REPORT TO: Audit and Governance Committee

MEETING DATE: 26 November 2019

BY: Chief Executive

SUBJECT: Communities and Partnerships Risk Register

1 PURPOSE

1.1 To present to the Audit and Governance Committee the Communities and Partnerships Risk Register (Appendix 1) for discussion, comment and noting.

1.2 The Communities and Partnerships Risk Register is developed in keeping with the Council's Risk Management Strategy and is a live document, which is reviewed and refreshed on a regular basis, led by the Communities and Partnerships Local Risk Working Group (LRWG).

2 RECOMMENDATIONS

2.1 It is recommended that the Audit and Governance Committee notes the Communities and Partnerships Risk Register and in doing so, the Committee is asked to note that:

- the relevant risks have been identified and that the significance of each risk is appropriate to the current nature of the risk.

- the total profile of the Communities and Partnerships risk can be borne by the Council at this time in relation to the Council's appetite for risk.

- although the risks presented are those requiring close monitoring and scrutiny over the next year, many are in fact longer term risks for Communities and Partnerships and are likely to be a feature of the risk register over a number of years.

3 BACKGROUND

3.1 The Risk Register has been compiled by the Communities and Partnerships LRWG. All risks have been evaluated using the standard (5x5) risk matrix (Appendix 2) producing an evaluation of risk as either 'low (1-4)', 'medium' (5-9), 'high' (10-19) or 'very high' (20-25).

3.2 The Council's response in relation to adverse risk or its risk appetite is such that:

- Very High risk is unacceptable and measures should be taken to reduce, transfer or treat the risk to a more tolerable position;

- High risk may be tolerable providing the Council is assured that adequate and effective control measures are in place;

- Medium risk is tolerable with control measures that are cost effective;

- Low risk is broadly acceptable without any further action to prevent or mitigate risk.

3.3 The current Communities and Partnerships Risk Register includes 2 High risks, 25 Medium risks and 16 Low risks. Although the Council's Risk Strategy asks only the Very High and High risks be reported to the Committee, all Medium Risks scoring '8' or above have been included on this occasion.

4 POLICY IMPLICATIONS

4.1 In noting this report the Council will be ensuring that risk management principles, as detailed in the Corporate Risk Management Strategy are embedded across the Council.

5 INTEGRATED IMPACT ASSESSMENT

5.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy

6 RESOURCE IMPLICATIONS

6.1 Financial - It is the consideration of the Communities and Partnerships LRWG that the recurring costs associated with the measures in place for each risk are proportionate to the level of risk. The financial requirements to support the Risk Register should be met within the proposed budget allocations. Any unplanned and unbudgeted costs that arise in relation to any of the corporate risks identified will be subject to review by the Corporate Management Team.

6.2 Personnel - There are no immediate implications.

6.3 Other - Effective implementation of this register will require the support and commitment of the Risk Owners identified within the register.

7 BACKGROUND PAPERS

7.1 Appendix 1 – Communities and Partnerships Risk Register 2019

7.2 Appendix 2 – Risk Matrix 2019

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DESIGNATION	Emergency Planning, Risk and Resilience Officer
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DATE	14 November 2019

