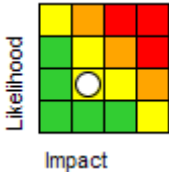
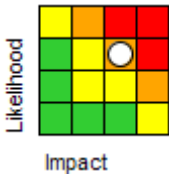


# Cabinet Key Risk Report



Service Area	Head of Service	Title	Potential Effect	6 Monthly Controls Summary	6 Monthly Notes Summary	Current Risk Matrix	Current Risk Assessment and Score
All	CMT	Cost of Living Crisis	<p>The cost-of-living crisis will impact on all areas of the Council and our stakeholders (e.g., citizens, suppliers, staff etc).</p> <ul style="list-style-type: none"> <li>• It will increase demand for certain services e.g., money advice</li> <li>• It will impact on the ability to pay Council Tax/Rent/other charges</li> <li>• The financial issues around inflation, the weak pound and increased interest rates may impact service delivery/growth/achievement of the Council priorities</li> <li>• Our contractors/suppliers be unable to maintain current service delivery</li> <li>• Staff may leave the organisation to take up higher paid jobs or take on second jobs which may lead to burnout.</li> <li>• The rising costs of fuel, food and other essentials are combining with existing disadvantage and vulnerability within our</li> </ul>	<p>A review of fraud arrangements for the Council is taking place.</p> <p>Procurement are carrying out increased due diligence with regards to financial checks on suppliers.</p> <p>Human Resources have offered lunchtime learning sessions on the financial inclusion services that could benefit employees. External webinars are being offered to staff in relation to pre-retirement and financial awareness in February and March 2023.</p> <p>We have social media campaigns aimed at directing residents towards support services.</p> <p>Our housing benefit team are processing household support fund applications.</p> <p>We have set up a cost-of-living support hub, we have gathered a range of support across the Council and are signposting residents to these.</p> <p>We currently have a residential money advisor who is supporting residents with any financial issues, debt issues, and mental health support.</p> <p>In addition to supporting Council Tax Bands A – D we have put together a</p>	<p>There are various initiatives in place to support staff and residents through the cost-of-living crisis. In addition, increased checks on the financial stability of contractors reduces the risk of service delivery being disrupted. The council will continue to develop initiatives to provide support to residents and staff where appropriate.</p>		6 Cautious

Service Area	Head of Service	Title	Potential Effect	6 Monthly Controls Summary	6 Monthly Notes Summary	Current Risk Matrix	Current Risk Assessment and Score
			<p>communities to put many households at greater risk of both immediate hardship and reduced opportunity and wellbeing.</p> <ul style="list-style-type: none"> <li>• Demand for services is continuing to rise just as the price of providing them is also escalating dramatically.</li> <li>• An increase in Fraud &amp; Corruption caused by the Current Economic Environment.</li> </ul>	<p>reserve fund of 260k to support residents in council tax bands E-H. We also have an additional £260k that we have allocated towards supporting any resident struggling with energy costs.</p> <p>We have set a funding scheme with citizens advice for all residents of West Lancs to assist with payment of credit utility meters.</p> <p>Food banks continue to operate.</p> <p>We are working with multiple charities in relation to replacement of essential items.</p> <p>We are working with charities in relation to baby clothes and baby items.</p> <p>We have a hardship fund set up for tenants. This will support tenants though one-off life events.</p>			
Chief Operating Officer	Jacqui Sinnott-Lacey	Tawd Valley Developments operating without an agreed business plan	Tawd Valley Developments offers opportunities for regeneration and generating income from developments however, volatility in development / financial markets can create risks on investments, which means there is the potential of financial losses.	<p>Approval of the annual business plan. Council review and approve the company's annual business plan. Any changes during the year to this will require Council approval. Company risk management strategy. The Company Directors have an agreed risk management strategy which is reviewed at board meetings</p> <p>Company Directors monitor delivery of the business plan. Performance against the delivery of the business plan is overseen by the Company Directors</p>	The business plan has been revised in line with the recommendations of the Committee and was presented to Council in December 2022 for approval to progress. The last TVDL shareholder committee took place on the 25 <sup>th</sup> of January where approval for the revised business plan was sought.		4 Cautious

