

Risk Assessment & Control Measure Update Report

Luton Borough Council



Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0003 Council reputation with all stakeholders & wider reputation of Luton as a place to live, work, learn and visit Corporate Risk Largely this stems from the councils type of risk Reputation	Image and perception of the Council & the Town not always positive locally. Issue could be made worse if there are any cases of abuse or scandal , or if Councillors lose confidence in officers.	a) Lack of confidence in services by the public... b) Difficulties recruiting staff. c) Difficulties finding business partners. d) Lack of engagement from the community when trying to engage their views. Major scandal is revealed in Media. Potentially a major abuse case could result in: i) Central government investigation & intervention. ii) Significant amount of officer resources. iii) Adverse impact on staff morale. iv) Media attention. v) Loss of credibility.	High 8	Medium 6	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			Impact 3 Likelihood 2	Impact 3 Likelihood 1	21/04/2014	21/10/2013	105	Rob Leigh

Risk Review Update

Review Summary: Ongoing Updated on 04/04/2013 11:04:30

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0003/003 The Sustainable Community Strategy	Review Summary: Control measure live - Much good work done with EDL march passing peacefully and success of Love Luton Festival providing lots of positive national media coverage Updated on 10/08/2012 15:38:14	Proposed		0	126	31/03/2014	Rob Leigh

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment			
LBC0006 Failure to keep to Approved budget, particularly re: demand - led services, new requirements, savings targets, loss of income. Type of risk Budget control failure	Cannot keep services within budget parameters and identified budget savings or income targets are not realised fully. This could occur as a result of national or local changes. See below for effects:-	a) Further cuts to services. b) Adverse impact on service delivery. c) Adverse publicity. d) Increase in Council Tax. e) Demoralisation of staff. f) Impact staff performance. g) Failure to keep a balanced budget. h) Breaches of Health & Safety Law.	High	Medium			
			 Impact 3 Likelihood 3	 Impact 3 Likelihood 1	Next Review Date	Last Review Date	Days Overdue
					19/08/2014	14/04/2014	0
							Risk Owner
							Dave Kempson

Risk Review Update

Review Summary: Substantial underspend for 2013/14 predicted at period 11

Period 11 predictions for 2013/14 showing a substantial underspend, the ongoing parts have been incorporated into the 2014/15 budget. Updated on 19/08/2013 10:36:16

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0006/002 Budget Monitoring	Review Summary: Underspend predicted throughout year Quarter 2 predictions £5.2m underspend, Period 11 £7.3m after carry forwards Updated on 14/04/2014 12:11:15	In Progress		90	0	19/08/2014	Dave Kempson

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0007 Staff Performance - Overload/stress. Type of risk Insufficient staff resources/capacity	Some staff unable to manage increasing work loads with competing priorities during times of financial austerity and ongoing reductions. the is could result in:-	a) Adverse impact on staff welfare. b) Adverse impact on service delivery. c) Increase in staff absenteeism. d) Increase in employment tribunal claims. e) Increase in employers liability claims. f) Deteriorating PI's. g) Increase in accidents h)A reduction in productivity in some work areas.	High	Medium	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			9	6				
			Impact 3 Likelihood 3	Impact 3 Likelihood 1	06/07/2014	06/01/2014	29	Angela Claridge

Risk Review Update

Review Summary: Continues to be a concern, cross departmental Stress Working Group looking at existing procedure and supporting measures. Updated on 06/05/2013 21:10:13

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0007/002 Performance Appraisal & Management Supervision	Review Summary: Cross dept Stress Working group set up to review existing policy and supporting actions. Updated on 06/01/2014 11:29:56	In Progress		100	29	06/07/2014	Angela Claridge

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0008 Failure to recruit/retain staff. Luton not preferred living area Potentially losing top performing staff due to staff not having the right skill set. Type of risk Insufficient staff resources/capacity	Cannot recruit right quantity of staff and gaps appear in the structures. The issues below could result:-	a) Increasing use of agency staff. b) New staff do not always meet quality standards. c) Adverse impact on service delivery. d) Council clients possibly at risk. e) Public confidence affected. f) Adverse effect on performance. g) Censure for audit inspection. h) Adverse publicity. i) Image of council damaged. j) Increase risk of breach of health & safety to customers /employees. k) Potentially losing top performing staff due to staff not having the right skill set.	Medium	Low	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			4	3				
			Impact 1 Likelihood 3	Impact 2 Likelihood 1	04/02/2015	10/02/2014	0	Angela Claridge