Risk ID	Risk Description (Threat/Opportunity to achievement of business objective)	Risk Control Measures (currently in place)	Assessment of Current Risk			Planned Risk Control Measures	Assessment of Residual Risk [With proposed control measures]			Risk Owner	Timescale for Completion / Review Frequency	Evidence held of Regular Review
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Residual Risk Rating			
			L	I	L x I		L	I	L x I			
C&P 1	I.T. Systems (Customer Services) Failure of IT systems (including Telephony) • Unable to deliver services some of which are vital services i.e. community alarm/telecare services for 3 Councils and 2 Housing associations/adult and children's social work calls/out-of-hours emergency calls • Data unable to be inputted onto databases • Activation of Business Continuity plan • Customers unable to access self-service and get on-line The majority of I.T. systems are Public Sector Network (PSN) compliant with the exception of Integrated Room Booking System (IRBS), Customer Relationship Management (CRM) & Closed Circuit Television (CCTV). Any of the above would result in the Council being unable to meet customer expectations resulting in reputational damage, poor publicity and failure to provide essential services.	Business continuity plan in place, tested annually and review actions implemented. Any short term outages/incidents test resilience and inform BC Plan. All software updated regularly. Regular meetings with staff to ensure they are aware of business needs; staff procedure up to date, staff trained and aware of outcomes and controls. 3rd party provider support and BC plans held (IRBS/Qnomy/Capita/ Bolinda/People's network/MODES). Manual procedures in place to support service provision, where possible: Social work service advised of any telephony problems in order that they can check on most vulnerable clients and make contacts, carers and emergency response service aware. Alternative backup solutions identified where possible e.g. CRM, Netcall 2nd server, Assure (libraries) etc. New Wi-Fi contract awarded March 2019. CRM system procurement and awarded November 2018. IRBS support contract extended to October 2020. Peoples Network and Library Booking System contracts extended to March 2020. CCTV system upgraded June 2018 and now PSN compliant with further upgrade September 2019 to further enhance compliance.	4	4	16	IRB system (bookings) to be part of the Customer Platform Programme or a stand alone system. New Customer Relations Management System implementation programme ongoing. Phase one implemented March 2020 Netcall Call Management System contract expires October 2020 and will require extended or replaced. Re-tender for Peoples Network taking place in 2020.	2	3	6	Service Manager - Customer Services	September 2020 March 2020 October 2020 September 2020	Risk refreshed by Service Manager - Customer Services October 2019 with no change to assessment of scores. Risk refreshed by Customer Service Managers January 2017 with current score increased from 9 to 16 and residual score reduced from 9 to 6.
C&P 2	Service Capacity (Customer Services) Breadth of service delivery across East Lothian and staffing pressures, underpinned by budgetary constraint, stretches resources leading to an inability to sustain services which may impact on the ability to meet priority frontline services e.g. Customer Service desks and libraries and Contact Centre. The workforce profile and demographic may lead to increased vacancy rate, staff absence and staff turnover. Failure to address this risk could lead to:	Service Plans and Business Continuity Plans in place. Partnership working with Midlothian and Scottish Borders Council expanding expands service provision and generating generates service sustainability and income. Staff Performance Review and Development deployed consistently. Managing Attendance Policy deployed consistently.	4	3	12	Continue to explore further business opportunities and funding streams to maximise use of resources and achieve income potential e.g. Museum Scotland grants/ Historic Environment Funding etc. Develop graduate intern opportunities to meet service professional requirements e.g. graduate librarian, graduate systems staff, graduate communications interns. Online Customer Service platform will improve linkages to other systems and enable access to self-serve for	3	3	9	Service Manager – Customer Services	Under constant review Ongoing September 2020	Risk refreshed by Service Manager – Customer Services – 2.10.19 with current risk increased from 9 to 12. Risk refreshed by Head of Communities and Partnerships August 2018 with Current Score reduced from 12 to 9. Risk refreshed by Customer Service Managers March 2018 no

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	• Inability to develop service and staff skills/knowledge e.g. school librarians • Inability to effectively meet stakeholder and customer demand • Reduced ability to introduce legislative changes effectively. • Challenge in appropriately resourcing new services (staffing and equipment) e.g. new school library • Workforce capacity pressures (e.g. attendance management, role redesign) resulting from service developments embedding new ways of working to meet strategic priorities e.g. digital strategy, asset management, financial strategy, within budget allocation.	Flexible deployment of staff and Locum/casual/relief posts within Local Area offices /Libraries/ Contact Centre and Museum Service and use of volunteers within Library and Museum Service to meet peaks and troughs of service demand. New fulltime posts on a higher grade introduced within Library and Customer Services team to try to address the constant churn of staff gaining promotion to other parts of the Council Revision of staff rotas within Community Response service has improved working arrangements. Active monitoring of staffing budgets with Finance to move staffing resource to where it is needed "Pairing up" of fulltime and part-time library branches so that staff in each area become familiar with the other and to cover where necessary Close monitoring of RIVO in relation to staff experiences/stress and risk assessments completed. Provision of effective staff Induction and ongoing training e.g. CSPQ, Mindfulness, Mental Health etc. Performance Indicators analysed informing service delivery and management. Provide data and analysis to support bids for additional resources or business case to reduce/withdraw resources. Knowledge software deployed within key areas and evaluated and staff trained to extract, interpret and apply knowledge. Programme of Service Reviews ongoing e.g. Libraries Review Promote alternate customer service options i.e. channel shift to increase online service delivery, and reduce face-to-face and cash handling service provision. Service Review of Facilities Management Services.				customers, reducing resource demand within services. Customer Services Service Review which will include Engagement with HR and finance to ensure appropriate role and grading definitions within the service and broader corporate context. Continue to focus on income generation to supplement service revenue budget. Review Customer Services physical assets in the context of the Corporate Asset Strategy as regards Asset Rationalisation. Monitoring of staffing and resource capacity leading to interim operational arrangements regarding opening hours.					September 2020 September 2020 September 2020 March 2020	change to assessment of scores. Risk Control measures refreshed to include library services– Risk rating increased due to significant period of change which will result in increased likelihood of resource issues – May 2014 Wide range of services being provided and so any long term absence becoming difficult to sustain.

