

**COUNCIL CORPORATE RISK REGISTER
PROGRESS REPORT**
(Quarter 3 - Progress to 31 December 2023)

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. Capacity across the Care Sector and impact on meeting care needs - Jo Atkinson		
There is a risk that despite significant investment and innovative actions being taken at a local, national and international level, people continue to exit the wider care workforce and our capacity is unable to meet the increasing demand for Home & Residential Care, Supportive Living & Extra Care, leaving customers with unmet care needs.		
Caused by	Key controls to manage the risk	Further planned activity around key controls for Q4
Increasing and unsustainable numbers 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 • Weekly ASC leadership team meetings in place to drive actions that will support and maintain services across common themes of Demand Management, Workforce and Market Sustainability. Supported by overarching ASC Work Plan and Performance Dashboard showing the demand, unmet need and pressures across ASC. • Weekly transformation programme meeting • Bed Capacity meetings • Long length stay meetings Ongoing monitoring of demand • Ongoing mapping of the sustainability and recovery for Care Homes • Develop increased capacity within communities by increasing engagement with the third sector. The use of community micro-enterprises has been commissioned for the North and South of the County. • The Proud to Care Cumbria 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. The 	<ul style="list-style-type: none"> • ‘Discharge to assess’ (D2A) is a statutory requirement for the County Council and the Assistant Director Adults continues to work with the Integrated Care Systems to establish how this will be funded • A Fair Cost of Care Exercise was completed and submitted in December (Q3) with further work and the final draft Market Position Statement being developed and completed by March 2023 (end of Q4). • Sessions have been and continue to be delivered to both Shadow Authorities to outline the ongoing National and Local challenges for Adult Social Care and across the Care Market, and to consider operational models across both Unitaries. • Ongoing links to National and International networks and other relevant forum to evaluate solutions that are working elsewhere. This is being fed into the A&E Delivery Boards for both ICB's.

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	<p>Council continues to expand how it promotes this recruitment site.</p> <ul style="list-style-type: none"> • In 2021/22 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. • ‘Discharge to assess’ (D2A) is now a statutory requirement for the County Council. 	
<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 ICS 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 ICS colleagues around options for commissioning beds. • As part of the Home Care Framework, grants have been made available to Care Providers to help supplement staff travel costs (using a Transport and Distance Model). This will help attract and retain staffing capacity. 	<ul style="list-style-type: none"> • A Fair Cost of Care Exercise was completed and submitted in December to develop the final Market Position Statement and help understand the sector, future demand and what requires to be commissioned. • Further work has also been done with the LGA around forecast demand and benchmarking to consider what things might look like in 5, 7 and 10 years from now. A draft report of this review has been received and will be considered in Q4 for agreement on what relevant recommendations will be taken forward. • With current resources being tied up with the management of crisis response, Industrial Action and Local Government Reorganisation, there are less resources to consider the more innovative and alternative ways of commissioning services to help manage demand and taking a wider Partnership approach.
<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 	<ul style="list-style-type: none"> • There is a continuing increase in demand across the whole Health & Social Care System and we continue to explore and improve ways of using resources more effectively. This includes how we measure the impact of these improvements, including the better use of resources around direct payments & individual service funds.




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	<p>use of resources is still ongoing and will continue for the rest of 2021/22.</p> <ul style="list-style-type: none"> • In 2022/23 Q1, engaged with the Local Government Association (LGA) to evaluate and understand what is driving the demand on a County wide basis and help establish an outline market position statement. • A Travel sustainability Fund was set up for providers. 	
<p>Trust and confidence of the regulated care sector and the ability to meet the demands in a safe way during COVID-19.</p>	<ul style="list-style-type: none"> • Continued focus on relationship management • Working together across care market to maintain Quality & Safety • An interim Quality Assurance process, to enable assessments to be conducted virtually/ via telephone is still in the development and implementation stage. • Home Care Provider on-line webinars have taken place and are ongoing for the purpose of relationship building and to understand how we can provide additional support to them. 	<ul style="list-style-type: none"> • We continue to monitor Covid-19 outbreaks and the impact of these on staff capacity, staff recruitment and absences. • The Council continues to have conversations with and take a wider partnership approach to System Pressures, especially with the Integrated Care Boards, with the aim of exploring new models and more innovative approaches to managing demand.
<p>Uncertainty of future government funding for market support</p>	<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 a statutory requirement for the County Council and we are assessing the impact of D2A. • The Assistant Director Adults continues to work with the Integrated Care Systems to establish how this will be funded. • Additional national funding of £250m was announce by Government in Q3 to help speed up hospital discharge. This fund will be managed /drawn down by the ICB's and must be used before the end of March 2023.
<p>The impact of staffing shortages and ongoing impact of Covid-19.</p>	<ul style="list-style-type: none"> • 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. 	<ul style="list-style-type: none"> • As part of the move back to promoting independence, the Workforce Subgroup will continue to develop and implement mitigating actions around staffing shortages. • The Council is taking a wider system and partnership approach, especially with the Integrated Care Boards, and

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	<ul style="list-style-type: none"> 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. 	<p>exploring new models and more innovative approaches to staff recruitment.</p> <ul style="list-style-type: none"> The Council is specifically targeting areas of challenge with appropriate and available funding such as grants within the Independent Care Sector to help support staff recruitment and staff transport. 																					
<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 have been integrated into the Promoting Independence Programme. 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 3 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>2.11 Residential occupation rates of Cumbria Care available beds to be 95% or greater.</p> <p>2.12 The overall market has increased by 25% since the commencement of the pandemic, Cumbria Care will continue to develop a 40% homecare market share within the rapidly changing market conditions.</p> <p>2.16 A market position statement for adult social care and cost of care exercise to be completed by March 2023.</p>	<table border="1"> <tr> <td colspan="3" data-bbox="1413 679 1935 767"> <p>Q3 RISK RATING likelihood x impact</p> </td> <td data-bbox="1935 679 2085 767"> <p>25</p> </td> </tr> <tr> <td data-bbox="1413 767 1626 855"> <p>Previous quarter</p> </td> <td data-bbox="1626 767 1798 855"> <p>Current quarter</p> </td> <td data-bbox="1798 767 1935 855"> <p>End Yr Target</p> </td> <td data-bbox="1935 767 2085 855"> <p>DOT</p> </td> </tr> <tr> <td colspan="2" data-bbox="1413 855 1626 927"> <p>25</p> </td> <td data-bbox="1626 855 1798 927"> <p>25</p> </td> <td data-bbox="1798 855 1935 927"> <p>25</p> </td> </tr> <tr> <td data-bbox="1413 927 1536 1031"> <p>5</p> </td> <td data-bbox="1536 927 1626 1031"> <p>5</p> </td> <td data-bbox="1626 927 1715 1031"> <p>5</p> </td> <td data-bbox="1715 927 1798 1031"> <p>5</p> </td> </tr> <tr> <td colspan="4" data-bbox="1413 1031 1935 1091"> <p>25</p> </td> <td data-bbox="1935 855 2085 1091">  </td> </tr> </table>	<p>Q3 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>	<p>25</p>				
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2. Unsustainable demand and Inability of Health and Social Care to keep people sufficiently safe - Cath Whalley and Fiona Musgrave		
There is a risk that with increasing demand outstripping operational capacity and despite significant effort, targeted resources and finances being diverted to those people with greatest need and at highest risk, the Health and Social Care System is unable to keep all Adult Social Care customers sufficiently safe and supported.		
Caused by	Key controls to manage the risk	Further planned activity around key controls for Q4
Increasing and unsustainable numbers 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 ASC leadership team meetings in place to drive actions that will support and maintain services across common themes of Demand Management, Workforce and Market Sustainability. Supported by overarching ASC Work Plan and Performance Dashboard showing the demand, unmet need and pressures across ASC. • Weekly transformation programme meeting • Mental Health Concordat (bi-monthly) • Multi-Agency Mental Health Crisis Care meeting (fortnightly meetings) • Bed Capacity meetings • Long length stay meetings • Additional services commissioned to provide rapid support to providers to maintain services • Oversight and Sit Rep Meetings established across Adult Services at AD Level • Identification and Risk Assessment of people with unmet needs in the community 	<ul style="list-style-type: none"> • Response across ASC to increasing and unsustainable levels of demand outpacing workforce and market capacity continues to be managed by triaging of new people to the service and prioritising and diverting resources to those people with the greatest need, highest risk and hospital discharges. • Ongoing review of Business Continuity measures in place to support service delivery • Ongoing activity to identify areas of pressure with social work and occupational therapy teams to prioritise workflow. • Additional short-term resources put into place to provide increased team and management capacity. • Monthly ASC AD in person staff engagement events with TU representation to support staff wellbeing

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<p>Increase in demand for review & assessment activity, lack of capacity for effective integrated service delivery and the implementation of phase 3 of the NHS response</p>	<ul style="list-style-type: none"> • Joint approach with NHS to workforce planning/strategy • Support from LGA to develop ASC workforce strategy • Workforce for the Future workstream reporting into Promoting Independence Programme Board, overseen by Exec Director People. • Use of interim EPW's to fill vacancies during recruitment process • Social Care Workers temporarily recruited against Social Work vacancies to create capacity • Ongoing recruitment campaign to fill outstanding vacancies in the ASC structure, including a range of measures to support hard to recruit posts and areas. • 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. 	<ul style="list-style-type: none"> • 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. • Workforce is a key theme within the ASC 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. • Exploration of strategic partner/approach for recruitment to hard to recruit to posts, recognising generic approach is not working • Review of Assessed Support Year in Employment (ASYE) and Apprenticeship schemes to support increased recruitment of external applicants • Exploration of Managed Social Work and Occupational Therapy services to support with increased demand, reduce back log, and reduce risks.
	<p>Partnership & Integration</p> <ul style="list-style-type: none"> • From 1st July 2022, both the North & South Integrated Care Systems (ICS) and Integrated Care Boards (ICB) are in place to ensure the collective resources and expertise of all organisations are used to plan, deliver and join up Health & Care across Cumbria. • Manage the changing demands and differences between the North & South ICB's and the resource required to support this. • Work with partners to develop more integrated 	<ul style="list-style-type: none"> • 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. Consideration is also being given to this work within the two new Authorities from 1 April 2023. • There is an ongoing review of 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 continue to work through the implications of Local

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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>Government Reorganisation on the Health & Care System for service delivery and partnership working and include the new Unitary portfolio members in these discussions.</p>
<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 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. 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. Joint working with health partners to support the development of a Transfer of Care Hub which is now operational in both the North & South of the County. Implementation of Discharge to Assess models in the North of the County. Programme of review and risk assessment for any ongoing 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.
<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 	<ul style="list-style-type: none"> EPW staffing in place to provide additional capacity to respond to the volume of safeguarding referrals. Ongoing development of operational controls to support

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	<p>meeting with health partners (north and south)</p> <ul style="list-style-type: none"> • 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 is assisting on an interim basis South Mental Health Divisional Team. • CCC Safeguarding Adults Risk Prioritisation Tool implemented • Ongoing review of key intelligence trends of safeguarding referrals to understand key drivers and source of referrals to be able to match service response. • Ongoing support sessions delivered to partners to ensure compliance with multi agency safeguarding Adults threshold tool. 	<p>management referrals and enquiries</p>
<p>Increase in demand due to winter pressures & further waves of COVID-19</p>	<ul style="list-style-type: none"> • Peer review undertaken to evaluate Winter Planning & Winter Pressures. • DHSC Winter Planning Guidance issued • Joint Winter planning events held with North and Morecambe Bay systems • Response to DHSC guidance, outcome of Peer review, joint winter planning and other improvement work has been incorporated into a composite Promoting Independence Programme. Learning from previous waves of 	<ul style="list-style-type: none"> • ASC Promoting Independence Board reinstated and replaces the Winter Plan meetings. Oversight at Exec Director and AD level, focussed upon addressing pressures experienced across Adult Social Care with an emphasis upon promoting best, most independent outcomes for people. • ASC is feeding into wider Winter Planning with health partners. • Ongoing joint work with health partners in the North and the South to implement measures to further support discharge from hospital and admission avoidance.




