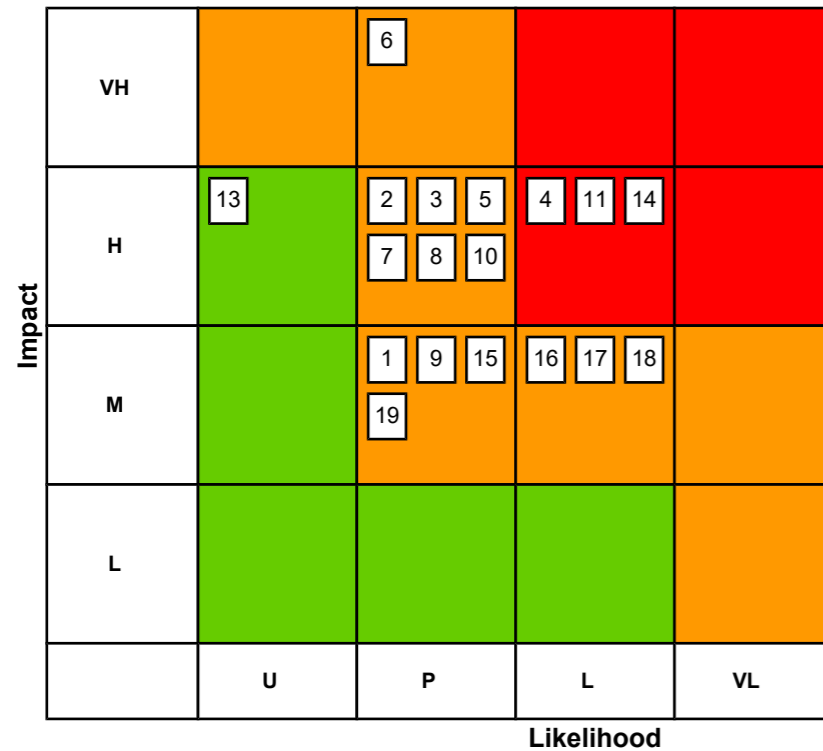


# Actions Plans By Entity with Control Measures

Entity: Strategic Risk Register, Risk Assessment open, Current Risk version, Risk is open



Risk No.	Risk	Risk Description	Residual Risk Score	Risk Category	Existing Control Measure Description	Action Plan Title	Action Plan Description	Action Plan Owners	Action Plan Type	Action Plan Due Date
<b>Strategic Risk Register</b>										
<i>Items in Group: 19</i>										
1	SR01 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.	Central Government funding and/or revenues collected are insufficient to provide the current level of service leaving the council unable to deliver the financial resilience initiative and achieve financial stability.  Link to Plan 2030: Value for Money	4	Financial - Budgetary pressures, Loss of/reduction in income/funding, Cost of living/inflation, interest rates, etc.	Officer/Member Working Groups - Capital Assurance Group (CAG) and Financial Resilience Group (FRG) Council Strategies - Funding the Future Strategy, Road to Ambition, Investment Strategy, Reserves Strategy and Medium Term Financial Strategy Monthly income monitoring by applicable services Formal quarterly reporting to Cabinet and Budget and Performance Panel	Outcomes Based Resourcing Commercialisation Funding the Future Strategy Business Plans for Investments Fees and Charges Income Monitoring	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. Development of other alternative service delivery vehicles to deliver efficiencies and/ or operational surpluses which can be reinvested into Council Services. E.g. Salt Ayre The Strategy contains 4 Pillars to achieve Financial Stability. 1) Investment to reduce costs; 2) Pursuing efficiencies with vigour; 3) Outcomes based resourcing; and 4) Commercialisation Develop business plans for investment particularly in relation to decarbonisation and renewable energy generation. Regular monitoring and forecasting by services of all fees and charges. To be undertaken by Heads of Service and Managers.	Mark Davies (Chief Executive) Paul Thompson (S151 Officer) Paul Thompson (S151 Officer) Paul Thompson (S151 Officer) Paul Thompson (S151 Officer)	In Progress In Progress In Progress In Progress In Progress	30/12/2024 01/10/2023 31/03/2024 31/03/2024 31/03/2024