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			L	**I**	**L x I**		**L**	**I**	**L x I**			
C&P 3	**Environmental Health** Interventions in Health and Safety enforced premises allocated to ELC under appropriate legislation. Failing to respond satisfactorily to a major incident, death or serious personal injury in local businesses and organisations under Environmental Health's enforcement regime has negative impacts on financial and reputational risk. There could be • further risk to life and limb if the occurrence allowed to remain unidentified/unresolved or continue for longer than necessary • impact on public and business confidence within East Lothian. • cause a reputational risk for the Council if the response was unsatisfactory • attract significant media interest • a public enquiry/formal investigation into the incident, which would impact on the deployment of Council resources to carry out day to day work. • third party insurance claims made against the Council. • Depending upon the nature of the incident, the area may require evacuation and/or decontamination. Through limited proactive engagement with business, as directed by UK Government, the variable nature of commercial sector and willingness of business operators means likelihood is realistically and accurately always above 1.	Appointment, development and retention of sufficient authorised inspectors to investigate incidents and regulate duty holders through health & safety inspection and intervention programmes. Associated enforcement action is taken where it is identified that controls have broken down or have been breached. Enforcement is conducted by trained and competent Environmental Health Officers, and Technical Officers, with ongoing CPD requirements. The business plan and inspection process are reviewed annually. Specialist knowledge/expertise sought from partners (HSE) if and when appropriate. Environmental Health will disseminate information to the general public through Face to Face engagement, App and Website to advise them of the risks and any appropriate precautions they should take to mitigate any risks. Of prime importance in an incident is the communication of the message, whether this message is primarily the responsibility of East Lothian Council, National Health Service, Scottish Government, Scottish Water, Food Standards Scotland. Therefore, the ELC Corporate Communications team has a vital role in relation to both the messaging and the use of the Environmental Health App. In addition, the Business Continuity Plans may have to be put in force should a serious incident occur that requires a community council response.	2	4	8	Added Resilience from the Corporate Health and Safety Team where deemed necessary.	2	4	8	Service Manager – Protective Services	December 2019	Risk refreshed October 2019 with no change to assessment of risk scores. Risk refreshed February 2017 with current score reduced from 10 to 8 due to new staffing structure Risk updated January 2015 by Environmental Health Partnership Manager, current score increased from 8 to 10.
C&P 4	Animal Health/Welfare Incident Any major animal health and welfare incident e.g. avian influenza, foot and mouth, rabies, animal neglect etc. could have significant impact on local farms and business and on East Lothian as a whole (transport, rural schools etc.). Any incident of this nature would affect the day-to-day delivery of certain Council services incl. Chief Executive's office, Contingency Planning, Communications, Safer Communities, Roads, Dog Warden, Env. Health, Estates and Economic Development. Potential to close down parts or all of the county. Restrictions on movement of	All Trading Standards employees have enforcement responsibilities under animal health and welfare legislation. All Trading Standards employees are trained on awareness issues and this is reviewed annually. Employees attend the East of Scotland Animal Health & Welfare panel. Established liaison/incident response arrangements with the Animal and Plant Health Agency (APHA). The Council has a major incident plan, which may be activated. As part of the Animal Health & Welfare Framework with APHA, risk assessed	2	4	8	Added Resilience from the Safer Communities Team (Dog Warden) where deemed necessary.	2	4	8	Service Manager - Protective Services Principal Trading Standards Officer		Risk refreshed August 2019 by PTSO with both scores increased from 4 to 8. Risk refreshed May 2018 with both scores reduced from 8 to 4.

