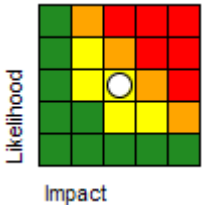
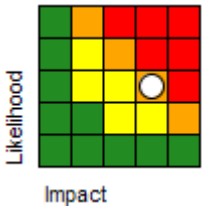


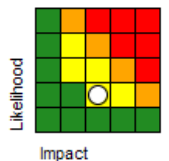
Appendix A Key Risk Register

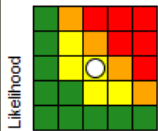
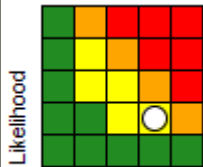


Service Area	Title	Potential Effect	Internal Controls	Responsible Officer	Latest Note	Current Risk Matrix	Current Risk Assessment and Score
Finance & HR Services	Potential Treasury Management Investment Losses	Volatility in financial markets can create risks on investments, which means there is the potential 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.	Borough Treasurer	Operational arrangements continue to be monitored in light of current market conditions. A report on the Treasury Management framework was presented to Audit and Governance in January 2017.		5 Content
Finance & HR Services	Achieving a balanced General Revenue Account budget position.	Ongoing reductions in Government funding and other external income will need to be addressed to meet the statutory requirement to set a balanced budget.	The medium term financial forecasting process and Policy Options framework will set out how this financial challenge will be met.	Borough Treasurer	The Council agreed a balanced budget for 2017/18 at its meeting in February 2017. A policy option report on balancing the budget for 2018/19 will be presented to the July 2017 Council meeting.		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 & Wellbeing	A review is underway and is scheduled for completion before the end of March. The review will take the form of a test and then an update, based on the findings of the test and the audit from last year.	<p>Likelihood</p> <p>Impact</p>	3 Content
Development & Regeneration Services	Land Auction	Potential loss of Capital Receipt if sales not secured within Government timescales	Regular meetings with HCA to maintain progress	Director of Development & Regeneration Services	Sale of Whalleys 4 site nearing completion. Planning application made July 16. Series of options for the disposal of the remainder of the sites being considered by HCA Board.	<p>Likelihood</p> <p>Impact</p>	8 Uneasy
Housing & Inclusion Services	Balancing the HRA Budget	Government policy on rent reductions, sale of higher value Council houses and the pay to stay initiative may cause a significant fall in income to the HRA which will result in a reduced capital programme, together with possible reduced services.	The HRA Business Planning process and Policy Options framework will set out how this financial challenge will be met.	Director of Housing & Inclusion Services	<p>The Council agreed a balanced budget for 2017/18 at its meeting in February 2017.</p> <p>A policy option report on balancing the budget for 2018/19 will be presented to the July 2017 Council meeting.</p>	<p>Likelihood</p> <p>Impact</p>	8 Uneasy

Development & Regeneration Services & Housing & Inclusion Services	Delivery of the Housing Strategy	The Housing Strategy 2014 -2019 – is intended to deliver a series of plans across a range of housing including private sector housing, public sector housing and development and regeneration.	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 & Regeneration Services & Director of Housing & Inclusion Services	The current risk level remains the same. However, Government policy in relation to affordable housing has changed in the last Autumn Statement from a position of focusing upon the provision of home ownership products only, such as shared ownership to now re-introducing an element of HCA grant funding to also develop rental units.		9 Uneasy
Street Scene Services	Expiry of the current Lancashire Waste Partnership Agreement in March 2018.	There is expected to be an income loss of up to £950,000 per year from April 2018 which will have a significant impact on the GRA budget position.	Discussions are 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 Services	This issue is being considered through the budget setting and Policy Option processes.		12 Concerned

Legal & Democratic Services	Significant loss of personal data	<p>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>	<p>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 refresher training requirements identified. A detailed Action Plan remains in place and is managed on a quarterly basis to assist compliance with this ongoing obligation.</p>	Chief Executive and Heads of Service.	<p>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. Regular SIRO training is undertaken. Any incidents are actively handled. Cyber protection position and e-mail provision are being reviewed with a view to further improvements being made. Arrangements for the implementation of the General Data Protection Regulation in May 2018 (subject to review as part of Brexit process) are in preparation.</p>		6 Uneasy
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Development & 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 on-going 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 & Regeneration Services	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. A Legal Challenge to this development has now been dismissed in the Court of Appeal.	 <p>Likelihood</p> <p>Impact</p>	9 Uneasy
Transformation – Housing & Inclusion Services	Failure to manage the impact of the Government's Benefit Reforms	The phased introduction of welfare reforms including Universal Credit and the benefit cap 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 is in place.	Borough Transformation Manager and Deputy Director of Housing & Inclusion	A Members Update on changes impacting on the Revenues & Benefits Service including welfare reform is being provided in February 2017. Further information will be provided as appropriate dependent on the government timetable.	 <p>Likelihood</p> <p>Impact</p>	8 Uneasy

Leisure & Wellbeing Services	Procurement of new leisure provision based on the requirements set out in the Leisure Strategy.	<p>Potential impact on Council services, finances and reputation.</p> <p>Failure to deliver will impact on future service delivery. The potential financial cost, both revenue and capital, could have a significant financial impact.</p>	<p>The Council has adopted a leisure strategy which identifies its requirements.</p> <p>Project teams and project boards have been established from key sections of the Council involving senior staff to evaluate project proposals and progress.</p> <p>Leisure partnership cabinet working group established to ensure Members are kept informed and involved.</p>	Director of Leisure & Wellbeing	<p>The Council has agreed to undertake a financial viability assessment on the proposed provision.</p> <p>A report on these issues was presented to Cabinet in January 2017.</p>		12 Concerned
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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.