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	<p>COVID-19 and planning for COVID-19 recovery phase wave has also been incorporated.</p>	<ul style="list-style-type: none"> • Co-ordinated response via Strategic Co-ordination Group to “emergency” pressures and risk of meeting statutory responsibilities being experienced, Situational Report meetings with frequency as required at AD level and additional services commissioned. • Papers have been shared with CMT to provide oversight on ASC pressures. • Continued pressure and demand to support hospital discharges and this is likely to continue in Q4. Increased use of residential care beds may result in increase in longer term use of residential beds and pressure on community social care • Pilots developed working with the voluntary sector to meet low level needs and Area teams in the South of the County linking people to community resource
<p>Lack of staffing capacity</p>	<ul style="list-style-type: none"> • The LGA was commissioned to undertake a review across Cumbria in response to the limited social care provider capacity, to review the resources we have, identify areas of pressure and gaps, and share good practice/models from other areas. • Recommendations for improvement being actioned. 	<ul style="list-style-type: none"> • ASC Operational staff engagement sessions are established. This has included face to face sessions across the county during Q2 and have continued in Q3. The sessions are planned to continue throughout Q4. • These sessions give staff the opportunity to feel connected, ensure they have the information they need to do their jobs and an opportunity to have their voice heard.
<p>Lack or uncertainty of future funding</p>	<ul style="list-style-type: none"> • Funding was agreed with health partners to identify resources to implement measures in the ASC Plan 	<ul style="list-style-type: none"> • Work is ongoing with Council finance and health partners around continuation of funding and identifying estimated costs to meet ongoing demands in 2022/23. • To secure financial resources to commission further capacity that will address backlogs and reduce the risk to workforce wellbeing. • Care Act funding reforms have been delayed until 2024/25 due to ongoing pressures on ASC. Though this reduces some of the risk due to delayed implementation, work will need to

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		continue in order to address capacity issues.																			
Fragility of the care market	<ul style="list-style-type: none"> A robust approach is in place around provider failure or for those providers who are struggling 	<ul style="list-style-type: none"> Ongoing engagement with providers ASC will contribute to structured conversations with providers during Q4 to identify and support with key concerns and risks 																			
Lack of national awareness and government support	<ul style="list-style-type: none"> Continue to raise awareness and escalate concerns through LGA & ADAS 	<ul style="list-style-type: none"> Ongoing engagement with Government agencies to find effective and lasting solutions. 																			
Independent assurance of key risk controls -LGA Peer review in the North -Peer review of Winter Planning & Planning Pressures.																					
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 3 Risk Rating																			
<ul style="list-style-type: none"> people may be at risk of harm in the community with unmet needs people will deteriorate whilst waiting for an assessment, the care and support they need resulting in increased need, which will negatively impact their health and wellbeing may lead to earlier entry to residential care unnecessary or premature admission to hospital people are delayed in hospital whilst waiting for provision cost as a result of missed opportunity to reable/achieve maximum level of independence less opportunity for the service to take people with higher levels of need who 	1.8 Whilst continuing to respond to continuing COVID-19 demands review new Adult Social Care structure to inform future delivery models and manage future demand. 2.14 Reduce the number of people who, having been assessed, are not receiving services to meet their care needs. 2.15 Develop workforce approach for health and social care workforce in the context of the wider health and social care landscape 3.2 Maintain CQC 'good' rating across all County Council provided regulated services whilst aspiring to achieve outstanding.	<table border="1"> <tr> <td colspan="3">Q3 RISK RATING</td> <td>25</td> </tr> <tr> <td colspan="3">likelihood x impact</td> <td></td> </tr> <tr> <td>Previous quarter</td> <td>Current quarter</td> <td>End Yr Target</td> <td>DOT</td> </tr> <tr> <td>25</td> <td>25</td> <td>20</td> <td rowspan="2"></td> </tr> <tr> <td>5</td> <td>5</td> <td>5</td> </tr> </table>	Q3 RISK RATING			25	likelihood x impact				Previous quarter	Current quarter	End Yr Target	DOT	25	25	20		5	5	5
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<p>would benefit from reablement, resulting in premature requirement for long term formal care.</p> <ul style="list-style-type: none">• Legal challenge from the inability to perform statutory duties with regard to assessment and reviews• Legal challenge from people being adversely affected whilst waiting for care provision• Increased risk of complaints and adverse media attention• Budget pressures from the need to recruit and retain EPW's• Budget pressures & long-term costs associated with premature admission to formal services including residential care• increasing pressure and workload experienced across all ASC service areas• increased work-related stress leading to an increase in staff absence, low staff morale and staff leaving the service		
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3. WORKFORCE CAPACITY, SKILLS, RELATIONSHIPS, SAFETY & WELLBEING – Paul Robinson & Luci Robb		
There is a risk that the Council does not have the workforce capacity, skills or relationships to deliver the Council Plan or experiences a significant impact to the safety and welfare of the workforce.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 4
People Plan (Workforce Plan) 2022/2023 not delivered.	<ul style="list-style-type: none"> • A new Workforce Plan for 2022/23 'Our People Plan' was agreed by Cabinet. • Our 'People Plan' will focus upon the key success measures and impacts, reported 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 continued COVID-19 pressures & 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. • 'Be Brilliant' campaign in place to capture and celebrate the amazing work that colleagues do every day which will help shape the future work of Cumberland and Westmorland and Furness Council as they come into being. 	<ul style="list-style-type: none"> • Development of employability pathways i.e. Traineeships • Diagnostic Tool developed outlining evidence of 'hard to fill' posts and recommendations for focused support into Qtr 4 and beyond. • Promoting Independence Board, jointly chaired by AD Workforce & Organisational Development Qtr 4 and beyond. • Suite of tools, guidance and support currently in place, and being enhanced as LGR implementation progresses through Qtr 4 and beyond. • Ongoing collaborative work with the trade unions to identify opportunities for wellbeing support in light of current cost of living crisis. • Social Care Practice Leads providing bespoke resilience support to social workers and occupational therapists. • Refreshed focus on 'Valuing Individuals and Performance' VIP appraisal to be rolled out during Q4, to focus upon engagement and wellbeing up until 31 March 2023 and beyond.
High staff absence levels	<ul style="list-style-type: none"> • A refocussed approach from sickness absence management approach to wellness, including the launch of a workplace stressors survey for all staff to help identify root cause. • Monthly reporting of absence & attendance to Directorate Management Team, Corporate Management Team and reported to elected members 	<ul style="list-style-type: none"> • Continuing to monitor the impact of Covid-19 absence and self-isolation on workforce capacity and business continuity for essential front-line services. • Launch of new Absence procedure, including tools and guidance, which will focus upon person-centred approach to managing and support absence. • Continued support and intervention from Dr Vickers, a specialist

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	<p>of Cabinet & Scrutiny Management Board in place via Sickness Situational Reports (Sitreps). To report performance, compliance and management intervention guidance and support.</p> <ul style="list-style-type: none"> • Monitoring the impact of Covid-19 absence and self-isolation on workforce capacity and business continuity for essential front-line services. • Psychological support and targeted intervention in progress. • 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. • Staff wellbeing and engagement initiatives to positively support and impact staff wellbeing and attendance in place. • Guidance and training developed to support line managers to apply the procedure. 	<p>in organisational development and human resources interventions and solutions, in support of our person- centred approach to sickness absence and management of change.</p> <ul style="list-style-type: none"> • Finding from staff survey results on workplace stressors, will determine evidence-based recommendations, to help shape future working practices, resources, training and support into Qtr 4 and beyond. • Review psychological clinical support and enhance if required demand.
<p>Ineffective Health, Safety and Wellbeing management</p>	<ul style="list-style-type: none"> • Corporate Health Safety and Wellbeing Policy Statement agreed annually by Cabinet with the 2022/2023 version of the Policy agreed by Cabinet in July 2022. • 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 & 	<ul style="list-style-type: none"> • The 2022/23 Annual Health, Safety & Wellbeing Policy considered by Cabinet 21 July 2022 is having corporate posters updated in all buildings. • Strong Health Safety and wellbeing governance remains in place and overseen by Lead Member Environment and driven by AD Organisational Change and Trade Union Committee co-chairs. • Ongoing COVID-19 monitoring following 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. • Significant H&S focus on supporting schools is ongoing and well received by School Heads, Governors and Trade Union colleagues. • Premises based health & safety audits and inspections will

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	<p>DMT meetings and standard section in all Cabinet reports.</p> <ul style="list-style-type: none"> • Corporate Mental Health programme continues. • 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 H&S workstream well established for all 7 Councils. County Council taking lead. • Launch of new 3rd Party Abuse & Harassment Procedure during Q2 to provide clarity of reporting process and support in place for colleagues who are subjected to such incidences. • Fortnightly Covid-19 meetings continue with recognised Trade Union colleagues working well to ensure collective focus, co-production and prompt resolution of ongoing issues. <p>Additional wellbeing actions in place to support colleagues experiencing challenges with New Ways of Working, reflecting our 'Reconnection' stage in the Transition Plan.</p> <ul style="list-style-type: none"> • Specific measures in place to support staff to return to the workplace, where safe to do so, for reasons of business need, physical, mental and social wellbeing. • Home Working Guidance in place and will continue to be communicated to support longer term home working culture requirements as a new way of working (not just for Covid 19). 	<p>continue throughout Q4.</p> <ul style="list-style-type: none"> • Review and refresh work complete with recognised Trade Union colleagues regarding the Councils Working Time Directive and RIDDOR reporting commitments. • The Council has invested in an ICT 'Notify-It' app to report near misses and safety incidents. This has been trialled in highways services during Q3 with an impact report is due Q4 for future decision. • Additional 'People safe' lone working devices are being rolled out to areas of the council where higher risk lone working is occurring and winter night bring additional anxiety or risk. • Work progressing in co-production with District Council colleagues on the future model options for Health & Safety Service within the LGR Programme of work. • LGR staff allocation for H&S resource will be complete in Q4 and an assessment to ensure sufficient competent persons are in place across both Cumberland and Westmorland & Furness Councils.
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<p>Service Reviews negatively impact on capacity or delivery of services.</p>	<ul style="list-style-type: none"> • Programme of reshaping and service reviewed in light of forthcoming LGR programme. 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. • Formal and Informal JNGC framework in place to support partnership working with recognised Trade Unions during LGR transition.
<p>Industrial Relationships between the Council and Trade Unions.</p>	<ul style="list-style-type: none"> • Formal JCG and informal Trade Union 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 • Additional LGR JNCG Group meetings scheduled to support the LGR transition. • The Pay & Grading Review has been progressed during Q2. • Working with recognised Trade Unions to consider the impact of Cost-of-Living crisis upon the workforce and potential solutions to mitigate the impact. 	<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. • Ongoing discussions with Trade Union on proposals to support staff with impact of cost-of-living crisis through Qtr 4.
<p>Impact of Industrial Action – within the Fire Service</p>	<ul style="list-style-type: none"> • Weekly Critical Incident Team Meetings to discuss the approach to Industrial Action • The use of Business Continuity plans and a degradation plan specifically designed to provide the most effective cover possible with the limited resources available • Communication with all staff, both Wholetime and On-call to try and gauge the level of appliance availability during industrial action. • Engagement with partners to establish several resilience sites where appliances can operate from. These sites have been risk assessed. 	<ul style="list-style-type: none"> • Continue clear communication with staff to deliver consistent messaging. • Continue clear signposting to welfare and support services • Constant review of risk profile to reflect changing population demographics over time. • Completion of an Equality Impact Assessment.