Risk Review Update

Review Summary: Market Supplement procedure being reviews twelve months in. Supplements continue to be a requirement for some posts. Updated on 04/02/2013 10:48:30

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0008/002 Recruitment & Retention Plans	Review Summary: New Market Supplement procedure has been implemented over last review period. Scheme to be reviewed again in March 2014 Updated on 06/01/2014 10:02:32	Implemented		100	29	06/07/2014	Angela Claridge

Luton Borough Council



Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0009 Uninsurable loss, for example pollution or terrorist attack. Type of risk Insufficient financial resources	Significant either uninsured or uninsurable loss, may result in the effects below:-	a) Adverse financial costs. b) Adverse impact on service delivery. c) Impact on reputation.	Medium	Medium	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			6	6				
			Impact 3 Likelihood 1	Impact 3 Likelihood 1	02/10/2014	02/07/2014	0	Gloria Johnson-Ashman

Risk Review Update

Review Summary: Insurance Policy for Terrorism renewed with JLT Updated on 17/04/2014 10:46:45

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0009/001 Emergency /Contingency Plan + Self Insurance Fund	Review Summary: Emergency contact lists have been updated. Updated on 02/07/2014 09:49:07	Audited - Effective		100	0	02/10/2014	Gloria Johnson-Ashman
LBC0009/002 Borrow funds	Review Summary: Liaise with Head of Finance sign off Officer regarding investments and discuss at Insurance reserve meetings. Liaise with Head of Finance regarding update of investments. Updated on 24/03/2014 09:20:00	Proposed		70	0	14/03/2015	Gloria Johnson-Ashman

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
LBC0013 Loss or collapse of key IT application/hardware or data corruption. Unauthorised access to personal data on Council Systems. Type of risk Loss of IT / Communication facilities	Hardware, software or network failure. Unauthorised access to personal data through hacking or other breaches of systems security.	Hardware/software/network failure a) impact on reputation b) adverse impact on service delivery c) adverse impact on finances d) Unauthorised access e) Hardware/software/network failure a) adverse impact on finances b) adverse impact on reputation c) failure to comply with legislation	High	Medium				
			 Impact 3 Likelihood 2	 Impact 3 Likelihood 1	15/01/2014	15/07/2013	201	Whitworth, Davina

Risk Review Update

Review Summary: Further investment is being considered for the procurement of IDS/IPS software Updated on 15/01/2013 07:41:40

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0013/002 IPS (Intrusion prevention systems) and network access control (NAC)	Review Summary: The procurement of Intrusion detection software is currently under consideration which will address this issue, but only if funding is can be confirmed Updated on 15/07/2013 10:06:33	Proposed	£50,000	5	323	15/09/2013	Whitworth, Davina
LBC0013/003 Review and rationalise file permissions and associated AD groups	Review Summary: This work has not yet been completed. However Hazel Martin has begun a whole series of presentations to departmental management teams to raise the profile of information governance and the need to review file permissions and structure. Updated on 19/11/2012 08:56:57	Proposed	£0 £60,000	0	216	31/12/2013	Hazel Martin

Luton Borough Council



Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0023 Council Acts Ultra-Vires. Also linked to corporate finance risk CFCF0019 Type of risk Failure of internal controls	Completion of self assessment questionnaire to enable the compilation of the 'Statement of Governance' identified breach of legislation as a principle risk. Adverse impact on the effects below:-	a) Reputation. b) Service Delivery. c) Finances. d) Staff performance.	Medium	Low	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			6	1				
			Impact 3 Likelihood 1	Impact 1 Likelihood 1	19/08/2014	19/08/2013	0	Dave Kempson

Risk Review Update

Review Summary: Monitoring officer review as part of annual governance procedures showed how we have dealt with a potential issue Updated on 28/08/2012 13:38:12

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0023/001 Monitoring Officer& Chief Financial Officer Verify on an annual basis. Interim SoGs on a quarterly basis.	Review Summary: 2012/13 governance statement lists issues re controls Updated on 19/08/2013 10:37:47	In Progress		75	0	19/08/2014	Dave Kempson