Risk No.	Risk	Risk Description	Residual Risk Score	Risk Category	Existing Control Measure Description	Action Plan Title	Action Plan Description	Action Plan Owners	Action Plan Type	Action Plan Due Date
2	SR02 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.	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.  Link to Plan 2030: Value for Money	6	Financial - Budgetary pressures, Loss of/reduction in income/funding, Cost of living/inflation, interest rates, etc.	Budget and Performance Panel Reserves Policy Project Managers - suitably skilled PMs assigned to lead strategic projects Programme Managers (for specific programmes) Programme Delivery Board Cabinet Portfolio Holder Outcomes Based Resourcing for 23/24 financial year 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. Programme Manager - Established to provide a central co-ordination point for all the Council's projects and performance. Responsible for co-ordination and monitoring. Delivering Our Ambitions Quarterly Monitoring Reports - Monitoring report linking Projects, Performance and Resources presented to Cabinet and Budget & Performance Panel. Quarterly Cabinet Meetings - Project and Financial information present to Cabinet/ Portfolio providing an opportunity for review and discussion of performance.  As part of the Funding the Future Strategy, the Outcomes Based Resourcing exercise is commencing July 2022 to identify revenue savings for 2023/24 and beyond.	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)	Implemented	31/12/2024
3	SR03 The Council fails to recruit and retain competent / key staff resulting in ineffective leadership, increased costs and failure to deliver	The Council fails to recruit and retain competent / key staff resulting in ineffective leadership, increased costs and failure to deliver effective services, projects and council priorities. The cost of living crisis means will further exacerbate this.  Link to Plan 2030: Investing in Our Skills	6	Management - Loss of key staff, recruitment and retention issues, Training issues, Lack of/ or inadequate management etc.	Recruitment and Retention Policy Annual Appraisal Process 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. Restructure Toolkit - In order to retain the most talented staff as we go through the OBR process, a restructure toolkit has been produced.	People Strategy	A People Strategy is 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)	In Progress	01/04/2023
4	SR04 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.  Link to Plan 2030: Innovative Public Service	9	Assets - Property (land, buildings and equipment), Information (security, retention, timeliness, etc.)	Capital Strategy Group	Asset Management Plan	Asset Management Plan will be written to ensure its findings can be incorporated into the 2024/25 budget cycle	Jonathan Noad (Head of Property, Investment and Regeneration) Joanne Wilkinson (Head of Housing)	In Progress	30/09/2023