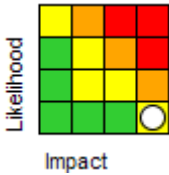
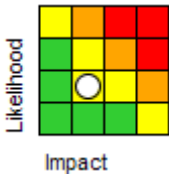
Service Area	Head of Service	Title	Potential Effect	6 Monthly Controls Summary	6 Monthly Notes Summary	Current Risk Matrix	Current Risk Assessment and Score
				<p>TVD Shareholder Committee established to monitor performance against the business plan and make recommendations to the COO on the exercise of her delegation as Shareholder for the Company.</p> <p>Quarterly members update. Member's update reported to Corporate Overview &amp; Scrutiny.</p> <p>Gateway approval process. TVD carry out site appraisals and detailed analysis to determine viable schemes. Company directors approve scheme progression at various stages using gateway approval process.</p> <p>Change tenure. The Council can change the scheme tenure to mitigate risk of market sale.</p> <p>Reserved matters. Reserved matters are signed by Company Directors and set out decisions and matters which are reserved for the Council as shareholder.</p>			
Corporate & Customer Services	Lisa Windle	Recruitment and Retention of Staff	<p>Adverse impact on services unable to meet key priorities.</p> <p>Additional pressure on existing staff covering workloads in the absence of a replacement</p>	<p>Exit Interviews to identify trends where action can be taken to improve retention.</p> <p>Utilising annual appraisals to identify issues and support personal and team development.</p> <p>Developing Coaching Apprenticeships to increases the level of management coaching available to build internal talent and strengthen leadership skills.</p> <p>Development of Manager and aspiring manager apprenticeships to</p>	<p>The risk remains of concern. Post Covid recruitment has become increasingly challenging at all levels and is experience nationally. Professional and management posts are key risks if we are unable to recruit suitable candidates, but we are reviewing the recruitment trends on this level of post to ensure we have the right tools in place.</p> <p>The Council continues to review its recruitment and retention initiatives</p>		9 Concerned

Service Area	Head of Service	Title	Potential Effect	6 Monthly Controls Summary	6 Monthly Notes Summary	Current Risk Matrix	Current Risk Assessment and Score
				<p>assist with growing our own talent. Use of Agency staff through neutral vendor agency provider Matrix. Workforce planning is integrated into the annual service business planning process.</p> <p>Vacant and new posts are advertised promptly following a robust approval process. Utilising on-line recruitment methods for ease of application and reduction of cost.</p> <p>Monitoring timescales and addressing blockages to reduce recruitment timescales</p> <p>Developing a new induction process to support new employees settle into the authority and understand it's visions and objectives.</p> <p>Effective probation to establish areas of support for new employees.</p> <p>Development of Mandatory training to ensure all new employees receive the initial training they need to become effective in their role.</p>	<p>to address any difficulties. We are also exploring the enhancement of personal development opportunities to help retain staff.</p> <p>We are also promoting our offer flexible working arrangements to help attract candidates who may not be local to the West Lancs area.</p>		
Corporate & Customer Services	Lisa Windle	Effective Management of Cyber Security	<p>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</p>	<p>LCC Digital has a robust infrastructure to prevent cyber-attacks that is updated on a frequent basis.</p> <p>LCC Digital has a specialist team trained and certified to implement and maintain this infrastructure.</p> <p>Staff are trained to identify threats and are educated in the basics of cyber security.</p>	<p>LCC Digital shared service are proactively managing all systems relating to cyber security. Training and refresher training for WLBC staff in relation to changing threats remains ongoing.</p>	<p>Likelihood</p> <p>Impact</p>	6 Cautious

Service Area	Head of Service	Title	Potential Effect	6 Monthly Controls Summary	6 Monthly Notes Summary	Current Risk Matrix	Current Risk Assessment and Score
			information and/or denial of service.				
Corporate & Customer Services	Lisa Windle	Failure or Prolonged Loss of ICT	<ul style="list-style-type: none"> <li>•Data Integrity Issues with one or more systems</li> <li>• Security Breaches including System Attack (hacking, malware and virus injection)</li> <li>• Infrastructure Failure (hardware or software)</li> <li>• Inadequate Resilience (Infrastructure Hardware or Systems)</li> <li>• Inadequate Measures against theft or unauthorised removal of ICT equipment</li> <li>• Lack of Resource (Staffing) due to high absence levels</li> </ul> <p>Possible consequences of any of the above</p> <ul style="list-style-type: none"> <li>• Loss of ICT (Systems, Data, Access, or Connectivity)</li> <li>• Inability to provide business critical systems or services (i.e. contact centre, planning) etc.</li> <li>• Loss of reputation</li> <li>• Loss of productivity</li> </ul>	<p>Corporate sign-off of critical systems</p> <p>Business Continuity arrangements for Services (WLBC)</p> <p>Failover testing of power and infrastructure (LCC Digital)</p> <p>Formal ICT change management process (LCC Digital)</p> <p>Strategic (LCC Digital) roadmap for system upgrades and replacement to deliver a more robust infrastructure. Strategic move from on-premises to hosted infrastructure.</p>	<p>We are currently in the process of reviewing ICT systems to ensure they are at the latest level. This is in relation to hardware and software. Those systems that can be updated will be and others will require replacement or decommissioning.</p>		4 Cautious

