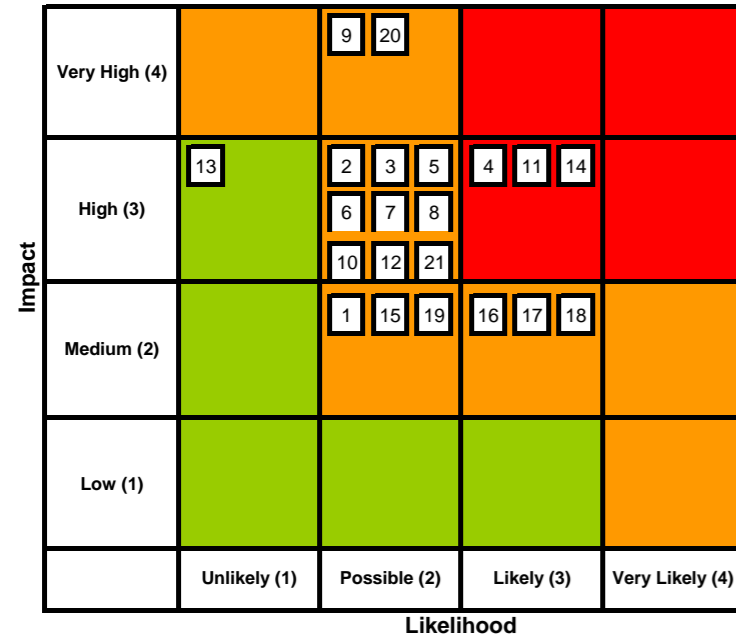


# Actions Plans By Entity with Control Measures - 12/05/2023

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	Most Recent Review Date	Review Comment
<b>Strategic Risk Register</b>												
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	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  Paul Thompson  Paul Thompson  Paul Thompson	In Progress  In Progress  In Progress  In Progress	30/12/2024  01/10/2023  31/03/2024  31/03/2024	01/03/2023	Initial review resulting in the update of action plan items and dates
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	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.	Outcomes Based Resourcing	Outcomes-Based Resourcing (OBR) approach to focusing on where resources can have maximum impact on strategic priority areas.	Mark Davies Paul Thompson	Implemented	31/12/2024	01/03/2023	Initial review resulting in the update of action plan items and dates and some action plan items marked as complete and moved into control measures

				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.								
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	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. A People Strategy is launched to ensure staff experience, development and management are aligned to support the success of the council's workforce.					12/05/2023	Risk reviewed and completed action moved to control measure	
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	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 Joanne Wilkinson	In Progress	30/09/2023	01/03/2023	Initial review resulting in the update of action plan items and dates and reassigning of action plan owners.
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	Lancashire Resilience Forum Emergency plans Business Continuity Plans Government Planning 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.  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	Financial Planning Community Resilience Adaptation Schemes	Adequate non earmarked reserves are maintained to allow for the impact of long term emergencies like the pandemic. The Council supports community resilience through CEPGs and FLAG groups etc The Council appraises and potentially invests in schemes and activities that provide adaptation (eg Lune river defence)	Suzanne Lodge Suzanne Lodge Suzanne Lodge	In Progress In Progress In Progress	31/03/2024 31/03/2024 31/03/2024	12/05/2023	No change but will contact appropriate officers to update further.
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.	6	Environment	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 Local area energy 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> Local area energy plan in process of being commissioned.	Mark Davies Mark Cassidy	In Progress In Progress	31/03/2024 30/06/2023	10/05/2023	Additional action plan item added and risk score reduced.
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	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> Medium Term Financial Strategy (MTFS) - in place to set out how the council proposes to manage its financial resources in line with corporate priorities. Programme Management - in place to ensure strategy is followed and monitored on a regular basis. Corporate Plan / Plan 2030 - Updated in December 2021 to lay out the councils vision.	Prosperity Plan Local Development Plan	No Change for FiF Strategy. Cabinet and SLT are undertaking an extensive programme to develop the corporate planning, budgeting and performance management of the Council. Local Development Plan	Mark Davies Suzanne Lodge Paul Thompson Mark Davies Suzanne Lodge Paul Thompson	In Progress In Progress	30/09/2024 30/09/2024	10/05/2023	New administration may change corporate plan priorities / outcomes.
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 New Partnerships/Projects/Contracts	Local Plan Medium Term Financial Strategy (MTFS) Investment Strategy Capital Programme The Council continues to resource key service teams in Planning, economic development, regeneration, property investment and facilities management.	Local Plan Funding the Future Strategy Reserves Capital Programme	Local Plan Funding the Future Strategy Adequate reserves are maintained to allow, due diligence of property investment, regeneration projects and key strategic planning strategies. Ensure capital programme is prioritised to facilitate match funding leverage and maximise the potential to attract external funding.	Mark Davies Mark Davies Mark Davies Paul Thompson Mark Davies Paul Thompson	In Progress In Progress In Progress In Progress	31/03/2024 31/03/2024 31/03/2024 31/03/2024	01/03/2023	Initial review resulting in the update of action plan items and dates and moving one one completed action into control measures.

