Appendix A Key Risk Register

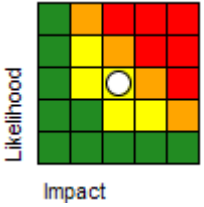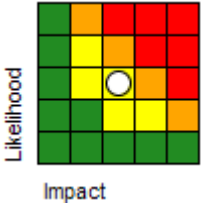| Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Finance, Procurement & Commercial Property	Potential Treasury Management Investment Losses.	Volatility in financial markets can create risks on investments, which 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.	Head of Finance Procurement & Commercial Property	Operational arrangements continue to be reviewed and monitored in the light of current market conditions. A Prudential Indicators and Treasury Management Report was presented to Council in February 2020.		10 Concerned
Finance, Procurement & Commercial Property	Achieving a balanced General Revenue Account budget position	On-going reductions in Government funding and other financial pressures, COVID for example, will need to be addressed to meet the statutory requirement to set a balanced budget.	The medium term financial forecasting and Sustainable Organisation Review processes will set out how this financial challenge will be met.	Head of Finance Procurement & Commercial Property	The Sustainable Organisation Review was agreed at Council in July 2019, The main implementation is due to take place in April 2020.		10 Concerned

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Finance, Procurement & Commercial Property	Implementing a successful Sustainable Organisation Review Project (SORP).	This project is designed to improve economy, efficiency and effectiveness across all Council Services as well as addressing the financial challenges facing the General Revenue Account.	A SORP Board consisting of the Corporate Management Team and other relevant officers meets on a regular basis to ensure good progress is made with the project. A detailed risk register is in place to ensure the effective mitigation of the main risks associated with the project.	Head of Finance Procurement & Commercial Property	The project is now in the implementation phase.		10 Concerned
Place & Community Directorate	Covid-19	Business continuity, staff and supplier disruption.	Business continuity plans.	Corporate Director of Place & Community	Corporate Incident Management Team & a tactical group meeting weekly. Risk based operational groups also in place. Regular teleconferencing with all Local Resilience Forum Groups. Business Continuity plans all updated & externally audited by LFRS. Service re-start work now in progress in line with national guidance. Cabinet briefings held monthly. Staff updates provided weekly from Chief Operating Officer.		10 Concerned

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Place & Community Directorate	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.	Corporate Director of Place & Community	All plans were updated in readiness for EU Exit and then again at the start of COVID-19.		8 Uneasy
Place & Community Directorate	EU Exit	Potential widespread disruption of Council services.	Business Control Plans strategic leadership input internal working group.	Corporate Director of Place & Community	No Government guidance being issued at present in relation to the leave date in Dec 2020. All preparations made for Jan 20 are still in place, Business Continuity plans are up to date and third party providers were contacted to ensure they had no issues		6 Uneasy
Housing & Regulatory Services	Balancing the HRA Budget	Mitigating the potential impact of the pandemic whilst ensuring appropriate investment in assets based on regulatory compliance and robust stock condition data.	Revised management structure implemented Income management and financial inclusion supplemented with additional resource Partnership arrangement with DWP 100% Stock condition survey completed, Asset Management Strategy approved and being implemented New Repairs & Maintenance contract implemented Review of HRA Business Plan to be concluded	Head of Housing & Regulatory Services	Notwithstanding the current challenges in responding to the pandemic agile financial management ensures the HRA remains healthy.		4 Content

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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.	Head of Housing & Regulatory Services	Compliance is monitored and reported to the Head of Service on a weekly basis and reported quarterly. Property Services Manager has reviewed the current risk assessment score and while robust procedures are in place, they are yet to be fully embedded and tested via Internal Audit. In addition, the current pandemic has inhibited property access for gas/electric inspections however this is a sector wide issue.		10 Concerned
Transformation & Resources Directorate	Failure to provide suitable storage arrangements for the Council's electronic information	Inefficient business processes. Failure to meet statutory and best practice requirements, e.g. in relation to FOIA, DPA, GDPR, EIR and other information handling legislation (including record retention and destruction arrangements). Staff time wasted / diverted. Potential legal challenges. Criticism by Audit and negative press. Increased electronic storage costs.	Project concluded in October 2019 delivered a more coherent corporate structure for electronic records on the Council's network with appropriate management arrangements, including access permissions appropriate to job role. Work planned (RFP33180) to move databases, applications and scripts to a separate drive (in line with best practice). Staff guidance has	Corporate Director of Transformation & Resources	Information governance to be further reviewed by an Information Governance unit provided through the SORP process. The risk matrix reflects the need to keep the constant increase in creation and storage of all electronic data storage under review.		8 Uneasy