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	<ul style="list-style-type: none"> • Engagement with the FBU to negotiate a return-to-work major incident or spate conditions protocol. • Exploration of additional means of Service delivery. • Ongoing engagement with all Trade Unions. 	
LGR and workforce planning	<ul style="list-style-type: none"> • LGR Programme Board in progress, with dedicated Workforce & Organisational Development workstream. • Comprehensive package of wellbeing support in place, 'supporting you through change' accessible for the whole workforce, including leadership and management essentials, coaching, resilience and wellbeing, LGR support, connection sessions, team development etc. • Senior statutory appointment of Statutory Monitoring Officer and S151 Officers progressed. • Senior Leadership Structure consultation progressed. • Business Partners are aiding Directorates & Services to review and support required adjustments to Temporary Staff contracts in advance of vesting day (31 March 2023). 	<ul style="list-style-type: none"> • Senior Leadership Structure consultation and implementation during Q3 and Q4. • Finalisation of the Staff Allocation process, which will inform final TUPE letters for the new authorities during Qtr 4. • Business Partners to work across all Directorates and with AD's to finalise arrangements for Temporary Staff contracts in context of workforce planning for LGR across the two Unitary Authorities and CFRS • Development and implementation of the 100 day Plan for the new authorities, to support the workforce transition for vesting day and beyond.
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. • Lead Signatory for CCC in place. 	<ul style="list-style-type: none"> • Progressing with identified actions, following inspection. • Identify future options for the delivery of DBS during Q4 and beyond.
Independent assurance of key risk controls <ul style="list-style-type: none"> • LGA Peer Review concluded in Qtr 4 (2021/22) informing future delivery model options into Qtr 4 and beyond. • Hull University Workplace Stress Review ongoing during Qtr 1 and progressing into Qtr 4 and beyond. • Academic Review on absence and wellbeing and recommendations progressing during Qtr 4 • Independent Pay & Grading Review progressing during Qtr 4 which will inform the new unitary authorities. 		

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Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 3 Risk Rating					
<ul style="list-style-type: none"> Major injury, illness or fatality Non delivery of services or financial savings Non delivery of prioritised workforce skills and apprenticeship targets. Trade Union relationship challenges with increased numbers of grievances, formal disputes or industrial action (and queries relating to LGR and ongoing matters relating 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>1.14 Deliver the workforce plan “Our People Plan” for 2022/23.</p>	Q3 RISK RATING likelihood x impact			20		
		Previous quarter		Current quarter		End Yr Target	DOT
		20		20		20	
		4	5	4	5		

4.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 4
The lack of a fully comprehensive Cumbria County Council 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. • In Q4 (21/22), the Scope 1, 2 and 3 Baseline assessment report was received and has been reviewed during Q1 (22/23). An organisational action plan has also been developed during Q1 (22/23) identifying key areas of focus to support the requisite reduction in carbon across the 	<ul style="list-style-type: none"> • Cabinet received the County Council's Scope 1,2 &3 Baseline Report in Q2 2022/23 setting out the findings of the report and the action plan for approval. • The Council continues to develop a clear road map to enable the achievement of its net zero target and to support the integration with and transition over to the two new Cumbrian Authorities at 01.04.2023. • Within Q4, the new 'Unitary' baseline assessments for Westmorland & Furness and Cumberland are under procurement. Once completed, these assessments will allow Westmorland & Furness and Cumberland Councils to fully road map to net zero.

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	<p>Councils operational services.</p> <ul style="list-style-type: none"> • Scope 1 and 2 emissions include those for which the council has direct responsibility such as its transport and fleet, buildings (corporate and schools) and energy usage. Scope 3 emissions are all other indirect emissions, such as emissions from water consumption, outsourced fleet vehicles, staff business mileage, highways maintenance and social care provision. 	
<p>The reallocation of staff and financial resources due to competing priorities, such as LGR/ new Covid-19 variants and Emergency or Business Continuity incidents.</p>	<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 the new Unitary Authorities will contribute to the UK's net zero target and ensure we have the right resources and skills to achieve this target. • 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. • Emergency & Business Continuity Plans and arrangements are in place to respond and recover from the wider National and Local risks noted in the Cumbrian Community Risk Register. • A collective Climate LGR workstream high level SWOT analysis and adaptation SWOT analysis has now been completed. During 2021/22 Q4 a draft blueprint for Day 1 readiness was undertaken. • During Q1, the LGR Blueprint was finalised and it was released to all staff and anticipated to be signed off around 22 July 2022 by the Shadow Authorities. Further work continues to develop 	<ul style="list-style-type: none"> • Updates will continue to be provided to the two Shadow Authorities in preparation for Vesting Day and beyond.

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	<p>the Day 1 Readiness delivery plan.</p> <ul style="list-style-type: none"> • During Q2, briefings were provided to the two Shadow Authorities on the work of the LGR Climate Change/ Decarbonisation/ Net Zero/Energy/Sustainability Work Package – including activity from the 7 sovereign councils. • During Q3, there has been agreement to “host” four of the County-wide Climate and Natural Environment projects. Each of the new Councils will host 2 of the projects on behalf of both – Local Nature Recovery Strategy (LNRS), Cumbria Coastal Community Forest (CCCF), Planting for Pollinators and Cumbria Flood Innovation project. This includes the staff allocation to manage the projects. • Also, input has been provided to the new Council Plans to ensure Climate Change activity is adequately reflected. 	
<p>Insufficient County Council staffing capacity and capability to achieve the net zero target in Cumbria and for the County Council’s activities</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 	<ul style="list-style-type: none"> • 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. • There is also an ongoing review of current staffing capacity for business-as-usual, net zero activity (programmes and projects) and also to ensure allocation of staff going forward under LGR. • Larger projects identified in the County Councils Carbon Management Strategy 2022 which require significant staff input e.g. solar and building decarbonisation will ringfence

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	<p>Communications Plan and to engage Council staff and the wider public in this agenda.</p> <ul style="list-style-type: none"> • 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 urban areas. <ul style="list-style-type: none"> - The Barrow, Carlisle and Kendal Local Cycling & Walking Infrastructure were completed in 2021. - The Workington, Penrith and Whitehaven Local Cycling & Walking Infrastructure was completed in Spring 2022. • The Council provides a Cycle to Work Scheme (available on Council intranet). • On 14th April 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. 	<p>funds to capitalise some staff time for delivery/ on board additional resources.</p> <ul style="list-style-type: none"> • Business cases to detail how savings from some larger projects are to be reinvested into staff resources to build the knowledge and capacity to decarbonise the councils' activities.
<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 	<ul style="list-style-type: none"> • Adherence to the emission reduction road map within the Cumbria County Council Carbon Management Strategy 2022 indicating the best value pathway to decarbonise over time (to 2037 and 2050). • 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.

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	<p>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.</p> <ul style="list-style-type: none"> • 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). • During Q1, a Woodland Creation Accelerator Fund (WCAF) application was submitted for £149,000 towards the Cumbria Coastal Community Forest activity and we are awaiting the decision. • During Q2, Cumbria Coastal Community Forest receives £900K additional funding (5/8/22). 	<ul style="list-style-type: none"> • We continue to progress projects where funding has been secured eg Cumbria Community Coastal Forest, Planting for Pollinators, Tree Works in Barrow. • The Woodland Creation Accelerator Fund (WCAF) application submitted for £149,000 towards the Cumbria Coastal Community Forest activity was unsuccessful. • Applications to SALIX (PSDS) have been submitted to match council funding for building improvements. Total matched application £2.25m. • SIG Business cases for Solar developments in Barrow are being prepared to establish funding requirements to deliver projects and savings the future. A plan will be developed within internal project business cases to recycle savings from some larger projects (e.g Solar) to be reinvested in project development. • SIG business case for pilot LED installation project in council buildings agreed. Project progressed to detailed design stage (value c. 550k.)
<p>Inability to reduce Cumbria County Council (CCC) carbon dioxide emissions directly (Scope 1 and 2 by 2037 and Scope 3 by 2050)</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 programme. 	<ul style="list-style-type: none"> • Delivery of the emission reduction road map within the Cumbria County Council Carbon Management Strategy 2022. Development of new project workstreams to include delivery of the 4 core strategies: <ul style="list-style-type: none"> - Building - Transport - Supply chain - Residual emissions • Specifically in 2023/24: <ul style="list-style-type: none"> - Review of EV charging council wide - HVO fuel replacement study (fleet vehicles) - Additional renewable development - Development of Supply chain interventions - Staff travel review - Housekeeping and building system management. - Solar developments in Barrow and Allerdale.

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<p>Inability to reduce Cumbria County Council (CCC) carbon dioxide emissions through Partnership working.</p>	<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. • As part of the Public Health Strategy, CCC is co-chair and member of the zero Carbon Cumbria Partnership (ZCCP) who's aim is to work towards a carbon neutral county with improved quality of life, people living in balance with their environment and a sustainable low carbon economy and to reach net zero by 2037. 	<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. • We continue to work in close collaboration with partners on a number of programmes/projects eg Cumbria Coastal Community Forest, Planting for Pollinators. • Collaborative working on Biodiversity Net Gain (BNG) with the Cumbria Local Nature Partnership and the 7 sovereign Councils continues to progress well. There is an agreement to pool funding to ensure maximum impact of the funding available, and a scope of works produced. • CCC continues to work with ZCCP to help meet their ambitions.
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<p>Inability to reduce CCC carbon dioxide emissions through Carbon Offsetting or Insetting strategies (2023/2024)</p>	<ul style="list-style-type: none"> • Development of offsite renewable energy generation includes the following installations. <ul style="list-style-type: none"> - Install offsite 4MW Solar Photovoltaic (PV) installation (Barrow) - Install offsite 8MW Solar Photovoltaic (PV) installation (Wigton, Flimby, Workington) - Install 1 MW Wind Turbine (Barrow). • Planned development of Tree Works in the Barrow area as part of Forestry Commission's Local Authority Treescapes Fund (LATF). • 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. • The Tender for the Tree Works Project in Barrow was released during Q1 2022/23 and the tender was re-released during Q2 with only one (unsuccessful) bid tender. Consideration is being given to next course of action. • Formal grant agreement arrangements for the Cumbria Community Coastal Forest (CCCF) 	<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 nation's 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.
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	<p>concluded in Feb 2022, with governance arrangements in place for Cumbria County Council to act as Accountable Body. The first tree planting projects commenced in Quarter 4 (21/22) this will continue throughout 2022/23. During Q1 and Q2, the new CCCF Board has met to discuss the scope and anticipated outcome.</p>	
<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. • The County Council is a Category 1 Organisation and complies with the Civil Contingencies Act (2005) and other relevant emergency regulations to manage the delivery of CCC critical services and support the wider Cumbrian Community during incidents. • The County Council sits on the Local Resilience Forum (LRF) to support the <ul style="list-style-type: none"> - Annual review of Community Risk Registers - Development of Multiagency Emergency & Business Continuity plans and arrangements - Activation and coordination of the Response and Recovery phases of Major Emergency and significant Business Continuity incidents. - Emergency & BC Exercises to test plans and arrangements in line with relevant regulations and those risks documented in the Cumbria Community Risk Register that may impact CCC Service Delivery. 	<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 rolled out across the Local Government Reorganisation (LGR) programme, with assessments being undertaken against Services (Tier 3) rather than work packages. This tool will 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 will in due course support new policy/strategy/service design to ensure good decisions are made early and poor decisions eliminated.

