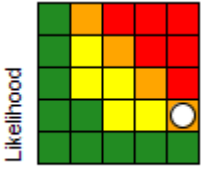
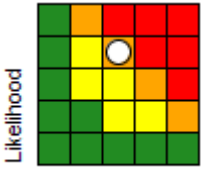
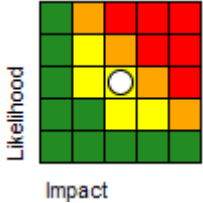
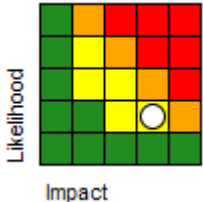


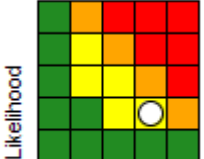
# Corporate Risk Register - January 2021



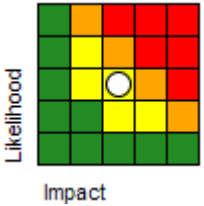
Responsible Service Area	Responsible Officer	Title	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Finance, Procurement & Commercial Property	Head of Finance, Procurement & Commercial Property	Potential Treasury Management Investment Losses.	Volatility in financial markets can create risks on investments, which means there is the potential that significant sums of money could be lost.	There is a treasury management policy and strategy in place. Well trained staff make investments with the guidance of brokers and treasury advisors. Investments can only be made in top rated UK based institutions or other local Authorities.	A Prudential Indicators and Treasury Management Report was presented to Council in February 2020. A mid-year Treasury Management Report was presented to Council in October 2020.		10 Concerned
Finance, Procurement & Commercial Property	Head of Finance, Procurement & Commercial Property	Delivering a successful Our Future Project	This project is designed to improve economy, efficiency and effectiveness across all Council Services as well as addressing the financial challenges facing the General Revenue Account.	An Our Future Board consisting of the Corporate Management Team and other relevant officers meets on a fortnightly basis to ensure good progress is made with the project. A detailed risk register is in place to ensure the effective mitigation of the main risks associated with the project.	The implementation of this project has been affected by Covid-19. A report noting this was taken to Council in December 2020. The Our Future Board continues to meet regularly to discuss progress.		10 Concerned

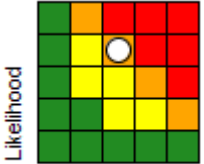

Responsible Service Area	Responsible Officer	Title	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Finance, Procurement & Commercial Property	Head of Finance, Procurement & Commercial Property	Achieving a balanced General Revenue Account budget position	On-going reductions in Government funding and other financial pressures will need to be addressed to meet the statutory requirement to set a balanced budget.	The medium term financial forecasting and Sustainable Organisation Review processes will set out how this financial challenge will be met.	The new vision is to be financially stable by the end of 2023.	 <p>Likelihood</p> <p>Impact</p>	10 Concerned
Corporate & Customer Services	Data Protection Officer	Failure to comply with the Data Security & Protection (DSP) Toolkit	Non-compliance of the Data Security and Protection Toolkit would mean that any organisation within the health and social care sector and wider public/private sector organisations would be reluctant to share personal data with WLBC. The Information Commissioner and other key stakeholders also have complete oversight of WLBC's Toolkit submission. A compliant DSP Toolkit submission demonstrates that WLBC can be trusted when it comes to handling and processing personal confidential information/data.	Review of DSP Toolkit assertions by Information Governance Subject Matter Expert and appropriate remediation controls put into place.  DSP Toolkit evidence will be validated via an annual internal audit prior to annual submission and quality assured via an independent external audit of the DSP Toolkit submission.	The NHS DSP Toolkit submission is being undertaken as this is one of the pre-requisites of Covid-19 data sharing relating to personal and NHS patient health data which WLBC is processing under current data sharing agreements we have signed up to with the CCG and other Government agencies. This is the first time we are undertaking this submission and is a work stream and key deliverable within our Councils Effective Data Management work programme presently underway.  The DSP Toolkit submission is due on 31 <sup>st</sup> June 2021 and the Council is also required to be Cyber Essentials Plus compliant as well.	 <p>Likelihood</p> <p>Impact</p>	12 Concerned