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
LBC0025 Loss or failure of key supplier, provider or partner. CSCF0032 - Failure of key supplier (Corporate Finance Risk) CS0014 - Failure of key supplier (Customer Services Risk) HC0009 - Failure of key supplier (Type of risk) Failure of key supplier	Loss or failure of key supplier, could impact on: a) adverse impact on service delivery b) impact on reputation and credibility c) adverse impact on finances Lack of clarity in partnership & interagency working or contractual arrangements can result in a) adverse impact on service delivery b) adverse impact on finances c) project failure d) agency do not meet quality standards e) accountabilities are unclear f) opportunities for fraud & corruption	Effect on value of money, active in partnerships. If reputation adversely affected as a result then also potential effects of loss of reputation.	High	Medium				
			 8 Impact 3 Likelihood 2	 5 Impact 2 Likelihood 2	24/10/2014	24/07/2014	0	Chris Addey

Risk Review Update

Review Summary: Ongoing risk , usual assessment made on all key suppliers via Experian service and alerts Updated on 22/04/2014 12:55:39

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0025/001 Tender/procurement process ongoing review	Review Summary: Ongoing review of processes , to ensure they are compliant and still relevant as legislation changes Updated on 09/06/2014 09:38:31	In Progress		100	0	09/09/2014	Chris Addey

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0026 Serious breach of health and safety legislation. Accidents (resulting in major injury or loss of life) HSE or Police Prosecution inc. Corporate Manslaughter Type of risk Any avoidable accident or injury due to a f	Loss of life/serious injury to workforce or clients would in itself be a major trauma. A further issue is exposure of staff or public to asbestos risks. These risks could cause: a) adverse impact on service delivery b) confusion amongst clients c) adverse financial impact d) impact on reputation e) deteriorating performance HSE or Police prosecution could result in: a) financial penalty b) impact on reputation c) liability for individual officers d) adverse impact on service delivery	Open accessible and responsive Government, valuing workforce, value for money potential knock on effects for item 1.	Medium	Medium	Next Review Date 31/12/2014	Last Review Date 31/12/2013	Days Overdue 0	Risk Owner Caron Owens
			Impact 3 Likelihood 1	Impact 3 Likelihood 1				

Risk Review Update

Review Summary: This has been reviewed. Although the Corporate Health and Safety Team has been reduced from 8 employees to 3 an on line accident reporting system has been introduced to record accidents more thoroughly and there is more of an emphasis on service managers to manage risks. Updated on 09/05/2013 21:18:41

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner

<p>LBC0026/001 Health and Safety culture supported and led by CDMT</p>	<p>Review Summary: Health and Safety Policy is due to be reviewed by the Chief Executive in January 2014. Director of Engineering and Regeneration chairs the Health and Safety Forum who meet on a quarterly basis with representatives from each department and Trade Unions. Minutes are disseminated via departmental management teams. Accident trends are analysed and taken to Directorate Management Teams on a quarterly basis.</p> <p>Updated on 23/12/2013 16:30:54</p>	<p>In Progress</p>		<p>100</p>	<p>134</p>	<p>23/03/2014</p>	<p>Caron Owens</p>
<p>LBC0026/005 Workplace Safety Audits</p>	<p>Review Summary: Workplace inspections continue to be carried out by services and Fixed Assets arrange for repairs to be carried out as required.</p> <p>Updated on 23/12/2013 16:33:24</p>	<p>Implemented</p>		<p>100</p>	<p>134</p>	<p>23/03/2014</p>	<p>Caron Owens</p>

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0028 Industrial Action. Type of risk Conflict between national/regional agenda:	Industrial action could result in: See below:-	a) adverse impact on service delivery b) impact on staff well-being c) adverse impact on reputation d) adverse impact on health/welfare of clients. Value for money, valuing workforce. If action extended it will affect the achievement of all corporate priorities in the year concerned, and make achieving medium term objectives more difficult.	High	Medium	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			<div>8</div>	<div>5</div>				

Review Summary: Industrial action still remains a threat. NASUWT taking action short of strike. Updated on 06/05/2013 21:08:32

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Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0031 Managing Change. Outsourcing/strategic partnership introduced - managing the change process Type of risk Service taken over by Government or other	Alternative forms of service delivery leading to staff unrest may have an adverse impact on. see below:-	A) service delivery b) staff recruitment & retention c) increased use of agency staff	Medium	Low	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			5	2				
			Impact 2 Likelihood 2	Impact 1 Likelihood 2	14/07/2014	14/04/2014	21	Angela Claridge

Risk Review Update

Review Summary: Land Charge function anticipated to be taken over by central government at a date to be determined from 2015. Updated on 13/01/2014 09:15:00

