults is working with the CCG's to establish how this will be funded • The Council continues to expand how it promotes the Proud to Care Cumbria recruitment site. • Defining of Key Strategic Priorities is ongoing. • The development of an interim position statement for the next 12 months is ongoing. • The consideration of options for Home Care capacity building is ongoing.

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	<ul style="list-style-type: none"> • The <i>Proud to Care Cumbria</i> recruitment platform was launched in December 2021. This is a County Council hosted platform enabling all providers to advertise their jobs in one central location. • In Q3, £7million of Council financial sustainability funding was secured to pass onto care providers as grant funding. By early Q4, there have been 115 applications for this funding. • Contracts have now been established to use community micro-enterprises in the South of the County. 	
<p>Changes in types and volumes of demand for services Increased demand for support at home Significant reduction in residential and nursing care demand impacting on care homes financial viability</p>	<ul style="list-style-type: none"> • Revisiting our Strategic system approach to Commissioning • Refreshing Joint commissioning intentions with CCG partners • 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 2020/21, 'Designated Settings' were developed to house people who were leaving hospital and who had tested positive for COVID-19 when discharged from hospital. At Q3 2021/22, a new approach is being evaluated with CCG colleagues around options for commissioning beds. 	<ul style="list-style-type: none"> • The use of demand analysis during COVID-19 response and recovery to model future demand is still ongoing, with demand continuing to increase and less staff available to provide the care needed. • Ongoing review of existing and legacy demand to generate additional capacity • Consideration of commissioning of a rapid response, step up/step down service if the market allows is ongoing. • Ongoing review and development of alternative delivery models, including Extra Care Housing and the development of informal support from micro-enterprises • Ongoing engagement with the market to help it reshape in terms of delivery models and capacity in line with changing demand in Adult Social Care
<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 • 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 	<ul style="list-style-type: none"> • In Quarter 1, we have met with the Local Government Association (LGA) to scope out a piece of work that will provide formal support to evaluate and understand what is driving the demand on a County wide basis and help establish an outline market position statement. • We continue to explore more effective use of resources around direct payments & individual service funds.

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	continue for the rest of 2021/22.	<ul style="list-style-type: none"> • 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.
Trust and confidence of the regulated care sector and the ability to meet the demands in a safe way during COVID-19.	<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 wider System pressures and medium/longer term commissioning plans
Uncertainty of future government funding for market support	<ul style="list-style-type: none"> • Infection Prevention and Control (IPC) funding has been received and has been distributed to the Care Market to provide financial support. This was extended to 31 March 2022 and has now ended. 	<ul style="list-style-type: none"> • 'Discharge to assess' (D2A) is now a statutory requirement for the County Council and the Assistant Director Adults is working with the CCG's to establish how this will be funded.
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.	<ul style="list-style-type: none"> • Availability and access to PPE is in place. • During late Q3 and into early Q4 2020/21, 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. • From 22nd July and in line with Government 	<ul style="list-style-type: none"> • On 31 January 2022, the Government announced its intention to revoke the regulations making vaccines a condition of deployment for Home Care workers, subject to parliamentary process. • As part of the move back to promoting independence, the Workforce Subgroup will continue to develop and implement mitigating actions around staffing shortages.

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	guidance, the Council implemented the need for compulsory vaccinations for care home staff.																					
<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 4 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"> <tr> <td colspan="3" data-bbox="1413 531 1933 619"> <p>Q4 RISK RATING likelihood x impact</p> </td> <td data-bbox="1933 531 2085 619"> <p>25</p> </td> </tr> <tr> <td colspan="2" data-bbox="1413 619 1626 707"> <p>Previous quarter</p> </td> <td colspan="2" data-bbox="1626 619 1798 707"> <p>Current quarter</p> </td> <td data-bbox="1798 619 1933 707"> <p>End Yr Target</p> </td> <td data-bbox="1933 619 2085 707"> <p>DOT</p> </td> </tr> <tr> <td colspan="2" data-bbox="1413 707 1626 786"> <p>25</p> </td> <td colspan="2" data-bbox="1626 707 1798 786"> <p>25</p> </td> <td data-bbox="1798 707 1933 786"> <p>25</p> </td> <td data-bbox="1933 707 2085 882" rowspan="2">  </td> </tr> <tr> <td data-bbox="1413 786 1536 882"> <p>5</p> </td> <td data-bbox="1536 786 1626 882"> <p>5</p> </td> <td data-bbox="1626 786 1715 882"> <p>5</p> </td> <td data-bbox="1715 786 1798 882"> <p>5</p> </td> </tr> </table>	<p>Q4 RISK RATING likelihood x impact</p>			<p>25</p>	<p>Previous quarter</p>		<p>Current quarter</p>		<p>End Yr Target</p>	<p>DOT</p>	<p>25</p>		<p>25</p>		<p>25</p>		<p>5</p>	<p>5</p>	<p>5</p>	<p>5</p>
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2.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 consequence of COVID-19 and subsequent waves of COVID-19.		
Caused by	Key controls to manage the risk	Further planned activity around key controls for Q1
Increased number of individuals requiring health care and support	<p>Common Controls to manage demand across all areas</p> <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 • Additional services commissioned to provide rapid support to providers to maintain services • Daily Sit Rep Meetings established across Adults • Identification and Risk Assessment of people with unmet needs in the community 	<ul style="list-style-type: none"> • Response across ASC to “emergency” pressures identified and risk in regard to safely meeting statutory duties to those waiting for social care response in the community or hospital in December 21. • Response co-ordinated via Strategic Co-ordination Group (SRG) and attended by Local Resilience Forum (LRF) partners • Business continuity plan and measures put into place to support service delivery • Daily oversight when required on pressures and continuity actions across Adults services at AD level • Adult Social Care Winter Plan in place to drive actions to support and maintain services with overarching themes around Demand Management, Workforce and Market Sustainability • Weekly oversight of ASC Winter Plan at Director and AD level • ASC Leadership team review of activity at a team level to identify any pressures and identify any actions required to support. • Additional short term resources put into place to provide additional capacity to teams and some additional management capacity • Ongoing work with social work and occupational therapy teams to identify tasks and workflow on teams to identify areas of pressure. • ASC Dashboard established which shows the demand, unmet

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		<p>need and pressures across Adult social care – considered weekly at ASC leadership team.</p>
<p>Increase in demand for review & assessment activity, lack of integrated service delivery and the implementation of phase 3 of the NHS response</p>	<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. • Ongoing recruitment campaign to continue to fill outstanding vacancies within teams. • Ongoing review of the new ASC structure to understand any impact on demand management and inform the development of service models post LGR. • The requirement for compulsory vaccinations for those working in adult social care was rescinded in January. Initial vaccination rates across ASC were high and staff are being encouraged to take up further booster vaccinations as required. • Workforce is a key theme within the ASC Winter Plan with actions identified across ASC to support recruitment to vacant posts and stabilise the current social care market. This has included establishing the “Proud to Care” website for social care vacancies across the provider sector, financial grants to providers to support workforce stability.
	<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 	<ul style="list-style-type: none"> • Both North & South Systems and the County Council continue to work through the implications of the new Health and Care Bill 2021-22 and the implications of LGR in meeting the new extended implementation deadline of 1st July 2022 and t. • The Council continues to work through the implications of Local Government Reorganisation on the Health & Care System and is currently considering options for service delivery and partnership working. Both the potential disaggregation of services and partner relationships are a

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	<p>service delivery models and increase capacity.</p> <ul style="list-style-type: none"> • The Health & Care Bill was published on 6 July 2021, setting out key legislative proposals to reform the delivery and organisation of health services in England, to promote more joined-up services and to ensure more of a focus on improving health rather than simply providing health care services. 	<p>growing concern, the impact of which require to be detailed within the options appraisals.</p> <ul style="list-style-type: none"> • During Q1, we will review 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 will continue to work alongside District Council on Changing Futures and New Ways of Working in areas such as homelessness and with people with complex needs.
<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 urgent care MH services in response to COVID-19. 	<ul style="list-style-type: none"> • Joint working with health partners to support hospital discharge and admission avoidance. <i>This has included streamlining referrals into services, trusted assessors and development of service pathways to meet the National NHSE 2 Hour urgent crisis response model.</i> • Joint working with health partners to support the development of a Transfer of Care Hub for the South of the County. Implementation of Discharge to Assess models in the North of the County. • Programme of review and risk assessment for COVID related cases which are new or where support needs have changed • Work will continue to support the reshaping of Mental Health and Learning Disability services but there will now be some delay due to implementation of Local Government Reorganisation. • Development of the Advanced Practice Lead role to drive excellent and legally literate practice is ongoing.
<p>Increase in demand for lower level needs, especially mental health needs</p>	<ul style="list-style-type: none"> • Monitoring of new referrals to social care as result of COVID-19 • Monitoring of activity in Mental Health service 	<ul style="list-style-type: none"> • Review of cases which have arisen as a result of COVID-19 and which currently may have health funding. • Signposting of lower level need to Prevention services - Health and Wellbeing Coaches and third sector provision, online resources.