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	animals or the public can apply. Business activity/tourism could be curtailed etc. The Council has a duty to make arrangements for care of animals where serious neglect is established which could have both financial and resource impact.	visits carried out annually to certain high risk premises. APHA also conduct their own visits. Information and advice placed on website, social media. Incident desk would require to be manned in a major incident.										
C&P 5	Loss or damage of assets Loss or damage of assets due to fire, explosion, storm, flood, malicious damage, theft, lack of repair/maintenance, lack of adequate security measures, loss of utility supply or lack of facility support could result in (using Brunton Hall as an example): • Inability to access office accommodation, equipment, data; • Damage to equipment including our irreplaceable heritage assets e.g. museum objects, paintings and/or all other assets held within these premises; • Inability to retrieve data; • Serious injury to staff/members of public; • Long term absences; • Loss of Income • Damage to the public reputation of the BH as a professionally managed and safe high class public service centre and events/theatre venue • Loss of income to Brunton Theatre Trust and to ELC if customers are discouraged from using facilities due to anti-social and inappropriate behaviour.	Business continuity planning in place and alternative premises identified; plans and training records reviewed annually. Key equipment and maintenance contracts are kept up to date and in good working order. Ensure Condition and other data is maintained up to date to inform the planned delivery of works required to ensure buildings comply with statutory and legal requirements and are maintained in a good condition". Regular fire drills carried out, H&S workplace inspections and Risk Assessments, while staff are trained in aspects relating to good working practices and in relation to fire drills and security procedures. Emergency planning procedures in place and regularly tested e.g. Service disaster plans for Museums. Alarm systems and CCTV systems in place for some museums and libraries. Inventory held of all Council paintings, recording values, locations and conservation needs in accordance with the Councils Museum Collections Policy. Accreditation governing the quality of care for collections and museum buildings received from the Museums Association and reviewed tri-annually. All Museums have had security surveys carried out by Police Scotland, which will be refreshed every five years. Regular reporting and investigation of incidents and remedial action taken and highlighted to management if necessary, while all incidents reported on Sphera. Authorised building access and egress routes operate securely and are monitored – Caretaker deployed in foyer of Brunton Hall to assist customers and respond to any issues.	2	4	8	All senior staff to attend update managing safely course. Revision of inspection regime by Health and Safety.	2	4	8	Service Manager - Customer Services Service Manager – Connected Communities	December 2019 December 2019	Risk refreshed by Customer Service Manager in October 2019 and merged with former risk specifically on Brunton Hall. Revision of inspection regime by Health and Safety Risk refreshed February 2018 with no change to current risk scores. Refreshed November 2015 with current score reduced from 10 to 8.

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		Main Brunton hall back doors are closed whilst theatre performances are on to reduce inappropriate use of building Problem solving partnership operating in key buildings when necessary ie Brunton Hall.

User Groups meet regularly at Brunton Hall, Library and Museum HQ and John Gray Centre, Haddington. | | | | | | | | | | |
| C&P 6 | Contact Centre Community Response

This is a call service for telecare/community alarm customers for East Lothian Council, Midlothian Council and Scottish Borders Councils.

A failure in Community Response processes i.e. staff not dealing with calls appropriately, not following scripts, not asking appropriate questions, making assumptions about what is wrong/who the caller is, not dealing with requests timeously/not noting key information etc. could result in:
• Serious injury to customers
• Fatality of customers
• Loss in confidence by stakeholders/partners/customer
• Financial loss due to liability claims
• HSE involvement
• The Council could become unable to respond to customer requests at the first point of contact.

All of the above could lead to reputational and or financial damage to the council and poor publicity. | Staff recruited for key qualifications, skills & attributes.

Continual communication, training and staff development, which is aligned to good practice, industry standards and service delivery levels, monitored through PRDs.

Monitor performance and service provision e.g. call monitoring.

Embedding services for Scottish Borders Council i.e. telecare and out-of-hours calls has increased capacity and resilience.

Solo Operating risk assessment and working procedure in place.

Lessons learned report from incidents.

Ongoing development of closer working between colleagues and stakeholders.

Staffing review to increase flexibility in relation to shift cover within CRT completed February 2018. Almost all staff now have built in responsibility to cover shift gaps.

Additional staff recruited to Community Response Service July 2018.

CECOPS accreditation received 2019 | 2 | 4 | 8 | | 2 | 4 | 8 | Service Manager – Customer Services

Team Manager - Contact Centre | | Risk refreshed by Customer Service Managers – 2.10.19 – with residual score increased from 4 to 8.

Risk refreshed by Customer Service Managers March 2018 with Current Score reduced from 12 to 8 and residual score reduced to 4 by Head of Service.

Risk refreshed January 2017 – current score increased from 8 to 12. |
| C&P 7 | Communicable Disease incidents

A major outbreak of food poisoning or a public health incident could result in serious illness or fatalities to the public. If such an incident is not adequately responded to this could:
• allow the outbreak or incident to remain unidentified or continue for longer than necessary. Thereby, possibly causing additional unnecessary illnesses.
• impact on public and business confidence within East Lothian.
• cause a reputational risk for the Council if the incident response was unsatisfactory
• attract significant media interest | Appointment, development and retention of sufficient authorised officers to regulate food businesses through a food safety inspection programme including enforcement action where controls are known to have broken down or have been breached, including sampling.