Responsible Service Area	Responsible Officer	Title	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Corporate & Customer Services	Data Protection Officer	Significant failure to comply with General Data Protection Regulation (GDPR and Data Protection Act 2018).	The GDPR and Data Protection Act 2018 brought considerable changes to the current data protection framework and the Council must deliver its services in accordance with it. There are substantial enhancements to the current requirements as well as some new elements. Compliance had significant resource implications in terms of budget, IT, Governance and communications. There are a range of sanctions for breaches including fines and damages. Failure to report a breach would result in a fine as well as a fine for the breach itself.	An action plan is in place and being managed requiring Services to review their existing policies and procedures and technical methods in line with the new requirements and work is continuing. An action plan is in place and is being monitored by Senior Management, Cabinet and Overview & Scrutiny.	As of January 2021 86% of the original development areas have been completed / in flight with the remaining 14% on track to be delivered by April 2021.		9 Uneasy
Corporate & Customer Services	Chief Operating Officer & Service Improvement & Special Projects Manager	Tawd Valley Developments	Tawd Valley Developments offers opportunities of generating income from developments however, volatility in development / financial markets can create risks on investments, which means there is the potential that significant sums of money could be lost.	The annual Business Plan is approved by the Council and site appraisals and further detailed analysis will determine which schemes / projects are viable, with the ability to change the tenure profile of schemes should this be necessary. The Board of Directors have a robust risk management strategy	Risk Management Strategy in place. Risks reported through the board of directors and shared with Tawd Valley Developments Shareholders Cabinet Working Group.		8 Uneasy

Responsible Service Area	Responsible Officer	Title	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
				<p>and oversee performance against the Business Plan and the Council has regular shareholder meetings reviewing progress. The establishment of Tawd Valley Developments Shareholders Cabinet Working Group will also oversee and monitor the delivery of the Business Plan and consider opportunities identified by the Board for future projects. In addition the Group will act as a consultee and provide recommendations to the Chief Operating Officer on the exercise of her delegation to determine all matters, as Shareholder for the Company, on behalf of the Council.</p>			
Corporate & Customer Services	Head of Corporate & Customer Services	Transition of Revenues & Benefits Services back to WLBC	<p>Delay in the achievement of key milestones to ensure a smooth transition of the Revenues &amp; Benefits Service back into WLBC control. The deadlines are hard deadlines and the timing of the return of the service coincides with critical statutory duties being met e.g. Council Tax and BR Bill</p>	<p>A RBS Transition Working Group has been developed and dedicated work streams designed with work stream leads, clear roles &amp; responsibilities, tasks, sub tasks and milestones defined within. Fortnightly meetings of the group are underway with a review/preview</p>	<p>We are confident that the transition is on target to be delivered.</p>	 <p>Likelihood</p> <p>Impact</p>	8 Uneasy

Responsible Service Area	Responsible Officer	Title	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
			<p>fulfilment. There will be a particular call on support services in key areas of Management, Finance, Legal, and Procurement. Risk is adequate resource from LCC, BTLS and WLBC being available to meet the key milestones to deliver the return by 1.4.2021.</p> <p>A previous skill gap in Revs and Bens has now been addressed through the recruitment of an experienced Revs and Bens Service Delivery Manager and Implementation Consultant</p>	<p>approach to the task completion. Regular meeting with LCC/BTLS also underway ensuring transparency of progress. Strengthened Comms are also in place to ensure a smooth and informed transition for staff coming back into the organisation. Financials are fully understood and captured to ensure transition is delivered within the existing financial envelope and in a timely manner. CASS will remain with LCC for an agreed period to enable due diligence to be undertaken for future operating model considerations of the contact centre demand allowing the service to be embedded without the added pressure of call handling in the first year. At this point, there are few concerns but mainly around the building moves and establishing staff new ways of working. A dedicated Implementation Manager and Head of Service are monitoring</p>			