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0031/001 Policy and changes programme	Review Summary: No new concerns during last review period. Updated on 13/01/2014 09:25:09	In Progress		60	22	13/07/2014	Angela Claridge

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Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment			
LBC0033 Financial controls not implemented resulting in potential loss to LBC. Type of risk Failure of internal controls		Fraud could result in: a) adverse impact on finances b) adverse impact on reputation c) adverse impact on service delivery d) Proceeds of Crime Act places specific requirements on authority to pass on suspicions on to the police. e) Value for money	Medium	Low	Next Review Date	Last Review Date	Days Overdue
			5	2			
			Impact 2 Likelihood 2	Impact 1 Likelihood 2	21/07/2015	21/07/2014	0
							Risk Owner Beverley Gibbings

Risk Review Update

Review Summary: We continue to audit the Council's main systems each year. These are our key controls systems e.g. payroll, creditors, debtors etc. External Audit review the work we do in these areas. Updated on 15/07/2013 13:50:32

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0033/001 Control procedures	Review Summary: The policies and procedures listed in previous reviews have not changed. We continue to audit high risk areas of the authority on an annual basis. Updated on 21/07/2014 15:29:29	In Progress		100	0	21/07/2015	Beverley Gibbings
LBC0033/002 Monitoring	Review Summary: This process has not changed. We have a comprehensive audit plan which covers reviewing all key controls systems every year. The external auditor reviews these audits and we also report to A&G committee. Monitoring of audit work is done on an monthly basis. Updated on 21/07/2014 15:30:27	In Progress		95	0	21/07/2015	Beverley Gibbings

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0034 Treasury Management. Also managed by Corporate Finance - CSCF0008 Type of risk Loss of revenue/income generation	Collapse of banker or fraud within the investment business could result in a) adverse impact on finances b) impact on low level of council tax c) adverse impact on service delivery d) service cuts A reduction in interest rates/investments will also have an adverse reaction on the Council's finances	Value for money	High	Low	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			8	3	14/10/2014	14/04/2014	0	Dave Kempson
			Impact 3 Likelihood 2	Impact 2 Likelihood 1				

Risk Review Update



Review Summary: Banks reviewed daily/weekly.

No further use of Ulster Bank at present.

Watching RBS situation Updated on 19/08/2013 10:34:00

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0034/001 Treasury Management Policy	Review Summary: Reviewed on an ongoing basis with the use of external advisor's bank scoring system and CD market. Keeping within policy Updated on 23/12/2013 12:59:42	Approved		100	0	23/12/2014	Dave Kempson
LBC0034/002 Retender required to move from Co-operative Bank	Review Summary: Plan to use national framework via ESCO for tendering. Awaiting final ESCO checks to enable use of framework Updated on 14/04/2014 12:06:38	In Progress		0	21	14/07/2014	Dave Kempson

Luton Borough Council



Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0035 Death threats received against staff. Type of risk Crime and disorder	Death threats have been received in the past & may again in the future, this could result in:	A) risk of loss of life or injury b) damage to personal belongings c) impact on staff motivation & performance	Medium	Low	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			 6 Impact 3 Likelihood 1	 3 Impact 2 Likelihood 1				
					01/08/2015	01/08/2014	0	Caron Owens

Risk Review Update

Review Summary: Lone working guidance has been reviewed and training carried out in high risk areas. Updated on 04/02/2013 10:57:04

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0035/001 Policy on lone working	Review Summary: This policy has been reviewed Updated on 31/07/2013 11:41:55	Implemented		100	185	31/01/2014	Caron Owens
LBC0035/002 Violence & Aggression Training	Review Summary: Lone working policy was issued to all Heads of Service to disseminate to their services. Updated on 31/07/2013 11:41:15	Implemented		100	185	31/01/2014	Caron Owens

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
LBC0039 Decrease in volume of airport traffic or closure resulting in reduction of key income stream. Corporate Risk (7) A Supplemental Agreement has recently been concluded between Luton Borough Council and the airport. Type of risk Loss of revenue/income generation	Airport closure or significant reduction in traffic could result in: a) adverse impact on finances b) loss of reputation c) adverse impact on other local businesses d) adverse impact within communities	Regeneration, value for money, active in partnerships	High	Medium				
			 Impact 3 Likelihood 3	 Impact 3 Likelihood 1	07/10/2014	07/04/2014	0	Turner, Mark

