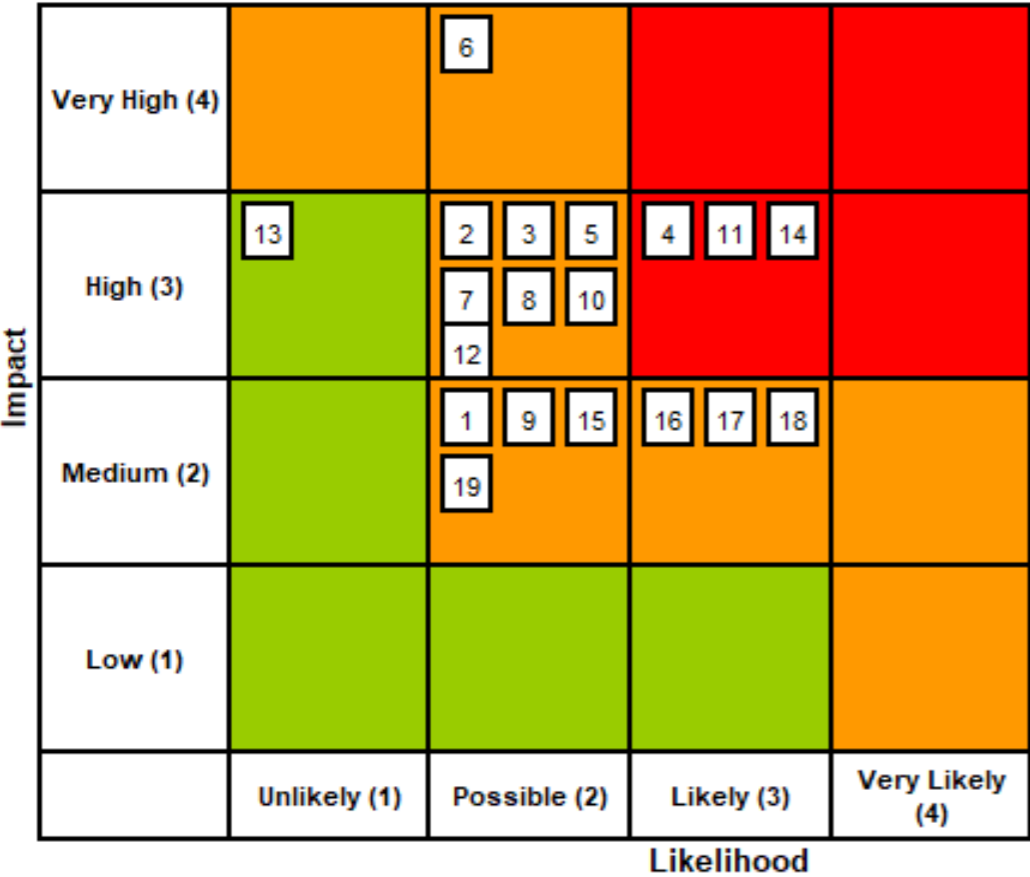


Strategic Risk Register - November 2022 - Risk Map



Risk Name	Risk Description	Risk Owner	Inherent (Gross) Risk Score	Existing Control Measure Description	Residual Risk Score	Risk Response Category	Risk Category	Target Risk Level	Action Plan Title	Action Plan Description	Action Plan Owners
Strategic Risk Register - 15th November 2022 - NOTE the risks are not in numerical order											
SR1 Central Government funding is insufficient to provide the current level of service leaving the council unable to deliver the financial resilience initiative and achieve financial stability.	SR1 Central Government funding and/or revenues collected (CTAX, Business Rates, Fees & Charges etc) are insufficient to provide the current level of service leaving the council unable to deliver the financial resilience initiative and achieve financial stability.	Mark Davies (Chief Executive) Paul Thompson (s151 Officer)	9	Officer/Member Working Groups Capital Assurance Group (CAG) and Financial Resilience Group (FRG)	4	Reduce	Financial - Budgetary pressures, Loss of/reduction in income/funding, Cost of living/inflation, interest rates, etc.	1	Outcomes Based Resourcing	Review of existing budgets to identify areas for realignment/ refocusing or cessation to deliver efficiencies but ensuring that Services remain aligned with the Councils Priorities.	Paul Thompson (s151 Officer) Mark Davies (CEO)
				Council Strategies Funding the Future Strategy, Road to Ambition, Investment Strategy, Reserves Strategy and Medium Term Financial Strategy					Commercialisation	Development of LATCO's or other alternative service delivery vehicles to deliver efficiencies and/ or operational surpluses which can be reinvested into Council Services.	LATCO's Established
									Funding the Future Strategy	The Strategy contains 4 Pillars to achieve Financial Stability. 1) Investment to gain financial return; 2) Pursuing efficiencies with vigour; 3) Outcomes based resourcing; and 4) Commercialisation	Paul Thompson (s151 Officer)
									Fees & Charges Income monitoring	Regular monitoring and forecasting by services of all fees and charges	Relevant HoS/ Service Managers/
									Formal quarterly monitoring (DoP- Financial, Projects and KPI performance)		Paul Thompson (s151 Officer) Jez Bebbington Claire Dubelbaise (Programme Manager)
									Business Plans for Investments	Develop business plans for investment particularly in relation to decarbonisation and renewable energy generation. (Part of OBR Process).	Paul Thompson (s151 Officer)
SR10 Changes in Government policy impact on our ability to deliver major projects and programmes that would benefit our communities.	SR10 Changes in Government policy impact on our ability to deliver major projects and programmes that would benefit our communities.	Mark Davies (Chief Executive)	9	Continued monitoring and horizon scanning of Government policy Clear and focused Council strategy to maximise alignment with Government policy and resourcing	6	Reduce	Regulatory - Legislation and internal policies/regulations including: Health & Safety at Work Act, Data Protection etc.	6	Strategic Plans	Continue to develop Council strategic plans and documentation in light of emerging Government policy	Mark Davies (Chief Executive)
SR11 International and national issues rapidly impact on the strategic and financial context of the Council and / or partners, businesses and communities.	SR11 International and national issues rapidly impact on the strategic and financial context of the Council and / or partners, businesses and communities.	Mark Davies (Chief Executive)	12	Retention of in-house expertise to provide agility and resilience in rapidly-emerging issues	9	Reduce	Financial - Budgetary pressures, Loss of/reduction in income/funding, Cost of living/inflation, interest rates, etc.	9	Agility and Resilience	Continue to develop agility and resilience across the organisation	Mark Davies (Chief Executive)