Risk No.	Risk	Risk Description	Residual Risk Score	Risk Category	Existing Control Measure Description	Action Plan Title	Action Plan Description	Action Plan Owners	Action Plan Type	Action Plan Due Date		
5	SR05 Council services are disrupted and / or additional services are required and costs are incurred as a result of national emergencies	Council services are disrupted and / or additional services are required and costs are incurred as a result of national emergencies.	6	Regulatory - Legislation and internal policies/regulations including: Health & Safety at Work Act, Data Protection etc.	Lancashire Resilience Forum	Financial Planning	Adequate non earmarked reserves are maintained to allow for the impact of long term emergencies like the pandemic.	Suzanne Lodge (Director of Communities & Environment)	In Progress	31/03/2024		
					Emergency plans							
					Business Continuity Plans							
					Government Planning	Community Resilience	The Council supports community resilience through CEPGs and FLAG groups etc	Suzanne Lodge (Director of Communities & Environment)	In Progress	31/03/2024		
					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.	Adaptation Schemes	The Council appraises and potentially invests in schemes and activities that provide adaptation (eg Lune river defence)	Suzanne Lodge (Director of Communities & Environment)	In Progress	31/03/2024		
					Financial Planning - Adequate non earmarked reserves are maintained to allow for the impact of long term emergencies like the pandemic.							
				Business Resilience - The Council continues to invest in resilience measures eg technology to facilitate remote homeworking.								
				Partnerships - The Council continues to allocate resource to developing its key partnerships LRF, CSP and local resilience partners								
6	SR06 The Council fails to reduce its 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 associated with implementing the actions are considerable and are constantly under review.  Link to Plan 2030: Carbon Zero	8	Environment - Recycling, green issues, energy efficiency, land use and green belt issues, noise, contamination etc.	Delivery plan in place  Peoples Jury - The Council considers the recommendations of the Peoples Jury and builds recs that can be delivered directly by the Council into its plans	Delivery Plan	The Council continues to work on the delivery of its action plan. More details can be found on our website: <a href="https://www.lancaster.gov.uk/sites/climate-emergency/new-and-updates">https://www.lancaster.gov.uk/sites/climate-emergency/new-and-updates</a>	Mark Davies (Chief Executive)	In Progress	31/03/2024		
7	SR07 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.	6	Opportunities/ Outcomes - Add value or improve customer experience/satisfaction, Reduce waste and inefficiency etc.	Carbon Zero + More details can be found on our website: <a href="https://www.lancaster.gov.uk/sites/climate-emergency/new-and-updates">https://www.lancaster.gov.uk/sites/climate-emergency/new-and-updates</a>	Prosperity Plan	Community Wealth Building Strategy.	Mark Davies (Chief Executive)	In Progress	30/09/2024		
					Medium Term Financial Strategy (MTFS) - in place to set out how the council proposes to manage its financial resources in line with corporate priorities.		No Change for FtF Strategy. Cabinet and SLT are undertaking an extensive programme to develop the corporate planning, budgeting and performance management of the Council.	Suzanne Lodge (Director of Communities & Environment) Paul Thompson (S151 Officer)				
					Programme Management - in place to ensure strategy is followed and monitored on a regular basis.	Local Development Plan	Local Development Plan	Mark Davies (Chief Executive) Suzanne Lodge (Director of Communities & Environment) Paul Thompson (S151 Officer)	In Progress	30/09/2024		
				Corporate Plan / Plan 2030 - Updated in December 2021 to lay out the councils vision.								
8	SR08 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.  Link to Plan 2030: Investing in Our Skills	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.	Local Plan	Local Plan	Local Plan	Mark Davies (Chief Executive)	In Progress	31/03/2024		
					Medium Term Financial Strategy (MTFS)							
					Investment Strategy	Funding the Future Strategy	Funding the Future Strategy	Mark Davies (Chief Executive)	In Progress	31/03/2024		
					Capital Programme	Reserves	Adequate reserves are maintained to allow, due diligence of property investment, regeneration projects and key strategic planning strategies.	Mark Davies (Chief Executive) Paul Thompson (S151 Officer)	In Progress	31/03/2024		
					The Council continues to resource key service teams in Planning, economic development, regeneration, property investment and facilities management.	Capital Programme	Ensure capital programme is prioritised to facilitate match funding leverage and maximise the potential to attract external funding.	Mark Davies (Chief Executive) Paul Thompson (S151 Officer)	In Progress	31/03/2024		
						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)	In Progress	30/09/2023		