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<p>Increase in demand for Safeguarding referrals</p>	<ul style="list-style-type: none"> • Safeguarding Adults Board (CSAB) Strategic business plan • Weekly Safeguarding service interface meeting with health partners (north and south) • Weekly Safeguarding interface meeting with Cumbria Police safeguarding hub • 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 • 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. • CCC Safeguarding Adults Risk Prioritisation Tool implemented • Ongoing reviews of trends in safeguarding referrals to understand key drivers and source of referrals to be able to match service capacity. • Ongoing Support sessions to partners delivered to ensure compliance with multi agency safeguarding Adults threshold tool. 	<ul style="list-style-type: none"> • EPW staffing in place to provide short term backfill cover for maternity leave • Ongoing development of operational controls to support management referrals and enquiries
<p>Increase in demand due to winter pressures & further waves of COVID-</p>	<ul style="list-style-type: none"> • Peer review undertaken to evaluate Winter Planning & Winter Pressures. • DHSC Winter Planning Guidance issued 	<ul style="list-style-type: none"> • ASC Winter Plan in place with weekly oversight at Director and AD level, focussed on actions to support pressures being experienced across Adult Social Care. • ASC is feeding into wider Winter Planning with health

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<p>19</p>	<ul style="list-style-type: none"> • Joint Winter planning events held with North and Morecambe Bay systems • Response to DHSC guidance, outcome of Peer review, joint winter planning and other improvement work has been incorporated into a composite Adults Social Care Winter Plan – agreed by Adults DMT. Learning from previous waves of COVID-19 and planning for COVID-19 recovery phase wave has also been incorporated. 	<p>partners.</p> <ul style="list-style-type: none"> • Ongoing joint work with health partners in the North and the South to implement measures to further support discharge from hospital and admission avoidance. • Co-ordinated response via Strategic Co-ordination Group to “emergency” pressures and risk of meeting statutory responsibilities being experienced at the end of Q3, Sit Rep meetings with frequency as required at AD level and additional services commissioned.
<p>Uncertainty of future funding for additional costs to meet COVID-19 response needs and Winter Planning for 2021/22.</p>	<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 ongoing demands in 22/23.
<p>Independent assurance of key risk controls</p> <ul style="list-style-type: none"> -LGA Peer review in the North -Peer review of Winter Planning & Planning Pressures. 		

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Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 4 Risk Rating					
<ul style="list-style-type: none"> • Failure to deliver a well-integrated service to our customers/the public. • Failure to meet our Statutory Duties • Potential fatalities • Impact on budget • Reputational damage to the Council/Partnerships. 	<p>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.</p> <p>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.</p> <p>2.3 Develop and implement a service model for Mental Health and Learning Disabilities by November 2021.</p> <p>2.5 Building on the establishment of the Recovery mechanisms following COVID, further develop the ways of working across all strategic partnerships to ensure joined up response to cross-cutting themes such as Domestic Abuse, poverty, mental health and wellbeing and publish a shared protocol by March 2021.</p>	Q4 RISK RATING likelihood x impact			25		
		Previous quarter	Current quarter		End Yr Target	DOT	
		25		25		25	
		5	5	5	5		

3.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 1
	<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 Budget Managers, Assistant Directors and DMT’s with final reports being presented to CMT. • Regular briefings with Portfolio holder’s and Leader by Assistant Director’s and Director of Finance. 	<ul style="list-style-type: none"> • The 2021-22 Revenue and Capital Draft Outturn and Year-End Progress will be agreed by DMTs by 25 April presented to CMT on 11 May 2022 and to the Cabinet Briefing on 19 May 2022 and Cabinet on 9 June. • 2022-23 Period 2 budget monitoring will be considered by CMT on 13 July in order to address emerging issues in the first Quarter ahead of Q1 reporting that will go to Cabinet. • An assessment of financial pressures in 2021-22 that are ongoing in 2022-23 but not factored into the approved 2022-23 budget was made during period 10 reporting. This is being reviewed alongside the 2021-22 outturn to the timeline set out for reporting 2021-22 outturn. • The Financial Challenge Group will consider the pressures and proposed management mitigations at its meeting on 9 May ahead of consideration by CMT on 11 May. • Assessment of budget provision vs inflationary pressures arising from adverse global events including Russian invasion of Ukraine, energy and fuel markets, Brexit and post Covid recovery issues. Will be considered by Financial Challenge Group on 9 May
Slippage and non-delivery of existing savings	<ul style="list-style-type: none"> • Monthly updates on savings delivery as part of the budget monitoring reports considered by DMTs and CMT. Remediation activity identified where required. • Reserves being reviewed as part of outturn reporting and reported to Cabinet on a Quarterly basis. • Adult Social Care Financial Sustainability Board 	<ul style="list-style-type: none"> • Financial Challenge Group to review delivery of MTFP savings on a quarterly basis.

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	<p>continues to operate in order to assess future demand for and delivery of Adult Social Care services and actions to ensure sustainable funding position is achieved.</p>	
<p>Underspending/ Overspending of budgets</p>	<ul style="list-style-type: none"> Budget monitoring process reporting monthly via DMTs and to CMT focused upon agreement of mitigating actions to control spending within approved budget. Focus upon transparency of one-off vs ongoing financial pressures and savings in service base budgets and identification of management mitigations to control within approved budget. Rigorous assessment and authorisation of significant areas of expenditure e.g. care packages for vulnerable children and adults. Implementation of revised financial decision-making delegations by People Services in respect of commissioned care packages and support. 	<ul style="list-style-type: none"> Actual and forecast unfunded additional spend relating to COVID-19 is being included in budget monitoring reports. Now that COVID-19 funding has ceased, pressures need to be managed within approved Councils resources.
<p>Overspending / underspending/ slippage of capital budgets</p>	<ul style="list-style-type: none"> Regular quarterly Budget monitoring process in place to report to CMT and Cabinet. Rigorous assessment of significant capital schemes through the establishment of finance sub-groups, eg for CSLR Lead officers and members briefed on potential cost increases as a result of adverse global events with lobbying for national response through LGA, SCT as appropriate. 	<ul style="list-style-type: none"> Capital programme overspending and slippage in 2020-21 to be reviewed at outturn and assessment of deliverability of 2022-23 programme and the need to reprofile identified.
<p>Underachievement of income budgets</p>	<ul style="list-style-type: none"> Quarterly meetings with District Council Technical Finance Officers – to review forecasts of Business Rates Income (and appeals) and Council Tax receipts. 	

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	<ul style="list-style-type: none"> • Fees & Charges agreed in February budget setting for 2022/23 income. Delivery against budget will be monitored through the usual budget monitoring process. 	
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 DLUHC 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 DLUHC 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 DLUHC continues. • Indications are that it is likely that the Fair Funding review will be delayed until 2024-25, as there is insufficient time to consult now for 2023-24
Increased demand for Statutory Services	<ul style="list-style-type: none"> • Programme Boards continue to monitor and manage demand in key service areas. • Adult Social Care Financial Sustainability Board to review and model future demand for Adult Social Care services. • Actions are being taken to address the financial pressure associated with the rise in the number of Education, Health and Care Plans (EHCPs) resulting in an end of year overspend in the High Needs Dedicated Schools Grant (DSG) funding. This situation continues to be under review. 	
Independent assurance of key risk controls 2021/22 – Main Accounting System		

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Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 4 Risk Rating					
<ul style="list-style-type: none"> Financial instability 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 2021-22 revenue budget, including allocations of COVID-19-related grant.</p>	Q4 RISK RATING likelihood x impact			20		
		Previous quarter	Current quarter		End Yr Target	DOT	
		20		20		20	
		4	5	4	5		

4. 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 1
Workforce Plan 2018-2022 not delivered.	<ul style="list-style-type: none"> A new Workforce Plan for 2022/23 was agreed at the March Cabinet meeting. Workforce Plan Delivery plan to be refreshed, with Quarterly progress performance managed through SMT, DMTs and reported through the performance framework to CMT and Cabinet members where required. EPW's being managed within each specific Directorate as part of their regular performance management. However due to COVID-19 & Local Government Reorganisation demand, this is likely to not meet Council Plan targets. System wide Workforce Strategy for North & South Cumbria Health & Care System in place Workforce & Organisational Development Service formed including People Management, Occupational Health, Organisational Development, Workforce Training and Apprenticeship functions to ensure cohesion and monitor progress against allocated actions across multiple work streams. 	<ul style="list-style-type: none"> 'Reconnection' stage of New Ways of Working Transition Plan is in progress and in line with new Government guidance and the return to Plan A from 27 January 2022. 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 i.e. Traineeships
High staff absence levels	<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 due to COVID-19 demands staff wellbeing and engagement initiatives to positively 	<ul style="list-style-type: none"> introduction of Sickness Situational Report (Sitrep) to report performance, compliance and management intervention advice guidance and support. Academic research & workshops have commenced with Dr Vickers, a specialist in organisational development and human

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	<p>support and impact staff wellbeing and attendance.</p> <ul style="list-style-type: none"> • Monthly reporting of absence & attendance to Directorate Management Team, Corporate Management Team and reported to elected members of Cabinet & Scrutiny Management Board in place. • Continuation of deep dive' absence clinics at Assistant Director and Senior Manager level in place to address longer term complex cases, supported by Council's Employee Health & Wellbeing professionals and clinical physicians. 	<p>resources interventions and solutions, in support of our person-centred approach to sickness absence, benchmarked with best industry practice.</p> <ul style="list-style-type: none"> • Continuation of support to those clinically vulnerable employees, via Occupational Health to return to the workplace following the government's lifting of Covid-19 measures. • Reconnection Guidance launched to support New Ways of Working. • Monitoring the impact of Covid-19 absence and 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 was agreed by Cabinet Sept 2020 followed across Council services during pandemic. The 2021/2022 version of the Policy was agreed by Cabinet in July 2021. • Health & Safety Committees in place across all directorates, including Senior Officer and Trade Union co-chair arrangements. • CMT and Lead Member receive regular H&S Position updates to be assured of health and safety governance in place for COVID 19 and wider risks. • 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. • Fortnightly Covid-19 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 in line with national move from Plan B to Plan A and then the 'Living with Covid Plan' with risk assessments and safe systems of work in place and building 'COVID-aware' considerations in response to revised Covid-19 position. • 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 in place to support staff to return to the workplace, where safe to do so, for reasons of business need,

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	<ul style="list-style-type: none"> Fortnightly 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 and Corporate Health & Safety Team to build capacity following a number of resignations or internal promotions. LGR workstream established for all 7 Councils with County Council taking lead of H&S workstream. 	<p>physical, mental and social wellbeing.</p> <ul style="list-style-type: none"> Home Working Guidance in place but will be strengthened in Q3 to support longer term home working culture requirements as a new way of working (not just for Covid 19) Significant H&S focus on supporting new model for schools ongoing and well received by School Heads, Governors and Trade Union colleagues. Review and refresh work planned in Q1 with recognised Trade Union colleagues regarding the Councils Working Time Directive and RIDDOR reporting commitments. Work progressing in co-production with District Council colleagues on the future model options for Health & Safety within the LGR Programme of work.
<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 Q4 and beyond. The Pay & Grading Review has been progressed during Q4.
<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"> Mobilisation of Workforce & Organisational Development workstream in progress. Identification of additional capacity to support this workstream in progress.

