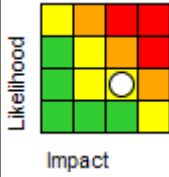
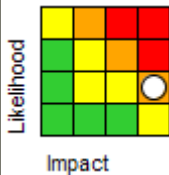
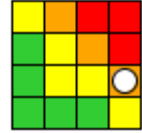


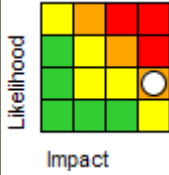
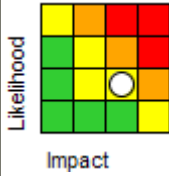
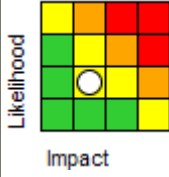
Corporate Risk Report

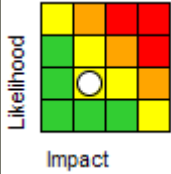
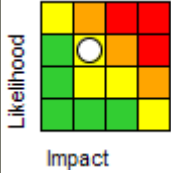


| Responsible OUs | Title | Potential Effect | Internal Controls | Latest Note | Current Risk Matrix | Current Risk Assessment and Score |
|-------------------------|--|---|--|--|---------------------|-----------------------------------|
| Chief Operating Officer | Failure for Tawd Valley Developments to deliver the Business Plan agreed by Council. | 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. Site appraisals and further detailed analysis determine which schemes /projects are viable, with the ability to change the tenure profile of schemes should this be necessary. The Company's Board of Directors have a robust risk management strategy 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 | The five schemes included in phase 1 of the business plan are all on site and good progress has been made, despite challenging conditions. This includes 81 much needed affordable homes for the residents of West Lancs. Work is now focused on securing the sites for phase 2 and phase 3. | | 8 Concerned |

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|-------------------------------|--|---|--|---|---|-----------------------------------|
| | | | Council. | | | |
| Corporate & Customer Services | 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 June 2021 2021 90% plus of the original development areas on the back of the last GDPR audit have been completed / inflight with the remaining on track to be delivered by the summer of 2021 and in the run up to our NHS Data Security and Protection Toolkit submission. |  | 6 Cautious |
| Corporate & Customer Services | Failure or Prolonged Loss of ICT | <ul style="list-style-type: none"> • Data Integrity Issues with one or more systems • Security Breaches including System Attack (hacking, malware and virus injection) • Infrastructure Failure (hardware or software) • Inadequate | <ul style="list-style-type: none"> • West Lancs Borough Council • Information Security Policies (WLBC) • Corporate sign-off of critical systems (WLBC Need to assess and keep up to date a Critical Systems List) • Business continuity arrangements for services (WLBC) • Insurance (WLBC) | ICT recently transferred back from BTLS to LCC digital as part of the transfer back we will be reviewing the disaster recovery and business continuity plans to ensure that we are adequately covered. |  | 8 Concerned |

| Responsible OUs | Title | Potential Effect | Internal Controls | Latest Note | Current Risk Matrix | Current Risk Assessment and Score |
|--|--|--|---|--|---|-----------------------------------|
| | | <p>Resilience (Infrastructure Hardware or Systems)</p> <ul style="list-style-type: none"> • Inadequate Measures against theft or unauthorised removal of ICT equipment • Lack of Resource (Staffing) due to high absence levels <p>Possible consequences of any of the above:</p> <ul style="list-style-type: none"> • Loss of ICT (Systems, Data, Access or Connectivity) • Inability to provide business critical systems or services (i.e. contact centre, planning) etc. • Loss of reputation • Loss of productivity | <p>Lancashire County Council – Digital Service</p> <ul style="list-style-type: none"> • ICT Security Strategy (LCC Digital) • Failover testing of power and infrastructure (LCC Digital) • Maintain fit for purpose ICT provision (LCC Digital) • Ongoing infrastructure upgrade programme (LCC Digital) • Annual Infrastructure Refresh Programme • SLA for 99.8% availability for priority ICT systems (LCC Digital) • Formal ICT change management process (LCC Digital) • Annual network penetration testing and PSN audit (LCC Digital) • Annual PSN Compliance Checks, Remediation Plan and Mitigations. <p>Lancashire County Council and West Lancs Borough Council</p> <ul style="list-style-type: none"> • Internal audit assessments and reviews (LCC Digital and WLBC) • Third party support contracts (LCC Digital and WLBC) | | | |
| 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 forecast will set out how the financial challenge will be met. | The new vision is to be financially stable by the end of 2024. |  | 8 Concerned |