The Business Plan, inspection process and Business Continuity Plan overarch service delivery and are reviewed annually.

Established major/ incident response arrangements with NHS Lothian.

Rigorous monitoring of water supplies. | 2 | 4 | 8 | Promote key public health campaigns and communicate safeguard actions as and when incidents occur.

Strengthen Relationship with Health and Social Care Partnership. | 2 | 3 | 6 | Service Manager – Protective Services | December 2019

December 2019 | Risk refreshed October 2019 with no change to assessment of risk scores.

Risk refreshed February 2017 with current score reduced from 10 to 8 due to new staffing structure

Risk refreshed November 2015 with residual score reduced from 10 to 8. |

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			L	I	L x I		L	I	L x I			
	• result in a public enquiry/formal investigation into the incident, which would affect the deployment of Council resources to carry out day-to-day work. • cause a significant increase in workload as an enquiry or investigation could run for several years. • cause third party insurance claims to be made against the Council. • Depending upon the nature of the incident, the area may require evacuation and/or disinfection. Despite implementing preventative measures and provisions, the variable nature and potential wide ranging sources of public health incidents means likelihood is realistically and accurately always above 1.	Service delivery is conducted by trained and competent Environmental Health Officers and Food Safety Officers. Specialist Knowledge sought from partners (NHS and HPS) if and when appropriate The Council has a Joint Health Protection Plan and major incident plan, which may be activated. Of prime importance in an incident is the communication of the message, whether this message is primarily the responsibility of East Lothian Council, National Health Service, Scottish Government, Scottish Water, Food Standards Scotland. Therefore, the ELC Corporate Communications team has a vital role in relation to both the messaging and the use of the Environmental Health App.										
C&P 8	Public Health/Nuisance Incident Major public health/nuisance incident such as environmental contamination or significant dust/noise/other pollution caused by individuals and/or local businesses would result in major public complaint to the Council. An inadequate response to any such incident and any resulting public complaints could result in reputational risk to the Council. There could be enforcement responsibilities for the Council resulting in an impact on the day-to-day service delivery. In relation to any environmental contamination, there may be a significant financial cost to the Council in organising a clean-up where a responsible third party cannot be identified.	Appointment, development and retention of sufficient authorised inspectors to investigate incidents and regulate duty holders regarding environmental protection matters. Trained and competent Officers to enable appropriate response. Council Emergency Planning arrangements include a Chemical Incident plan and an Oil Pollution plan, while multi-agency response arrangements are in place. The Council has Chemical Incident response arrangements in place with a specialist company (RAW Group). SEPA monitoring of bathing waters from June – September. Close liaison with SEPA and Scottish Water should incident involve pollution of watercourse/sea. Enhanced Blue green algae monitoring. Contact Centre issued with correct information in order to ensure a fast and appropriate response from relevant teams within the Council. Use of APP/Social Media/Council website to communicate general information and also during and after incidents. Public awareness raised following incidents and any enforcement action taken highlighted.	2	4	8	Proportionate and effectively resourced shift pattern being devised. Added Resilience from the Safer Communities Team.	2	3	6	Service Manager – Protective Services	December 2019 December 2019	Risk refreshed October 2019 with no change to assessment of risk scores. New risk added January 2015 by Environmental Health Partnership Manager

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			L	I	L x I		L	I	L x I			
C&P 9	Building on Contaminated Land

Allowing building on contaminated land without sufficient intervention to ensure that any relevant pollutant linkage is permanently broken could result in:

• Allowance of any contamination to present a 'Significant possibility of Significant Harm' (SPOSH) to the receptor be that human health or the water environment
• An impact on public and business confidence within East Lothian.
• reputational risk for the Council
• heightened local media interest.
• require remedial works to be conducted
• third party insurance claims to be made against the Council. | Contaminated Land Officer currently advises on all aspects of Contaminated Land Regime (Part IIA) and consults with Development Control on accordingly.

Officer undergoes regular, relevant training with regards to all aspects of Contaminated Land and any enquiries, concerns or information concerning Contaminated Land issues are relayed to the Contaminated Land Officer.

Appointment of external Consultants (suitably qualified) where required for more extensive Part IIA determinations (requiring SI's and risk assessments).

All sites determined as being Part IIA are shown on the Contaminated Land Register held by the Council. There are currently no entries on this Register.