				Strategic responsiveness through continued risk management review					Strategic risk management approach	Strategic risk management approach	Mark Davies (Chief Executive)
SR12 Budgetary proposals are brought forward / agreed that are then challenged, causing delays or changes to implementation.	SR12 Budgetary proposals are brought forward / agreed that are then challenged, causing delays or changes to implementation.	Mark Davies (Chief Executive) Paul Thompson (s151 Officer)	9	Comprehensive, robust and transparent approach to budget development and service delivery	6	Reduce	Financial - Budgetary pressures, Loss of/reduction in income/funding, Cost of living/inflation, interest rates, etc.	4	OBR	Outcomes-Based Resourcing (OBR) approach to focusing on where resources can have maximum impact on strategic priority areas	Mark Davies (Chief Executive) Paul Thompson (s151 Officer)

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SR13 The Council's reputation is damaged through local concerns or activities.	SR13 The Council's reputation is damaged through local concerns or activities.	Mark Davies (Chief Executive)	6	Pro-active communications and transparency	3	Reduce	Reputation - Negative publicity (local and national), increase in complaints	3	Delivery of Services	Continue to manage and deliver services in a way that supports the authority's reputation as a Co-operative, Kind and Responsible Council.	Mark Davies (Chief Executive)
				Strategic management of all Council activities to ensure continued high reputation					Strategic communication	Strategically communicate and engage with residents, partners and stakeholders to ensure actions align with reputation	Mark Davies (Chief Executive)
SR14 Major, sudden unforeseen expenditure or income reduction arises, necessitating significant change or reduction to services.	SR14 Major, sudden unforeseen expenditure or income reduction arises, necessitating significant change or reduction to services.	Mark Davies (Chief Executive) Paul Thompson (s151 Officer)	9	Budget and Performance Panel	9	Reduce	Financial - Budgetary pressures, Loss of/reduction in income/funding, Cost of living/inflation, interest rates, etc.	6	Continue financial forecasting	Continue financial forecasting and scenario planning e.g. for energy costs	Paul Thompson (s151 Officer)
				Reserves Policy					Move to sustainable solutions	Minimise exposure to cost spikes such as energy by moving to sustainable	Mark Davies (Chief Executive)
SR15 The Council's infrastructure and assets fail to meet the future needs of the organisation and the residents of the district.	SR15 The Council's infrastructure and assets fail to meet the future needs of the organisation and the residents of the district.	Mark Davies (Chief Executive) Jason Syers (Director for Economic Growth and Regeneration)	9	Asset Management Plan	4	Reduce	Assets - Property (land, buildings and equipment), Information (security, retention, timeliness, etc.)	2	Review Council Assets	Conduct a major review of Council infrastructure and assets, taking a future	Jason Syers (Director for Economic Growth and Regeneration)
									Continuous review of assets and infrastructure	Continuous review of assets and infrastructure	Jason Syers (Director for Economic Growth and Regeneration)
SR16 The Council's services fail to adapt to socioeconomic and demographic trends within the district, resulting in failure to meet the needs of local residents and businesses.	SR16 The Council's services fail to adapt to socioeconomic and demographic trends within the district, resulting in failure to meet the needs of local residents and businesses.	Mark Davies (Chief Executive)	6	Corporate Plan	6	Reduce	Customers/Citizens - Changing needs and expectations of customers (poor communication/consultation), Poor quality etc.	3	Continuous review of strategy and policy	Continuous review of strategy and policy, and alignment with service delivery.	Mark Davies (Chief Executive)