| Responsible OUs | Title | Potential Effect | Internal Controls | Latest Note | Current Risk Matrix | Current Risk Assessment and Score |
|--|---|--|--|---|---|-----------------------------------|
| 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 2021. A Treasury Management & Prudential Indicator Performance Report went to July Council. |  | 8 Concerned |
| Finance, Procurement & Commercial Property | Failure to deliver a successful Our Future Our Place Project. | This project is designed to improve economic efficiency and effectiveness across all Council Services as well as addressing the financial challenges facing the General Revenue Account. | The Our Futures Organisation and Our Futures Place Program boards meet and feed into the Our Future Our Place Transformation Board. A detailed risk register is in place to ensure the effective mitigation of the main risks associated with the project. | Regular meetings of the two boards and the Our Future Our Place Transformation Board ensures progress is made. |  | 6 Cautious |
| Growth & Development Services | Delayed preparation of new Local Plan | The preparation of a Local Plan is a complicated and lengthy process and so several factors can potentially cause delay. 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 | <ul style="list-style-type: none"> • Set a realistic timetable taking into account resources, constraints, and linked timetables (e.g. Committee cycles). • Ensure good programme / project management. • Advise necessary bodies (e.g. Planning Inspectorate) of intentions at the earliest possible time. • Engage with Members (e.g. via Cabinet Working Group) to seek cross-party consensus • Share information early with Members to reduce the likelihood of late amendments. • Obtain adequate budgetary provision for required consultancy support. • Maximise flexibility across the Service so that planning officers from other teams can help with workload if possible. | Head of Growth and Development left WLBC in June 2021; Strategic Planning, Regeneration, and Implementation Manager left in August 2021. |  | 4 Cautious |

| Responsible OUs | Title | Potential Effect | Internal Controls | Latest Note | Current Risk Matrix | Current Risk Assessment and Score |
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| | | Government to intervene in plan-making if insufficient progress is being made. | <ul style="list-style-type: none"> • Ensure quick replacement of any vacant posts. • Explore opportunities for joint working and service sharing. • Liaise with external bodies and seek their agreement early. • Establish clear working arrangements with partners when working jointly. • Ensure procedures, Acts and Regulations are complied with. • Closely monitor and follow national policy and guidance. • Monitor key planning decisions nationwide to ascertain correct and best practice. • Make use of such resources as the PAS Local Plan toolkit and 'Critical Friend'. | | | |
| Growth & Development Services | Failure to deliver Skelmersdale Town Centre phase 1 retail development | There would be a material impact on wellbeing of the local community if we do not address residents' requirements and this would in turn have an impact on the Council's reputation | We maintain regular contact with the developer, contractor, and professional team. | The scheme is on programme and within budget. |  | 4 Cautious |
| Housing & Regulatory Services | COVID-19 | Business continuity, staff and supplier disruption. | Business continuity plans. | At time of writing, Delta variant is prevalent and increasing in the Borough. Impacts currently seen in education, NHS and the local economy. WLBC working with WLCCG and LCC to surge test/vaccinate. WLBC engaging with those not fully vaccinated to gain insight reasons for low vaccine uptake impacting on how to best direct vaccination surge assets and improve communications. |  | 6 Cautious |

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| Housing & Regulatory Services | 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 Electrical Safety. Review of the processes and procedures is incorporated into the internal audit programme. Migration to system driven management is underway. | The compliance team continue to ensure the ongoing testing, servicing and repairs are completed on the council's stock to ensure compliance with current legislation and for the safety of residents and staff. | | 8 Concerned |
| Wellbeing & Leisure Services | Not agreeing on and delivering a sustainable and affordable leisure provision | If we are not able to deliver this there will be a continued need to subsidise existing buildings and the inability to develop new provision. | Continued implementation of the recommendations of the Leisure Strategy to achieve affordable provision moving forward. | The position has been discussed with the Cabinet Working Group and reports detailing the proposed way forward will be taken to Cabinet and Council in September / October. | | 9 Concerned |

| Risk Status | |
|-------------|-------------|
| | Critical |
| | Concerned |
| | Cautious |
| | Comfortable |