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Disclosing & Barring Service (DBS) Inspection Concerns	<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. • Progressing with identified actions, following inspection. • Identify future options for the delivery of DBS during Q1 and beyond. 																		
Independent assurance of key risk controls <ul style="list-style-type: none"> • LGA Peer Review was concluded in Quarter 4 and recommendations informing future delivery model options. • The North West Employer’s Strategic Organisational Development Programme (Nurturing Industrial Relations) commenced in Q1-Q4 • Hull University Workplace Stress Review ongoing during Quarter 4 and recommendations progressing into Qtr1. • Academic Review on absence and wellbeing progressing Quarter 4 and recommendations progressing into Qtr1 • Independent Pay & Grading Review progressing Quarter 4. • Development and design of a new 12-month Workforce Plan (2022-2023) during Quarter 3 and was approved in Quarter 4. 																				
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 4 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>	<table border="1"> <tr> <td colspan="3" data-bbox="1397 756 1868 842"> 4 RISK RATING likelihood x impact </td> <td data-bbox="1868 756 2060 842" style="background-color: red; color: white; text-align: center;"> 20 </td> </tr> <tr> <td data-bbox="1397 842 1554 932"> Previous quarter </td> <td data-bbox="1554 842 1720 932"> Current quarter </td> <td data-bbox="1720 842 1868 932"> End Yr Target </td> <td data-bbox="1868 842 2060 932"> DOT </td> </tr> <tr> <td colspan="2" data-bbox="1397 932 1554 1005" style="background-color: red; color: white; text-align: center;"> 20 </td> <td colspan="2" data-bbox="1554 932 1720 1005" style="background-color: red; color: white; text-align: center;"> 20 </td> <td data-bbox="1720 932 1868 1005" rowspan="2" style="background-color: red; color: white; text-align: center; vertical-align: middle;"> 20 </td> <td data-bbox="1868 932 2060 1005" rowspan="2" style="background-color: yellow; text-align: center; vertical-align: middle;">  </td> </tr> <tr> <td data-bbox="1397 1005 1482 1107" style="background-color: red; color: white; text-align: center;"> 4 </td> <td data-bbox="1482 1005 1554 1107" style="background-color: red; color: white; text-align: center;"> 5 </td> <td data-bbox="1554 1005 1639 1107" style="background-color: red; color: white; text-align: center;"> 4 </td> <td data-bbox="1639 1005 1720 1107" style="background-color: red; color: white; text-align: center;"> 5 </td> </tr> </table>	4 RISK RATING likelihood x impact			20	Previous quarter	Current quarter	End Yr Target	DOT	20		20		20		4	5	4	5
4 RISK RATING likelihood x impact			20																	
Previous quarter	Current quarter	End Yr Target	DOT																	
20		20		20																
4	5	4	5																	

5.BECOME A NET ZERO CLIMATE RESILIENT COUNCIL – Allan Harty		
There is a risk that the Council is unable to achieve its net zero target and become climate resilient within currently available resources.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 1
The lack of a fully comprehensive carbon baseline assessment to enable the development of a clear strategy and action plan to achieve net zero.	<ul style="list-style-type: none"> • Strategies and activities relating to Council net zero include: <ul style="list-style-type: none"> • Carbon Management Strategy 2020-2025 • Property Asset Management Strategy 2020-2025 • Highways Asset Management Strategy 2020-2025: <ul style="list-style-type: none"> • Better Places for Work & New Ways of Working Transition Plan 2021. • Council Plan Delivery Plan outcomes and metrics. • Tetra Tech had been selected to undertake a Scope 3 Carbon baseline assessment and in Q4, this was completed. • Other Strategies and Plans include; <ul style="list-style-type: none"> • Cumbria joint Public Health Strategy 2019 • Local Nature Recovery Strategy March 2021. • Understanding and application of the impacts of the Environment Act 2021. 	<ul style="list-style-type: none"> • In Q4, the Scope 3 Baseline has been received in draft for review. A further organisational action plan is being developed to help identify key areas of focus to support the requisite reduction in carbon. • Scope 3 emissions are all other indirect emissions, and include emissions from water consumption, outsourced fleet vehicles, staff business mileage, highways maintenance and social care provision. • Cabinet will receive a report in Q1 2022/23 setting out the findings of the report and the action plan for approval. • The Council will then develop a clear road map to enable the achievement of its net zero target that will then be integrated with and transitioned over to the two new Cumbrian Authorities at 01.04.2023.
The reallocation of staff and financial resources due to competing priorities, such as	<ul style="list-style-type: none"> • As part of the Local Government Reorganisation, a Net Zero Climate Change Workstream is in place as a cross cutting theme. This will keep a focus on how 	<ul style="list-style-type: none"> • The development of a single integrated Net Zero Action Plan and approach informed in part by the County Council's Scope 3 Carbon baseline

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<p>LGR/ new Covid-19 variants and Emergency or Business Continuity incidents.</p>	<p>the new Unitary Authorities will contribute to the UK's statutory and Cumbria's ZCCP net zero target and ensure we have the right resources and skills to achieve this target.</p> <ul style="list-style-type: none"> • Unitary councils have a specific and essential part to play in decarbonising local transport, social housing, planning and waste because of their powers and responsibilities in these sectors. • Business Continuity Plans and arrangements 	<p>assessment.</p> <ul style="list-style-type: none"> • A collective Climate LGR workstream high level SWOT analysis and adaptation SWOT analysis has now been completed. During Quarter 4 a draft blueprint for Day 1 readiness has also been undertaken.
<p>Insufficient staff capacity and capability to achieve the net zero target.</p>	<ul style="list-style-type: none"> • Carbon reduction/ energy Managers in place to drive and oversee energy improvement actions across Council estate. • Training courses related to Climate Change are available for staff, including. <ul style="list-style-type: none"> - Climate Change (eLearning) - Carbon & Climate Literacy for Local Authorities (virtual event) - Climate science & solutions for Cumbria (virtual event) -Climate coffee break chats • An Environment & Sustainability team is being developed – 2 posts are currently in place. • A Communications Officer is now in place to develop a Climate Change/Net Zero Communications Plan and to engage Council staff and the wider public in this agenda. • Council employees continue to embrace an agile working approach including home working. Workstyles have been shaped around the needs of both job roles and personal circumstances. • As part of the Cumbria Cycling Strategy, CCC has committed to improve Cycling Infrastructure and has established a Cycling & Walking Programme in six 	<ul style="list-style-type: none"> • On 14thApril 2022 Cumbria County Council was awarded the Bronze Carbon Literate Organisation standard (COL) certificate and we will continue to work towards achieving the Silver accreditation. • We will be publicising our success both within the County Council and to those who we work with; stakeholders, customers, suppliers, and others. • We continue to assess capacity and capability needed to drive technical improvements across CCC estate and offsetting activity in line with established net zero road map. • Establish the basis of an all-staff engagement and communications campaign to enable a zero-carbon culture and achieve the net zero target by the two new authorities. • Work is ongoing for the Workington, Penrith and Whitehaven Local Cycling & Walking Infrastructure, due to be completed in Spring 2022.

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	<p>urban areas. The Barrow, Carlisle and Kendal Local Cycling & Walking Infrastructure were completed in 2021.</p> <ul style="list-style-type: none"> • The Council provides a Cycle to Work Scheme (available on Council intranet). 	
<p>Insufficient funding to achieve the net zero target.</p>	<ul style="list-style-type: none"> • Funding was received in May 2020 to improve drainage assets and resilience of the highways network, covering both 2021/21 & 2021/22. • A grant of £699,500 is in place for <i>Planting for Pollinators</i> project (mentioned under partnership working below). • The Council will act as the Accountable Body for the Cumbria Community Coastal Forest. This includes funding from DEFRA supporting projects related to the Environment, Natural Capital, Sustainability, and Biodiversity. The project has received a £220,000 boost from DEFRA's Nature for Climate Fund to kickstart tree planting. • The Tree Works in Barrow project has successfully received funding of £229,000 from the Forestry Commission as part of the Local Authority Treescapes Fund (LATF) 	<ul style="list-style-type: none"> • Funding requirements continue to be assessed as part of the Climate Change LGR work package (wider than the CCC road map). • Available funding stream opportunities will continue to be maximised for 2022/23.
<p>Inability to reduce CCC carbon dioxide emissions directly.</p>	<ul style="list-style-type: none"> • Carbon Management Strategy Phase 1 activity (2022) <ul style="list-style-type: none"> - Reduced energy demand & improved energy efficiency activities across CCC estate. - LED Installation across buildings - Apply Housekeeping improvements and Install fabric improvements. • Fleet of electric pool cars in place • Installed 30 Electric Vehicle Charging Points in Council owner sites across Cumbria. • LED street light replacement and improvement 	<ul style="list-style-type: none"> • Ongoing Carbon Management Strategy Phase 1 activity for completion in 2022.

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	programme.	
Inability to reduce CCC carbon dioxide emissions through Partnership working.	<ul style="list-style-type: none"> • As a strategic authority, CCC will support the decarbonisation of transport networks by securing investment in walking, cycling and public transport • As part of a partnership between the Cumbria Local Nature Partnership, Cumbria Wildlife Trust, the Cumbria Biodiversity Data Centre and local communities, Cumbria County Council has received a grant of £699,500 for the <i>Planting for Pollinators</i> project. The funding comes as part of the Government's Green Recovery Challenge Fund which aims to boost green jobs and nature recovery. • The Council will act as the Accountable Body for the Cumbria Community Coastal Forest. The project is working in partnership with Cumbria Woodlands and the National Trust - joining the Trees for Climate Programme coordinated by England's Community Forests (ECF) • The Council is also working with key partners to enable it to meet future national climate-related reporting requirements such as the anticipated Taskforce for Climate-related Financial Disclosure (TCFD) reporting requirements for Local Government Pension Scheme investment assets. 	<ul style="list-style-type: none"> • Awaiting further details on funding allocations from DfT for investment in active travel infrastructure. • Remit, scope and interdependencies of existing Partnerships in Cumbria are being explored. There remains great potential to work more effectively together on shared agendas such as carbon reduction/ climate change/ nature and seek ways to make collective funding bids.
Inability to reduce CCC carbon dioxide emissions through Zero Carbon Cumbria Partnership (ZCCP) to achieve a net zero Cumbria by 2037.	<ul style="list-style-type: none"> • As part of the Public Health Strategy, CCC is co-chair of the Zero Carbon Cumbria Partnership (ZCCP) who's aim is to work towards a carbon neutral county with improved quality of life, people 	<ul style="list-style-type: none"> • The Partnership team continues to develop an understanding of the carbon footprint at a sector level and put clear action plans and targets in place.