						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	In Progress	30/09/2023		
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.	8	Reputation Assets	Business Continuity Plans Training of staff in cybersecurity Vulnerability Testing Cloud Hosted Immutable Backups Anti virus devices Network Monitoring Use of firewalls NCSC active cyber defence services	Cyber Treatment Plan	Cyber treatment plan funding obtained to help achieve increase Council resilience and security	Paul Thompson	In Progress	31/03/2024	12/05/2023	Inherent and residual risk scores updated following conversation with Paul Thompson / Stephen Hargreaves.
							LGA training funding key officers trained in CISM & CISSP	Paul Thompson	In Progress	31/03/2024		
							Staff trained in information security principles	Paul Thompson	In Progress	31/03/2024		
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	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						01/03/2023	Initial review resulting in the update of action plan items and dates.
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	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						01/03/2023	Initial review resulting in the update of action plan items and dates.
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	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 Paul Thompson	In Progress	31/12/2024	01/03/2023	Initial review resulting in the update of action plan items and dates
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	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	In Progress	30/09/2023	01/03/2023	Initial review resulting in the update of action plan items and dates and move of one completed action plan item into control measures.
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	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	In Progress	31/12/2024	01/03/2023	Initial review resulting in the update of action plan items and dates and movement of one completed action to control measures.
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	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	In Progress	30/09/2023	01/03/2023	Initial review resulting in the update of action plan items and dates and movement of one complete action to the control measures section.
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	Corporate Plan Policy Framework Continuous review of strategy and policy, and alignment with service delivery.						01/03/2023	Initial review resulting in a complete action plan item being moved into the control measures section.
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 Management	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	In Progress	31/03/2024	10/05/2023	A program of training is now underway and offered to all

services to all members (new and existing) to cover standards, planning, licensing etc to ensure good governance. Continual review of processes and internal training offered to services from legal. Ongoing advice given to all services on legal matters.

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 New Partnerships/Projects/Contracts	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 Jonathan Noad	In Progress	31/03/2024	01/03/2023	Initial review resulting in the update of action plan items and dates
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 New Partnerships/Projects/Contracts	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	In Progress	31/03/2024	01/03/2023	Initial review resulting in the update of action plan items and dates
20	SR20 - Non compliance with Building Safety Executive for LCC owned high-rise buildings	LCC has three high rise buildings which now fall under the Building Safety Act 2022, and require registration with the Building Safety Executive (BSE). There are numerous risks around non-compliance, due to the buildings not meeting specified standards. These risks are:- 1. Failure to register with BSE for 3 x blocks by 1st October 2023. 2. Submit safety case files for each block by 1st October 2023. 3. Establish Tenants Voice by 1st October 2023. 4. Undertake the legal obligations of the Act, including fire door audits, cladding survey, premises information box, signage 5. Risk of financial penalty for non-compliance with the Building Safety Act 2022.	8	Economic Financial Reputation Assets Customers/Citizens	Asset and Compliance Team in RMS working through registration documents Pennington Choices have been employed and providing guidance on registration process Further testing of fire doors being undertaken to seek certification Fortnightly senior housing management meetings updating on risks and plans around building safety review.	Registration with BSE for high rise blocks  Registration with BSE for high risk blocks  Registration with BSE for high rise blocks	Establish Tenants Voice by 1st October 2023 - Working with Pete Linsley / Rachael Harland to determine appropriate membership and establish terms of reference.  Submit safety case files for each block by 1st October 2023 - Template obtained from Penningtons, currently under review in terms of records and resources (physical and financial)  Undertake legal actions of the Building Safety Act - fire door audits. Tersus appointed via Fusion 21 Framework - currently awaiting quotation for cladding survey and appointment of a Fire Engineer to review fire door test findings and specify remedial actions.	Pete Linsley Paul Mackie Joanne Wilkinson  Dennis Graham Paul Mackie Joanne Wilkinson  Dennis Graham Paul Mackie Joanne Wilkinson	Proposed  In Progress  In Progress	14/07/2023  16/06/2023  16/06/2023	10/05/2023	Previous cabinet report submitted Oct 2022 detailing approach to building safety. Progress in place for building registration and regular senior management (housing team meetings in place).
21	SR21 - Non compliance with Regulator of Social Housing Standards	The Social Housing White Paper and subsequent amendments have highlighted a significant shift in requirements for social housing providers. This will be the biggest shift in a generation, with changes to standards and expectations. Failure to keep up with changes could result in unlimited fines / DLUHC, Regulator or Ombudsman intervention / bad publicity.	6	Economic Financial Reputation Management Assets Customers/Citizens Regulatory	Attendance at benchmarking groups with the Regulator / Ombudsman Action planning within the service occurs in preparation for changes Quarterly reports available for portfolio holder outlining changes in the previous quarter produced.  Service Improvement Plan well established	Social Housing Regulation  Social Housing Regulation	Training for new members to be delivered so members are clear on regulation expectations.  Seek to develop a member advisory group for continued / wider input into the housing service.	Joanne Wilkinson  Joanne Wilkinson	Proposed  Proposed	29/09/2023  29/09/2023	10/05/2023	Housing Providers are currently going through a significant shift in terms of Regulation and expectations. Team are awaiting final publication of the social housing white paper through parliament and subsequently consultation with the regulator around new requirements / standards.