East Lothian Council

REPORT TO: East Lothian Council

MEETING DATE: 14 December 2021

BY: Chief Executive

SUBJECT: Corporate Risk Register 2021-22

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1   PURPOSE

1.1   As a result of a number of current Corporate and COVID-19 related work streams, together with associated increasing risk levels in some areas, it was deemed appropriate to present to Council at this time a live update on the Corporate Risk Register for awareness and approval. This report would normally be presented to Cabinet annually in May.

1.2   In providing this update, Council can review the refreshed Corporate Risk Register and the significant challenges facing the Council at this time.

2   RECOMMENDATIONS

2.1   It is recommended that Council approves the Corporate Risk Register and in doing so, the Council is asked to approve that:

- this is a live document which will be reviewed by the CMT, SMT, Risk Owners and the Corporate Risk Management Group on a regular basis and reported back to Council if required;

- agree that the relevant risks have been identified;

- agree that the significance of each risk is appropriate to the current nature of the risk;

- agree that the total profile of Corporate Risk can be borne by the Council at this time in relation to the Council's appetite for risk but in the context of the planned mitigations; and,

- recognise that, although while Corporate Risks require close monitoring and scrutiny over the next year, many are long term risks for the Council that are likely to be a feature of the risk register over a number of years.

3   BACKGROUND

3.1   In keeping with the Council's risk management strategy and reflecting upon the concurrent nature of risks managed by the Council, the Corporate Risk Register has again been refreshed, acknowledging the national and local impacts of the

continuing Business Continuity arrangements deployed across Council services in response to the pandemic. The opportunity has also been taken to review and update all corporate risks as at 03 December 2021. The report will be augmented by live verbal update by officers as applicable.

3.2   The Scottish Government's Strategic Framework and current response to the developing new COVID-19 variant, Omicron, continue to have significant impact on public services and community life. Critically, workforce capacity is being impacted due to COVID-19 self-isolation and or absence and also due to wider employment marketplace pressures impacted by post-lockdown economic upturn and scarcity of certain skill sets in the post-Brexit employment marketplace. These risk factors have been reflected in Corporate Risks ELC CR 1 – COVID-19, ELC CR 2 – Staffing Issues and ELC CR 3 – Duty of Care to Public and Public Protection which have been updated to reflect the current risk assessment and mitigations.

3.3   Critically, concurrent challenges and risks in delivering public services at this time focus capacity and resources in the delivery of core statutory services such as social care services and education services, and the support services essential to their delivery such as facilities management services and customer contact services. Managing these risks effectively generates consequential impacts on wider Council and partnership services for example, reduction in capacity to maintain non-statutory service at their optimum operating levels. Through ongoing deployment of Business Continuity Plans, services continue to prioritise business critical activity enabling capacity release to support essential statutory services.

3.4   In presenting the refreshed Corporate Risk Register 2021-22 to Council for approval, the Council Management Team would wish to draw the Committee's attention to the fact that all risks have been evaluated using the standard (5x5) risk matrix which involves multiplying the likelihood of occurrence of a risk (scored 1-5) by its potential impact (scored 1-5). This produces an evaluation of risk as either 'low (1-4)', 'medium' (5-9), 'high' (10-19) or 'very high' (20-25).

3.5   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/mitigate risk.

3.6   The refreshed 2021-22 Corporate Risk Register includes 4 Very High Risk, 7 High risks, 10 Medium risks and 1 Low Risk.

3.7   Three new corporate risks, on Staffing, Supply/Cost of Materials and Ash Dieback, are now incorporated within the Corporate Risk Register, rather than being within individual Service Risk Registers.

3.8   The corporate Brexit and COVID-19 risks continue to be reviewed by CMT on a monthly basis and are overseen by the COVID-19 and Concurrent Risks Oversight Group.

3.9 In accordance with the Risk Management Strategy 'Very High' and 'High Risks' identified in the Corporate Risk Register will be subject to closer scrutiny by the Council Management Team, Cabinet and the Audit and Governance Committee.