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	<p>living in balance with their environment and a sustainable low carbon economy and to reach net zero by 2037.</p> <ul style="list-style-type: none"> • CCC is engaged with the ZCCP to agree county-wide achievable sector targets and support the implementation of action plans for achieving carbon neutrality. This work will be delivered in partnership with ZCCP. • Zero Carbon Sector Groups are now active for housing, waste, land use/rural sectors and transport and are in the process of establishing governance arrangements. • A Climate Youth Summit was held during Q3 and follow up work to take place with ZCCP sector group leads to shape action plans from Summit. • The Copeland Citizens Climate Jury and Youth Jury have concluded their work, both have produced reports and recommended actions. • A Transport Carbon Reduction workshop was held in Q3 to assess carbon reduction actions and future mobility options, recommendations to go to CCEG & Leaders Board. • The 'Future of Food for Cumbria - a workshop from Zero Carbon Cumbria Partnership' took place on 24th February 2022. • Further workshops have taken place on Land Based Skill and low Carbon Economies. 	<ul style="list-style-type: none"> • The Monitoring and Evaluation Framework for the sector group plans and lottery funded community scale projects is still in development. A draft framework is scheduled to be in place by end of Autumn 2022. • Two new Net Zero Groups to be developed, one to support the decarbonisation of businesses and another to focus on energy. • The Barrow Citizens Jury will be concluded and report their findings. • The main risks to achieving the aims of the ZCCP Cumbria Wide 2037 net zero target are: <ul style="list-style-type: none"> - Lack of funding - No single organisation - Leadership at the highest level to drive forward change (the ZCCP Steering Group will aim to begin to address this). - Lack of resource within the sector groups – both financial and human. - National, Regional and Local policy backdrop – not in line with 2037 ambition. - Challenge of behavioural change and societal readiness
<p>Inability to reduce CCC carbon dioxide emissions through Carbon Offsetting strategies (2023/2024)</p>	<ul style="list-style-type: none"> • Development of offsite renewable energy generation. <ul style="list-style-type: none"> - Install offsite 1.5MW Solar Photovoltaic (PV) installation - Install offsite 2.5MW Wind Turbine • Planned development of Tree Works in the Barrow 	<ul style="list-style-type: none"> • The Tender for the Tree Works Project in Barrow is being further considered and updated before re-release during Q1 2022/23. • Formal grant agreement arrangements for the Cumbria Community Coastal Forest concluded in Feb 2022, with governance arrangements in place

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	<p>area as part of Forestry Commission’s Local Authority Treescapes Fund (LATF).</p> <ul style="list-style-type: none"> • Cumbria Community Coastal Forest – this project is working in partnership with Cumbria Woodlands and the National Trust and over the next five years see up to 150 hectares (or around 210 football pitches) of trees, woodlands and forests will be planted, capturing around 32,910 tonnes of CO2 over the lifetime of the trees. • Cumbria is actively supporting the Queens Green Canopy Project, launched in May 2021. The project will see thousands of new trees planted, as well supporting a range of activities that will see ancient woodlands and forests protected for the future. • In Q3 2021/22, £229,000 was received from the Forestry Commission (as part of LATF) for the Tree Works Project in Barrow. The works went out to tender in Q4 with no submissions returned. 	<p>for Cumbria County Council to act as Accountable Body. The first tree planting projects commenced in Quarter 4 and this will continue throughout 2022/23.</p> <ul style="list-style-type: none"> • Carbon offsetting calculations should now consider the latest advice and metrics in the governments sixth carbon budget. This contains a rethink on the current state of the nations peat bogs and classifies them in some cases as net emitters rather than carbon sinks if they are in poor condition – this emphasises the need to better understand the current state of Cumbria’s upland peat bogs and restore them as quickly as possible.
<p>The lack of a fully comprehensive climate change impact assessment to enable the development of comprehensive adaptation strategies to optimise the County Council’s Resilience.</p>	<ul style="list-style-type: none"> • CCC is the Lead Local Flood Authority (LLFA) and has a duty to manage the risk of flooding from local sources (ordinary watercourses, surface water and groundwater) and develop and apply a local flood risk strategy. CCC works in partnership with District Councils and the Environment Agency through a joint strategic flood risk management board. 	<ul style="list-style-type: none"> • CCC continues to make adaptations to and improved resilience of Cumbria’s Highways for a changing climate, by improving the management of surface water drainage. • A climate risk assessment tool is being considered as part of the work through the climate LGR working group. Any such tool should consider the wide implications of a changing climate both in terms of impact on service provision and delivery but also more broadly on our communities and businesses building the risk and cost of inaction. It should also support new policy/strategy/service design to build in good decisions early and build poor one’s out.

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Independent assurance of key risk controls					
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 4 Risk Rating			
<ul style="list-style-type: none"> • Reputational Damage • Financial /Liability claims • Not meeting CPDP objectives 	<p>A4.5 Utilising our role as a strategic authority to influence and shape the response to the Clean Growth and Energy agenda by supporting the decarbonisation of transport networks by securing additional investment in walking, cycling and public transport and deliver new electric charging infrastructure on Council operated car parks.</p> <p>A4.6 Make adaptations to the highways for a changing climate and improve the resilience of the highway network to a changing climate by improve the provision to manage surface water drainage.</p> <p>A4.7 As part of public health strategy agree county-wide achievable sector targets and action plan for achieving carbon neutrality by March 2021.</p> <p>M4.7 Establish an organisation level Carbon baseline by 2022.</p>	Q4 RISK RATING likelihood x impact			20
		Previous quarter	Current quarter	End Yr Target	DOT
		20	20	20	
		4	5		

6.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 1
	<p>Common Controls across all risk causes</p> <p>The service has developed good financial and performance management systems which are now firmly embedded in the services and these are used across various Boards and Meetings;</p> <ul style="list-style-type: none"> • Quality & Development Plan • Quality & Development Board • Weekly Performance Board • External Scrutiny & Support • Two dedicated practice development officers in place to support the delivery of the quality and development plan 	
<p>Insufficient placement sufficiency to meet the increase in numbers of Children looked after</p>	<ul style="list-style-type: none"> • Edge of Care Panel is in place to ensure that our services are working with the right children to prevent unnecessary entry to care. • Legal and Placement Panel is in place to agree any planned entry of children into care and provides authorisation to undertake court proceedings • We met our fostering target for 2021/22 and we have an ongoing proactive fostering recruitment campaign. • The second Residential Home was opened in early Q1 2020/21. • Two Independent Living flats adjacent to the second Residential Home were opened in Q1 2021/22. This has increased our internal 	<ul style="list-style-type: none"> • We continue to review placement sufficiency and are developing plans on how this can be further met internally in the future. • We are continuing to progress further commissioning work with Blackpool, Lancashire & Blackburn & Darwin local authorities in a joint approach to meet our sufficiency demands.

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	<p>residential 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. • Robust contract management is in place for the 	<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 the Early Help multi agency training will take place to reflect bottom lines, the voice of children and young people, information sharing and step up/down processes • Work with the think family programme board will take place around practice and behaviours • Engagement with DELVE will also take place (Organisational Development specialists) to develop expected practice and behaviours of the workforce.

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	<p>commissioned for the Child and Family Support Services.</p> <ul style="list-style-type: none"> • A review of Family Group Conferencing Service has been completed. 	
<p>Lack of relevant skills and experience staffing capacity 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. • We have recruited newly qualified social workers via our Academy Approach. • During Q3 2021/22, the Department for Education informed us that the National Assessment & Accreditation System for Social Workers (NAAS) project has been paused and is currently under review. • The Aspiring Practitioner new program was finalised and made available from late November as part of our continuous professional development (CPD) offer. 	<ul style="list-style-type: none"> • We continue to experience an increasing level of demand and a reduction in staffing levels and availability of EPW's due to the impact of COVID-19. We will continue to monitor this trend during Q1 2022/23. • The review of our progression program for social workers, advanced practitioner and team managers is still ongoing. • Work is still ongoing with the AD Workforce and Organisational Development to develop a joint Recruitment and Retention Plan across Adults and Children's Services. • We continue to work with our procurement service to review our Externally Provided Workforce (EPW) needs to enable us to cover our statutory services. EPW recruitment has continued to be challenging during COVID-19.
<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 • We had our Ofsted annual conversation in Q4 2020/21. • Our fortnightly and monthly performance meetings led by the Assistant Director ensure 	<ul style="list-style-type: none"> • The LGR Adoption peer review took place in Q4 and we are waiting on the report after which an action plan will be devised in terms of the learning. • The LGR Child Exploitation review will take place during Q1 2022/23. • The Ofsted annual conversation will take place in June 2022/23.