				Policy Framework							
SR17 Negligent or unlawful action by the Council, resulting in financial or other liabilities.	SR17 Negligent or unlawful action by the Council, resulting in financial or other liabilities.	Mark Davies (Chief Executive) Luke Gorst (Head of Legal Services)	6	Corporate Governance	6	Reduce	Reputation - Negative publicity (local and national), increase in complaints Management - Loss of key staff, recruitment and retention issues, Training issues, Lack of/or inadequate management etc.	3	Continuous review of governance processes	Continuous review of governance processes to ensure they are fit for	Luke Gorst (Head of Legal Services)
									Training and development	Training and development to ensure staff and members are equipped to follow governance requirements	Luke Gorst (Head of Legal Services)
SR18 Failure of the South Lancaster Growth Catalyst programme to deliver high quality homes and recoup financial investment.	SR18 Failure of the South Lancaster Growth Catalyst programme to deliver high quality homes and recoup financial investment.	Jason Syers (Director for Economic Growth and Regeneration)	6	Programme Management	6		Financial - Budgetary pressures, Loss of/reduction in income/funding, Cost of living/inflation, interest rates, etc. New Partnerships/Projects/Contracts - New initiatives, new ways of working, new policies and procedures etc.	2	Partnership Working with County Council	Continued development of partnership working with Lancashire County Council to successfully deliver the programme alongside engagement with local partners and residents	Jason Syers (Director for Economic Growth and Regeneration)

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SR19 Failure of the Canal Quarter programme to deliver regeneration through use of the Council's assets in the area.	SR19 Failure of the Canal Quarter programme to deliver regeneration through use of the Council's assets in the area.	Jason Syers (Director for Economic Growth and Regeneration)	4	Programme Management	4	Reduce	Assets - Property (land, buildings and equipment), Information (security, retention, timeliness, etc.) New Partnerships/Projects/Contracts - New initiatives, new ways of working, new policies and procedures etc.	2	Development of a Canal Quarter Masterplan	Development of a Canal Quarter Masterplan that sets out a route to successful regeneration of the area in line with local needs and the Council's priorities	Jason Syers (Director for Economic Growth and Regeneration)
SR2 The Council fails to meet the 2024/25 funding gap as a result of ineffective delivery of the efficiency programme and failure to deliver on key projects.	SR2 The Council fails to meet the 2024/25 funding gap as a result of ineffective delivery of the efficiency programme and failure to deliver on key projects.	Mark Davies (Chief Executive) Paul Thompson (s151 Officer)	9	Budget and Performance Panel	6	Reduce	Financial - Budgetary pressures, Loss of/reduction in income/funding, Cost of living/inflation, interest rates, etc.	2	Project Delivery Board	Consisting of Executive Team to monitor delivery via monthly and quarterly reports and provide support and challenge to each project as required. Meeting Monthly.	Paul Thompson (s151 Officer)
				Reserves Policy					Programme Manager	Established to provide a central co-ordination point for all the Council's projects and performance. Responsible for co-ordination and monitoring.	Paul Thompson (s151 Officer)