4 POLICY IMPLICATIONS

4.1 In approving 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 Council Management Team that recurring costs associated with the measures in place for each risk are proportionate to the level of risk. The financial requirements to support the Register for 2021-22 should be met within agreed budget allocations, including the COVID Fund Reserve and any further grant allocations from Scottish Government. Any unplanned and unbudgeted costs that arise in relation to any of the corporate risks identified will be subject to review by the Council Management Team and if required will be reported to Council.

6.2 Personnel – There are no immediate implications, however, given the current significant staffing challenges this area is under constant review.

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 – Corporate Risk Register 2021-22

AUTHOR'S NAME	Scott Kennedy
DESIGNATION	Emergency Planning, Risk and Resilience Officer
CONTACT INFO	skennedy@eastlothian.gov.uk 01620 827900
DATE	06 December 2021

Risk Ref.	Risk Description	Existing Risk Control Measures	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	Total		Likelihood	Impact	Total			
			L	I	L x I		L	I	L x I			
ELC CR 1	**COVID 19** If East Lothian Council does not have the appropriate plans/contingency in place to ensure continued delivery of business critical service during the COVID 19 outbreak there is a risk to our ability to provide an effective critical and emergency service to East Lothian's residents, communities and businesses. The current novel coronavirus (COVID-19) outbreak, which began in China in December 2019, presents a significant challenge for the entire world. The UK government and the devolved administrations, including the health and social care systems, have planned extensively over the years for an event like this, and the UK is prepared to respond. East Lothian Council is also well prepared to respond in a way that offers substantial protection to the public. Scottish Government implemented a wide range of strategy, legislation, policy and funding arrangements intent on supporting the containment of the spread of the virus across the country, whilst supporting communities and the economy sustain throughout the various stages of lockdown and easing of restrictions, resulting in a risk that the Council may not be able to flex and respond quickly enough to meet the developing situation and expectations set within these national strategies etc., particularly given the impacts of the virus on the Council's operating arrangements and staffing capacity . During the summer of 2021 there has been a real impact and increased risk in relation to Council employees having to self-isolate as close contacts of a positive case. At a time of increased annual leave and combined with sick leave and Brexit staff recruitment impacts on key sectors e.g. Facilities Management and the H&SCP etc. this has had a cumulative impact on services. Significant pressures are being faced within critical service areas as we have entered Winter 2021 particularly within the H&SCP and within FM services. Continued high levels of infection and service pressures would indicate a challenging winter ahead in respect of ongoing capacity and resilience.	Proactively communicating, and encouraging compliance with all government and public health authorities' advice and reducing the impact and spread of misinformation by relying on information from trusted sources e.g. NHS, Public Health Scotland and Scottish Government. Scottish Government Coronavirus Strategy, Legislation and Guidance is followed in responding to the impacts of COVID-19 within East Lothian. Council Management Team (Critical Incident Response Team) meets weekly to oversee and direct the Council's COVID-19 response. Emergency Co-ordination Centre stood ready for Crises Response if required. Services produce a Commonly Recognised Information Picture (CRIP) of local issues. COVID-19 and Concurrent Risks Oversight Group oversees the cross service COVID-19 response planning and operational service delivery ,considering implications of any relaxation of lockdown on ongoing service response, responding to Scotland's Strategic Framework and overseeing the work of a number of sub-groups which are covered in more detail within the full COVID Risk Register: COVID 19 Recovery and Renewal Coordination Group is deployed overseeing planning for recovery and renewal across East Lothian, overseeing a number of sub-groups: • Environment and Infrastructure Recovery and Renewal Group • Education Recovery Group • Connected Economy Group • Communities Recovery & Renewal Group • Health & Social care Recovery & renewal Group Resilience Direct is being used to share information on a multi-agency basis. Business Continuity Plans deployed in all services leading to ELC staff working from home unless it is essential for them to be in their place of work. Protective Services (Environmental Health and Trading Standards) support local businesses to ensure Covid-compliant business operations for their staff and customers. Protective Services are working in partnership with NHS Lothian in relation to the investigation of local Covid-19 cases/clusters and will, if required, attend PAG/IMT's, in support of Track and Trace national procedures to constrain the spread of the virus across communities..	5	4	20	Continued planning and implementation action across Services re-ongoing COVID19 response to national circumstances and Scottish Government guidance. Ongoing deployment of JCVI vaccine and booster programme and monitoring of Covid case prevalence across East Lothian to inform service interventions and timely community information and updates re service delivery and ongoing safety measures. Work is underway to identify and introduce a new mass vaccination centre to supplement East Lothian Community Hospital.	5	4	20	Council Management Team (Crisis Response Team) Council COVID 19 Oversight Group	All measures are live and monitored on a weekly basis.	Risk fully reviewed and refreshed by Executive Director of Place, CMT and Risk Owners December 2021. Corporate Risk created 18th March 2020 in response to COVID 19 by Risk Officer in collaboration with Head of Communities & Partnerships. Refreshed on a regular basis and reviewed at CMT meetings.

