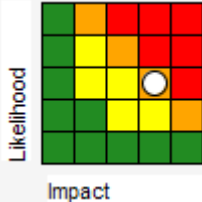
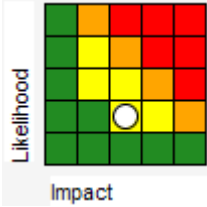


# Appendix A Key Risk Register - Cabinet September 2013



Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Corporate Services: Borough Treasurer	Treasury Management Investments are riskier given current market conditions	The volatility in financial markets has meant that investments are now less secure than previously. 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 Sector. Investments can only be made in top rated UK based institutions or other local Authorities and for a maximum of three months.	Borough Treasurer	Operational arrangements continue to be reviewed and monitored in light of current market conditions. There continues to be a very limited number of secure investment options but the priority is the safety of the Council's investments.		5 Content
Community Services	Business Continuity - Potential for disruption	Lack of Business Continuity planning could have severe impact on service provision across critical Service Areas.	Key Service areas have been identified and individual plans put in place. These plans are tested on a regular basis and updated accordingly.	Emergency Planning Officer	The most recent test "Operation Stephenson" showed that the plan was adequate however it did recommend some minor areas for improvements		4 Content
Housing & Regeneration: Housing	Failure to deliver Affordable Housing Strategy	The Affordable Housing Strategy will deliver a series of plans that will outline our future affordable housing interventions programme, will establish Housing Needs data that will help in negotiation for affordable housing provision on mixed development sites and will identify plots of land that may be suitable for affordable housing development.	The established Affordable Housing Panel will shape appropriate policy responses. A Borough wide Housing Needs survey, Framework Formulation and an Affordable Housing Viability Study will need to be considered by the Affordable Housing Panel.	Housing Strategy and Development Programme Manager	<p>a) Work is on-going to maximise the amount of affordable housing achieved from market housing sites through the use of planning obligations and the Section 106 arrangements.</p> <p>b) The Housing Strategy Section continues to work with Registered Providers to identify land sites suitable for the development of 100% affordable housing schemes.</p> <p>c) At this current time 25 affordable homes are being built by Regenda Housing Group in the rural village of Banks. The homes are scheduled to be completed later in the year and are being built by a local building company on behalf of Regenda.</p> <p>d) Through our new partnership arrangement with Regenda Housing Group a planning application has been submitted to develop 12 affordable</p>		6 Uneasy

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
					homes in Burscough on land at Pickles / Furnival Drive. e) Through our partnership arrangement mentioned above, Regenda Housing Group, supported by the Council submitted three funding bids to the HCA to develop up to 64 affordable units through the National Affordable Housing Programme. The bid was successful. The final number to be achieved will be dependent upon the outcome of the respective planning applications.		
Council Wide	Failure to properly implement and accommodate requirements imposed by the Localism Act 2011	<p>Significant and wide ranging effects of legislation on a variety of council services, with new interfaces with outside agency/bodies at a time of reducing resources.</p> <p>There is a need to translate the requirements of the legislation into working practices and communicate the appropriate messages to Members and officers. Additional powers are granted to assist the Council in its delivery of services with more local liaison and accountability. The prospect of greater community engagement and</p>	<p>An implementation plan with allocation of roles agreed by Heads of Service, including legal support and regular reviews is in place. Training is to be undertaken within service areas. Legislation tracking in place. Budget/resources considerations to be kept under review.</p>	Managing Directors and Heads of Service	<p>Significant work undertaken to accommodate requirements including: Predetermination; new standards regime; pay accountability; petitions scheme; community right to challenge; Housing finance changes; assets of community value; community infrastructure levy. Others changes either awaited by being brought into force or to be handled include various Planning and Housing initiatives. Resources to react to initiatives to be kept under review.</p>		12 Concerned