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Independent assurance of key risk controls						
Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 3 Risk Rating				
<ul style="list-style-type: none"> • Reputational Damage • Financial /Liability claims • Not meeting CPDP objectives 	<p>4.1 Establish an organisation level Carbon baseline by 2022.</p> <p>4.2 Implementation of Carbon management strategy to achieve decarbonised estate by March 2023.</p> <p>4.3 Develop and deliver meaningful initiatives and projects to support key areas including the Environment, Natural Capital, Sustainability, and Biodiversity for the benefit of Cumbria’s residents and visitors.</p> <p>- Cumbria Coastal Community Forest (CCF) – from March 22</p> <p>- Planting for Pollinators (September 2021 - March 2023)</p>	Q3 RISK RATING			20	
		likelihood x impact			DOT	
		Previous quarter	Current quarter	End Yr Target	20	
		20	20			
4	5	4	5			

5.Increasing demand on Children’s Services - Lynn Berryman		
There is a risk that Children’s Services will experience a further increase in demand as an impact of COVID-19 due to the secondary consequences of COVID-19 for children and their families.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 4
	<p>Common Controls across all risk causes The service has developed good financial and performance management systems which are now firmly embedded in the Service 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 	<ul style="list-style-type: none"> • Due to the National shortage of registered fostering and residential provision, there has been an increase in placing children in higher cost placements and bespoke packages. • 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 Northwest Local Authorities in a joint approach to meet our sufficiency demands. • There are ongoing fostering recruitment campaigns to attract foster carers within Cumbria to meet our sufficiency needs.

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	<p>2021/22. This has increased our internal 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. Several sessions have been held with senior and service managers across people. We are developing a family hub approach way of working and working with colleagues in public health to further develop this. • The Department for Education have taken over the Social Workers in School (SWIS) Project and Designated Safeguarding Lead projects and Cumbria has been successful in its expression of interest to continue with both programmes. We are currently negotiating with them over the budget allocation. • There continues to be some concerns over the capacity in our largest provider of our 0 – 19 Children and Families Support Service this is being reviewed.




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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 at the same time a reduction in staffing levels and the availability of both Permanent Staff and Externally Provided Workforce (EPW). This is both a Regional and National issue. • 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. • We continue to recruit more newly qualified social workers but this does leave a gap in more experienced staff within the workforce.
<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 that we track meeting regulatory standards, and this is also 	<ul style="list-style-type: none"> • Develop and implement the findings of the ILACS Ofsted inspection report, published in November 2022.

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	<p>monitored within our monthly audit schedule.</p> <ul style="list-style-type: none"> • An Ofsted 'Focus visit' took place during July 2021. • The LGR Adoption peer review took place in Q4 2021/22. The final peer review report has been received and an action plan developed and in place in Q2 2022/23. • The LGR Child Exploitation review took place during Q1 2022/23. The final report has been received and an action plan developed. • The Ofsted 'Annual conversation' took place in June 2022/23, and we await the final letter. • A full Ofsted Inspection of the Council's Local Authority Children's Services (ILACS) was completed over September/ October 2022 and the report published in November 2022. 																					
<p>Independent assurance of key risk controls Ofsted Focus visit – July 2021 Ofsted Annual Conversation – June 2022</p>		<p>Ofsted ILACS – Sept/ Oct 2022</p>																				
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<p>Quarter 3 Risk Rating</p> <table border="1" data-bbox="1413 986 2085 1334"> <tr> <td colspan="3" data-bbox="1413 986 1917 1075"> <p>Q3 RISK RATING likelihood x impact</p> </td> <td data-bbox="1917 986 2085 1075"> <p>16</p> </td> </tr> <tr> <td data-bbox="1413 1075 1592 1165"> <p>Previous quarter</p> </td> <td data-bbox="1592 1075 1771 1165"> <p>Current quarter</p> </td> <td data-bbox="1771 1075 1917 1165"> <p>End Yr Target</p> </td> <td data-bbox="1917 1075 2085 1165"> <p>DOT</p> </td> </tr> <tr> <td colspan="2" data-bbox="1413 1165 1592 1235"> <p>16</p> </td> <td data-bbox="1592 1165 1771 1235"> <p>16</p> </td> <td data-bbox="1917 1165 2085 1235"> <p>16</p> </td> </tr> <tr> <td data-bbox="1413 1235 1512 1334"> <p>4</p> </td> <td data-bbox="1512 1235 1592 1334"> <p>4</p> </td> <td data-bbox="1592 1235 1691 1334"> <p>4</p> </td> <td data-bbox="1691 1235 1771 1334"> <p>4</p> </td> </tr> <tr> <td colspan="3" data-bbox="1413 1334 1917 1366"></td> <td data-bbox="1917 1165 2085 1334">  </td> </tr> </table>	<p>Q3 RISK RATING likelihood x impact</p>			<p>16</p>	<p>Previous quarter</p>	<p>Current quarter</p>	<p>End Yr Target</p>	<p>DOT</p>	<p>16</p>		<p>16</p>	<p>16</p>	<p>4</p>	<p>4</p>	<p>4</p>	<p>4</p>				
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<p>4</p>	<p>4</p>	<p>4</p>	<p>4</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>1.11 In Children and Families services further embed our signs of safety practice methodology by implementing the ICT module to increase consistency of practice.</p> <p>2.1 Continued development of a whole system approach addressing the common areas of obesity through continued engagement and accountability across all partners. Within the approach, maintain and develop Cumbria's universal proportionate pathway for children, young people and their families which includes prevention and early intervention.</p> <p>2.2 Reduce prevalence of overweight and obesity in reception years to 22% by 2022/23 and progress to reduce the proportion</p>																					

	<p>of overweight and obese children in year 6 to the lowest district rate in Cumbria (29%).</p> <p>2.4 Develop the use and understanding of measures for young people’s emotional health and wellbeing in Cumbria, ensuring wider engagement with partners.</p> <p>2.5 Successfully implement the action plan related to our Children Looked After and Care Leavers Strategy by April 23.</p> <p>2.6 Bring numbers of Children Looked After and those supported with a child protection plan (1,343 children) to be more in line with statistical neighbours (953 children).</p> <p>2.7 Improve the lived experience of Children and Young People and families with SEND in Cumbria through successful delivery of the partnership SEND Written Statement of Action and secure a positive outcome following the Ofsted re-visit by March 2023.</p> <p>2.8 Ensure readiness for inspection in relation to SEND, Youth offending Service (YOS), Children and Young People Service, Adult Social Care.</p> <p>3.3 Embed the Early Help strategy and implementation plan and increase the number of Early Help Assessments Initiated from 2,610 each year.</p>	
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6. 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 4
<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 • 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. • Implementation of a range of module-based training sessions for Managers and Individuals as part of the 'Supporting you through Change' • Workforce Training SharePoint site to provide support on topics such as wellbeing, resilience and embracing change package. • 'Be Brilliant' campaign launched to capture and celebrate the amazing work that colleagues do every day which will help shape the future work of Cumberland and Westmorland and Furness Council as they come into being. 	<ul style="list-style-type: none"> • Weekly issuing of LGR newsletters is ongoing • Further Frequently Asked Questions (FAQs) are being developed on an ongoing basis in order to answer staff questions. • Regular 'All Staff' virtual engagement sessions being delivered and led by CEO's of Cumbria County Council, Cumberland and Westmorland & Furness Councils. • The Staff Allocation process will be finalised in January 2023, with the output informing the TUPE letters and future service delivery models for the new unitary authorities and CFRS. • Refreshed focus on 'Valuing Individuals and Performance' VIP appraisal to be rolled out during Q4, to focus upon engagement and wellbeing up until 31 March 2023 and beyond.
<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 'Our People Plan' was agreed at March Cabinet. • 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 	<ul style="list-style-type: none"> • Ongoing review and revision of Directorate & Service Delivery Plans for 2022-2023

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	are maintained alongside Internal Audit and external inspections and quality assurance activities.	
<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>	<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 for CCC to be 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 LGR Programme, Theme elements, Workstream and work packages 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 	<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. • Most council services will be delivered individually by both new authorities, but in a small number of cases the councils will share services either for an interim period or longer term. Where this is the case, one authority will act as team host and employer, but the service will be delivered across both new council areas. During Q3, both Shadow Authorities will continue to reach agreement on which services are to be shared.




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	<ul style="list-style-type: none"> • Joint Implementation Reserve established to ensure resources for delivery of the implementation activities is available. • Day 1 Readiness Board in place and meeting weekly. 	
<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"> • A new Workforce Plan for 2022/23 'Our People Plan' was agreed at March Cabinet. • 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 	<ul style="list-style-type: none"> • Develop clarity on current and future skills, experience and competency requirements is ongoing following the development of a diagnostic review of recruitment and retention. <p>Please refer to additional controls & measures noted against the separate Corporate Workforce Capacity Risk.</p> <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. • 100 Day Plans in development for each new authority to provide engagement, clarity and support the transition for the wider workforce to vesting day.

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	<p>during transition period.</p> <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. • Management development initiatives are in development to provide wider workforce support and workforce resilience during this period of change. 	<p>Please refer to additional controls & measures noted against the separate Corporate Workforce Capacity Risk.</p>																				
<p>Independent assurance of key risk controls</p>																						
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<p>Quarter 3 Risk Rating</p>																				
<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 675 1928 767"> <p>Q3 RISK RATING likelihood x impact</p> </td> <td data-bbox="1928 675 2096 767"> <p>16</p> </td> </tr> <tr> <td data-bbox="1413 767 1592 863"> <p>Previous quarter</p> </td> <td data-bbox="1592 767 1778 863"> <p>Current quarter</p> </td> <td data-bbox="1778 767 1928 863"> <p>End Yr Target</p> </td> <td data-bbox="1928 767 2096 863"> <p>DOT</p> </td> </tr> <tr> <td colspan="2" data-bbox="1413 863 1592 940"> <p>16</p> </td> <td data-bbox="1592 863 1778 940"> <p>16</p> </td> <td data-bbox="1928 863 2096 940"> <p>8</p> </td> </tr> <tr> <td data-bbox="1413 940 1512 1023"> <p>4</p> </td> <td data-bbox="1512 940 1592 1023"> <p>4</p> </td> <td data-bbox="1592 940 1691 1023"> <p>4</p> </td> <td data-bbox="1691 940 1778 1023"> <p>4</p> </td> </tr> <tr> <td colspan="3" data-bbox="1413 1023 1928 1023"></td> <td data-bbox="1928 863 2096 1023">  </td> </tr> </table>	<p>Q3 RISK RATING likelihood x impact</p>			<p>16</p>	<p>Previous quarter</p>	<p>Current quarter</p>	<p>End Yr Target</p>	<p>DOT</p>	<p>16</p>		<p>16</p>	<p>8</p>	<p>4</p>	<p>4</p>	<p>4</p>	<p>4</p>				
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7.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 4
Inadequate technical information security arrangements	<ul style="list-style-type: none"> Information Security a key element of the 2022/ 23 ICT service operations. ICT Security Position Statement presented to CMT 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 initiatives including web check, public sector Domain Name System, Cyber Info Sharing Partnership etc. 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 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 successfully completed at the end of Quarter 1 2022/23 and the new 12 month certificate was issued with effect from 5 May 2022. 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. 	<ul style="list-style-type: none"> The LGR ICT themed programme remains in place to inform and advise LGR discussions in context of Information Security and Corporate Networking with recommendations from PWC report and wider ongoing sector recommendations implemented. The County Council ICT Security Manager continues to co-ordinate resources across all 7 sovereign councils involved in Cumbria LGR programme to ensure ICT and cyber security arrangements are in place for the 2 new Unitary Councils from vesting day and beyond. Work is ongoing throughout Q4 towards the annual submission of the NHS toolkit requirement.