Responsible Service Area	Responsible Officer	Title	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
				the project closely. Legal, Finance and Procurement teams are also in regular attendance.			
Corporate & Customer Services	ICT Client Manager	Effective Management of Cyber Security	The Council controls a large amount of sensitive data and assets of value to cyber criminals, although given the nature of the Council's work unlikely to be a specific primary target in comparison with other organisations. This gives the potential for harm via unauthorised access, destruction, disclosure, modification of information and/or denial of service.	BTLS provide the technical ICT aspects of the Council's cyber security operations such as Firewall, Web and Email filtering, virus and malware protection. WLBC's role is around measures complementing this, e.g. ensuring security of buildings and policies around usage of ICT (the ICT & Data Security Policy and Data Protection policies). A Cyber Security Action Plan jointly agreed in April 2019 is in place covering e.g security governance, technical security measures, and training and awareness for staff to manage the risk further. Cyber risk is a standing item on the Information Governance and Data Protection Officer Working Group. Arrangements are in place to ensure effective continuity of the above within the	Cyber security risks occur worldwide on a daily basis and are ever evolving making it difficult to assess the risk. The assessment has accounted for the technical defences in place for all types of cyber security incidents, the nature of attacks the Council has experienced to date and the governance arrangements in place to mitigate the risk. The evidence suggests the Council is most likely to be impacted by lower level individual attacks than organisational system attacks. No technological solution can stop all threats to the council and it is imperative that all users remain vigilant. As a corporate risk, the current assessment reflects the risk for an incident with organisation-wide impact, rather than for individual accounts (considered more		9 Uneasy

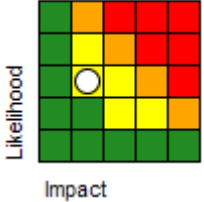
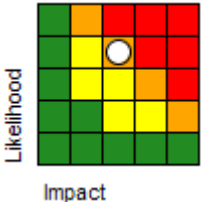
Responsible Service Area	Responsible Officer	Title	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
				new service arrangements.	likely, due to human error).		
Corporate & Customer Services	ICT Client Manager	Transition of ICT services to new provider	Transitioning to a new provider with known costs for year 1. Year 2 costs will only be fully understood towards the end of the first year, this could potentially mean an increase in costs year 2 onwards.	We have regular strategy and review meetings with the new provider and have requested early sight of any potential areas of cost increase. In the event of a significant increase we have the ability to benchmark against other providers to validate costs and plan to move away should that be the case.	Transition meetings are held weekly where we discuss the financial and service elements. At this point in time there are few areas of concern but the project is being monitored closely. Legal and Procurement teams are also in regular attendance as well as representatives from CMT	 <p>Likelihood</p> <p>Impact</p>	12 Concerned
Corporate & Customer Services	Data Protection Officer	Failure to provide suitable storage arrangements for the Council's electronic information	Inefficient business processes. Failure to meet statutory and best practice requirements, e.g. in relation to FOIA, DPA, GDPR, EIR and other information handling legislation (including record retention and destruction arrangements). Staff time wasted / diverted. Potential legal challenges. Criticism by Audit and negative press. Increased electronic storage costs.	Initial phase 1 File and Folder Project concluded in 2019. Phase 2, which commenced in August 2020, highlighted further work required linked to historical data falling out of the 2019 project. Data Mining has been conducted and areas of development have been identified. Key stakeholders across the organistaion have been engaged. A plan is in place to archive and destroy legacy data. Staff guidance has been provided to allow a new culture emerge linked to "Our Data, Our Responsibility" which	Communications and Engagement Plan in place to identify work required to underpin our Effective Data Management / approach.	 <p>Likelihood</p> <p>Impact</p>	8 Uneasy

Responsible Service Area	Responsible Officer	Title	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
				will be strengthened through the IG committee/Effective Data Management (EDM) programme of work. Work within the EDM programme will include all of this.			
Corporate & Customer Services	Head of Corporate & Customer Services	Failure to deliver the 2021 Elections	Statutory Deadlines Missed. Electors Disenfranchised. Financial and Reputational Damage to the Authority and Electoral Registration Officer /Returning Officer.	Maintain and update robust project plan and risk register, involving Emergency Planning and other services as required, to ensure all necessary activities are planned for, and sufficient resources are available as and when required to deliver to statutory requirements.	Covid-19 presents a serious risk to the organisation and delivery of the 2021 Elections. The situation is fluid and the risk will change in accordance with lockdown restrictions.		12 Concerned
Growth & Development Services	Head of Growth and Development Services	Failure to deliver Skelmersdale Town Centre Regeneration	Opportunity - The project will provide a mix of residential, commercial, leisure and education accommodation opportunities. Threat - We could fail to address the economic issues, not address residents' requirements and have an impact on the Council's reputation. First phase of development could be delayed due to weather / other issues. There could be failure to let vacant unit.	1. Continue to consult with public where relevant. 2. Collaboration agreement in place. 3. Continue to engage with the "other" landowners to encourage their participation in the scheme. 4. This risk is reviewed regularly as part of the ongoing project management. 5. Maintaining regular contact with developer and potential retail/commercial/leisure occupiers. 6. Project Board meets	Risk has reduced as all final agreements and contracts have now been signed and completed, and the contractor has started on site.		3 Content