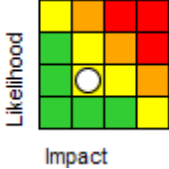

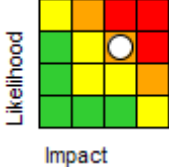
Service Area	Head of Service	Title	Potential Effect	6 Monthly Controls Summary	6 Monthly Notes Summary	Current Risk Matrix	Current Risk Assessment and Score
Corporate & Customer Services	Lisa Windle	Ability to transform into a digital Council and deliver technological changes in line with customer expectation due to the investment required to upgrade an ageing ICT estate.	Lack of progress in the Council achieving its digital ambition and driving customers to a self-serve first approach.  Investments in ICT not realised due to changes in systems suppliers.	Strategic application and platform roadmap being developed with assistance from suppliers and LCC Digital.  Service Action Plan (SAP) Processes to capture and identify opportunities. Linking similar projects will deliver efficiencies in project management.	Revised Service Action Plan (SAP) Process to include new SAP Form linked to return on investment via cost benefit analysis. Project prioritisation matrix being established.		6 Cautious
Finance, Procurement & Commercial Services	James Pierce	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.	Regular Review and update of medium-term financial forecast. Review of any savings requirement & delivery in order to close any budget gap. Provision of regular monthly financial monitoring. This is conducted by the finance team to budget holders. Quarterly reporting to Members. Regular review and update of reserves. CMT are actively managing the pressures identified within the MTFs. Weekly finance update meetings are held with the COO, Corporate Directors, and the S151 officer and Deputy.	The latest iteration of the Medium-Term Financial Strategy indicates a budget gap of c£500k in 23/24 rising to £2.9m in 25/26. It is clear that the current economic conditions are adversely impacting on the Council's finances generally. A savings plan to address the budget gap has been drawn up for consideration by Members.		6 Cautious
Finance, Procurement & Commercial Services	James Pierce	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.	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.	The GRA and HRA yearend position show there are material shortfalls in investment returns. The increase in interest rates in response to the inflationary situation in the UK in anticipated to have a favourable impact upon Treasury Management returns in 22-23. Treasury management training has been provided by the Council's TM advisors, Link, on the 26th of October 2022.		4 Cautious

Service Area	Head of Service	Title	Potential Effect	6 Monthly Controls Summary	6 Monthly Notes Summary	Current Risk Matrix	Current Risk Assessment and Score
Finance, Procurement & Commercial Services	James Pierce	External Funding Uncertainty	Impact on delivery of strategic projects and priorities	Medium Term Financial Strategy in Place. Regularly updated with changes and assumptions revisited. Ensure commercial strategy is fit for purpose. Ensure that all our investments generate a positive financial return for the Council To manage and grow our development company. To ensure our development company continues to generate a profit through its business activities. Regular review of fees and charges.	The commercial strategy has been updated to reflect changes in the PWLB rules (the inability to invest purely for yield purposes). This does not affect development within the Borough. Close attention is being paid to the impact of interest rate rises on proposed capital schemes.		6 Cautious
Finance, Procurement & Commercial Services	James Pierce	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.	23 controls have been recorded against the risk to evidence the various elements of compliance. All controls have been scored as to their current adequacy and effectiveness. 3 have been scored as fully effective where system enforced controls are in place i.e., system access controls, corporate mobile device security features and system back up. 18 have been scored as partially effective as there is an element of manual intervention i.e., E Learning modules (generic for all staff and bespoke for Information Asset Owners) Policies and Procedures, Corporate Privacy Notice, Record of Processing Activities, Retention and Disposal Schedules, Data Protection Impact Assessments and Data Sharing Agreements. 3 areas have been scored as not effective with work either underway or in the pipeline to address. All control elements will continue to be examined and enhanced as work continues to strengthen our GDPR compliance.	There is a clear organisational structure for managing Data Protection and Information Governance, which provides strong leadership and oversight, clear reporting lines, responsibilities and effective information flows i.e. Senior Information Risk Officer (SIRO) Data Protection Officer (DPO) Information Governance Officer, Information Asset Owners and Information Governance Link Officers within each service area who also attend the bi monthly Information Governance Committee from which key information is disseminated down to individual service areas and acted upon where necessary. Following the Effective Data Management (EDM) project significant work has been undertaken to strengthen the controls we have in place and the education of our staff. This work will continue through future data workstreams and the coordination of those activities via the bimonthly		4 Cautious





