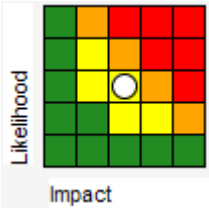
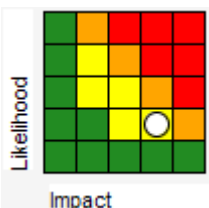
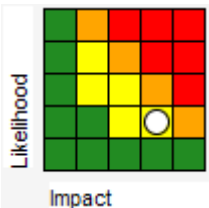


Appendix A Key Risk Register



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 in recent years 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 treasury advisors. 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 the light of current market conditions. The treasury management outturn position for 2013/14 was reported to Council in July 2014.		5 Content
Corporate Services: Borough Treasurer	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.	Borough Treasurer	A new Business Plan for 2015/18 is currently being drawn up to address the Council's medium term financial challenges. There will be a series of financial reports to Committees in the next few months as part of the budget setting process.		10 Concerned
Community Services	Business Continuity - Potential for disruption	Lack of Business Continuity planning could have a 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.	Assistant Director Community Services	Key Service areas, together with their Business Continuity Plans, have been reviewed this year and have been updated accordingly. Major test exercise scheduled for November 2014.		4 Content

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Housing and Regeneration : Housing	Delivery of the Housing Strategy	<p>The Housing Strategy 2014 -2019 – is intended to deliver a series of plans across five housing objectives, namely:-</p> <ul style="list-style-type: none"> · Achieve the right supply of new homes including maximising affordable housing · Regenerate and remodel areas of Skelmersdale · Make the best use of all existing homes · Encourage well managed and maintained homes across all tenures · Encourage investment to meet specialist housing requirements · Deliver the Council's Sustainable Energy Strategy 2012- 2020 Residential and Domestic Sector objectives. 	Regular monitoring will occur via the Service Action Plan monitoring process. Each action contained in the Year 1 Housing Strategy Action Plan will have its own delivery risks.	Assistant Director Housing and Regeneration	The Housing Strategy was agreed at Cabinet in March 2014.		9 Uneasy
Corporate Services: Transformation	Failure to maintain supported ICT Microsoft Infrastructure	Several ICT systems/software applications coming to end of life in future years	The ICT Strategy has put funding in place and prioritised the refresh of infrastructure for 2014. A Strategy Board with WLBC/BTLS membership monitors the delivery of the strategy.	Transformation Manager	Addressed through the ICT Strategy		8 Uneasy
Corporate Services: Transformation	Failure to manage the impact of the Government's Benefit Reforms	The introduction of Universal Credits represents a significant change in benefit support and could have a major impact on benefit claimants and revenue collection including Council Tax and Housing rents.	A working group has been established with membership from DWP, WLBC, and LCC/BTLS to consider and manage the introduction of the various emerging changes regarding Welfare Reform	Transformation Manager	<p>A Member Update report on Welfare Reform was provided in June 2014.</p> <p>There is a separate report on a Delivery Partnership Agreement with the DWP included elsewhere on this agenda.</p>		8 Uneasy

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
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.	<p>The Council has had Data Protection policies and associated working practices in place for some years. Corporate policies have been improved and updated. Service specific policies and procedures are in place for many services with the remainder being updated. Management of Council contractors remains a concern, although suitable actions are in place to address this. Senior Information Risk Owner (SIRO) arrangements are in place via an updated DP policy.</p> <p>Comprehensive training has been organised and delivered, with annual refreshers planned. A detailed Action Plan is in place and managed to assist compliance with this ongoing obligation.</p>	Managing Directors and Heads of Service	The original Action Plan has now been completed and a revised version created to carry forward continuing obligations and new requirements. This will continue to be reviewed and developed accordingly.		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 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"> Continue to consult with public where relevant. Collaboration agreement in place. Continue to engage with the "other" landowners to encourage their participation in the scheme. This risk is reviewed regularly as part of the ongoing project management. Maintaining regular contact with developer and potential retail / commercial / leisure occupiers. Project Board meets regularly to review progress. 	Assistant Director Planning	<p>Currently working with development partners, St Modwen, HCA and LCC:</p> <p>To explore alternative options to deliver retail/leisure/night time economy within the town centre; and</p> <p>To securing developer interest in respect of three housing sites located adjacent to the town centre.</p> <p>In addition we have sought to strengthen engagement with the owners of The Concourse.</p> <p>Work is also underway in relation to the Firbeck Revival scheme and construction of the town centre Youth Zone building.</p>		9 Uneasy

Level of Concern	Action Required
Very concerned	Urgent attention required at highest 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 and / or the Leader.
Concerned	Requires mitigation, contingency plan and identification of early warning indicators. Progress reported to DSH.
Uneasy	Acceptable. Requires mitigation. Reviewed at Head of Service Level.
Content	Acceptable. Keep under review but no action required unless changes occur.