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	There is an ongoing risk as regards the Capacity and Resilience of the Council's workforce in responding to the pandemic alongside management and delivery of the Council and its services. This is being exacerbated by concurrent risks including weather emergency, COVID impact and winter related absence (ELC CR 2).

There is an additional strain on all staff from anxiety on individuals who have family members who are suffering and additional work caused by large numbers of absences.

Additional infection risks are being highlighted through the new variant of concern (Omicron). | Joint working with Police Scotland across all aspects of community life to constrain the spread of the virus and support local residents, business and visitors' community safety,

Extensive Elected Member Briefings, Staff Briefings and Manager Guidance issued.

Mass Fatality Plan refreshed while a remote registration of deaths is now in place with new procedures issued by National Registers of Scotland.

Resilient Communities Groups exist in each Community Council area and Groups are ready to stand-up when required.

Volunteer Centre East Lothian collaboration over support for local Third and Voluntary sector organisations responding to COVID-19 consequences across communities.

The Council provides a prime source of local EL public information, constantly updated, in the Council Website as well as regular updates on Social Media platforms.

Testing for all key workers is in place and readily available in the H&SCP.

Cockenzie operates as a part-time Symptomatic testing site, operated by the Scottish Ambulance Service.

National Mobile Testing Units, operated by Scottish Ambulance Service, operate as Asymptomatic Testing provision within targeted communities, in response to Covid case prevalence and are promoted county wide.

Static Asymptomatic Testing operates out of the previous Stoneyhill Community Centre, Musselburgh. Mobile Asymptomatic Testing Units, Home delivery and Collect Asymptomatic testing provision also available and funded by Scottish Government but operated by East Lothian Council. This provision and locations are communicated to the public.

Local promotion of Scottish Government's on-line asymptomatic Universal Testing Offer effective 26 April 2021.

Wellbeing implications for our workforce have been addressed re-mental health risks, health & safety risks, home working risks via employee and line manager briefings and guidance on wellbeing, health & safety, homeworking checklists. Guidance for managers and the employee wellbeing programme are available online.

NHS Lothian Gold meetings have been reinstated to a daily occurrence. | | | █ | Services review Service Delivery and prioritise essential critical and emergency service provision, and sustain essential corporate service provision e.g. IT systems, Payroll, Contact Centre et al.

Management of planned return to workspaces in accord with national guidance and local review of Assets and New Ways of Working. | | | █ | Heads of Service and Service Managers | Ongoing | |