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
		opportunities for residents for involvement in services and other matters.					
Council Wide	Loss of personal data	The Information Commissioner can take a range of actions against the Council for breaches of the Data Protection legislation including issuing undertakings to commit the Council to a particular course of action to improve its compliance with DPA, audit, serve enforcement notices and Stop Now Orders and, in the case of a serious breach, can serve a Monetary Penalty Notice up to £500,000. A loss of personal data would result in negative press coverage, damage to the Council's reputation, officer time and resources in addressing the breach and potentially action against the Council by the data subject.	The Council has had Data Protection policies in place for some years. Corporate policies have been updated and service specific policies are being updated. New roles of Senior Information Risk Owner (SIRO) and Information Asset Owners (IAO) have been introduced in an updated DP Policy. An action plan is in place to assist compliance.	Managing Directors and Heads of Service	The action plan has now largely been completed.		6 Uneasy

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Planning Services	Failure to deliver a new Local Plan	The future housing, economic and infrastructure needs of the Borough would not be fully met. Also a greater risk of development occurring in unsustainable locations.	A Local Development Scheme (LDS) has been produced setting key targets and milestones relating to delivery of the LDF. These are replicated in the Council's Business Plan and in the Service Action Plan	Assistant Director Planning	Examination completed. Recently completed public consultation on proposed main modifications. Awaiting Inspectors report.	<p>Likelihood</p> <p>Impact</p>	8 Uneasy
Housing & Regeneration: Housing	Failure to deliver Skelmersdale Town Centre Regeneration	<p>Opportunity - The project will provide a mix of residential, commercial, leisure and education accommodation opportunities.</p> <p>Threat - We could fail to address the economic issues, not address residents' requirements and have an impact on the Council's reputation.</p>	<ol style="list-style-type: none"> <li>1. Continue to consult with public where relevant.</li> <li>2. Collaboration agreement in place.</li> <li>3. Continue to engage with the "other" landowners to encourage their participation in the scheme.</li> <li>4. The Executive Procurement and Projects Manager reviews this risk regularly as part of the on-going project management.</li> <li>5. Maintaining regular contact with developer and potential retail/commercial/leisure occupiers.</li> </ol>	Deputy Assistant Director Housing & Regeneration	Currently working with St Modwen to bring forward three housing sites within the Town Centre. An update report will be submitted to Cabinet in September 2013.	<p>Likelihood</p> <p>Impact</p>	9 Uneasy
Corporate Services: Transformation	ICT Infrastructure Development	Several ICT systems/software applications coming to end of life in future years	ICT Strategy. Strategic review of the desktop provision within WLBC estate proposed to develop options and recommendations for ICT infrastructure.	Transformation Manager	Being addressed in the draft of the ICT Strategy currently being assessed by Heads of Service.	<p>Likelihood</p> <p>Impact</p>	12 Concerned

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Corporate Services: Transformation / OCL	Failure to manage the impact of the Government's Benefit Reforms	The government has reduced its financial support for Council Tax benefit by 10% from April 2013, which creates a financial risk for both the Council and local benefit claimants. There are further risks from the proposed changes on universal credits.	Details on emerging benefit issues are reported to Members on a regular basis and policies to deal with reductions in benefit funding will be developed as this position becomes clearer.	Transformation Manager / Exchequer Services Manager	A new Council Tax Support Scheme was implemented on 1st April 2013.		8 Uneasy
General Revenue Account	Achieving a balanced budget position for 2015/16	The latest spending review has announced further cuts in Government funding for 2015/16 which will need to be addressed to meet the statutory requirement to set a balanced budget.	The medium term financial forecasting process and business plan will set out how this financial challenge will be met.	Managing Directors and Heads of Service.	The MSR report to Council in July 2013 set out how a balanced budget position will be achieved for 2014/15. This risk reflects the longer term financial challenge facing all local authorities.		10 Concerned

Level of Concern	Action Required
Very concerned	Urgent attention required at senior level to ensure risk is reduced to an acceptable level. Action planning should start without delay. Progress on actions should be reported to Joint Managing Directors / Leader.
Concerned	Requires mitigation, contingency plan and identification of early warning indicators. Progress reported to DSH
Uneasy	Acceptable. Requires mitigation. Reviewed at Service Level.
Content	Acceptable. Keep under review but no action required unless changes occur.