	<ul style="list-style-type: none"> • As a direct result of the Russia/Ukraine conflict and increased cyber threat, a new CCC Cyber Response Team has been set up who have the specialist skills to enable a timely response to all cyber alerts. This continues to be an effective practice for understanding and managing the risk associated with cyber threats. • 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 2021/22 Q2 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 is 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. • At the initiation stage of the LGR Programme, an Information Governance/Data Protection Officer Group was setup to support the work of the LGR Data and Intelligence Hub. The Group led on the creation of: 	
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	<ul style="list-style-type: none"> - LGR Programme Data Sharing Agreement - Data Hub Storage and Access Protocol - LGR Programme – Information Asset Register - Personal Staffing (HR) Data - Data Protection Impact Assessment/Privacy Notice - Day 1 Requirements – Information Governance, Complaints and Records Management • As part of LGR Programme reset, ICT is now being run as a specific LGR theme 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. • The County Council’s Information Security Manager and Data Protection Officer are proactively working with the LGR Theme leads, Technical Leads, Project Managers and Work Package Project Officers to ensure that core requirements are captured and that proposals are compliant with data protection legislation. • To allow secure data sharing, an LGR Data Sharing Agreement has been developed by Data Protection Officers, supported by Monitoring Officers and signed by all 7 Chief Executives on 18 Jan 2022. • In Q3 2022/23 the LGR Data Sharing agreement was superseded by a Memorandum of Understanding intended to cover the Processing of personal data by services/systems not included in the LGR Inter Authority Agreement (IAA). A Data Protection and Security Assessment Template has also been developed for completion by Project Leads to support the IAA. • The 2022 ICT Health Check was submitted in Q3 and no 	
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	<p>critical advisory actions were raised. An action plan is now in place and recommendations are being implemented.</p>	
<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 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 (IAR) was originally published on 15 January 2021 via SharePoint Online and all Information Asset Owners have confirmed their key Information asset register entries. • In 2021/22 Quarter 2, the council's Information Asset Register (IAR) was reviewed, refreshed and republished and moved onto a more to a more stable, functional and scalable Sharepoint platform, to allow for future business purposes and development ie.LGR. • Also, in 2021/22 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. • A broad agreement across all seven councils is in place to ensure internal IARs are maintained and up to date in preparedness for LGR Day 1 activities. Having an IAR has been identified as a 'Must Have' requirement for Day 1, whilst consolidation and review has been identified as a 'Should Have' requirement for beyond Day 1. • In 2021/22 Quarter 3, the Retention and Disposal Schedule was updated and published and is now fully 	<ul style="list-style-type: none"> • Following the Cyber Security Exercise & vulnerability incident during Q1 2022/23, the Cyber Security Incident Response Plan was reviewed to ensure it is fit for purpose as the County Council transitions over to two new Local Authorities. • Due to the impact of LGR the planned annual update/refresh of policies/procedures will not proceed however, a full review of core policies has been undertaken by the GR Data Assurance Group and recommendations made to both new authorities about Day 1 requirements. • Information Asset Management has been reviewed and incorporated into the Data Assurance Delivery Plan. All sovereign councils have Information Asset Registers (IAR's) that are differing in quality and format and a recommendation has been made to consolidate IARs based on the footprint of each new Council. • Work has also started to separate CFRS from the County Council IAR to support the transition to THE new Cumbria Fire and Rescue Service Governance arrangements.

	<p>compliant with the requirements of UKGDPR Articles 12-14. The Council’s Corporate Privacy Notice and Service Specific Templates have been updated to reflect these important changes.</p> <ul style="list-style-type: none"> • 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 2021/22 Q4 and tested response and recovery arrangements from a significant Cyber-attack. • The annual ICO Accountability Framework self-assessment was completed in November 2022 and continues to be reported to the Legal Management Team Monthly Assurance meetings. This assessment of data protection compliance will be incorporated into the final CCC SIRO Annual Report. • The outcome of the 2022 annual ICO Accountability Framework self- assessment has been reported to the SIRO Group and this assessment of data protection compliance will be incorporated into the final CCC SIRO Annual Report. 	
	<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 e-learning 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 course. Additionally, a communications campaign ongoing to promote completion of the training. • LGA funding has been used to support certified information security professional training within the 	<p>Training, Awareness & Ongoing Learning</p> <ul style="list-style-type: none"> • Information and Data Protection training, awareness and staff communications will continue to ensure all learning from incidents are adopted into best practice, achieving professional qualifications and a culture of continuous professional development. • Alternative delivery methods for Information Asset Register (IAR) training are being reviewed for use by Managers and Elected Members within the new Local Authorities.

	<p>information security team.</p> <ul style="list-style-type: none"> • 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 2021/22 Q2 & Q3, the Information Asset Register was published and multi-channel learning materials including new guidance, videos and animations were designed to help Information Asset Owners (IAO) and Administrators (IAA) understand the council's approach to information asset management and on how to use the Information Asset Register. The IAR and guidance documents have been consolidated onto a Sharepoint platform. • During 2021/22 Q4, the County Council took part in a Cyber security exercise to maximise experience and expertise in responding to a real cyber incident. • Members of the Information Security Team attended the UK Cyber Event in May 2022 run by Government and the National Cyber Security Centre. This event was highly successful and has allowed the Information Security Team to implement the latest NCSC direction and best practise. • Directorate Performance Reports are being used within DMT's and include data breach incidents as well as completion targets for the Info Security & Data Protection e-Learning Course. • The Council had another successful National Information Security month during November 2022. 	<ul style="list-style-type: none"> • A package including key points, eLearning and Data Breach Reporting Process will be launched to the employees of both new authorities on 1 March 2023 to ensure that in the run up to Vesting Day, data protection and security remain a priority and employees have adequate support tools.
	<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 	<p>Human Error</p> <ul style="list-style-type: none"> • All issues continue to be discussed at weekly SIRO meetings, service teams and escalated to Risk Owners Group, DMTs or CMT as appropriate. • The 2022/23 SIRO and Information Governance Annual Report will be considered by Audit Committee in March 2023




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	<p>enable effective response to breaches, tracking, learning and ICO referral assessments.</p> <ul style="list-style-type: none"> • Data breaches, near misses, causes and actions continue to be collated into a central database, with each issue being evaluated to identify further targeted action and further shared learning. • 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. • Due to the expiry of the licence for SharePoint 2013, the 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 successfully completed ahead of schedule and the systems security has been reviewed. In addition, all relevant policies, procedures and online content have been updated to reflect these changes. • The 2021/22 SIRO and Information Governance Annual Report was considered by the September 2022 Audit & Assurance Committee. 	<p>(with 3 quarters of data up to 31 Dec 2022) to ensure Audit Committee receives an assurance report before the end of the County Council on 31 March 2023.</p>
<p>Inadequate Surveillance Camera Arrangements</p>	<ul style="list-style-type: none"> • The Biometrics and Surveillance Camera Commissioner issues a Local Authority Survey on a bi-annual basis. The last survey was completed during 2022/23 Q2 (Sept 2022). • The Council's Data Protection Officer has been nominated as the Senior Responsible Officer (SRO) for this work, to ensure that the Council is compliant with its duties in this area. 	<ul style="list-style-type: none"> • The governance approach for this area of work requires to be formalised as we prepare for LGR Day 1 readiness and the eventual rationalisation of properties/other assets across the two new Local Authorities. • As part of the LGR Programme, work has commenced across all seven authorities to identify. <ul style="list-style-type: none"> - CCTV installations - signage requirements for variation

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	<ul style="list-style-type: none"> • CCTV is on the Legal and Democratic Services Data Assurance Delivery Plan. • Work has been completed in 2022/23 to review deployment of existing CCTV cameras across the CCC estate. There is now an updated CCTV Asset List. 	<ul style="list-style-type: none"> - current documentation & responsible officers 																					
<p>Independent assurance of key risk controls</p> <ul style="list-style-type: none"> • Annual Public Services Network (PSN), PCI DSS & NHS DSP compliance maintained and supported by the external IT Health Check (ITHC). • Annual PSN certificate issued with effect from 5th May 2022. • Routine ICT system penetration tests to check system vulnerabilities are now incorporated into the annual ITHC which was successfully completed in November 2022. 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 with the maximum ‘reasonable assurance audit opinion’ received for a follow up audit. • 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. 																							
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<p>Quarter 3 Risk Rating</p>																					
<ul style="list-style-type: none"> • 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>1.13 Deliver ICT improvement and investment profile across key frontline services (particularly libraries) – to improve technology and maintain cyber security arrangements.</p>	<table border="1"> <thead> <tr> <th colspan="4">Q3 RISK RATING (likelihood x impact)</th> <th>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>	Q3 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>																							

8.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 and the local authorities statutory Safeguarding Adults duties are not met.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 4
Staff shortages: a lack of capacity or capability	<ul style="list-style-type: none"> Rolling recruitment campaign Workforce & Practice Board in place. Weekly Leadership Team Meetings discuss issues in relation to the recruitment of permanent staff Incentive proposal taken to DMT for hard-to-reach areas 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"> Additional resources have allocated for EPW recruitment to provide increased capacity until June 2023 A SOP is in development to support arrangements from wider operational ASC teams to respond to lower risk safeguarding concerns.
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 CCC Safeguarding Adults Policy, Procedure and supporting Guidance in place. CSAB Multi-Agency Safeguarding Adults Procedure and guidance in place. Performance is reported on a weekly basis within Safeguarding Adults Service and ASC LTM. Risk issues raised at ASC Leadership Team weekly meetings to identify early mitigations planning. 	<ul style="list-style-type: none"> There is a rolling review of Safeguarding Adults Policies and Procedures including key operational prioritisation tools. Ongoing development of Safeguarding adults internal and external partners protocols to ensure appropriate referrals are being received by the LA. Reviewed and updated audit in place to monitor and support expected practice standards.