Policies and procedures applying in any incident ensure prompt intervention, guidance and advice to members of the public and landowners. | 2 | 4 | 8 | Ongoing prioritisation and assessment of potentially contaminated sites according to the Council's Contaminated Land Strategy, specifically dealing with Part IIA. Any Council owned sites found to contain a pollutant linkage would be further investigated (SI) and remediated, if necessary.

Ongoing consultation with Development Control regarding planning applications in relation to potential impact from contaminated land. Conditions would be specified on Planning Consent relating to investigation, remediation and validation. | 2 | 3 | 6 | Service Manager – Protective Services | Ongoing

Ongoing | Risk refreshed October 2019 with no change to assessment of risk scores.

New risk added January 2015 by Environmental Health Partnership Manager |
| C&P 10 | Specialist roles/ skills

The high number of specialist roles/skills within Communities and Partnerships means that for example service reviews, budget restrictions, long-term absence, cessation of contract etc. would compromise service delivery through 'single points of failure'.

There is a risk that staff absence could result in loss of capacity, skills and experience to undertake key roles required to deliver key tasks.

This would generate delay in production of key plans and reporting and could limit the organisation's ability to take informed business decisions.

An area of concern in the Customer Services team is the School Librarian role. Difficulties in recruiting due to a number of Councils UK wide reducing school librarian posts and once staff are in that role, there is a tendency to stay in that role so turnover is not high. When we do recruit, not a large amount of qualified staff apply. | Individuals encouraged to work jointly, where appropriate.

Project team approach to some areas of work.

Staff encouraged to have detailed work plans.

External support brought in if required.

Employees have the ability to work from home.

Continue to Identify critical 'specialist' work and contingency measures such as cross training, shadowing, alternative 'backup' provision and support arrangements.

Cross team training on issues such as project management and good relations with partner organisations such as the Improvement Service which allows for secondment of staff with specialist skills.

Support Chartership qualifications amongst existing librarian staff and have lower graded post-holders supporting the school library service in order to make best use of our qualified school librarians. | 4 | 2 | 8 | Service reviews are being completed throughout Communities and Partnerships. | 3 | 2 | 6 | Service Manager Corporate Policy & Improvement | December 2019 | Risk reviewed Sept 2019 with no change to assessment of risk scores.

Risk reviewed April 2018 – residual score reduced from 8 to 6.

Risk refreshed February 2017 - current score reduced from 12 to 8 and residual score from 9 to 8. |

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C&P 11	Corporate Health & Safety Controls & Legislation

Failure to implement adequate Corporate H&S controls and to comply with H&S legislation could result in poor performance, diminution of service and could result in injury to employees or the public leading to possible insurance claims and reputational damage to the Council.

Inconsistent H&S governance in respect of:
• The policies/practices in place
• Performance monitoring
• Statutory compliance
• Employee training

would leave the Council more open to accidents, incidents litigation and reputational damage.

Failure to adequately monitor and manage the health surveillance regime could lead to increased employee absence and intervention from the H&S Executive. | Safety Policy and Management arrangements & procedures and specialist staff in place.

The ELC H&S Safety Management System is in operation

Sphera data analysis to identify control and risk issues.

Reporting quarterly to JH&S Committee and reporting to JCG's ensures scrutiny by management and trades unions.

Health, Safety & Wellbeing Plan has been drawn up and approved by CMT

Programme of employee health and safety training in place.

Occupational Health and Physiotherapy partner contractors operate to specification set by Council and are monitored for performance and Standards Compliance | 2 | 4 | 8 | Service review underway to resource a full programme of inspections and audits to be undertaken which the Health and Safety Audit programme will monitor.

Review of Risk Assessments will identify where Health Surveillance is required. | 2 | 3 | 6 | Service Manager – Protective Services | December 2019

December 2019 | Risk refreshed September 2019 with no change to assessment of risk scores.

Risk refreshed February 2017 - Current score reduced from 12 to 8.

Two risks reviewed and combined to form this one risk by Service Manager CP&I February 2015 and refreshed January 2016. |
| C&P 12 | Compliance with ELC Safety Management Systems

Failure to comply with statutory Health & Safety Regulations resulting in financial risk to the Council through insurance claims and Fees for Intervention cost for incident investigation by the HSE.

Enforcement notices and/or other punitive actions may also apply If illness/ injury/death occur as a result of non-compliance.

Public interest/reputational damage may occur as a result of accidents to staff/service users/members of the public | Risk assessments in place for ~~all~~ most tasks to identify hazards/risks and implement control measures.