Risk Review Update

Review Summary: Risk is controlled as far as possible given external factors Updated on 13/05/2013 15:43:35

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0039/001 Contract with Airport company	Review Summary: The current concession agreement, together with the supplemental agreement, is performing well, and there are signs of significant passenger growth on the horizon. However, the action of the Secretary of State for DCLG in delaying any decision on the LLAOL planning application is distinctly unhelpful. Updated on 07/04/2014 09:48:32	Implemented		100	0	07/10/2014	Turner, Mark

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0044 1. Failure to Plan for Extreme Weather Events and also Changing Climate 2. Failure to sufficiently reduce Energy use such that the Council has to buy Carbon Credits 3. Failure to reduce waste Type of Risk Climate change issues	1. More extremes of weather are expected, thus making it essential to plan ahead 1a. Gradually changing climate trends, including milder drier winters and wetter summers will affect some activities adversely (though some activities may be affected in an advantageous way) 2. The Carbon Reduction Commitment Regime requires that the Council reduce its use of energy to ensure it does not suffer financial penalties 3. The amount of waste generated in Luton and collected by the Council must continue to reduce to ensure disposal costs including levies & fines do not	1. See individual Heads of Service Climate Change Severe Weather Risk 2. See Carbon Reduction Commitment Risk 3 See BEAa Project Risk	High 9	High 8	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			Impact 3 Likelihood 3	Impact 3 Likelihood 2	01/09/2014	14/10/2013	0	Brennan, Trevor

Risk Review Update

Review Summary:

LBC has a corporate commitment to managing a changing climate via its published climate change adaptation plan. The associated action plan is maintained corporately but co-ordinated by the Strategy & Sustainability Team. Outcomes from this plan are incorporated into the existing work programmes of LBC teams. Updated on 18/10/2012 08:55:03

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0044/001 Climate Change Team	Review Summary: Updated on 14/10/2013 10:43:02	Implemented		0			Brennan, Trevor
LBC0044/003 Carbon Reduction Commitment	Review Summary: no issues to report Updated on 29/02/2012 15:31:08	Implemented		100			Neil O'Connor

LBC0044/006 Climate Change Adaptation Plan	Review Summary: LBC has a corporate commitment to managing a changing climate via its published climate change adaptation plan. The associated action plan is maintained corporately but co-ordinated by the Strategy & Sustainability Team. Outcomes from this plan are incorporated into the existing work programmes of LBC teams. Updated on 14/10/2013 10:42:22	Implemented		0			Brennan, Trevor
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Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment			
LBC0057 Significant Project Failure Type of risk Failure to deliver services at agreed cost/s	Major Projects Board and project data available.	Would depend upon on the type and extent of the failure and whether there is a corporate priority reliant on a particular project.	High	Low	Next Review Date	Last Review Date	Days Overdue
			9	3			
			Impact 3 Likelihood 3	Impact 2 Likelihood 1	16/08/2014	16/05/2014	0
Risk Owner							
Laura Church							

Risk Review Update

Review Summary: Status has been amended to controlled to reflect project management reviews by Corporate Major Projects Board and Departmental reviews. Updated on 23/04/2014 22:51:05

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0057/001 Project Management Toolkit	Review Summary: Control measure updated. No change. Updated on 02/06/2014 08:01:08	In Progress		85	0	02/09/2014	Laura Church
LBC0057/002 Project Review on a quarterly basis	Review Summary: Review completed. Major Projects Board meeting quarterly. Updated on 16/05/2014 16:24:28	In Progress		75	0	16/08/2014	Laura Church
LBC0057/003 Projects to be reviewed	Review Summary: Updated on current practice on Major Projects Board Updated on 02/06/2014 08:00:00	In Progress		75	0	02/09/2014	Laura Church

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0058 Failure to have effective Business Continuity Plans in place Type of risk Reputation	All departments and divisions should have business continuity plans in place to ensure continuity of services, both internal and external	Breach of legal requirement and loss of reputation.	Medium	Medium	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			5	5				
			Impact 2 Likelihood 2	Impact 2 Likelihood 2	14/08/2014	14/04/2014	0	Tony Green

Risk Review Update

Review Summary: In February 2014, an internal review was completed for Corporate Business Continuity, It gave an "Adequate Assurance" rating with 64% of plans completed and 14% nearly completed. Work is ongoing in respect of 22% outstanding. This work has begun since the audit. Also work has commenced in respect of the validation exercise process. . Updated on 22/07/2013 10:10:01