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	<ul style="list-style-type: none"> • Internal audit report completed. • Weekly partnership meetings provide the assurance of the appropriate escalation of specific safeguarding concerns. 	
Training and supervision being ineffective or inadequate	<ul style="list-style-type: none"> • ASC training standards in place to define mandatory training. • ASC training register in place which monitors compliance. • The Practice Learning Group (PLG) in place and overseen by the Principal Social worker. • Safeguarding Threshold tools in place. • ASC includes training for elected council members. • Safeguarding Training Competency Passport in place. • Safeguarding training plan completed and commissioned for 2022. • Supervision Policy in place. • Principal Social Worker and Advanced Practice Lead Team available for support on specific casework. • Safeguarding adults Audit in place. • ASC supervision tool in place. 	<ul style="list-style-type: none"> • Review of commissioned training for 2022/3 is underway • Additional interim training sessions commissioned to support wider operational response by social care teams • Safeguarding Adults support sessions to be delivered to operational social care teams to ensure clear understanding of procedures and key guidance tools on when to refer concerns and support delivery of the SA SOP. • Training Plan post LGR to be agreed and communication to support
Breakdown of partner relationships	<ul style="list-style-type: none"> • The 2022/23 Cumbria Safeguarding Adults Board (CSAB) Business Plan has been published. • The Performance & Quality Group provide oversight and reports to the CSAB in order to monitor issues, embed learning and deliver training as required. • Cumbria Safeguarding Adult Board continues to receive assurance from all partners about Safeguarding pressures and they report on any concerns for escalation up to the Board. <p>The Peer review of the Adult Safeguarding Partnership is now complete and the findings from this review has fed into the new Business and Strategic Plans.</p>	<ul style="list-style-type: none"> • The future delivery of the new Safeguarding Partnership will be pan Cumbria and retain one Safeguarding Board and all systems and assurance around this will retain a County footprint for the first 6months after vesting day with a review built in for Sept 2023. • We continue to receive regular assurance reports from other Partners about Safeguarding pressures. A new template is being devised around the Leadership of the Safeguarding System and all CSAB Partners to complete in Q4. CCC to complete this for Cumbria to 31 March and also for the two new Unitary Councils. The resultant information will be used for planning purposes going forward. • Leadership of the CSAB is being developed

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		<ul style="list-style-type: none"> • Joint work with health partners will continue over Q4 to support electronic referrals via STRATA. • There are ongoing LGR discussions. 																								
<p>Independent assurance of key risk controls 2022 Peer review of the Adult Safeguarding Partnership – the findings from this review have been fed into the new Business and Strategic Plans and continue to inform Local Government Reorganisation discussions and the future of the Partnership following April 2023.</p>																										
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<table border="1"> <thead> <tr> <th colspan="4">Quarter 3 Risk Rating</th> </tr> <tr> <th colspan="3">Q3 RISK RATING likelihood x impact</th> <th>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>	Quarter 3 Risk Rating				Q3 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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<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 																										

9.Deliver a Financially Sustainable Authority – Jo Moore		
There is a risk that the Council's revenue & capital budget is insufficient to fund current services.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 4
	<p>Common Controls across all risk causes</p> <ul style="list-style-type: none"> • Monthly financial monitoring and reporting via Directorate Management Teams and Corporate Management Team – with quarterly reporting to Cabinet • 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 holders and Leader by Assistant Directors and Director of Finance. • Identification of financial risks as part of regular monitoring and by exception specific reports to CMT to focus on emerging pressures (demand / changes to funding/ horizon scanning / updates from advisors etc). • The 2022-23 Q1 Revenue and Capital Monitoring Report was presented to CMT on 10 August 2022 and to the Cabinet Briefing on 1 September and Cabinet on 22 September. • 2022-23 Period 4 budget monitoring was considered by CMT on 14 September in order to address emerging issues in the first Quarter ahead of Q2 reporting that went to Cabinet in December 2022. • The Chief Executive held meetings in September and October with Exec Directors and Assistant Directors for each directorate to discuss 2022/23 budgetary 	<ul style="list-style-type: none"> • Exec Directors continue to review additional saving mitigations with DMT's and report back to CMT. • Review Earmarked Reserves to ensure that reserve funding is available to deliver an end of year balanced budget should the required savings not be delivered. • Enhanced Scenario planning of key high demand / high inflation areas such as Children Looked After, Adult Social Care, School Transport etc. is ongoing • National lobbying by SCT/ CCN to raise awareness of inflationary pressures on Local Government is ongoing.

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	<p>pressures and opportunities for mitigations to help close the budget gap in the new unitary authorities in 2023/24.</p>	
<p>Slippage and non-delivery of existing savings</p>	<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 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. 	<ul style="list-style-type: none"> • Quarterly Review of savings delivery as part of budget monitoring and to inform MTFP work.
<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 	




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	<p>increases as a result of adverse global events with lobbying for national response through LGA, SCT as appropriate.</p> <ul style="list-style-type: none"> • Capital programme overspending and slippage in 2021-22 was reviewed at outturn and assessment of deliverability of 2022-23 programme and the need to reprofile identified is being incorporated into the Q1 monitoring report to CMT in August and Cabinet in September. • There is a report to Council in November for approval of changes to the 2022/23 onwards capital programme included in the Q1 monitoring report that were recommended by Cabinet in September. 	
<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. • Fees & Charges agreed in February budget setting for 2022/23 income. Delivery against budget will be monitored through the usual budget monitoring process. 	
<p>Uncertainty of local government funding framework</p>	<ul style="list-style-type: none"> • Continue to monitor Government funding announcements, respond to requests for information as appropriate. • Direct dialogue with 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.

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<p>Increased demand for Statutory Services</p>	<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. • An updated High Needs Recovery Plan, which was discussed with the Dfe on 23 Sep 2020, sets out the Authority’s plans to reduce the deficit on the High Needs Block through a number of savings and Invest To Save initiatives. Progress on delivery is monitored and reported to School Forum. 	<ul style="list-style-type: none"> • At outturn, the forecast High Needs Block deficit is higher than the forecast in the High Needs Recovery Plan. • Progress on the delivery of the updated High Needs Recovery Plan continues to be monitored. 															
<p>Independent assurance of key risk controls 2021/22 – Main Accounting System</p>																	
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<p>Quarter 3 Risk Rating</p>															
<ul style="list-style-type: none"> • 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>1.9 Take actions to mitigate the impact of increasing demands of SEND travel and reduce the % spend over budget in 2022/23 compared to previous year.</p> <p>1.12 All services delivered in line with the agreed 2022/23 revenue budget, including allocations of COVID-19-related grant.</p>	<table border="1"> <tr> <td colspan="3">Q3 RISK RATING likelihood x impact</td> <td>12</td> </tr> <tr> <td>Previous quarter</td> <td>Current quarter</td> <td>End Yr Target</td> <td>DOT</td> </tr> <tr> <td colspan="2">20</td> <td>12</td> <td rowspan="2">12 </td> </tr> <tr> <td>4</td> <td>5</td> <td>3 4</td> </tr> </table>	Q3 RISK RATING likelihood x impact			12	Previous quarter	Current quarter	End Yr Target	DOT	20		12	12 	4	5	3 4
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20		12	12 														
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10. Cost of Living Crisis – CMT		
There is a risk that despite having an antipoverty strategy in place, the National Cost of Living Crisis will disproportionately impact low-income households and is both an ongoing financial and welfare risk to the effective delivery of Council Services.		
Caused by	Key controls to manage the risk	Further planned activity around key controls for Q4
<p>Increasing requests for help and support from various Council Services</p>	<ul style="list-style-type: none"> The County Council has an Antipoverty Strategy in place which drives its decision making. Ongoing monthly monitoring of budgets recognising that the financial pressures are coming through from different Council Service areas eg. s17 financial assistance pressures for Children and Families, including subsistence payments, assistance with utilities and nursery sessions. There is a very real risk that there will be an increasing demand on this budget as cost-of-living pressures intensify. A report was presented to Dec 22 Cabinet on the findings and recommendations of a Scrutiny Task and Finish Group on the topic of No Child Goes Hungry. Cabinet agreed all of the recommendations within this report. 	<ul style="list-style-type: none"> There is continuing discussion at Corporate Management Team around the impact of the Cost-of-Living Crisis both from a County Council financial perspective and a support for individuals perspective. The 5 recommendations contained in the No Child Goes Hungry Report, carried out by the Scrutiny Task and Finish Group report, were reviewed by Cabinet and an additional funding of £2m has been allocated for spend during Q4.
<p>Financial hardship in many areas for many families.</p>	<ul style="list-style-type: none"> The County Council is responding to this crisis by providing £10m of financial support (£7m Household Support Fund, £2m cost of living crisis reserves and £1m Public Health underspend) however, this funding is non-recurring and further HSF government funding is uncertain. This will therefore cause increased financial pressures for the new authorities from 1st April 2023.restart 	<ul style="list-style-type: none"> The Council has allocated a further £3.4m from the DWP Households Support Fund and this has been distributed to the following areas; <ul style="list-style-type: none"> £2.1m to the Service Centre £1.1m for school holiday Free School Meal Vouchers £200k for a Care Leavers Welfare Fund

	<ul style="list-style-type: none"> • DWP Household Support Fund - circa £7m per annum (April 2022-end March 2023) to support households with essentials such as food and utilities. <ul style="list-style-type: none"> - Free School Meal vouchers during school holidays (each eligible child receiving £3 per day) - Ways to Welfare and Council Service Centre providing emergency support to households referred by agencies (typical payment £100) - Ringfenced support to pensioner households via Council Service Centre (as stipulated by the DWP). - Grants to support Community organisations providing cash/ in kind support to people impacted by cost-of-living pressures. • During Q2, (August & September) 2022, the Director Public Health delivered a report to CMT and Cabinet requesting to allocate £1m of Public Health Reserves to provide immediate relief to people most vulnerable to the impacts of the cost-of-living crisis. • This one-off £1m fund from the Public Health Reserves extends and builds on Cumbria’s current approach to poverty reduction by funding organisations already set up to provide quick relief to those people most in need. During Q2 and into Q3 2022, this funding has mostly been allocated to support the following programme of poverty relief activity. <ul style="list-style-type: none"> - £170k will be allocated to Cumbria’s Citizens Advice Bureau Consortium (CABx) - £50k will be allocated to Cumbria Community Foundation (CCF) as a donation to the Winter 	<ul style="list-style-type: none"> • £200k yet to be agreed for community support. • Also, to support Council staff, the January pay date is to be brought forward to the last Friday in the month to ease length of time from early Christmas pay day <ul style="list-style-type: none"> - pool cars will also be made more accessible to all
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	<p>Warmth Appeal.</p> <ul style="list-style-type: none"> - £40k will be allocated to Cumbria Action to match fund its existing Cold to Cozy scheme - £190k will be allocated to Cumbria Carers' Associations to employ staff and expand their current support offer to meet increasing demand. - £60k will be allocated to the Holiday Activity and Food Programme (HAF) given the increase in numbers of Children on Free School Meals and increased public demand. - £200k will be allocated to Cumbria Community Foundation (CCF) for community groups to apply to for grants between £500-£20,000 for activities such as the provision of courses, sustainability of food banks etc. - £40k will be allocated to People First to employ staff to deliver additional benefit checks for people with disabilities across Cumbria. - £120k will be allocated to the four Cumbrian Age UK organisations to employ staff to expand their current support offer to meet increasing demand. - To consider draft proposals for allocation of the remaining £130k. 	
<p>Significant Inflationary pressures</p>	<ul style="list-style-type: none"> • £4.500m to the Inflation Risk Reserve to partially mitigate the forecast pressures in 2022/23 from rising inflation. 	<ul style="list-style-type: none"> • Ongoing monitoring of volatile financial environment to forecast pressures in 2022/23 from rising inflation • Forecasting for 2023/24 to support Unitary Councils and Cumbria Fire & Rescue Service budget setting around potential inflationary pressures for future years.