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	Increased Financial Hardship The financial implications from COVID have continued to impact on the financial position of local business, local households and the Council Some welfare benefits have changed in response to this in order to help alleviate financial hardship, and some additional national funding has been made available to support those in need. Some mitigations to relax planning control to support businesses and services to diversify and continue to operate through the pandemic. This relaxation finishes at the end of September 2022, by which time businesses will have to either get planning permission or remove their temporary developments. As targeted interventions come to an end, there remains a risk that businesses and households will continue to face substantial financial hardship and there will be an increased risk that the Council and key support services e.g. Social Work, Revenues etc., may face greater demands for financial support from local residents and business. Council income streams could also be more severely impacted. Higher levels of unemployment or debt could result in more personal insolvency which would have a detrimental effect on the Council's ability to collect money owed.	**Re-Commencement of Statutory Debt Recovery Work** Statutory debt recovery work is back on track across Revenues teams. The Revenues Service is tackling debt recovery for Business Rates with sensitivity and in conjunction with the Economic Development team, recognising the fragility of the business sector at this time. **Support for Local Business** The new Retail, Hospitality & Leisure relief has been extended into 2021/22, however all eligible business owners must re-apply. The Service is contacting all potentially eligible businesses which have yet to apply. **Support for Residents** All teams are continuing to provide support and advice for EL residents and businesses struggling financially at this time and are continuing to encourage those who can continue to pay to do so. The Service is continuing to administer Self-Isolation Support Grants via the Scottish Welfare Fund framework. Low Income Pandemic Payments have been made to those meeting certain criteria, linked to Council Tax Reduction eligibility and certain Council Tax exemptions – 2119 payments. Work is still ongoing to manage the consequential issues which have been created as a result of crediting 5168 Council Tax accounts. The Service has refreshed the Coronavirus help/support leaflet and this is being promoted by a number of services and shared via the Comms team.			🟥	**Review of Suspension of Statutory Debt Recovery Work** Future debt recovery activity is being reviewed on a regular basis and in line with future national restrictions. **Business Ventilation Grant Support Scheme** New business ventilation support grants announced by SG to be administered by local government. Intervention support arrangements being developed by Economic Development alongside Protective Services, Planning & Building Standards. **Financial Insecurity Funding** During 2021/22 the Service is planning to spend its allocation of carried forward Scottish Government Financial Insecurity Funding: • £100k for SWF/Fuel Poverty • £150k for Discretionary Housing Payments **Tenant Grant Fund** The Revenues Service have a key role in identifying those who are potentially eligible for a payment towards their rent arrears via the Scottish Government's Tenant Grant Fund – this project is being led by the Housing Service. **Winter Fund** The Scottish Government has set aside £25 million flexible funding to support households experiencing financial insecurity over the Winter. It is likely that some of the allocation ELC receives will be disbursed via the Scottish Welfare Fund. Still to be advised of allocated amount. **Financial Inclusion Service** Recruitment to fill a vacant Financial Inclusion Adviser position has been carried out. Appointment pending. **Council Tax** Recruitment to fill one additional, temporary (12 month) Council Tax Officer has been carried out. Appointment pending.			🟥	Exec Director of Council Resources Head of Finance Service Manager - Revenues	Monthly reviews in place.	Service performance monitoring.
	Education The ongoing impact of the COVID-19 pandemic continues to present risks and uncertainty to the continuing education for learners. There is a risk that positive COVID cases continue to increase over the winter which will impact on both staffing and on continuity of learning. Staffing shortages in school staff and in facilities management continues to present a challenge to the sustained safe operation of schools.	Education follows Scottish Government and Public Health Guidance in developing service delivery plans. All Schools have Business Continuity contingency plans in place in the event that schools have to close. Ongoing communication to pupils, parents and staff of safe operating arrangements. Mass asymptomatic testing continues for all school staff and for secondary school pupils with LFT test kits			🟥	Ongoing review and evaluation of implementation of guidance and impact on school operation. Ongoing focus on asymptomatic testing and supporting the NHS in communicating about vaccinations. Continued recruitment of supply staff and FM staff.			🟥	Executive Director for Education and Children's Services Head of Education		