				Project Managers					Delivering Our Ambitions Quarterly Monitoring Reports	Monitoring report linking Projects, Performance and Resources presented to Cabinet and Budget & Performance Panel.	Paul Thompson (s151 Officer) Claire Dubelbeis (Programme Manager) Jez Bebbington
				Programme Managers					Outcomes Based Resourcing	Outcomes-Based Resourcing (OBR) approach to focusing on where resources can have maximum impact on strategic priority areas	Mark Davies (Chief Executive) Paul Thompson (s151 Officer)
				Programme Delivery Board					Quarterly Cabinet Meetings	Project and Financial information present to Cabinet/ Portfolio providing an opportunity for review and discussion of performance. See above	Paul Thompson (s151 Officer)
				Cabinet							
SR3 The Council fails to recruit and retain competent / key staff resulting in ineffective leadership, increased costs and failure to deliver services, projects and council priorities. The cost of living crisis means will further exacerbate this.	The Council fails to recruit and retain competent / key staff resulting in ineffective leadership, increased costs and failure to deliver services, projects and council priorities. The cost of living crisis means will further exacerbate this.	Mark Davies (Chief Executive) Alex Kinch (Head of HR)	12	Pay and Grading Structure in place	6	Accept	Management - Loss of key staff, recruitment and retention issues, Training issues, Lack of/ or inadequate management etc.	6	Pay and Grading Structure	The new pay and grading structure and job evaluation process will ensure that all posts are objectively evaluated and then placed on a new pay and grading scale. Recent experience suggests that this assisted in attracting applicants with the desired skills and values. A People Strategy is also in development to ensure staff experience, development and management are aligned to support the success of the council's workforce.	Alex Kinch (Head of HR) Suzanne Lodge (Corporate Director of Communities & Environment)
				Recruitment and Retention Policy							
				Annual Appraisal Process							

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SR4 The use of council assets is not maximised leading to insufficient funding to meet the funding gap and deliver capital projects.	Future capital investment is dependent on capital receipts from the sale and utilisation of council assets. At present the Council does not have an Asset Management Plan to assist with the identification and management of council assets.	Mark Davies (Chief Executive) Jason Syers (Director for Economic Growth and Regeneration)	12	Capital Strategy Group	9	Reduce	Assets - Property (land, buildings and equipment), Information (security, retention, timeliness, etc.)	6	Asset Management Plan	Asset Management Plan will be completed in September 2022 to ensure its findings can be incorporated into the 2023/24 budget cycle	Jason Syers (Director for Economic Growth and Regeneration)
SR5 Council services are disrupted and / or additional services are required and costs are incurred as a result of national emergencies	SR5 Council services are disrupted and / or additional services are required and costs are incurred as a result of national emergencies.	Suzanne Lodge (Corporate Director of Communities & Environment)	9	Lancashire Resilience Forum Emergency plans Business Continuity Plans Government Planning	6	Accept	Regulatory - Legislation and internal policies/regulations including: Health & Safety at Work Act, Data Protection etc.	6	Follow Government direction	The Council continues to adequately resource its emergency planning function, including maintaining its team of out of appropriately trained emergency response officers.	Suzanne Lodge (Corporate Director of Communities & Environment)
									Financial Planning	Adequate non earmarked reserves are maintained to allow for the impact of long term emergencies like the pandemic.	Suzanne Lodge (Corporate Director of Communities & Environment)