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<p>Insufficient Cost-of-Living Reserves</p>	<ul style="list-style-type: none"> • £2.000m to a Cost-of-Living Reserve to be utilised during 2022/23 to support individuals through the cost-of-living crisis. This supports the emerging risk that has been highlighted in the 2021/22 Q4 risk register. <ul style="list-style-type: none"> - £500k match-funding to Ways to Welfare to prevent funds running out - £500k inflation uplift for Free School Clothing Grants - £500k match-funding for FSM vouchers to enable comprehensive cover over summer holidays (2022) - £500k Community Support delivered via Local Committees including <ul style="list-style-type: none"> ▪ Grants to CABx to provide emergency support to existing clients. ▪ £200k for foodbanks/pantries/hubs to bulk purchase supplies. 	<ul style="list-style-type: none"> • Drawdown of funding from the Cost-of-Living Reserve agreed. <ul style="list-style-type: none"> - £0.500m to support the Ways to Welfare budget and supports individuals and families who are experiencing financial difficulty. - £0.500m to support School clothing grant budget for 2022/23 only. It is a payment made to parents of children in receipt of free school meals as a contribution to the cost of school uniforms.
<p>Insufficient Organisational Capacity due to concurrent priorities & pressures, including Local Government Reorganisation</p>	<ul style="list-style-type: none"> • A network of officers are in place to coordinate the response to the Cost-of-living crisis. • During Q3, a multiagency Cost of Living coordination group was instigated to help coordinate the response to this Crisis. This group is chaired by the Director of Public Health and supported by other Partner Organisations. The Group met for the first time in October 2022 and will meet fortnightly to monitor the impact of the cost of living and to take appropriate tactical action. 	<ul style="list-style-type: none"> • The multiagency Cost of Living coordination group continues to meet to help coordinate the response to this Crisis.
<p>Independent assurance of key risk controls</p>		

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Resulting in; Main Impacts of risk	Links to Council Plan Delivery Plan	Quarter 3 Risk Rating					
<ul style="list-style-type: none"> • Vulnerable people in Cumbria not supported • Increased demand on Health & Social Care, Children's Services, as well as 3rd Sector providers • Increased pressure on welfare support services • Increasing Health issues across Cumbrian population • Reputational damage linked the Council's inability to deliver what is needed due to lack of resources (time, money and capacity) • Increased cost of delivering existing Capital programmes • Increased financial pressure on 2 new authorities from 1 April 2023/24 		Q3 RISK RATING likelihood x impact				12	
		Previous quarter		Current quarter		End Yr Target	DOT
		12		12		12	
		3	4	3	4		

11. Management of Significant Contracts – Jo Atkinson		
There is a risk the Council has a failure in a 'significant contract'.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 4
<p>Lack of timely closure of non-compliance issues, resulting in dispute escalation.</p> <p>Supplier/Market Failure to deliver the service required</p>	<ul style="list-style-type: none"> Quarterly reviews of 'significant' and all other contracts in place at DMT's Quarterly Reports on 'significant contracts' provided to CMT as part of the Business Assurance Framework. Contracts Register is reviewed and risk assessed in relation to organisational impact, should the contract fail. Investing in commercial aspects of contractual relationships. Proactive management of the contract including Performance & Risk Management & Board meetings. Several contracts were assessed during Q1 and removed from the 'Significant Contracts' register. 	<ul style="list-style-type: none"> External consultants are being used for advice regarding some existing contract performance/options. External consultants are being used in relation to Local Government Reorganisation activities ie how to transfer contracts and/or provide under Hosted/Shared Services. Contracts continue to be reviewed in terms of both business-as-usual and Local Government Reorganisation activities, to ensure that we are 'Legal and Safe' by vesting day, 31 March 2023. Hosted solutions have been identified for some contracts such as the Waste contract being hosted by Cumberland Council. After 31 March 2023, all significant contracts will either be Hosted or will continue to be managed by experienced staff when the two new Councils are formed. There will be no discernible impact from the contracts from a risk perspective in terms of the like for like contracts, albeit, splitting certain contracts may have cost implications further down the road.
<p>Lack of adherence to key Contractual terms/ requirements</p>	<ul style="list-style-type: none"> Sustainable Procurement Strategy Contract Procedure Rules Corporate Contract Management Workbook and Guidance Procedure 'Step by step' guide to Commissioning, Procurement and Contract Management process, including links to Risk Management guidance 'Speak up' arrangements in place to supplement 'Whistleblowing' policy. 	<ul style="list-style-type: none"> Key contractual requirements are expected from Providers and escalated where not the case. Proactive Contract Management and compliance are being routinely monitored and actively managed through Directorate Management Teams, with updates /escalation to Corporate Management Team / Members as appropriate. As you would expect, some contracts are operating better than others, but all are being monitored in a robust fashion and remedial actions taking place where appropriate. Currently, two key 'Significant Contracts' continue to be closely and

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		<p>proactively managed. These include the Carlisle Northern Development Route (CNDR) and the Waste contract where although there is no change to the overall risk profile since the last quarter.</p> <ul style="list-style-type: none"> As part of the LGR process the aforementioned will be made known to the two new councils as part of the disaggregation and hosting discussions. 																				
<p>Independent assurance of key risk controls 2019/20 - Internal Audit of External Fostering Framework</p>																						
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<p>Quarter 3 Risk Rating</p>																				
<ul style="list-style-type: none"> 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"> <tr> <td colspan="3" data-bbox="1413 603 1921 695"> <p>Q3 RISK RATING likelihood x impact</p> </td> <td data-bbox="1921 603 2085 695"> <p>10</p> </td> </tr> <tr> <td colspan="2" data-bbox="1413 695 1592 788"> <p>Previous quarter</p> </td> <td colspan="2" data-bbox="1592 695 1776 788"> <p>Current quarter</p> </td> <td data-bbox="1776 695 1921 788"> <p>End Yr Target</p> </td> <td data-bbox="1921 695 2085 788"> <p>DOT</p> </td> </tr> <tr> <td colspan="2" data-bbox="1413 788 1592 865"> <p>10</p> </td> <td colspan="2" data-bbox="1592 788 1776 865"> <p>10</p> </td> <td data-bbox="1776 788 1921 865"> <p>10</p> </td> <td data-bbox="1921 788 2085 865" rowspan="2">  </td> </tr> <tr> <td data-bbox="1413 865 1509 971"> <p>2</p> </td> <td data-bbox="1509 865 1592 971"> <p>5</p> </td> <td data-bbox="1592 865 1688 971"> <p>2</p> </td> <td data-bbox="1688 865 1776 971"> <p>5</p> </td> </tr> </table>	<p>Q3 RISK RATING likelihood x impact</p>			<p>10</p>	<p>Previous quarter</p>		<p>Current quarter</p>		<p>End Yr Target</p>	<p>DOT</p>	<p>10</p>		<p>10</p>		<p>10</p>		<p>2</p>	<p>5</p>	<p>2</p>	<p>5</p>
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12.Safeguarding of Children - Lynn Berryman & Fiona Musgrave		
There is a risk that there may be a serious failure in protecting children at risk of abuse or neglect		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Quarter 4
Staff shortages: a lack of capacity or capability	<ul style="list-style-type: none"> Children's Workforce Strategy in place to address staff shortages across all areas particularly for experienced social work staff and social work qualified team managers. Staff shortages 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"> We continue to experience an increasing level of demand and at the same time a reduction in staffing levels and the availability of both Permanent Staff and Externally Provided Workforce (EPW). This is both a Regional and National issue. 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,	<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 	<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>procedures & protocols.</p>	<p>procedures.</p> <ul style="list-style-type: none"> • Quality Development Plan – including weekly and monthly performance review meetings. • Ongoing monitoring of performance, compliance and subsequent actions are monitored by the Quality & Development & the weekly Performance Board. • The Quality Assurance Framework has been revised, approved and launched in Q3. • The Ofsted Inspection of the Council’s Local Authority Children’s Services (ILACS) was completed over September/ October 2022 and the inspection report received November 2022. 	
<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 are in place to provide oversight, challenge partners and monitor 	<ul style="list-style-type: none"> • The Ofsted Inspection Report was received in November 2022 and this is being used to develop a plan and will form part of the Children’s Quality & Development Plan.

	<p>partners individually and collectively. Oversight is provided by an independent person.</p> <ul style="list-style-type: none"> • 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 Safeguarding Children Partnership (CSCP). A new external independent scrutineer has been appointed. • The Children’s Trust Board has been renamed the Children and Families Partnership (CCFP) • The Children and Young People’s Plan outcomes framework has been developed and agreed by the CCFP and a schedule of reviews are in place for the next 12 months. • The Early Help Strategy and Implementation Plan has been reviewed and approved by the Children and Families Partnership Board and will now be delivered through locality groups. • Children and Families Partnership 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 	<ul style="list-style-type: none"> • Agreement has been reached that a new Pan Cumbria CSCP will be in place and provide assurance over both new Unitary areas of Cumbria. • Membership of this new Partnership, links to other Partnerships and chairing of associated groups in terms of governance is currently under consideration. • In terms of the Children’s & Families Partnership, a decision has been made that this Partnership will split between the two new Councils. The approach to these new C&F Partnerships are under review.
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	<p>CCC as a good partner.</p> <ul style="list-style-type: none"> • 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. • During 2022/23 Q1, Child Practise Reviews were published. • A full Ofsted Inspection of the Council’s Local Authority Children’s Services (ILACS) including Partnership working was completed September/ October 2022 and the inspection report received in November 2022. 																							
<p>Independent assurance of key risk controls 2019/20 – Internal Audit of Recruitment and retention of social workers in Children’s Services. A full Ofsted ILACS inspection – Sept/Oct 2022. The inspection report is expected by 15th November 2022.</p>																								
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<p>Quarter 3 Risk Rating</p>																						
<ul style="list-style-type: none"> • 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 		<table border="1"> <tr> <td colspan="3" data-bbox="1413 951 1924 1038"> <p>Q3 RISK RATING likelihood x impact</p> </td> <td data-bbox="1924 951 2089 1038"> <p>10</p> </td> </tr> <tr> <td colspan="2" data-bbox="1413 1038 1592 1126"> <p>Previous quarter</p> </td> <td colspan="2" data-bbox="1592 1038 1778 1126"> <p>Current quarter</p> </td> <td data-bbox="1778 1038 1924 1126"> <p>End Yr Target</p> </td> <td data-bbox="1924 1038 2089 1126"> <p>DOT</p> </td> </tr> <tr> <td colspan="2" data-bbox="1413 1126 1592 1198"> <p>10</p> </td> <td colspan="2" data-bbox="1592 1126 1778 1198"> <p>10</p> </td> <td data-bbox="1778 1126 1924 1198"> <p>10</p> </td> <td data-bbox="1924 1126 2089 1198"> <p></p> </td> </tr> <tr> <td data-bbox="1413 1198 1509 1297"> <p>2</p> </td> <td data-bbox="1509 1198 1592 1297"> <p>5</p> </td> <td data-bbox="1592 1198 1688 1297"> <p>2</p> </td> <td data-bbox="1688 1198 1778 1297"> <p>5</p> </td> <td data-bbox="1778 1198 1924 1297"></td> <td data-bbox="1924 1198 2089 1297"></td> </tr> </table>	<p>Q3 RISK RATING likelihood x impact</p>			<p>10</p>	<p>Previous quarter</p>		<p>Current quarter</p>		<p>End Yr Target</p>	<p>DOT</p>	<p>10</p>		<p>10</p>		<p>10</p>	<p></p>	<p>2</p>	<p>5</p>	<p>2</p>	<p>5</p>		
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13.Resurgence of significant COVID-19 variant – Colin Cox		
There is a risk that there will be a resurgence of a further Covid-19 variant of concern that is able to break through the current vaccines or will impact due to waning immunity and will cause significant harm and/or business continuity challenges.		
Caused by	Key controls to manage the risk	Further planned activity around key controls during Q4
Insufficient resources to adequately respond to the resurgence	<ul style="list-style-type: none"> Carried-forward Contain Outbreak Management Fund (COMF) resources have enabled us to retain a core contact tracing and outbreak control response availability for the remainder of 2022/23; this can be stepped up quickly as required. The Local Testing Scheme hosted by CCC can also be stepped up again quickly if required and initial stocks of LFDs are available for the short term. Partnership structures (e.g. Health Protection Board, Strategic Co-ordination Group) remain available to resume if required and the Tactical Oversight Group continues to maintain an overview of the situation. 	<ul style="list-style-type: none"> Continued engagement with UK Health Security Agency about longer-term partnership arrangements
Ineffective Data Integration	<ul style="list-style-type: none"> While formal data integration has now been stood down nationally, the systems and processes that existed would be relatively easily re-established. The local data system remains in place and available for use should an immediate outbreak response be required. CCC has signed up to the national information sharing protocol to enable ongoing access to data as required. 	