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			been provided but will be further reviewed and enhanced by an Information Governance Manager through the SORP process to include periodic training / dissemination of information e.g. Retention & Disposal schedule, Corporate Catalogue/ROPA and ICT Data and Security Policy for Link Officers, IAOs and staff in services to ensure up to date with current policy, legislation and best practice.				
Transformation & Resources Directorate	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	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. A report has been taken to Senior Management to highlight the requirements to be imposed. This is being supplemented with more detail and guidance provided. The Action Plan to ensure compliance is in place with training organised and being delivered.	Corporate Director of Transformation & Resources	An Internal Audit review found shortfalls in GDPR. Subsequently an action plan is in place and is being managed. Information governance arrangements are planned to be further reviewed and enhanced by an Information Governance Unit provided through the SORP process		9 Uneasy

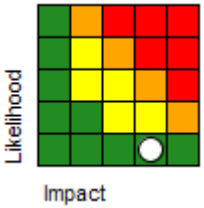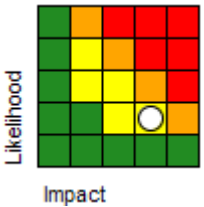| Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
		report a breach would result in a fine as well as a fine for the breach itself.	Account is taken of the emerging UK based legislation. The effect within Services was developed with the assistance of Information Asset Owners. Budget resources may be required to update processes particularly where software is to be used. The Cabinet considered a report on the proposals and known resource requirements in January 2018.				
Transformation & Resources Directorate	Effective Management of Cyber Security	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 information and/or denial of service.	BTLS provide the technical ICT aspects of the Council's cyber security operations such as Firewall, Web and Email filtering, virus and malware protection. WLBC's role is around measures complementing this, e.g. ensuring security of buildings and policies around usage of ICT (the ICT & Data Security Policy and Data Protection policies). A Cyber Security Action Plan jointly agreed in April 2019 is in place covering e.g. security governance, technical security measures, and training and awareness	Corporate Director of Transformation & Resources	Cyber security risks occur worldwide on a daily basis and are ever evolving making it difficult to assess the risk. The assessment has accounted for the technical defences in place for all types of cyber security incidents, the nature of attacks the Council has experienced to date and the governance arrangements in place to mitigate the risk. The evidence suggests the Council is most likely to be impacted by lower level individual attacks than organisational system attacks. No technological solution		12 Concerned

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			for staff to manage the risk further. Cyber risk is a standing item on the Information Governance and Data Protection Officer Working Group.		can stop all threats to the council and it is imperative that all users remain vigilant. As a corporate risk, the current assessment reflects the risk for an incident with organisation-wide impact, rather than for individual accounts (considered human error more likely).		
Wellbeing & Leisure Services	Procurement of new leisure provision	Impact on Council services, finances and reputation. The Council has adopted a leisure strategy which identifies new provision. Failure to deliver will impact on future service delivery. The potential financial cost, both revenue and capital, could seriously impact on the Council's ability to balance its budget.	Project group, project Board and cabinet working group now well established and regularly monitoring progress. CCG partnership board	Head of Wellbeing & Leisure Services	Project Group, Project Board, and cabinet Working Group meetings continuing		9 Uneasy
Wellbeing & Leisure Services	Leisure Contract	Leisure Contract currently operating on a No Net Loss, No Net Gain arrangement with West Lancs Community Leisure Trust and Serco. This runs under a Letter of Intent until 31 July and a report is being considered by Cabinet and Council on 22 July for an 8 month extension until 31	Weekly review meetings are being held with Serco along with formal monthly reviews. Cabinet Working Group established and being informed in relation to progress	Head of Wellbeing & Leisure Services	Weekly oversight meetings programmed in. Formal monthly reviews programmed in and Cabinet Working Group meetings continuing		9 Uneasy