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0058/001 Development, maintenance, and review of business continuity plans	Review Summary: Progress against completion of plans for the authority is monitored by monthly reporting the the CLMT. Updated on 14/04/2014 14:23:48	In Progress		50	0	14/08/2014	Tony Green

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0059 Greater resilience of service and response provided by support from other Bedfordshire Authorities, and emergency volunteers, to major incidents and emergencies. Type of risk Failure to manage partnership relations - e	Civil Protection are part of, and support the Bedfordshire and Luton Local Resilience forum, consisting of multi agency partners from the following: Police, Fire, Ambulance, NHS, PCT, Environment Agency, Military, and Emergency Volunteers from, Red Cross, St John, Mid Shires Search and Rescue, Samaritans, WRVS, Barney's and Chums bereavements services, 4x4 club, Salvation Army, and Bedfordshire Volunteers etc.	LBC has insufficient resources to respond to a protracted incident by itself. Having the support of the other local authorities and emergency volunteers provides LBC with greater resilience and capability to maintain internal and external services and respond effectively to emergencies.	Low	Low	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			3	3				
			Impact 2 Likelihood 1	Impact 2 Likelihood 1	21/05/2015	21/05/2014	0	Tony Green

Risk Review Update

Review Summary: The maintaining good service delivery has been enhanced by more departments completing their business continuity plans over the last 12 months. We continue to maintain our relationship through the LRF with other responding partners. Through the Black Swan exercises and the forthcoming Black Eagle exercises plus the BLLRF Major exercise more officers are becoming aware of their command responsibilities during major incidents. Updated on 29/04/2013 13:14:12

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0059/001 Maintain partnership to provide resilience	Review Summary: Business Continuity Plans Verification Exercises. Multi Agency Exercises Membership of the LRF Updated on 21/05/2014 07:50:22	In Progress		100	0	21/05/2015	Tony Green

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0060 Failure to maintain emergency response and recovery plans Type of risk Reputation	Full suite of emergency, preparation, response, recovery plans, mechanisms and structures as required by the Civil Contingencies Act and associated guidance.	Legal requirement for plans may leave LBC vulnerable in terms of prosecution and loss of reputation	Low	Low	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			3	3				
			Impact 2 Likelihood 1	Impact 2 Likelihood 1	21/05/2015	21/05/2014	0	Tony Green

Risk Review Update

Review Summary: All LBC & BLLRF Plans are up to date and reviews of the plans have been completed Updated on 29/04/2013 13:41:56

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0060/001 BLLRF Management Structure and processes	Review Summary: Monitoring of Review dates Completion of new plans when required Exercise review of plans Review of plans after an incident Updated on 21/05/2014 07:57:05	In Progress		100	0	21/05/2015	Tony Green

Luton Borough Council



Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0061 Significant Welfare Benefit process changes due to government legislation in 2013. There are 7 workstreams in the Welfare Reform Type of risk Failure of internal controls		More poverty/increased debt Homelessness More crisis intervention required More expenditure for LBC Fine due to non-compliance/breach of statutory duty.	High	High	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			9	8				
			Impact 3 Likelihood 3	Impact 3 Likelihood 2	17/08/2014	02/07/2014	0	Arran Sharman

Risk Review Update

Review Summary: All major welfare changes have now been implemented and have become business as usual. Updated on 02/06/2014 14:15:29

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0061/001 Implementation of Planning & Strategy	Review Summary: Regular board meetings and welfare reform groups continue to take place. It is now more about managing the impact of Welfare Reform. A financial inclusion strategy is currently in the process of being put together to propose to members as well as an up to date IIA for Welfare Reform Updated on 29/04/2014 08:41:16	Implemented		0			Arran Sharman

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0062 Failure to report, or correctly report in line with multi agency procedures for safeguarding alerts leading to death or serious harm to an adult at risk. Type of risk Failure of internal controls		Damage to Council reputation. Fine due to breach of statutory duty.	High 	Medium 	Next Review Date 12/09/2014	Last Review Date 10/03/2014	Days Overdue 0	Risk Owner Patricia Jennings
			Impact 3 Likelihood 2	Impact 3 Likelihood 1				

Risk Review Update

Review Summary: Team is now fully staffed. A review of the how safeguarding is transferred or picked up accross the community teams is to take place which will identify how efficiently the team can work. Business post being recruited to. Updated on 04/11/2013 10:03:57