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	<p>that we track meeting regulatory standards, and this is also monitored within our monthly audit schedule.</p> <ul style="list-style-type: none"> The Ofsted Focus visit took place during July 2021. 																			
<p>Independent assurance of key risk controls Ofsted Focus visit – July 2021/22</p>																				
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<p>Quarter 4 Risk Rating</p>																		
<ul style="list-style-type: none"> Lack of Placement Sufficiency Increase in caseloads for Social Workers and not being able to appropriately allocate Children. 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="1395 539 1906 627"> <p>Q4 RISK RATING likelihood x impact</p> </td> <td data-bbox="1906 539 2069 627"> <p>16</p> </td> </tr> <tr> <td data-bbox="1395 627 1576 715"> <p>Previous quarter</p> </td> <td data-bbox="1576 627 1758 715"> <p>Current quarter</p> </td> <td data-bbox="1758 627 1906 715"> <p>End Yr Target</p> </td> <td data-bbox="1906 627 2069 715"> <p>DOT</p> </td> </tr> <tr> <td colspan="2" data-bbox="1395 715 1576 802"> <p>16</p> </td> <td data-bbox="1576 715 1758 802"> <p>16</p> </td> <td data-bbox="1758 715 1906 802"> <p>16</p> </td> <td data-bbox="1906 715 2069 802">  </td> </tr> <tr> <td data-bbox="1395 802 1496 890"> <p>4</p> </td> <td data-bbox="1496 802 1576 890"> <p>4</p> </td> <td data-bbox="1576 802 1677 890"> <p>4</p> </td> <td data-bbox="1677 802 1758 890"> <p>4</p> </td> <td data-bbox="1758 802 2069 890"></td> </tr> </table>	<p>Q4 RISK RATING likelihood x impact</p>			<p>16</p>	<p>Previous quarter</p>	<p>Current quarter</p>	<p>End Yr Target</p>	<p>DOT</p>	<p>16</p>		<p>16</p>	<p>16</p>		<p>4</p>	<p>4</p>	<p>4</p>	<p>4</p>	
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<p>16</p>		<p>16</p>	<p>16</p>																	
<p>4</p>	<p>4</p>	<p>4</p>	<p>4</p>																	

7. Impact of Local Government Reorganisation on the sustained provision of Council Services – Corporate Management Team		
There is a risk that the Local Government Reorganisation (LGR) programme of work will have a significant impact on the sustained quality provision of Council Services until 31 March 2023 and will impact on a good and effective closure of the Council.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 1
<p>The inability to manage Stakeholder expectations and engagement across LGR and Business as Usual activities up until 31 March 2023.</p> <p>(Customers/ elected members/ Trade Unions/ Statutory and non-statutory Partners/ Providers/ Contractors/ Ofsted Inspectors etc).</p>	<ul style="list-style-type: none"> • At this time of significant change retain a focus on delivery of the Council Plan Delivery Plan and maintain regular performance, risk and financial monitoring reporting • Ensure effective communications remain in place around County Council activities and achievements • Continue to communicate with stakeholders through usual activities about the sustained provision of Council Services and our continued responsibility to meet all statutory requirements throughout the period. • Remain focused on the customer impact and ensure that the customer focus for all service delivery is maintained • Utilise established regular engagement meetings to keep Elected Members, Trade Unions, Partners, Providers, Contractors, External Inspectorates and other key Stakeholders focussed on delivering Business as Usual, engagement in delivery options and transition arrangements as they unfold. 	<ul style="list-style-type: none"> • Ongoing and regular updates to all key Stakeholders through existing relationships and forums is ongoing. • Services to consider Customer Impact and develop relevant reassurance messaging around continuity of services.

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<p>The inability to manage staff expectations and engagement across LGR and Business as Usual activities up until 31 March 2023.</p>	<ul style="list-style-type: none"> • Open and transparent communication regularly to update all staff on progress • FAQ's responded to effectively • Support for all staff going through change is provided in addition to the existing leadership and management development programmes, coaching support and well-being support. • The first staff 'pulse' survey was launched to help inform the leadership team on a number of important areas including how well the LGR process is being managed, how effective the communications are how staff are feeling about LGR. 	<ul style="list-style-type: none"> • Weekly LGR newsletters are being issued • Further Frequently Asked Questions (FAQs) are being developed in order to answer staff questions. • The data collected from the first staff 'pulse' survey is being analysed and will help inform which areas of the LGR Programme are working well and where improvements are needed to support all employees through this time of change. • From April, a range of module-based training sessions are available for Managers and Individuals as part of the 'Supporting you through Change' package. These are available through the Organisational Development & Workforce Training sharepoint site to provide support on topics such as wellbeing, resilience and embracing change.
<p>The inability to maintain existing governance and decision-making arrangements to ensure;</p> <p>-The delivery of agreed key commitments including business as usual activities, continuing transformation projects, supporting External Inspections (Ofsted). etc.</p>	<ul style="list-style-type: none"> • County Council Plan extended to 31 March 2023 • The Council Plan Delivery Plan has been revised to maintain focus and rigour around statutory services until 31st March 2023 and agreed by Cabinet • The 2022/23 Budget, 2022-2027 MTFP and Capital Programme has been agreed by full Council • A new Workforce Plan for 2022/23 was agreed at the March Cabinet meeting • Directorate & Service Delivery Plans being revised where appropriate for 2022-2023 • All decision making continues to comply with established constitution & statutory responsibilities • Established governance controls including regular financial, performance and risk monitoring are maintained alongside Internal Audit and 	<ul style="list-style-type: none"> • Ongoing review and revision of Directorate & Service Delivery Plans for 2022-2023

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<p>The inability to plan and manage</p> <p>-The delivery of a good and effective closure of the County Council on 31 March 2023</p> <p>-The delivery of Legacy work after 1 April 2023</p>	<p>external inspections and quality assurance activities.</p> <ul style="list-style-type: none"> Individual LGR workstreams are established to ensure that a safe and legal transfer of services is enabled on 1 April 2023. Specific activities to support ending well as a County Council are being developed alongside the annual reporting mechanisms that will remain in place for the 2022/23 year. List of all legacy /post vesting day tasks currently being identified with proposed changes to deliver activity, in full or in draft, prior to 31 March 2023 where possible. In March 2023, The Audit & Assurance Committee will receive the 2022/23 drafts of the AGS, Head of Internal Audit Opinion and Annual Report on the Effectiveness of Audit & Assurance Committee 	<ul style="list-style-type: none"> The identification of service based legacy tasks is ongoing. There is a need for all Directorates & services to continue to develop a clear plan of action for ending the Council in a safe and legal manner working with the LGR workstreams. In addition, 'Housekeeping' tasks being identified that need to be completed before 31 March 2023
<p>Reflecting overall resource constraints, the inability to fully develop robust Service Delivery options appraisals for future service provision with all partners.</p>	<ul style="list-style-type: none"> Ongoing development of evidence-based Service Delivery options appraisals through the Theme elements of the LGR programme with resources being identified and established Early and regular engagement and briefings for all Key Stakeholders and Partners with regard to the development of future Service Delivery options. Co-production principles adopted through all of the activities involving county council staff and district staff Expert advisors, critical friends and Cabinet Working Group established to support option appraisal development Joint Implementation Reserve being established 	<ul style="list-style-type: none"> Work is ongoing within the People, Place, Corporate/ Enabling Services, ICT, Customer & Digital and Finance theme elements of the LGR programme to develop evidence-based Service Delivery options appraisals. KPMG continues to support the work of the various themes and workstreams as well as the LGR Programme Board.

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	to ensure resources for delivery of the implementation activities is available.	
<p>The inability to maintain adequate staffing capacity to enable the delivery of all concurrent activities including,</p> <p><i>the review of existing services and development of robust options appraisals for future service delivery models and planned implementation by 31st March 2023, finishing well, managing legacy activity after 31 March 2023, continuing to deliver business as usual until 31st March 2023, managing ongoing Covid-19 impacts, managing additional and unexpected major incident responses in Cumbria (severe weather/ flooding etc) and managing other significant activity such as the externalisation of CFRS.</i></p> <p>Staff capacity being maintained through.</p> <p>-Staff Recruitment -Staff Retention</p>	<p>Recruitment</p> <ul style="list-style-type: none"> • The new Workforce Plan for 2022/23 was agreed by Cabinet in March 2022. • Likely increase in use of EPW's to fill gaps if permanent or temporary recruitment is not possible. • Potential increase in staff turnover therefore need to ensure effective handover arrangements are in place and effective induction for new employees. • Dedicated LGR Organisational Development & Human Resources workstream identified and in progress. • Continued development of the recruitment offer and recruitment process including streamlining the application process for service areas including Cumbria Care. <p>Retention</p> <ul style="list-style-type: none"> • Increase engagement and communications with staff to reduce uncertainty and allow for concerns to be raised • Review staffing requirements across service areas ensuring that sufficiency of resource is understood and managed • Continue to ensure that county council staff have the opportunity to access development and training opportunities throughout this period • Ensure staff welfare and wellbeing is prioritised and that support and activities are in place and are working well to support all staff and teams during transition period. 	<ul style="list-style-type: none"> • Develop clarity on current and future skills, experience and competency requirements is ongoing. <ul style="list-style-type: none"> • Corporate and local engagement and communications with staff to reduce uncertainty and allow for concerns to be raised is ongoing. • Corporate and local monitoring of staff wellbeing is also ongoing, ensuring local processes are in place and working well to support all staff and teams during transition period. • Enhanced Senior Manager visibility and accessibility. • Management development initiatives are in development to provide wider workforce support and workforce resilience during this period of change.

