
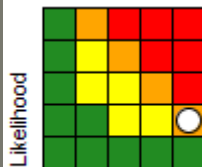
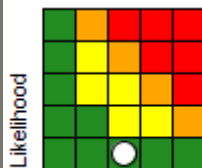
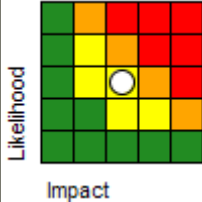
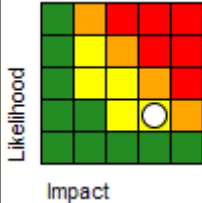
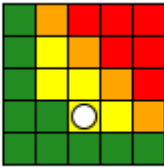


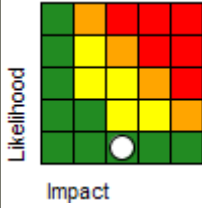
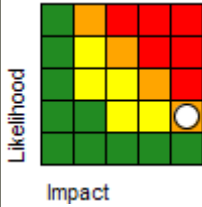
Appendix A Key Risk Register

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Corporate Services: 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 treasury advisors. Investments can only be made in top rated UK based institutions or other local Authorities.	Borough Treasurer	Operational arrangements continue to be reviewed and monitored in light of current market conditions. There continues to be a limited number of secure investment options but the priority is the safety of the Council's investments.	 <p>Likelihood</p> <p>Impact</p>	5 Content
Corporate Services: Treasurer	Achieving a balanced General Revenue Account budget position for 2017/18	Ongoing reductions in Government funding will need to be addressed to meet the statutory requirement to set a balanced budget.	The medium term financial forecasting process and Council plan will set out how this financial challenge will be met.	Borough Treasurer	Council set its budget for 2016/2017 in February 2016. A Policy Options report on the Council's financial position is due to be presented to Council in July 2016.	 <p>Likelihood</p> <p>Impact</p>	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.	Director of Leisure and Wellbeing	A review of this area is currently being undertaken.	 <p>Likelihood</p> <p>Impact</p>	3 Content

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Housing & Regeneration	Delivery of the Housing Strategy	<p>The Housing Strategy 2014 -2019 – is intended to deliver a series of plans across a range of 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. 	<p>Regular monitoring will occur via the Service Action Plan (SAP) monitoring process. Each action contained in the Year 1 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>	Director of Housing & Inclusion	<p>The current risk level remains the same, although recent government announcements in relation to affordable housing and future homeownership approaches may prompt, in the future, an amendment to our local approach as it relates to procuring affordable housing in the Borough.</p>		9 Uneasy
Housing & Regeneration	Balancing the HRA Budget	<p>Recent Government announcements will cause a significant reduction in income to the HRA which will result in a reduced capital programme, together with possible reduced services.</p>	<p>Budget meetings with staff and service managers will take place to identify savings to bridge the budget gap. A Policy Options report will be prepared for consideration by Members in July 2016 setting out how services / budget could be realigned and reprioritised to balance the budget.</p>	Director of Housing & Inclusion	<p>There will be difficulties in balancing the HRA budget in light of new legislation regarding reduction in rental income (1% per annum from April 2016-April 2019), uncertainty around the size of the levies for High Value Council Housing & Pay to Stay.</p>		8 Uneasy

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Corporate Services: Solicitor	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 and associated working practices in place for some years. The corporate policy has been improved and updated and is subject to regular review, most recently in January 2016. Service specific policies and procedures are in place for all services. Management of Council contractors and retention arrangements remain a concern, although suitable requirements and actions are in place to address this. Senior Information Risk Owner (SIRO) arrangements are in place via an updated DP policy (reviewed annually). Comprehensive training has been organised and delivered, with annual refreshers training requirements identified. A detailed Action Plan remains in place and is managed on a quarterly basis to assist compliance with this ongoing obligation.	Chief Executive and Heads of Service	The revised and updated Action Plan is in place to carry forward continuing obligations and new requirements. This will continue to be reviewed and developed accordingly.	 <p>Likelihood</p> <p>Impact</p>	6 Uneasy

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Housing & Regeneration	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"> 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 on-going project management. 5. Maintaining regular contact with developer and potential retail / commercial / leisure occupiers. 6. Project Board meets regularly to review progress. 	Director of Development and Regeneration	A major planning application by St Modwen for a scheme consisting of a multi-screen cinema, restaurants & bars, retail facilities, and major enhancements to the public realm, has been approved but is currently the subject of a legal challenge.		9 Uneasy
Housing & Regeneration	Land Auction	Potential loss of Capital Receipt if sales not secured within government timescale	Regular meetings with HCA to maintain progress	Director of Housing & Inclusion	Sale of Whalleys 4 nearing completion. Report from Wates due to determine sale method for remaining sites.		12 Concerned

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Street Scene	TEEP - Compliance with the revised Waste Framework Directive, which requires waste collection authorities to collect recyclable material separately to improve the quality.	Increased cost in providing additional vehicles and increasing the current establishment.	Currently developing a document to demonstrate compliance with The Waste (England and Wales) Regulations 2012 requiring Local Authorities to determine whether they are required to collect glass, plastic, metal and paper separately (Regulation 13). Progress in developing the document is reviewed each month and will be reported at future management meetings.	Director of Street Scene	Assessment was completed in November 2015		3 Content
Street Scene	Expiry of the current Lancashire Waste Partnership Agreement in March 2018	There could be a potential income loss of up to £950,000 per year from April 2018 which would have a significant impact on the GRA budget position.	Discussions are currently taking place between District Councils and the County Council on the new arrangements that will be put in place once the current agreement comes to an end.	Director of Street Scene	This issue has been included in the budget setting process for 2016/17 to ensure its potential financial impact is considered.		10 Concerned

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Corporate Services: Transformation	Failure to manage the impact of the Government's Benefit Reforms	The introduction of Universal Credit represents a significant change in benefit support. Impacts on benefit claimants and revenue collection including Council Tax and Council House rents are still emerging.	A working group with membership from WLBC, BTLS and the DWP to oversee and manage the introduction of the various emerging changes regarding Welfare Reform is in place.	Borough Transformation Manager and Deputy Director of Housing and Inclusion	A Member Update report on Welfare Reform was provided in July 2015. A Welfare Reform briefing presentation was provided for all Members in February 2016. Further information will be provided as appropriate dependent on the government timetable.		8 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.