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<p>Inability to Influence People’s behaviour to ensure compliance with National & Local COVID-19 guidance.</p>	<ul style="list-style-type: none"> As of 24 February 2022, there are no longer any National restrictions and regulations in place however, Public Health continues to provide advice. 	<ul style="list-style-type: none"> There are currently no National Covid-19 interventions or restrictions in place. 																		
<p>Ineffective roll out of the COVID-19 Booster Vaccination Program.</p>	<ul style="list-style-type: none"> The NHS is responsible for the roll out of the Vaccination program with Public Health providing oversight of the plans in place for the roll out of COVID-19 vaccines as quickly and as equitably as possible in line with National prioritisations. The County Council is responsible for the coordination and prioritisation of the vaccination of Council staff in accordance with the Joint Committee on Vaccination and Immunisation (JCVI) nationally identified priorities. 	<ul style="list-style-type: none"> Future booster campaigns have yet to be decided at a National Level. 																		
<p>Independent assurance of key risk controls</p>																				
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<p>Quarter 3 Risk Rating</p>																		
<ul style="list-style-type: none"> Mortality and harm from COVID-19 Increased lockdown restrictions CCC Service Disruption Reputational, financial & legal Further socio/economic impacts 	<p>2.3 Continue to develop a flexible and robust system for outbreak management and infection prevention and control, focused on COVID-19 during 2022/23 but applicable in the longer term to wider health protection support.</p> <p>4.5 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>	<table border="1"> <tr> <td colspan="3">Q3 RISK RATING likelihood x impact</td> <td>10</td> </tr> <tr> <td colspan="2">Previous quarter</td> <td>Current quarter</td> <td>End Yr Target</td> <td>DOT</td> </tr> <tr> <td colspan="2">10</td> <td>10</td> <td rowspan="2">10</td> <td rowspan="2"></td> </tr> <tr> <td>2</td> <td>5</td> <td>2</td> <td>5</td> </tr> </table>	Q3 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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14.Impact of COVID-19 on the provision of Council Services – Extended Leadership Team		
There is a risk that due to the prolonged response and recovery phases of COVID-19 there will be significant impact on the provision of Council Services.		
Caused by loss or degradation to	Key controls to manage the risk	Further planned activity around key controls during Quarter 4
Council Services	<ul style="list-style-type: none"> From Mar 20 to Apr 2021, many Council services underwent significant change, temporary suspension of service or amended delivery. Changes were managed and documented via Decision Records. Where required service changes were subject to decision making through the Council’s Emergency Powers regime. As case rates improved and lock-down restrictions eased, decisions to re-launch services or return them back to a more business as usual status were also subject to DMT’s and Officer Decision Records in consultation with Lead Members. 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 	<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 Covid 19 Testing programmes that are eligible within the Governments ‘Living with Covid’ strategy. 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 meeting takes place fortnightly 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

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	<p>the Strategic Recovery Co-ordination Group structures.</p> <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. 	<p>communicated given rapidly changing pandemic policy position</p> <ul style="list-style-type: none"> Q2 2022/23 saw high number of weekly cases in Cumbria, however much improved from previous peaks. 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 Q3 in line with the <i>Living with Covid Plan</i>. The Risk Owners group has suggested the BC Board look at potential concurrent incidents for winter 2022 preparedness.
<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 has embedded a 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. 	<ul style="list-style-type: none"> 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. Given national lock-down restrictions were removed and services recommenced, service specific risk assessment and safe methods of working continue 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 Q4. Cumbria COVID-19 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, 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

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	<ul style="list-style-type: none"> National safety guidance has evolved, eg in relation to use of PPE or other safety controls, reviews have been undertaken and the requirements communicated to staff along with guidance and support. Communications and a workplace health & safety checklist reminder will be issued to all managers in October. 	<p>work to be paused, delayed or stopped to maintain service delivery but minimise employee anxiety, stress or wellbeing challenges especially alongside rising LGR demands.</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 and the Northwest Warning & Reporting Point 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 	<ul style="list-style-type: none"> Ongoing engagement with National Cyber Security Centre and the Northwest Warning & Reporting Point. 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 as the Councils SIRO and reported by exception to CMT, 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 successfully retained its 2022/23 PSN accreditation with continuous improvement actions ongoing. To re-enforce the Council's approach to Information Security & Data Protection, the Organisational Development Programme Board agreed that all employees are to complete the Council's new and updated Information Security & Data Protection e-learning course. 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

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	<p>and videoconferencing solutions, ensuring chosen 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 for 2022 with Audit Committee commenting on good ICT security assurance. 	<p>investments.</p> <p>Please also refer to additional controls & measures noted within the Information Security Arrangements Risk.</p>
Council Premises	<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. • 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"> • 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. • Face covering guidance has changed for many services. PPE is still required for care services, but optional for many others. Personal choice to wear a covering will be respected. • Joint workplace inspections with recognised trade unions will continue. • Free Lateral Flow Testing ended on 31 March 2022 and now only limited professional groups in Adult Social Care are able to access free testing, or for outbreak situations of higher risk and at the request of Public Health professionals. This was required in Q3 with the LFT Team responding promptly which received positive feedback and provides assurance that a testing service can be stepped back up at short notice should it be required.
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. • CMT 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>

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<p>Council Governance</p>	<ul style="list-style-type: none"> • The Chief Legal Officer re-issued updated guidance on decision making in civil emergencies to officers during 20/21 to strengthen assurance on officer decision making. This has continued in 22/23. • 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 emergency planning and business continuity arrangements ensured that the Council could both respond effectively and maintain an effective response to the continuing pandemic within good governance principles. 	<ul style="list-style-type: none"> • A review of Governance continues, and ongoing impacts of COVID-19 will be monitored and included in the Annual Governance Statement 2022/23. • The Health Protection Board Tactical Oversight Group chaired by the Director of Public Health, meets to ensure 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 COVID-19 Lateral Flow Testing with the project receiving positive feedback with strong governance arrangements and proactively inviting Internal Audit input and challenge from the outset. The PPE and LFT stocks remain managed by the County Council with regular date checks and stock rotation in place for if the PPE and tests are required for future waves of the virus. • Good governance of services such as the PPE service will continue to ensure robust quality standards and value for money following the national announcement that free PPE will be extended until 31 March 2024. County Council system to support this will remain in place to support the 2 new Unitary Councils.
<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. 	<ul style="list-style-type: none"> • The Chair and Vice Chair of The Strategic Recovery Group (SRCG) 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.

	<ul style="list-style-type: none"> • 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 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. 	<ul style="list-style-type: none"> • 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 through the Health Protection Tactical Oversight Group and is 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 from 2022/23 Q1 onwards. • The Covid-19 internal silver command group has been stood down but available to be re-established if required. • A dedicated Assistant Director continues to be available for any transition co-ordination with partners as a Covid Single Point of Contact. • Major programmes of work continue to be on standby with all resources and governance in place should services such as PPE management and Lateral Flow Testing be required again. • 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 	<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.

Appendix 2

2022/23 QUARTER 3 – RISK REGISTER

	<p>connectivity into the multi-agency strategic and tactical co-ordinating groups via the Council's gold and silver commanders.</p> <ul style="list-style-type: none"> All Directorates were represented at Silver meetings and produced SITREPS for each meeting. In addition to the gold incident commander a lead Executive Director rota has been in place to ensure direct support to the gold commander from CMT throughout the incident. 	<ul style="list-style-type: none"> 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>																						
<p>Resulting in; Main Impacts of risk</p>	<p>Links to Council Plan Delivery Plan</p>	<p>Quarter 3 Risk Rating</p>																				
<ul style="list-style-type: none"> Impact on Council Plan Delivery Plan Impact on MTFP & Financial sustainability of CCC Legal implications Reputational Impact Impact on customers 	<p>This is a cross cutting risk and continues to impact many aspects of the Council and the Council Plan Delivery Plan (CPDP) including.</p> <p>4.5 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>	<table border="1"> <tr> <td colspan="3" data-bbox="1413 708 1917 799"> <p>Q3 RISK RATING likelihood x impact</p> </td> <td data-bbox="1917 708 2085 799"> <p>9</p> </td> </tr> <tr> <td data-bbox="1413 799 1592 890"> <p>Previous quarter</p> </td> <td data-bbox="1592 799 1771 890"> <p>Current quarter</p> </td> <td data-bbox="1771 799 1917 890"> <p>End Yr Target</p> </td> <td data-bbox="1917 799 2085 890"> <p>DOT</p> </td> </tr> <tr> <td colspan="2" data-bbox="1413 890 1592 959"> <p>9</p> </td> <td data-bbox="1592 890 1771 959"> <p>9</p> </td> <td data-bbox="1917 890 2085 959"> <p>9</p> </td> </tr> <tr> <td data-bbox="1413 959 1509 1054"> <p>3</p> </td> <td data-bbox="1509 959 1592 1054"> <p>3</p> </td> <td data-bbox="1592 959 1688 1054"> <p>3</p> </td> <td data-bbox="1688 959 1771 1054"> <p>3</p> </td> </tr> <tr> <td colspan="3" data-bbox="1413 1054 1917 1104"></td> <td data-bbox="1917 959 2085 1104">  </td> </tr> </table>	<p>Q3 RISK RATING likelihood x impact</p>			<p>9</p>	<p>Previous quarter</p>	<p>Current quarter</p>	<p>End Yr Target</p>	<p>DOT</p>	<p>9</p>		<p>9</p>	<p>9</p>	<p>3</p>	<p>3</p>	<p>3</p>	<p>3</p>				
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