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	<ul style="list-style-type: none"> Ensure effective handover process in place to minimise loss of knowledge, information and intelligence should staff choose to leave. 																
Independent assurance of key risk controls																	
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 4 Risk Rating															
<ul style="list-style-type: none"> Reduced or non-delivery of services impacting on service users Financial sustainability of the Council Significant budget overspends & unsustainable drawing on reserves Reputational damage to the Council Intervention by central government 	<p>This risk is linked to the delivery of all aspects of CPDP from the start of the process to 1 April 2023.</p>	<table border="1"> <tr> <td colspan="3" data-bbox="1413 539 1928 632">Q4 RISK RATING likelihood x impact</td> <td data-bbox="1928 539 2094 632">16</td> </tr> <tr> <td data-bbox="1413 632 1597 724">Previous quarter</td> <td data-bbox="1597 632 1780 724">Current quarter</td> <td data-bbox="1780 632 1928 724">End Yr Target</td> <td data-bbox="1928 632 2094 724">DOT</td> </tr> <tr> <td colspan="2" data-bbox="1413 724 1597 801">16</td> <td data-bbox="1780 724 1928 801">16</td> <td data-bbox="1928 724 2094 801" rowspan="2"></td> </tr> <tr> <td data-bbox="1413 801 1514 887">4</td> <td data-bbox="1514 801 1597 887">4</td> <td data-bbox="1597 801 1780 887">4</td> </tr> </table>	Q4 RISK RATING likelihood x impact			16	Previous quarter	Current quarter	End Yr Target	DOT	16		16		4	4	4
Q4 RISK RATING likelihood x impact			16														
Previous quarter	Current quarter	End Yr Target	DOT														
16		16															
4	4	4															

8.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 1
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 lockdown 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. 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 Apr 2021 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 and opening of local services. Co-ordination arrangements remain flexible and able to adapt depending on the current status of case rates. As waves occur or 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 allowed for services to be delivered, 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 fortnightly each Friday with recognised 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 regularly reviewed alongside national & local guidance, with changes communicated given rapidly changing pandemic policy position

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	<ul style="list-style-type: none"> County Council focus on Covid-19 has remained high with regular discussion through CMT and extended across the Council led by the Director of Public Health, Chair of the Corporate Health & Safety Committee and Assistant Directors working on the New Ways of Working Programme, to safely continue the delivery of Council services and virus prevalent. 	<ul style="list-style-type: none"> Q3 and Q4 saw the highest number of weekly cases in Cumbria, the Council responded to ensure business continuity plans were in place and effective, especially to maintain workforce numbers in key front-line services. These Business Continuity arrangements will continue during Q1 in line with the Living with Covid Plan.
<p>Council Workforce – Wellbeing and Health & Safety</p>	<ul style="list-style-type: none"> COVID 19 implications, risks and controls in place all levels with the Corporate Health, Safety & Wellbeing Policy now inclusive of Covid-19 management and agreed through Cabinet. 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 wellbeing and coaching support line 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 ensuring all staff received PPE and guidance to safely undertake role. A weekly PPE meeting is available with recognised trade unions to ensure shared situational awareness and staff feedback. National safety guidance has evolved, eg in relation to use of PPE or other safety controls, reviews have been undertaken and the requirements communicated 	<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 the Organisational Development Programme Board agreed all staff be encouraged to complete the courses as soon as possible. As national lock-down restrictions are removed and services recommenced, service specific risk assessment and safe methods of working have been produced as part of a risk managed approach to service re-launch and learning to 'live with the virus'. This will be kept under regular review in Q1 as national guidance is significantly removed. Cumbria transmission levels continue to be closely monitored through Health Protection Board and CMT (where data is available given mass testing is no longer available) Joint premises visits will continue to be undertaken to satisfy COVID-19 risk 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 to continue in New Ways of Working programme context to ensure safe systems of work in the home environment and Council premises. Additional support is being offered to assist employees,

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	<p>to staff along with guidance and support.</p> <ul style="list-style-type: none"> • Communications and a workplace health & safety checklist reminder will be issued to all managers in October. 	<p>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 especially alongside rising LGR requirements.</p>
<p>Council ICT</p>	<ul style="list-style-type: none"> • Large numbers of employees working remotely at home using approx. 6000 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 Northwest 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 	<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. This learning is now feeding into the LGR ICT Workstream. • Ongoing engagement with National Cyber Security Centre (NCSC) and the Northwest Warning & Reporting Point (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 infrastructure performance and security arrangements following external learning and emerging technologies to counter any known threats or infrastructure capacity issues. • Regular reminders issued to staff to ensure 'strong passwords' are in place and dual factor authentication used. • The Council has submitted its 2022 PSN accreditation and a response is expected in Q1 2022/23. • 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-

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	<p>technology provided latest innovative solution whilst keeping corporate network secure at all times.</p> <ul style="list-style-type: none"> • 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. 	<p>learning course.</p> <ul style="list-style-type: none"> • Future planned investments in County Council ICT infrastructure being taken in context of LGR programme timings so that we maintain council system availability and high performance whilst ensuring value for money of future investments. <p>Please also refer to additional controls & measures noted within the Information Security Arrangements Risk.</p>
<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 was encouraged wherever possible in Q4. • 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 aware. • A Strategy for enabling increased face to face contact with customers and service users in COVID-19 safe building progressed • 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"> • Through the New Ways of Working programme, there is now no need to work from home solely due to Covid-19 risk. As part of blended workplace model, staff who can work from home are able to do so balancing business need and personal working patterns. Essential staff have continued or will return to Council office buildings and community workplaces in Q1 (case rates allowing) • As services continue regardless of delivery model, priority face to face customer contact continues to follow detailed risk assessment and specific modifications through "COVID-secure" standards in the relevant premises. • Whilst not mandatory, face coverings were encouraged indoors for larger or longer meetings in Q4 with hand hygiene promoted. Given national face masks restrictions are changing, this will impact on Q1 arrangements for County Council although personal choice to wear a covering will be respected. • 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. • Free Lateral Flow Testing ended on 31 March 2022 and now only limited professional groups are able to access free testing. The Council is however scoping the feasibility of a 'test to protect' trial which (if agreed) could provide testing around the Council most vulnerable employees, and then support to self-

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		<p>test at home and to self-isolate if positive, reducing workplace risk of transmission to high-risk employees.</p>
Council Finances	<ul style="list-style-type: none"> Emergency cost codes issued for the COVID-19 incident. Additional codes have been introduced as required. The cost of the response to and recovery from will continue to be monitored, although government funding is expected to cease. Actual and forecast additional spend relating to COVID-19 is being monitored on a monthly basis and reported to DLUHC, Members and CMT. 	<ul style="list-style-type: none"> Services impacted by COVID-19 will continue to be supported. Financial returns continue to be made to Central Government although funding for costs is expected to cease. Financial Challenge group will continue to assess the ongoing impact of COVID-19 on services and respond as necessary. <p>Please refer to additional controls & measures noted against the separate Corporate Financial Sustainability Risk.</p>
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. This has continued in 21/22. 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. This has now been removed and public meetings must take place in person. Routine monitoring of National COVID-19 developments is ongoing and reported routinely to CMT, ELT and Elected Member meetings. The Annual Governance Statement for 2020/21 was 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 	<ul style="list-style-type: none"> A review of Governance continues, and ongoing impacts of COVID-19 will be monitored and included in the Annual Governance Statement 2021/22. The Health Protection Board Tactical Oversight Group chaired by the Director of Public Health, ensures strong governance of Covid-19 arrangements with links to CMT and Elected Members through the Health & Wellbeing Board. For significant COVID-19 related projects led by the County Council, a strong focus on governance has been implemented and continues. 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 services such as the PPE service will continue to ensure robust quality standards and value for money delivery of the DHSC funded programme.

	<p>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.</p>	
<p>Council Incident Response & Recovery Structure</p>	<p>Multi Agency Incident Response & Recovery</p> <ul style="list-style-type: none"> • Strategic Coordination Group (SCG) formally declared COVID-19 as a MAJOR Incident on 11 March 2020 • An Incident Response and associated governance framework developed and worked well • Multiagency Recovery Advisory Group (RAG) was 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. • 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 LFT testing programme. • On 15 April 2021, major incident ended, SCG stood 	<ul style="list-style-type: none"> • The Chair and Vice Chair of The Strategic Recovery Group (SRCG) have commissioned a review of the Recovery Strategy to show progress and to ensure that all of the actions and measures, in the Outcomes Framework, are being appropriately managed through Business-as-Usual mechanisms within existing structures. • The March 2022 meeting of the SRCG agreed that the COVID Recovery Strategy is now being managed through the strategic partnerships and the outcomes framework. This is now seen as business as usual for the partnerships with expected measures, activity and outcomes being included in business plans and strategies for the partnerships. Any issues can be escalated through the Chief Execs Group. In addition, the Recovery Strategy ambitions are being reflected in LGR plans • COVID-19 response arrangements continue though the Health Protection Tactical Oversight Group and working well. • The Council has reverted to a single Duty AD rota to respond to both Covid or non-Covid related issues and this rota system is now in place and working well for Q1 onwards. • The Covid-19 internal silver command group has been stood down but the group continues to meet weekly but with a greater focus on New Ways of Working, transition and recovery activity. • 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.

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	<p>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>	<ul style="list-style-type: none"> • Major programmes of work continue to be resourced to ensure service such as PPE management and Lateral Flow Testing continue. • The Corporate Resilience Team have transitioned and refocused 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 tactical co-ordinating groups via the Council's gold and silver commanders. • All Directorates were represented at Silver meetings and produced SITREPS for each meeting. • In addition to the gold incident commander a lead Executive Director rota has been in place to ensure direct support to the gold commander from CMT throughout the incident. 	<ul style="list-style-type: none"> • CCC ADs continue to be available 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. • Service level Business Continuity Plans in place and continue to be reviewed to assess risks and controls.
<p>Independent assurance of key risk controls</p>		

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Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 4 Risk Rating			
<ul style="list-style-type: none"> Impact on Council Plan Delivery Plan Impact on MTFP & Financial sustainability of CCC Legal implications Reputational Impact Impact on customers 	<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>	Q4 RISK RATING likelihood x impact			15
		Previous quarter	Current quarter	End Yr Target	DOT
		15		15	
		3	5	3	5

9.Information Security Arrangements – Paul Robinson & Catherine Parkinson		
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 1
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 Manager 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, Northwest 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 DS&P was completed at the end of Quarter 1 2021/22. The 2021 ICT Health Check has been completed with significantly improved position reported. Council achieved the Public Sector Network (PSN) accreditation 19 March 2021 in context of increased global and UK security threats, following a programme of 	<ul style="list-style-type: none"> The annual Public Service Network submission was completed during Quarter 4 and we await the assessment and outcomes of this submission. Corporate & Enabling Services programme continued throughout Quarter 3 with Information Security and the corporate network informing LGR discussions following the recent PWC report. The Information Security Team progressing any immediate information security 'quick wins' and this will continue throughout 2022/23. As part of LGR Programme reset, ICT will now be run as a specific LGR project due to the criticality and complexity of the activities involved and to 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.