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					Information Governance Committee. To reflect this work, controls have been added to the risk and scored as to their adequacy and effectiveness which has resulted in the risk being re assessed as 4 Cautious.		
Housing Services	Alan Leicester	Landlord Compliance & Regulatory Requirements (Health & Safety)	Injury or death to tenants, resident, or visitors. Significant adverse publicity. Regulatory impact.	<p>Following a compliance audit conducted by an external consultant, all key areas of compliance including gas, electrical, fire risk, water hygiene, lifting equipment &amp; asbestos management were checked and have now been validated. Following the external audit all policies, processes and procedures were revised and updated and will continue to be reviewed regularly. Compliance will continue to be monitored and reviewed by internal Audit in line with required Audit programmes. We enforce a no access and escalation procedure with legal intervention where possible to ensure all properties are inspected within the appropriate timescales.</p>	<p>Work continues to ensure all Audit actions are completed within timeframes and weekly compliance meetings ensure a continued focus on compliance. We continue to work closely with Pennington Choices to support effective compliance and we are in the process of agreeing a follow up wider compliance check.</p>		4 Cautious
Planning & Regulatory Service	Paul Charlson	Delays In Preparation of new Local Plan	The preparation of a Local Plan is a complicated and lengthy process involving various different parties and so a number of 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	<p>Set a realistic timetable considering resources, constraints, and linked timetables (e.g., Committee cycles).</p> <p>Project management. Ensure strong programme / project management.</p> <p>Communication - Statutory Consultees. Advise necessary bodies (e.g., Planning Inspectorate) of intentions at the earliest possible time.</p> <p>Member engagement. Engage with</p>	<p>Recruitment to the strategic planning team has been successful. However, risks still endure as the local plan process is reinvigorated. Where necessary we will consider identifying relevant issues as sub-risks.</p>		4 Cautious



Service Area	Head of Service	Title	Potential Effect	6 Monthly Controls Summary	6 Monthly Notes Summary	Current Risk Matrix	Current Risk Assessment and Score
			<p>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.</p>	<p>Members (e.g., via Cabinet Working Group) to seek cross-party consensus</p> <p>Communication – Members. Share information early with Members to reduce the likelihood of late amendments</p> <p>Budgetary provision. Obtain adequate budgetary provision for required consultancy support</p> <p>Staffing. Maximise flexibility across the Service so that planning officers from other teams can help with workload. Ensure quick replacement of any vacant posts.</p> <p>Joint working. 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. Legal / policy compliance. Ensure procedures, Acts and Regulations are complied with. Closely monitor and follow national policy and guidance.</p> <p>Follow best practice. 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'.</p>			

Service Area	Head of Service	Title	Potential Effect	6 Monthly Controls Summary	6 Monthly Notes Summary	Current Risk Matrix	Current Risk Assessment and Score
Planning & Regulatory Service	Paul Charlson	Planning Services staff resources	Sufficient staff resources are fundamental in ensuring a productive and efficient service. Recruitment continues to be challenging, but any current resource gaps are being mitigated with temporary resource to improve application processing times and feedback to developers.	A recent recruitment drive has delivered some success and allowed the risk profile to be reduced. There are still remaining vacancies in the structure, and we will continue to actively recruit to these positions.	Despite recent success, recruitment continues to be challenging particularly within development control, which is reflected across the profession. Any current resource gaps are being addressed through temporary staffing, pending permanent recruitment. We are exploring all available recruitment options.		4 Cautious
Planning & Regulatory Service	Paul Charlson	Community Infrastructure Levy (CIL)	Improvements in staffing have led to a reducing risk. Increased proactive CIL work, such as enforcement action, checking monies allocated to Parish Councils is being completed, in addition to reactive work. Risks will endure as new staff settle into these positions, and plans are in place to address any remaining related risks.	Staff are now in post and able to better mitigate this risk. Additional temporary staffing is in place to provide interim support to ensure CIL processes are fully brought back into line during the next 6-12 months.	Recruitment to the strategic planning team has been successful. Key posts, including CIL Officer, are now in place. The CIL process is also being supported by an additional temporary resource, until the end of the financial year, to address any shortfall. Plans are in place to address any remaining related risks.		4 Cautious
Wellbeing & Place Services	Simon Kirby	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.	Project Governance. Internal project team meetings in place comprising financial, procurement and legal representatives. Regular meetings with CMT and Cabinet.	The contract will be extended to enable the procurement exercise to be undertaken in a full and detailed manner – which in the long term should offer value for money for the Council.  The record of decision does enable the Council to extend for an		9 Concerned

Service Area	Head of Service	Title	Potential Effect	6 Monthly Controls Summary	6 Monthly Notes Summary	Current Risk Matrix	Current Risk Assessment and Score
				Working Groups to progress sustainable and affordable options.	additional six months although the new contract start date we will be working to is at the latest October 2023. Officers will continue to review the timescale throughout the procurement process and make amendments as necessary in the interests of the Council.		

Risk Status	
	Critical
	Concerned
	Cautious
	Comfortable