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	While SQA have confirmed the plans for SQA Awards in 2022, there is a risk that these plans may change again as a result of increased COVID cases.	Cleaning and risk assessments are an ongoing priority. Additional fogging is taking place as required and where there is a significant increase in number of positive cases. Implementation of remote learning when infection levels present a health and safety risk in particular schools. Daily consideration and risk assessment of available resource (including FM) and ability to maintain face to face learning across all schools. Education Recovery Group continues to meet regularly. Work streams continue to review and update guidance for schools and they continue to reflect any revised guidance from Scottish Government Face coverings are now mandatory on transport contract or public transport as per Scottish Government guidance while secondary students are required to wear them in public areas around the school and staff are also encouraged to wear them.				Ongoing communication to parents, carers, pupils and staff.				Education Management Team		
	IT and Digital Resilience We face an increased Information Security risk as spam and hacking attempts continue to rise. Some ELC staff working from home may find their IT use slower due to the speed of their own broadband connection which can be variable and is dependent on factors such as other devices are being used in the home and the number of other connections at the telephone exchange. Network usage has increased significantly due to the reliance on digital technologies. The rapid increase of remote working increases the likelihood and impact of cyber-attack against organisations as attackers exploit the situation. Also cyber security good practice for the office does not necessarily transfer to the home working environment – for example, staff may be working in an area shared with family meaning confidentiality of data on screens/during voice and video calls may be compromised. IT Supply Chain Issues have come to the fore in March 2021. The lead time for laptops, Chromebooks and iPads have now stretched to 6 months. This is causing problems for services, especially those with new starts requiring equipment. Scottish Procurement have indicated that this is a World Wide problem due to the shortage of semiconductors and is unlikely to change until 2023. The number of Service Desk calls have risen sharply during the COVID response. This is resulting in longer times to resolve staff problems which can result in staff being unproductive until their issue is fixed.	IT have purchased and deployed more than 2000 laptops to staff and 1800 Chromebooks to students well as supporting services to bring many others already issued into service. IT are now providing home based working support across the Council to more than 2,000 staff from an initial base of 12 contracted home workers. Maximising ELC staff mobile working technology e.g. introducing 5 video and voice conferencing platforms – Skype for Business, MS Teams, Connect Remote, Near Me and Google classroom (for schools use) and allowing controlled access to others used by other organisations via browsers. The Council's wide area network has been upgraded to increase capacity with a 10Gbps core now in place. New corporate Internet pipe in place and corporate and schools internet traffic now separated each with its own 1Gbps dedicated pipe. Local Area Networks have been upgraded in 5 of the 6 Secondary Schools. Email alerts have been used to remind staff of our security policies and good security practice whilst working from home. IT staff provide guidance on security issues as and when they arise while increased security monitoring is now in place on the infrastructure. Phase 2 of IT Service Review almost complete and additional temporary staffing resource secured for Service Desk activities. Call management system introduced to provide a better customer experience for those requiring support.				Information Security Officer working with Data Protection Officer and Corporate Comms to campaign for all staff with updated advice on safe working practice during current crisis. This will continue to be issued in various formats every 2 months. Ensure security systems are improved as and when required in line with advice from NCSC & other UK government security agencies. Have secured funding to replace the existing Wi-Fi networks in the main Council premises with a higher capacity system in preparation for staff returning to the workplace. Continue to implement parts of the M365 suite. The next two elements are Always On VPN and Intune which will enable us to phase out Direct Access and are on schedule to be live in mid-December. Replacement of Squirrel, the Councils main adhoc file store is underway. The new hardware is undergoing testing at present.				Head of Corporate Support Service Manager – I.T.		