	<p>additional security improvements.</p> <ul style="list-style-type: none"> • A new Cumbria LRF Cyber Security Subgroup is in place. This multi-agency Cyber group came together for the first time to manage the zero-day Log4j cyber vulnerability incident at the end of Quarter 3 (December 2021). • Where global vulnerabilities are identified, additional monitoring and assurance reporting is promptly implemented. As an example, for the Log4j global risk above, the County Council has daily threat reports in place shared across security professionals and reported to AD Organisational Change for assurance and trends reporting. • 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 was successfully implemented in Quarter 2 and continues to be embedded. A key element of the revised service included all role profiles having strengthened data and information security and key Enabling Services responsibilities. • An LGR Data and Intelligence Hub has been established with the County Council AD Organisational Change as the Hub Sponsor. Data Security continues to be a key component of the programme with 7 council Data Protection Officers engaged within the data Hub work programme and ways of working. Assurances are being provided by the Information Security Manager that all Council data and information is being shared securely through the Data Hub and not through any other less secure means. • In addition, the County Council’s Information Security Manager and Data Protection Officer are proactively working with the LGR Program Director and Programme Management Office to raise awareness of and ensure 	
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	<p>compliance with the Council's Information and Data Management policies and procedures in the management of the Council's Data and Information.</p> <ul style="list-style-type: none"> • Additionally, the Information Governance (IG) and Data Protection (DP) Officers Group is now a subgroup of the Data & Intelligence Hub. This subgroup has been developing a governance framework and producing data sharing agreements as required. In addition, this subgroup is developing an Information Asset Register for LGR purposes and providing advice to support the delivery of the LGR Programme and across all other LGR Themes and Workstreams. • To allow secure data sharing, an LGR Data Sharing Agreement was developed by Data Protection Officers, supported by Monitoring Officers and signed by all 7 Chief Executives on 18 Jan 2022. • As a direct result of the Russia/Ukraine conflict and increased cyber threat, a new Cyber Response Team has been set up who have the specialist skills to enable a timely response to all cyber alerts. 	
<p>Inadequate Organisational Measures</p>	<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. • Cyber Security Incident Response Plan in place. • The Data Breach Reporting Policy, Procedure and FAQs and GDPR Compliance Policy have now been reviewed by SIRO Group and republished. • 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 	<ul style="list-style-type: none"> • Following the recent Cyber Security Exercise and recent vulnerability incident, the Cyber Security Incident Response Plan will be reviewed in the coming months prior to final approval. • Alternative delivery methods for Information Asset Register (IAR) training will be used for both managers and elected members to maintain profile and training completion.

	<ul style="list-style-type: none"> • The Data Quality Policy was updated, signed-off by SIRO and republished 16/06/2021 https://www.intouch.ccc/performance/management/default5.asp • 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. • In Quarter 2, the council’s Information Asset Register (IAR) was reviewed, updated and ‘published’ in August 2021. • In Quarter 3 the IAR was moved to a more stable, functional and scalable Sharepoint platform, to allow for future business purposes and development ie.LGR. • In Quarter 3, Information Asset Owners, and Information Asset Administrators have been contacted to review the new training materials and to update any information assets assigned to them. • In Quarter 3, the Retention and Disposal Schedule has been updated and published. • Due to a recent ransomware attack on Gloucester City Council, the Council has reviewed the main causes of this incident and provided assurances that our controls are adequate and there are no similar system vulnerabilities within the County Council. • A Local Resilience Forum Cyber Security Desk-Top Exercise took place during Quarter 4 and tested response and recovery arrangements from a significant Cyber-attack. 	
	<p>Training, Awareness & Ongoing Learning</p> <ul style="list-style-type: none"> • Mandatory Information Security & Data Protection e-learning course in place and routinely updated. The revised course was launched 1 April 22 • Automatic reminders are issued to staff who have not completed or are close to the expiry date of the e-learning 	<ul style="list-style-type: none"> • Information and Data Protection training and awareness will continue to ensure all learning from incidents are adopted into best practice, achieving professional qualifications and a culture of continuous professional development. • Information Security and Data Protection e-Learning 2022-23 successfully reviewed, developed and launched on 1 April

	<p>course. Additionally, a communications campaign ongoing to promote completion of the training.</p> <ul style="list-style-type: none"> • LGA funding has been used to support certified information security professional training within the information security team. • As agreed with Corporate Communications, any key learning points or developments from across Information Security, Data Protection and Records Management will be issued monthly using the Weekly Staff News email. • In Quarter 2 alongside the published IAR, multi-channel learning materials including new guidance, videos and animations were developed. The new guidance document is designed to help Information Asset Owners (IAO) and Administrators (IAA) understand the council's approach to information asset management and to use the Information Asset Register. A number of tools have been developed to address individual learning styles. • In Quarter 3 alongside moving the IAR to a new Sharepoint platform, the guidance for IOA and IAA's have been consolidated into a single accessible location. • Further work is planned to track manager and member understanding of Information Asset roles and responsibilities. • The Council had another successful National Information Security month during November 2021. • During Quarter 4, the County Council took part in a Cyber security exercise to maximise experience and expertise in responding to a real cyber incident. 	<p>2022.</p> <ul style="list-style-type: none"> • e-Learning supported by multi-channel communications – CMT Briefing Note, Your Weekly Staff News, Heads Up for Managers, Member Briefing, InTouch Slider. • Employees and Members are being requested, as agreed by SIRO to complete the learning within two months – 1 June 2022. • Additional Heads-Up messaging will be issued towards end of May where formal monitoring of non-completion will begin. • Members of the Information Security Team will be attending the UK Cyber Event in May 2022 run by Government and the National Cyber Security Centre. • Work continues to update Directorate Performance Reports to include data breach incidents and completion rates for the mandatory Info Security & Data Protection e-Learning Course.
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	<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. • A new 'lessons learned tracker' has been introduced to ensure any learning activities identified as a result of a breach are assigned to an appropriate officer for completion within specified timescales. This is now a standing item for quarterly SIRO meetings. • All issues are discussed at weekly SIRO meetings, service teams and escalated to CMT as required. • A refreshed Data Breach Reporting Criteria approved by SIRO Group on 14th January 2021. • The 2020/21 SIRO and Information Governance Annual Report was considered by the September 2021 Audit & Assurance Committee and positive feedback received. 	<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. • Due to the expiry of the licence for SharePoint 2013, the Data Protection Officer was notified by ICT in September 2021 that data relating to the management of Data Breaches needed to be moved to an alternative platform by 31 March 2022. • The migration of this data was carried out with colleagues in ICT & Digital and has included process improvements. • The data migration was completed ahead of schedule, the systems security has been reviewed by the Information Security Manager and the SIRO Group has been briefed on progress. • All relevant policies, procedures and online content updated to reflect changes.
<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"> • The CCTV compliance/governance arrangements have now been added to the Data Protection Officer report that is submitted to Legal SMT Management Meeting on a monthly basis.

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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 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 was successfully completed for 2021. This proactive invite tests the externally hosted systems including those “in the cloud”. 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. 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 and Data Protection Officer. Information & Cyber security formed a key workstream of the PwC Peer Review within Cumbria County Council’s Enabling Services Programme led by AD Organisational Change as SRO and is now actively informing the preparation requirements for LGR to two Unitary Councils. 																											
Resulting in; Main Impacts of risk		Links to Council Plan Delivery Plan		Quarter 4 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>		<table border="1"> <thead> <tr> <th colspan="4">Q4 RISK RATING (likelihood x impact)</th> <th colspan="2">15</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">15</td> <td colspan="2">15</td> <td rowspan="2">15</td> <td rowspan="2"></td> </tr> <tr> <td>3</td> <td>5</td> <td>3</td> <td>5</td> </tr> </tbody> </table>		Q4 RISK RATING (likelihood x impact)				15		Previous quarter		Current quarter		End Yr Target	DOT	15		15		15		3	5	3	5
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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>																											

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 1
<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. Several contracts were assessed during Q1 and removed from the 'Significant Contracts' register. 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. During Q1, changes have moved into a 'recovery phase' with regards to these earlier COVID related changes. 	<ul style="list-style-type: none"> External consultants used for advice regarding some existing contract performance/options and planned future ways forward. During the COVID-19 recovery phase, the new Covid variant continues to cause uncertainty and as such we continue to keep a watchful eye on significant contract risk, mitigation and Business Continuity Planning measures and their impact across services, however, we are now working within a 'Business as Usual' setting. We are now looking at all contracts in terms of Unitary and Vesting Day, to ensure that we are 'Legal and Safe'.
<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 	<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.