									Business Resilience	The Council continues to invest in resilience measures eg technology to facilitate remote homeworking	Suzanne Lodge (Corporate Director of Communities & Environment)
									Partnerships	The Council continues to allocate resource to developing its key partnerships LRF, CSP and local resilience partners	Suzanne Lodge (Corporate Director of Communities & Environment)
									Community Resilience	The Council supports community resilience through CEPGs and FLAG groups etc	Suzanne Lodge (Corporate Director of Communities & Environment)
									??	The Council appraises and potentially invests in schemes and activities that provide adaptation (eg Lune river defence)	Suzanne Lodge (Corporate Director of Communities & Environment)
									Financial Planning	Adequate non earmarked reserves are maintained to allow for the impact of long term emergencies like the pandemic.	Suzanne Lodge (Corporate Director of Communities & Environment)
SR6 The Council fails to reduce it's direct Co2 emissions to 'net zero' by 2030.	In January 2019 the Council declared a 'climate change emergency' and have now sought endorsement of an approach to reduce the Council's direct Co2 emissions to 'net zero' by 2030. Whilst an action plan is in place, costs	Mark Davies (Chief Executive)	16	Delivery plan in place	8	Accept	Environment - Recycling, green issues, energy efficiency, land use and green belt issues, noise, contamination etc.	8	Delivery Plan	The Council continues to work on the delivery of its action plan	Mark Davies (Chief Executive)
									Delivery Plan	The Council considers the recommendations of the Peoples Jury and builds recs that can be delivered directly by the Council into its plans	Mark Davies (Chief Executive)

Risk Name	Risk Description	Risk Owner	Inherent (Gross) Risk Score	Existing Control Measure Description	Residual Risk Score	Risk Response Category	Risk Category	Target Risk Level	Action Plan Title	Action Plan Description	Action Plan Owners
SR7 The Council fails to deliver its key priorities due to the lack of an underpinning strategy setting out expected delivery / outcomes.	On the 29 January 2019, Full Council approved the Council's strategic priorities for the purpose of informing budget decisions for 2020-21 and future years. At present there is no underpinning strategy setting out how the priorities will be realised and delivered which may result in non-delivery or the strategic priorities.	Mark Davies (Chief Executive) Luke Gorst (Head of Legal Services) Suzanne Lodge (Corporate Director of Communities & Environment) Jason Syers (Director for Economic Growth and Regeneration) Paul Thompson (s151 Officer)	9	Carbon Zero + Medium Term Financial Strategy (MTFS)	6	Reduce	Opportunities/ Outcomes - Add value or improve customer experience/satisfaction, Reduce waste and inefficiency etc.	4	Prosperity Plan	Prosperity Plan	Mark Davies (Chief Executive) Suzanne Lodge (Corporate Director of Communities & Environment) Jason Syers (Director for Economic Growth and Regeneration) Paul Thompson (s151 Officer)
				Programme Management Corporate Plan / Plan 2030					Local Development Plan	Local Development Plan	Mark Davies (Chief Executive) Suzanne Lodge (Corporate Director of Communities & Environment) Jason Syers (Director for Economic Growth and Regeneration) Paul Thompson (s151 Officer)
									Community Wealth Building Strategy	Community Wealth Building Strategy. No Change for FtF Strategy Cabinet and Exec team are undertaking an extensive programme to develop the corporate planning, budgeting and performance management of the Council (Circles)	Mark Davies (Chief Executive) Suzanne Lodge (Corporate Director of Communities & Environment) Jason Syers (Director for Economic Growth and Regeneration) Paul Thompson (s151 Officer)