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		March 2021. The Council are currently underwriting any deficits incurred by Serco during this period					
Growth & Development Services	Failure to deliver Skelmersdale Town Centre Regeneration	Opportunity - The project will provide a mix of residential, commercial, leisure and education accommodation opportunities. Threat - We could fail to address the economic issues, not address residents' requirements and have an impact on the Council's reputation.	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 ongoing project management. 5. Maintaining regular contact with developer and potential retail/commercial/leisure occupiers. 6. Project Board meets regularly to review progress.	Head of Growth & Development Services	Purchase of Homes England land is now complete. Initial utility works undertaken. Development Funding Agreement expected to be signed late August 2020. Works on site expected to begin Sept 2020, subject to contractor mobilisation. Discussions beginning on Phase 2 scheme		9 uneasy
Growth & Development Services	Preparation of new Local Plan	The preparation of a Local Plan is a complicated and lengthy process 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 and more out-of-date over time, potentially weakening the ability of	• Explore all opportunities for joint working and service sharing. • Maximise flexibility across the Service. • Maintain close liaison with latest national guidance and its preparation. • Revise Local Plan timetable if	Head of Growth & Development Services	Preparation of the new Local Plan is at an early stage, and while COVID19 pandemic has caused some delays, it is anticipated the delay will be able to be made-up later in the timetable		6 Uneasy

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		the Council to make decisions based upon it (as opposed to the NPPF or other material considerations). New opportunities for development are also restricted and likely to come forward on an ad hoc, unplanned basis if a new Local Plan is not put in place. Potential for Gov't to intervene in plan-making if insufficient progress is being made.	necessary. • Adequate budgetary provision for consultancy support if required. • Keep in touch with the Planning Inspectorate and advise them of requests for Examinations at the earliest possible time. • The Council will monitor Inspector's decisions elsewhere to seek to ensure the Council is following best practice. • Ensure robust evidence base and use PAS Local Plan toolkit. • Draw on external expertise where necessary to ensure evidence and approach to policy is robust. • Ensure procedures, Acts and Regulations are complied with. • Contact external bodies at the earliest opportunity for their input and communicate clearly and regularly with them to minimise risk of no / poor responses and				

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			therefore delays. • Establish clear working arrangements with other local authorities when undertaking joint work on Local Plans and ensure strong programme / project management. • Local Plan timetable should be set on a realistic basis taking into account the staff resources available. • Ensure quick replacement of staff wherever possible. • Flexibility of staff within the Growth and Development Service enables opportunities for planning officers from other teams in the Service to help with workload. • Some elements of work can be undertaken by consultants, where there is financial resource available. • Early consultation and information sharing with Members will reduce the likelihood of late amendments being required or documents being				

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			rejected.				
Growth & Development Services	Delivery of the Housing Strategy	The Housing Strategy and updated action plan for 2020-2021 is based on the following housing objectives: . 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 (SAP) monitoring process. Each action contained in the 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.	Head of Growth & Development Services	In March 2020 Cabinet agreed a new housing strategy action plan 2020-2021. This followed a full review of all housing strategy delivery actions and achievements for the 2014-2019 period. There are no delivery concerns at this time.		4 Content
Chief Operating Officer	West Lancashire Development Company	Development Company 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.	A Cabinet Working Group has been set up to Monitor Developments in this area. The annual Business Plan will be approved by the Council and site appraisals and further detailed analysis will determine which	Chief Operating Officer	The market will have been impacted by COVID and the business plan needs to be reconsidered in this light. The score in the risk matrix has been revised to reflect this developing situation.		8 Uneasy

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			schemes / projects are viable. Performance against the Business Plan will be presented to Council.				