Risk No.	Risk	Risk Description	Residual Risk Score	Risk Category	Existing Control Measure Description	Action Plan Title	Action Plan Description	Action Plan Owners	Action Plan Type	Action Plan Due Date			
9	SR09 The Council's services are disrupted by a cybersecurity issue.	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.	4	Reputation - Negative publicity (local and national), increase in complaints Assets - Property (land, buildings and equipment), Information (security, retention, timeliness, etc.)	Business Continuity Plans	Cyber Treatment Plan	Cyber treatment plan funding obtained to help achieve increase Council resilience and security	Paul Thompson (S151 Officer)	In Progress	31/03/2024			
					Training of staff in cybersecurity								
					Vulnerability Testing	LGA training funding key officers trained in CISM & CISSP	LGA training funding key officers trained in CISM & CISSP	Paul Thompson (S151 Officer)	In Progress	31/03/2024			
					Cloud Hosted Immutable Backups								
					Anti virus devices	Staff trained in information security principles	Staff trained in information security principles	Paul Thompson (S151 Officer)	In Progress	31/03/2024			
					Network Monitoring								
					Use of firewalls								
					NCSC active cyber defence services								
10	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.  Link to Plan 2030: Value for money	6	Regulatory - Legislation and internal policies/regulations including: Health & Safety at Work Act, Data Protection etc.	Continued monitoring and horizon scanning of Government policy  Clear and focused Council strategy to maximise alignment with Government policy and resourcing  Strategic Plans - Continue to develop Council strategic plans and documentation in light of emerging Government policy								
11	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.	9	Financial - Budgetary pressures, Loss of/reduction in income/funding, Cost of living/inflation, interest rates, etc.	Retention of in-house expertise to provide agility and resilience in rapidly-emerging issues  Strategic responsiveness through continued risk management review  Agility and Resilience - Continue to develop agility and resilience across the organisation  Strategic risk management approach								
12	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.  Link to Plan 2030: Innovative Public Service	6	Financial - Budgetary pressures, Loss of/reduction in income/funding, Cost of living/inflation, interest rates, etc.	Comprehensive, robust and transparent approach to budget development and service delivery.	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)	In Progress	31/12/2024			
13	SR13 The Council's reputation is damaged through local concerns or activities.	SR13 The Council's reputation is damaged through local concerns or activities.  Link to Plan 2030: Community Engagement	3	Reputation - Negative publicity (local and national), increase in complaints	Pro-active communications and transparency  Strategic management of all Council activities to ensure continued high reputation  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.	Strategic communication	Strategically communicate and engage with residents, partners and stakeholders to ensure actions align with reputation	Mark Davies (Chief Executive)	In Progress	30/09/2023			
14	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.  Link to Plan 2030: Value for money	9	Financial - Budgetary pressures, Loss of/reduction in income/funding, Cost of living/inflation, interest rates, etc.	Budget and Performance Panel  Reserves Policy  Continue financial forecasting and scenario planning e.g. for energy costs	Move to sustainable solutions	Minimise exposure to cost spikes such as energy by moving to sustainable solutions independent of external pressures	Mark Davies (Chief Executive)	In Progress	31/12/2024			
15	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.  Link to Plan 2030: Innovative Public Services, Value for money	4	Assets - Property (land, buildings and equipment), Information (security, retention, timeliness, etc.)	Asset Management Plan  Continuous review of assets and infrastructure	Asset Management Plan	Conduct a major review of Council infrastructure and assets, taking a future focused approach to asset management.	Mark Davies (Chief Executive)	In Progress	30/09/2023			
16	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.  Link to Plan 2030: Enabling	6	Customers/Citizens - Changing needs and expectations of customers (poor communication/consultation), Poor quality etc.	Corporate Plan  Policy Framework  Continuous review of strategy and policy, and alignment with service delivery.								

Risk No.	Risk	Risk Description	Residual Risk Score	Risk Category	Existing Control Measure Description	Action Plan Title	Action Plan Description	Action Plan Owners	Action Plan Type	Action Plan Due Date
17	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.	6	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.	Corporate Governance Continuous review of governance processes to ensure they are fit for purpose	Training and development	Training and development to ensure staff and members are equipped to follow governance requirements	Luke Gorst (Head of Legal Services)	In Progress	31/03/2024
18	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.  Link to Plan 2030: Access to Quality Housing, Investment and Regeneration	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.	Programme Management	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	Mark Davies (Chief Executive) Jonathan Noad (Head of Property, Investment and Regeneration)	In Progress	31/03/2024
19	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.  Link to Plan 2030: Investment and Regeneration	4	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.	Programme Management	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	Jonathan Noad (Head of Property, Investment and Regeneration)	In Progress	31/03/2024