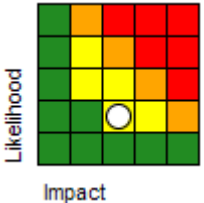


# Appendix A Key Risk Register



Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Finance and HR Services	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.		5 Content
Finance and HR Services	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 Policy Option will set out how this financial challenge will be met.	Borough Treasurer	A Policy Options Report on the Council's financial position was presented to Council in July 2016.		10 Concerned
Leisure & Wellbeing 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.		3 Content

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Development & Regeneration Services	Land Auction	Potential loss of Capital Receipt if sales not secured within timescale of Department of Communities and Local Government.	Regular meetings with Homes and Communities Agency to maintain progress	Director of Development and Regeneration	Sale of Whalleys 4 is nearing completion. Series of options for the disposal of the remainder of the sites under construction.		8 Uneasy
Housing & Inclusion Services	Balancing the HRA Budget	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.	Budget meetings with staff and service managers will take place to identify savings to bridge the budget gap. In accordance with what was agreed in July Council, services and budgets will be realigned and reprioritised to balance the budget.	Director of Housing and Inclusion	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.		8 Uneasy
Development & Regeneration Services	Delivery of the Housing Strategy	The Housing Strategy 2014 -2019 – is intended to deliver a series of plans across a range of housing objectives, namely:- <ul style="list-style-type: none"> <li>. Achieve the right supply of new homes including maximising affordable housing</li> <li>. Regenerate and remodel areas of Skelmersdale</li> <li>. Make the best use of all existing homes</li> <li>. Encourage well managed and maintained homes across all tenures</li> <li>. Encourage</li> </ul>	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.	Director of Development and Regeneration	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. There may also be implications in relation to housing market confidence which may influence future delivery of housing		9 Uneasy

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
		investment to meet specialist housing requirements Deliver the Council's Sustainable Energy Strategy 2012-2020 Residential and Domestic Sector objectives.			strategy objectives following the EU referendum.		
Legal and Democratic Services	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	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. New corporate training has been identified and is being rolled out. SIRO training undertaken. All incidents are being actively handled.		6 Uneasy

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
			managed on a quarterly basis to assist compliance with this ongoing obligation.				
Development and Regeneration 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>	<p>1. Continue to consult with public where relevant.</p> <p>2. Collaboration agreement in place.</p> <p>3. Continue to engage with the "other" landowners to encourage their participation in the scheme.</p> <p>4. This risk is reviewed regularly as part of the ongoing project management.</p> <p>5. Maintaining regular contact with developer and potential retail/commercial/leisure occupiers.</p> <p>6. Project Board meets regularly to review progress.</p>	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.		4 Content
Street Scene Services	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.	A document has been devised that demonstrates 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). The document will be reviewed annually.	Director of Street Scene	Document was completed in February 2016		3 Content

Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Street Scene Services	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 is being considered through the budget setting and Policy Option processes.  The issue is now an agenda item at CEO and Leader meetings across Lancashire.		12 Concerned
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 changes and introduction of the various emerging changes regarding Welfare Reform is in place.	Borough Transformation Manager and Deputy Director of Housing and Inclusion	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 the Chief Executive and / or the Leader.
Concerned	Requires mitigation, contingency plan and identification of early warning indicators. Progress reported to CMT.
Uneasy	Acceptable. Requires mitigation. Reviewed at Head of Service Level.
Content	Acceptable. Keep under review but no action required unless changes occur.