Risk Name	Risk Description	Risk Owner	Inherent (Gross) Risk Score	Existing Control Measure Description	Residual Risk Score	Risk Response Category	Risk Category	Target Risk Level	Action Plan Title	Action Plan Description	Action Plan Owners
SR8 The Council fails to deliver its key projects due to the lack of staffing capacity and resources (financial) within the Council.	The Council has a number of key projects (Canal Quarter, Eden North, OBR, My Mainway, Heysham Gateway, Bailrigg etc) all of which have detailed strategies for implementation however delivery may not be achieved due to the lack of staff/resources within the council.	Jason Syers (Director for Economic Growth and Regeneration)	9	Local Plan	6	Reduce	Financial - Budgetary pressures, Loss of/reduction in income/funding, Cost of living/inflation, interest rates, etc. New Partnerships/Projects/Contracts - New initiatives, new ways of working, new policies and procedures etc.	3	Local Plan	Local Plan	Jason Syers (Director for Economic Growth and Regeneration)
				Medium Term Financial Strategy (MTFS)					Funding the Future Strategy	Funding the Future Strategy	Jason Syers (Director for Economic Growth and Regeneration)
				Investment Strategy					The Council continues to resource key service teams in Planning, economic development, regeneration, property investment	The Council continues to resource key service teams in Planning, economic development, regeneration, property investment and facilities management.	Jason Syers (Director for Economic Growth and Regeneration)
				Capital Programme					Adequate reserves are maintained to allow, due diligence of property investment, regeneration projects and key strategic	Adequate reserves are maintained to allow, due diligence of property investment, regeneration projects and key strategic planning strategies.	Jason Syers (Director for Economic Growth and Regeneration)
									Ensure capital programme is prioritised to facilitate match funding leverage and maximise the potential to attract external	Ensure capital programme is prioritised to facilitate match funding leverage and maximise the potential to attract external funding.	Jason Syers (Director for Economic Growth and Regeneration)
									Staffing Capacity Issues	HRBPs working with services where there are staffing capacity issues to find solutions, e.g. succession planning where there are hard to fill roles, more creative online campaigns for recruitment; service reviews to be undertaken as part of OBR. Wider People Strategy to support services to attract and retain staff.	Alex Kinch (Head of HR) Jason Syers (Director for Economic Growth and Regeneration)
SR9 The Council's services are disrupted by a cybersecurity issue.	SR9 The Council's services are disrupted by a cybersecurity issue. Failure to prevent data loss and privacy incidents leading to financial/ data loss, disruption or damage to the reputation of the Council.	Paul Thompson (s151 Officer)	6	Business Continuity Plans	4	Reduce	Assets - Property (land, buildings and equipment), Information (security, retention, timeliness, etc.) Reputation - Negative publicity (local and national), increase in complaints	4	Cyber Treatment Plan	Cyber treatment plan funding obtained to help achieve increase Council resilience and security	Paul Thompson (s151 Officer)
				Training of staff in cybersecurity					LGA training funding key officers trained in CISM & CISSP	LGA training funding key officers trained in CISM & CISSP	Paul Thompson (s151 Officer)
				Vulnerability Testing					Staff trained in information security principles	Staff trained in information security principles	Paul Thompson (s151 Officer)
				Cloud Hosted Immutable Backups							
Anti virus devices											
Network Monitoring											
Use of firewalls											
NCSC active cyber defence services											