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	<p>Risk Management guidance</p> <ul style="list-style-type: none"> • ‘Speak up’ arrangements in place to supplement ‘Whistleblowing’ policy. 	<ul style="list-style-type: none"> • 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’ continue to be closely and proactively managed. These include the Carlisle Northern Development Route (CNDR), where outstanding contractual issues have been resolved during last quarter of 2021/22, and the second is the Waste contract, where, whilst there is no change to the overall risk profile since the last quarter, there was successful Dispute Resolution in the last Quarter, but there are emerging issues which need to be addressed.
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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 4 Risk Rating																									
<ul style="list-style-type: none"> • Significant Contract(s) not demonstrating Value for Money. • Significant Contract under performance/ service disruption • Significant Contract commercial consideration costs • Increased volume of Contract breaches and/or ‘material’ breach, resulting in the escalation of disputes & the potential for early termination of contract • Reputational damage to the Council. 	<p>This is a cross cutting risk and will impact all Council Services and our ability to deliver the outcomes of the Council Plan.</p>	<table border="1"> <thead> <tr> <th colspan="4" data-bbox="1393 762 1919 863">Q4 RISK RATING likelihood x impact</th> <th data-bbox="1919 762 2103 863">10</th> </tr> <tr> <th colspan="2" data-bbox="1393 863 1588 959">Previous quarter</th> <th colspan="2" data-bbox="1588 863 1774 959">Current quarter</th> <th data-bbox="1774 863 1919 959">End Yr Target</th> <th data-bbox="1919 863 2103 959">DOT</th> </tr> </thead> <tbody> <tr> <td colspan="2" data-bbox="1393 959 1588 1031">10</td> <td colspan="2" data-bbox="1588 959 1774 1031">10</td> <td data-bbox="1774 959 1919 1031">10</td> <td data-bbox="1919 959 2103 1031" rowspan="2" style="text-align: center;"></td> </tr> <tr> <td data-bbox="1393 1031 1507 1145">2</td> <td data-bbox="1507 1031 1588 1145">5</td> <td data-bbox="1588 1031 1691 1145">2</td> <td data-bbox="1691 1031 1774 1145">5</td> <td data-bbox="1774 1031 1919 1145"></td> </tr> </tbody> </table>				Q4 RISK RATING likelihood x impact				10	Previous quarter		Current quarter		End Yr Target	DOT	10		10		10		2	5	2	5	
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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 1
Staff shortages: a lack of capacity or capability	<ul style="list-style-type: none"> Children’s Workforce Strategy in place to address staff shortages across all areas particularly for experienced social work staff and social work qualified team managers. Staff shortages 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. A further Academy Cohort has been progressed within the first 2 Quarters of 2021/22. 	<ul style="list-style-type: none"> Work continues with our commissioning service regarding our contract for Externally Provided Workforce (EPW). Work is still ongoing with the AD Workforce and Organisational Development to develop a joint Recruitment and Retention Plan across Adults and Children’s Services. Work is ongoing through the University of Hull in relation to workplace stressors. Social Workers are a key group of participants in the workshops which have taken place. <ul style="list-style-type: none"> Preliminary findings have been reported with more detailed work to follow in the coming months. The research will enable recommendations for bespoke and targeted interventions to control and mitigate the risk to the wellbeing of our workforce. Work continues on a person-centred approach to absence management in partnership with Dr David Vickers with a focus on early intervention. Key findings are due to be presented at CMT shortly with a working group looking at a number of recommendations.
Failure to adequately follow regulations, policies, procedures & protocols.	<ul style="list-style-type: none"> A Policy Framework is in place and continues to be updated using TriX. Audit Quality Assurance Framework in place to ensure ongoing regulatory compliance to all Policies and procedures. Quality Development Plan – including weekly and monthly performance review meetings. Ongoing monitoring of performance, compliance and 	<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.

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	<p>subsequent actions are monitored by the Quality & Development & the weekly Performance Board.</p> <ul style="list-style-type: none"> • The 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 2020/21. • 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. • Refreshed Supervision Training, in line with the updated Supervision Policy, has been completed. • An Audit of Supervision takes place annually. 	<ul style="list-style-type: none"> • A key element of the Quality & Development Plan covers the expectations of Supervision. As part of this development plan there is ongoing work to improve the quality of our supervision and management oversight and this is reviewed on a Quarterly basis.
<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. • A Children and Young People’s Plan is now in place and was approved by Cabinet in Oct 2021. This plan includes Early Help, Think Family and the Locality Groups. • As part of our ongoing compliance of Working Together 2018, we have refreshed the model for delivering Independent Scrutiny of the Cumbria 	<ul style="list-style-type: none"> • The Children and Young People’s Plan outcomes framework has been drafted and the Children’s Trust Board met in Feb 2022 to support the development of this framework. A further meeting will take place on 19 April 2022 to agree the draft outcomes and a forward plan for the meetings for the next 12 months. • Publication of Child Practise Reviews • The Early Help Strategy and Implementation Plan has been under development and will be presented to the Children’s Trust Board in April 2022 for approval.

	<p>Safeguarding Children Partnership (CSCP). A new external independent scrutineer has been appointed.</p> <ul style="list-style-type: none"> • 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 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. • Implementation Plan for Children’s Services to include CCC as a good partner. • An annual report on work delivered over last 12-18 months during COVID-19 has been completed and was signed off in July 2021. • With regard to the recent appointment of the new independent scrutineer, a new policy and performance and assurance framework has been agreed and is now being implemented as well as a forward plan of work for the scrutineer. 	
<p>Independent assurance of key risk controls 2019/20 – Internal Audit of Recruitment and retention of social workers in Children’s Services.</p>		

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2021/22 QUARTER 4 – RISK REGISTER

Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 4 Risk Rating					
<ul style="list-style-type: none"> • Serious injury or death to a Child or young person • Investigations carried out by a Serious Case Review (SCR) • Liability claims against the Council • Reputational damage to the Council 	2.7 Establish the new Cumbria Safeguarding Children Partnership's (CSCP) locality safeguarding arrangements – groups formed, priorities set, schedule of meetings and activity in place. First locality safeguarding priority-learning events held by January 2021.	Q4 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 1
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 Additional staffing request to CMT to support ability to respond to risk in safeguarding referrals. Additional resources allocated for EPW recruitment
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 Internal audit receiving final papers and assurance. CCC Safeguarding Adults Policy, Procedure and supporting Guidance has been reviewed and approved by ASC Leadership Team CSAB Multi-Agency Safeguarding Adults Procedure and guidance in place Performance is reported on a weekly basis within operational Safeguarding Adults Service and ASC LTM Risk issues raised at ASC Leadership Team weekly 	<ul style="list-style-type: none"> There is a rolling review of Safeguarding Adults Policies and Procedures. Ongoing development of Safeguarding adults internal and external partners protocols Internal audit report due

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2021/22 QUARTER 4 – RISK REGISTER

	meetings to identify early mitigations planning.	
Training and supervision being ineffective or inadequate	<ul style="list-style-type: none"> • ASC training standards in place to define mandatory training and ongoing monitoring of compliance in place. • The Practice Learning Group has been established with oversight being provided by the Principal Social worker for ASC; to lead training on the post-qualifying standards for adult Social Workers and Principal Social Workers and to support practice standards and effective supervision and learning across Adults. • Safeguarding Threshold guidance tools in place. • ASC mandatory training offer completed including additional training for members • Safeguarding Training Competency Passport in place. 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 • New Supervision Policy in place. • Principal Social Worker and Advanced Practise Lead Team supporting teams with quality audits on individual cases to provide assurance around practise quality. • Safeguarding adults practice audit revised and implemented to support continuing improvements in Practice. • Safeguarding adults support sessions being developed and implemented to support partner understanding of procedures and key guidnace tools on when to refer concerns. 	<ul style="list-style-type: none"> • Renewal of commissioned training completed for 2022/3 • Quarterly reporting of mandatory training compliance • Review of Safeguarding Competency Framework imminent • Communications team to support promotion of Safeguarding Adults training offer for 2022/3. • Support being provided by Advanced Practice lead service to support effective oversight and learning delivery from statutory reviews which supports ongoing improvements in operational practice. • New ASC supervision tool in place

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<p>Breakdown of partner relationships</p>	<ul style="list-style-type: none"> • Cumbria Safeguarding Adults Board (CSAB) has published it's 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 is 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. • A report about the Adult Social Care winter planning mitigations was presented to the CSAB and was well received. 	<ul style="list-style-type: none"> • We continue to receive regular assurance reports from other Partners about Safeguarding pressures. • A new chair for the CSAB has been appointed and they will take up their new post in June 2022 and a handover from the previous chair will take place during Quarter 1. • We are in the process of developing the CSAB Business Plan for 2022/2023. • Joint work with health partners to support electronic referrals is in place with the implementation of STRATA but further work is required to support this as the preferred referral route by partners. Data sharing developments are ongoing. • Peer review of the Adult Safeguarding Partnership has been completed. A development day will take place during Quarter 1 to consider the findings from the review and following on from this the new Business Plan and the Strategic Plan will be developed. Also, the output of this report be used for LGR discussions and the future of the Partnership following April 2023. • Discussions have commenced with a joint Partnership group around the delivery of future safeguarding adult boards under the two new Cumbrian Authorities. • An options appraisal will be undertaken to help inform the LGR decision making regarding whether current operational safeguarding arrangements will remain a Cumbria wide service or be delivered separately under the new Cumbrian authorities.
<p>Independent assurance of key risk controls 2019/20 – Internal Audit of Safeguarding Adults due to complete Quarter 1 2022/3</p>		

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2021/22 QUARTER 4 – RISK REGISTER

Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 4 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 		Q4 RISK RATING likelihood x impact			10		
		Previous quarter	Current quarter	End Yr Target	DOT		
		10		10		10	
		2	5	2	5		

13.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 restriction and or significant Business issues across mainstream Council Services and beyond.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Q1
<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"> Contain Outbreak Management Fund (COMF) has been sufficient to take us to end of 2021/22. Unspent COM Funds can be carried forward into 2022/23 to provide sufficient resource to continue to employ on a flexible basis enough staff to step up a response at short notice as required.

Appendix 2

2021/22 QUARTER 4 – RISK REGISTER

Ineffective Data Integration	<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"> • The National Data System no longer exists.
Inability to Influence People’s behaviour to ensure compliance with National & Local COVID-19 guidance.	<ul style="list-style-type: none"> • Running communications campaigns on a routine basis to make people aware of current guidance and the importance of following the guidelines • Informal intelligence in place to monitor people’s behaviours, the nature and causes of local outbreaks • 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"> • As of 24 February 2022, there are no longer any National restrictions and regulations in place however, Public Health continues to provide advice.
Impact of new or amended Government-led programmes, controls and measures.	<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"> • As of 24 February 2022, there are no longer any National restrictions and regulations in place however, Public Health continues to provide advice.
Uncertainty around the impact of the Winter Flu Campaign	<ul style="list-style-type: none"> • In September 2021/22, 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 September 2021/22 to support the Flu vaccination programme. 	<ul style="list-style-type: none"> • The flu campaign was successfully implemented and finished during Quarter 4. During the Q4 period flu levels remained exceptionally low.

Appendix 2

2021/22 QUARTER 4 – 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"> The COVID-19 vaccination programme was rolled out very well and is effectively mainstream. 																					
Independent assurance of key risk controls																							
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 4 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"> <thead> <tr> <th colspan="4">Q4 RISK RATING likelihood x impact</th> <th>9</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">12</td> <td colspan="2">9</td> <td rowspan="2">8</td> <td rowspan="2">  </td> </tr> <tr> <td>3</td> <td>4</td> <td>3</td> <td>3</td> </tr> </tbody> </table>	Q4 RISK RATING likelihood x impact				9	Previous quarter		Current quarter		End Yr Target	DOT	12		9		8		3	4	3	3
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