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0062/001 Awareness & Training	Review Summary: Ongoing emphases on multi agency training to raise awareness. Need to set up Learning and Development events to learn lessons from Serious Case Reviews. Updated on 17/06/2014 17:09:17	In Progress		75	0	17/12/2014	Patricia Jennings

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0063 Safeguarding of Vulnerable Children Type of risk Failure of internal controls	LBC is responsible for providing effective arrangements for safeguarding children. Failure of internal controls can lead to system failure and avoidable harm to children	1. Authority in breach of statutory obligation. 2. Loss of reputation. 3. Loss of life	High	Medium	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			<div>9</div>	<div>6</div>				
			Impact 3 Likelihood 3	Impact 3 Likelihood 1	18/10/2013	18/07/2013	290	Hilary Griffiths

Risk Review Update

Review Summary: Performance management and QA in place. Currently subject to review and improvement plan Updated on 24/12/2012 14:38:13

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0063/001 Policies & Procedures Applied	Review Summary: Control measures still in place Updated on 18/07/2013 19:38:53	In Progress		85	290	18/10/2013	Hilary Griffiths

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Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0064 Public Health is not embedded within LBC services and staff are not aware of the impact of their services on population health Type of risk Service Improvement/Best value - failure to		1. Loss of Reputation. 2. Financial impact of increasing health costs by not focussing on prevention and early intervention. 3. Increasing health inequalities and reduced healthy life expectancy.	High	High	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			8	8				
			Impact 3 Likelihood 2	Impact 3 Likelihood 2	04/12/2014	04/06/2014	0	Kelly O'Neill

Risk Review Update

Review Summary: Updated in line with current focus on integrating and embedding public health across the council. Working across DMTs to identify PH spend and opportunities to focus on prevention and early intervention. Updated on 25/06/2013 09:18:27

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0064/001 Service Plan is kept up to date and reviewed quarterly with information shared during accountability meetings	Review Summary: Updated Updated on 04/06/2014 10:35:26	Proposed		70	0	04/12/2014	Kelly O'Neill

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Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0065 nationwide shortage of salt Type of risk Failure of key supplier	key supplier	unable to salt roads grid lock road safety school closures business disruption	Medium	Medium	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			5	5				
			Impact 2 Likelihood 2	Impact 2 Likelihood 2	17/10/2014	17/07/2014	0	Gloria Johnson-Ashman

Risk Review Update

Review Summary: There is no longer a shortage of salt the risk profile will therefore be reduced to reflect the change. Updated on 14/04/2014 15:45:16

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0065/001 meet government guidelines	Review Summary: Discussed the risk with Chris Godden in Highways. There is no longer a salt shortage. An agreement is now in place with Hertfordshire CC. Updated on 17/07/2014 15:22:42	In Progress		100	0	17/10/2014	Gloria Johnson-Ashman

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Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0066 Failing to implement changes to ICT infrastructure and maintain necessary security standards could result in loss of our connection to Public Service Network, with consequent inability to process benefits claims. Failure to deliver services at agreed cost/s	Possible non-compliance with PSN standards because of failure to maintain appropriate levels of security in the data centre and on the desktop.	Impact on reputation Impact on quality of service provided to customers	High	High	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			8	9				
			Impact 3 Likelihood 2	Impact 3 Likelihood 3	18/10/2013		290	Clapp, William

Risk Review Update

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0066/001 Programme of work delivered by Civica	Review Summary: IT Health Check remediation due to complete by 31.3.14 Action plan in place owned by Civica with LBC contributions Updated on 12/03/2014 09:52:52	Proposed	£44,000 £80,000	30	131	26/03/2014	Clapp, William

Luton Borough Council

Details	Details 2	Details 3	Current Risk Assessment	Controlled Risk Assessment				
LBC0067 Impact of the Care Bill and implications for the Authority to provide a number of facilities to service users and rights of Carers. Type of risk Government policy/legislation changes	This new Legislation will affect everyone from birth through to death. The aim is to help better pain for the future.	1. Financial - Funding 2. Resouces 3. Information 4. IT systems 5. Communication must be clear	High	High	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			9	8				
			Impact 3 Likelihood 3	Impact 3 Likelihood 2	17/10/2014		0	Pam Garraway

Risk Review Update

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
LBC0067/001 See Departmental Risks		In Progress		50	0	17/10/2014	Pam Garraway