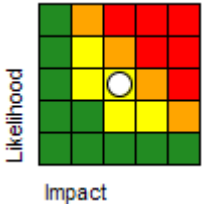
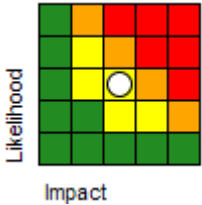


Responsible Service Area	Responsible Officer	Title	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
				regularly to review progress. 7. A Project Management System is in place. On site delivery being project managed by St Modwen.			
Growth & Development Services	Head of Growth and Development Services	Delivery of the Housing Strategy	<p>The Housing Strategy and updated action plan for 2020-2021 is based on the following housing objectives:</p> <ul style="list-style-type: none"> <li>. Achieve the right supply of new homes including maximising affordable housing</li> <li>. Regenerate and remodel areas of Skelmersdale</li> <li>. Make the best use of all existing homes</li> <li>. Encourage well managed and maintained homes across all tenures</li> <li>. Encourage investment to meet specialist housing requirements</li> <li>. Deliver the Council's Sustainable Energy Strategy 2012- 2020 Residential and Domestic Sector objectives.</li> </ul>	<p>Regular monitoring will occur via the Service Action Plan (SAP) monitoring process. Each action contained in the Housing Strategy Action Plan will have its own delivery risks, however the current and target risk rating is based upon an overall consideration of risk across all the intended delivery actions that are shown in the Housing SAP.</p>	<p>Affordable housing development is being achieved including recent grant funding success of £1,050,000 from Homes England.</p> <p>New Housing Strategy is due to be prepared in 2021/22.</p>	<p>Likelihood</p> <p>Impact</p>	4 Content

Responsible Service Area	Responsible Officer	Title	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Growth & Development Services	Head of Growth and Development Services	Preparation of new Local Plan	<p>The preparation of a Local Plan is a complicated and lengthy process and so a number of factors can potentially cause delay.</p> <p>Should the preparation of a new Local Plan be delayed, the existing adopted Local Plan becomes more out-of-date over time, potentially weakening the ability of the Council to defend decisions based upon it. New opportunities for development may be restricted and may come forward on an ad hoc, unplanned basis. There is potential for Gov't to intervene in plan-making if insufficient progress is being made.</p>	<ul style="list-style-type: none"> <li>• Set a realistic timetable taking into account resources, constraints, and linked timetables (e.g. Committee cycles).</li> <li>• Ensure strong programme / project management.</li> <li>• Advise necessary bodies (e.g. Planning Inspectorate) of intentions at the earliest possible time.</li> <li>• Engage with Members (e.g. via Cabinet Working Group) to seek cross-party consensus</li> <li>• Share information early with Members to reduce the likelihood of late amendments.</li> <li>• Obtain adequate budgetary provision for required consultancy support.</li> <li>• Maximise flexibility across the Service so that planning officers from other teams can help with workload.</li> <li>• Ensure quick replacement of any vacant posts.</li> <li>• Explore opportunities for joint working and service sharing.</li> <li>• Liaise with external bodies and seek their agreement early.</li> <li>• Establish clear working arrangements</li> </ul>	Preparation of a new Local Plan is due to be restarted in 2021. A new timetable will be prepared.		9 Uneasy