All employees receive an induction, have job outlines and follow the PRD process ensuring all are capable and trained to perform safely in their roles.

Managers/Supervisors monitor tasks for compliance with Safe Systems of Work.

Managers are attending ongoing training courses to ensure they have a good understanding of their role with regards to the requirements on them by current H&S Regulations.

All reported incidents are investigated to an appropriate level. | 2 | 4 | 8 | Ongoing work to support Managers to improve the quality of Risk Assessments (Property, Amenity Services and Facilities management) | 2 | 3 | 6 | Service Manager – Protective Services | March 2020 | Risk refreshed October 2019 with Current Score increased to 8 and Residual score to 6.
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| C&P 13 | Emergency Planning, Incident Response and Management

Failure to maintain, review and exercise Contingency Plans and to comply with current legislation or to contravene current legislation, which would result in severe penalties as well as an ineffective response to emergencies. | Contingency plans in place including generic, site specific, event specific and response specific while incident response processes and resources are identified in contingency plans.

Training and exercises to ensure emergency arrangements remain 'fit for purpose' and to test the robustness of contingency plans. | 2 | 4 | 8 | Nine Community Councils are considering creating Resilient Communities plans and two are not engaging. | 1 | 4 | 4 | Emergency Planning and Risk Manager

Service Manager – Protective Services | December 2019 | Risk refreshed November 2019 with no change to assessment of scores. |

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			Likelihood	Impact	Risk Rating		Likelihood	Impact	Residual Risk Rating			
			L	I	L x I		L	I	L x I			
	Any ineffective preparation and planning for potential crises and disruptive events such as those reflected within the Community Risk Register, that directly relate to the council as a 'Category 1 Responder' may result in the council's inability to effectively respond and manage the event in a way that minimises harm to the community, our employees and the reputation of the council.	Ensure that 'key' ELC players continue to stay abreast of incident/ emergency response arrangements and processes and are aware of their role and how they integrate with multi-agency partnership working. The Council continues to work with the Community Councils and other community groups e.g. Tenants and Residents Associations to promote and progress 'Resilient Communities' as per the Scottish Government initiative 'Ready Scotland' and Communicates directly with community groups when risk warnings are received. East Lothian Resilient Community workshops have been completed in October 2014, 2018 and 2019 to ensure all Community Council officials are fully aware of 'Resilient Communities' as per the Scottish Government initiative 'Ready Scotland'. Corporate emergency planning arrangements are in place, including media and public information arrangements. Working with other Category 1 and 2 Responders e.g. Police Scotland, SFRS, Scottish Ambulance Service, Utility companies etc. as defined by the Civil Contingencies Act 2004 to ensure an effective and integrated response. The Events and Resilience Officer deals with Events and Emergency Planning. Debriefing processes are followed to enable lessons to be learned and fed back into contingency planning. North Berwick Community Council has completed a plan and table top to ensure it is fit for purpose. The plan has been promoted to others as best practice. Eight Community Councils now have a full plan and volunteer list which can be activated. Pencaitland has a resource list only.			(yellow)				(green)			

Original date produced (Version 1)	06 May 2014					**Overall Rating**
File Name	Policy and Partnerships Risk Register					**Very High** (red)
Original Author(s)	Scott Kennedy, Risk Officer					**High** (orange)
Current Revision Author(s)	Scott Kennedy, Risk Officer					**Medium** (yellow)
Version	**Date**	**Author(s)**		**Notes on Revisions**		**Low** (green)
1	May/June 2014	S Kennedy		Former Policy and Partnerships Risk Register altered to become the Communities and Partnerships Risk Register with risks transferred in and out following realignment.		