Responsible Service Area	Responsible Officer	Title	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
				<p>with partners when working jointly.</p> <ul style="list-style-type: none"> <li>• Ensure procedures, Acts and Regulations are complied with.</li> <li>• Closely monitor and follow national policy and guidance.</li> <li>• Monitor key planning decisions nationwide to ascertain correct and best practice.</li> <li>• Make use of such resources as the PAS Local Plan toolkit and 'Critical Friend'.</li> </ul>			
Housing & Regulatory Services	Environmental Health Manager	Business Continuity - Potential for disruption	Lack of Business Continuity planning could have a severe impact on service provision across critical Service Areas.	<p>Key Service areas have been identified and individual plans put in place. These plans are tested on a regular basis and updated accordingly.</p> <p>Plans are in place to manage staff absence.</p>	The COVID situation remains fluid and there remains the potential for a BC issue. Plans remain in place so the impact of any disruption should be reduced.		6 Uneasy
Housing & Regulatory Services	Environmental Health Manager	COVID-19	Business continuity, staff and supplier disruption.	Business continuity plans.	The situation remains fluid. Demands on the Council remain significant – both in responding to the pandemic, but also in delivering other key priorities. CIMT & a tactical group meeting weekly. Risk based operational groups in place, the staff and staffing of which have been changed to reflect current demands. Central		12 Concerned

Responsible Service Area	Responsible Officer	Title	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
					group dedicated to coordinating services and resources. Regular teleconferencing with all Lancashire Resilience Forum Groups continues. BC plans in place. Routine review of current Covid restrictions and coordinated corporate response. Cabinet briefings held monthly. Staff updates provided weekly from Chief Operating Officer. We have established some new posts to provide extra capacity and to address the immediate challenges.		
Housing & Regulatory Services	Environmental Health Manager	EU Exit	Potential widespread disruption of Council services.	Business Control Plans strategic leadership input internal working group.	All preparations made for Jan 20 are still in place, Business Continuity plans are up to date and third party providers were contacted to ensure they had no issues.		4 Content
Housing & Regulatory Services	Property Services Manager	Landlord Compliance & Regulatory Requirements (Health & Safety)	Injury or death to tenants, resident or visitors. Significant adverse publicity. Regulatory impact.	There are robust processes in place to ensure the required inspection cycles are met relating to the 5 key risk areas for statutory compliance relating to; Gas Safety / Fire Safety/ Asbestos Management / Water Management and	Compliance is monitored and reported to the Head of Service on a weekly basis and reported quarterly.  Property Services Manager has reviewed the current risk assessment score and while robust		10 Concerned

Responsible Service Area	Responsible Officer	Title	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
				<p>Electrical Safety.</p> <p>Review of the processes and procedures is incorporated into the internal audit programme.</p> <p>Migration to system driven management is underway.</p>	<p>procedures are in place, they are yet to be fully embedded and tested via Internal Audit.</p> <p>In addition, the current pandemic has inhibited property access for gas/electric inspections however this is a sector wide issue.</p>		
Wellbeing & Leisure Services	Head of Wellbeing & Leisure Services	Procurement of new leisure provision	<p>Impact on Council services, finances and reputation.</p> <p>The Council has adopted a leisure strategy which identifies new provision.</p> <p>Failure to deliver will impact on future service delivery.</p> <p>The potential financial cost, both revenue and capital, could seriously impact on the Council's ability to balance its budget.</p>	<p>Project group, project Board and cabinet working group now well established and regularly monitoring progress.</p> <p>CCG partnership board</p>	<p>Project Group, Project Board, and cabinet Working Group meetings continue.</p>		9 Uneasy
Wellbeing & Leisure Services	Head of Wellbeing & Leisure Services	Leisure Contract	<p>Leisure Contract currently operating on a No Net Loss, No Net Gain arrangement with West Lancashire Community Leisure Trust and Serco.</p> <p>Contractual arrangements are currently in place until 31 March 2021 and negotiations are</p>	<p>Weekly review meetings are being held with Serco along with formal monthly reviews. Cabinet Working Group established and being informed in relation to progress.</p>	<p>Weekly oversight meetings programmed in. Formal monthly reviews programmed in and Cabinet Working Group meetings continue.</p>		9 Uneasy

Responsible Service Area	Responsible Officer	Title	Potential Effect	Internal Controls	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
			ongoing in relation to a further extension from 1 April 2021 to 31 March 2022.				