Risk ID	Risk Description (Threat/Opportunity to achievement of business objective)	Risk Control Measures (currently in place)	Assessment of Current Risk			Planned Risk Control Measures	Assessment of Residual Risk [With proposed control measures]			Risk Owner	Timescale for Completion / Review Frequency	Evidence held of Regular Review
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Residual Risk Rating			
			L	I	L x I		L	I	L x I			
2		November/December 2014				S Kennedy				Community Partnerships, CP&I (Occupational Development, Health & Safety, Policy & Customer Feedback Risks refreshed)		
3		February 2015				S Kennedy				CP&I (EP, BC &RM) risks updated and all CP&I risks reviewed by Service Manager and Customer Services Risks reviewed by Service Manager. Community Housing Risks updated by Service Manager. Final review undertaken by Head of Service with minor changes made.		
4		November 2015				S Kennedy				Customer Service and Community Partnerships Risks updated by managers.		
5		January 2016				S Kennedy				Corporate Policy & Improvement Risks Reviewed		
6		February 2016				S Kennedy				Community Housing Risks Reviewed.		
7		December - February 2017				S Kennedy				Area Partnership Risks created and refreshed. Customer Feedback Risks transferred to Council Resources Risk Register. All risks refreshed by Service Managers and reviewed by Head of Service and CMT.		
8		November 2017				S Kennedy				Community Housing and Homelessness Risks moved to Development Risk Register while Protective Services and Trading Standards risks moved from Development Risk Register following Council Service Review.		
9		April/May 2018				S Kennedy				Protective Services, Customer Services, Community & Area Partnerships and Corporate Policy and Improvement Risks updated and then further reviewed by new Head of Service.		
10		July 2018				S Kennedy				Full Register Reviewed and Updated by Head of Service		
11		August – October 2019				S Kennedy				All risks updated by Service Managers.		
12		October 2019				S Kennedy				Register review by Head of Service and following this updates made by Service Managers.		

East Lothian Council
Risk Matrix

Likelihood Description

Likelihood of Occurrence	Score	Description
Almost Certain	5	Will undoubtedly happen, possibly frequently >90% chance
Likely	4	Will probably happen, but not a persistent issue >70%
Possible	3	May happen occasionally 30-70%
Unlikely	2	Not expected to happen but is possible <30%
Remote	1	Very unlikely this will ever happen <10%

Impact Description

Impact of Occurrence	Score	Description							
		Impact on Service Objectives	Financial Impact	Impact on People	Impact on Time	Impact on Reputation	Impact on Property	Business Continuity	Legal
Catastrophic	5	Unable to function, inability to fulfil obligations.	Severe impacts on budgets (emergency Corporate measures to be taken to stabilise Council Finances)	Single or Multiple fatality within council control, fatal accident enquiry.	Serious - in excess of 2 years to recover pre-event position.	Highly damaging, severe loss of public confidence, Scottish Government or Audit Scotland involved.	Significant disruption to building, facilities or equipment (Loss of building, rebuilding required, temporary accommodation required).	Complete inability to provide service/system, prolonged downtime with no back-up in place.	Catastrophic legal, regulatory, or contractual breach likely to result in substantial fines or other sanctions.
Major	4	Significant impact on service provision.	Major impact on budgets (need for Corporate solution to be identified to resolve funding difficulty)	Number of extensive injuries (major permanent harm) to employees, service users or public.	Major - between 1 & 2 years to recover pre-event position.	Major adverse publicity (regional/national), major loss of confidence.	Major disruption to building, facilities or equipment (Significant part of building unusable for prolonged period of time, alternative accommodation required).	Significant impact on service provision or loss of service.	Legal, regulatory, or contractual breach, severe impact to Council.
Moderate	3	Service objectives partially achievable.	Significant impact on budgets (can be contained within overall directorate budget)	Serious injury requiring medical treatment to employee, service user or public (semi-permanent harm up to 1yr), council liable.	Considerable - between 6 months and 1 year to recover pre-event position.	Some adverse local publicity, limited damage with legal implications, elected members become involved.	Moderate disruption to building, facilities or equipment (loss of use of building for medium period).	Security support and performance of service/system borderline.	Legal, regulatory, or contractual breach, moderate impact to Council.
Minor	2	Minor impact on service objectives.	Moderate impact on budgets (can be contained within service head's budget)	Lost time due to employee injury or small compensation claim from service user or public (First aid treatment required).	Some - between 2 and 6 months to recover.	Some public embarrassment, no damage to reputation or service users.	Minor disruption to building, facilities or equipment (alternative arrangements in place and covered by insurance).	Reasonable back-up arrangements, minor downtime of service/system.	Legal, regulatory, or contractual breach, minor impact to Council.
Minimal	1	Minimal impact, no service disruption.	Minimal impact on budgets (can be contained within unit's budget)	Minor injury to employee, service user or public.	Minimal - Up to 2 months to recover.	Minor impact to council reputation of no interest to the media (Internal).	Minimal disruption to building, facilities or equipment (alternative arrangements in place).	No operational difficulties, back-up support in place and security level acceptable.	Legal, regulatory, or contractual breach, negligible impact to Council

Risk	Impact				
Likelihood	Minimal (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	5	10	15	20	25
Likely (4)	4	8	12	16	20
Possible (3)	3	6	9	12	15
Unlikely (2)	2	4	6	8	10
Remote (1)	1	2	3	4	5

Key

Risk	Low	Medium	High	Very High