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		Managed to purchase approx. 500 laptops outwith Scottish Government contracts to fulfil backlog of orders. Schools Internet upgraded during October mid-term break from 1Gbps to 2Gbps.										
	Recovery and Renewal The Council has had to adapt is delivery of services through the course of the pandemic and has continued to prepare for recovery in the context of the Civil Contingencies Act 2004. ELC will continue to lead recovery supported by our partner agencies.	The Multi Agency Recovery & Renewal Co-ordinating Group was stood up in June 2020 and has met monthly since.				Continue to ensure the preparedness for formal recovery and renewal. East Lothian Recovery & Renewal Plan (approved by Council 16 November'21) sets out 8 priority key priority areas, direct supporting actions and an articulation of when recovery will have occurred and the plan worked. The plan will remain dynamic and flexible and will be kept under constant review.				Executive Director - Place		
ELC CR 2	**Staffing Issues** Increased risk in relation to Council employees having to self-isolate as close contacts of a positive COVID case, coinciding with a time of increased annual leave as a result of staff having delayed leave to manage COVID pressure combined with sick leave exacerbated by Brexit related staff recruitment impacts on key sectors. Staff have also been dealing with the pandemic for over 18 months which is generating fatigue and mental health issues, which are also impacting on staff absences. At the same time the Council are competing with other employers when trying to recruit staff and face challenges in this as the private sector has more flexibility regarding terms, conditions and salaries. This has made it particularly difficult to respond to Scottish Governments short term COVID response funding/staffing initiatives. A lack of staff for the above reasons has resulted in a reduced ability to provide a full range of services to the public and to provide internal support services, with only critical activities being provided in many areas. In some services this could result in risk to life and severe reputational damage to the Council. Insufficient staff can also lead to an inability to open establishments and maintain the services provided. The impacts are widespread across Council services, these challenges have had a cumulative and significant impacts on the following services in particular: • Facilities Management • Health & Social Care Partnership - • HR & Payroll • Registration • Burials Team • Waste Services • Transport Services • Housing • Connected Communities • Community Centres & Libraries • Contact Centre & Community Response Team	Daily assessment of staffing capacity within services leading to resource challenges and essential redeployment of available resources to maintain frontline service delivery, reducing service provision when essential in non-statutory services. Currently we are undertaking high levels of recruitment. Over recent weeks ELC have had amongst the largest volume of adverts on MJS out of the 32 LA's (which in itself creates resource issues for our HR team in dealing with these volumes) which is significant for an authority of our size. Services Council wide are regularly required to ask staff to work additional hours and overtime to deal with the staffing issues. Making full use of our Agency frameworks. Though agencies are facing similar issue in sourcing key staff, many are now unable to supply. Managers continue to apply the Managing Attendance Policy. The Council has updated its COVID and Self Isolation Guidance allowing those self-isolating to return to work sooner than the current ten days. Some Council services are reducing the delivery of the service they provide to combat the issue e.g. facilities and community centres & libraries. Scottish Government is providing assistance and funding, particularly to the H&SCP although this can have a consequential impact on support services e.g. HR, Payroll. The Council is now fast-tracking Disclosure checks for H&SCP employees.	5	4	20	Contingency planning and identification of non-business critical activities and staff who may be trained to deploy to essential activities when required; including consideration of closing service areas if required. The Council has agreed to utilise the COVID Recovery Fund to recruit to temporary posts to alleviate pressures. These posts are still to be recruited to. H&SCP are in discussion with partner organisations to investigate whether locum staff can be recruited. The First Minister has agreed that Local Authorities can recruit permanently to temporary posts, where this is possible. This is something ELC will look at for high risk areas. The HR service is reviewing community based advertising methodologies e.g. poster campaigns, pro-active social media campaigns and recruitment fairs. The Council could investigate the use of the Market Supplement Policy in difficult to recruit areas, where it can be demonstrated that the market rate makes the Council no longer competitive. This does come with a number of other risks to the Council so should only be used in very exceptional circumstances as an allowance and as an absolute last resort. Develop graduate intern opportunities to meet service professional requirements. Consideration of expanding the apprenticeship programme.	5	4	20	Head of Corporate Support CMT	All measures are live and monitored on a weekly basis.	The Staffing Risk has been reviewed in December 2021 by CMT and the decision was taken to increase the residual risk score from 16 to 20 as even with all measures in place a period of review will be required to measure whether or not the situation has improved and the risk has reduced. New Corporate Risk created October 2021.

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	• Customer Services • Skilled Trades within Property Maintenance • Key Finance and Banking Staff • Legal • Roads – At this moment in time have sufficient resources to deliver winter maintenance operations, although monitoring due to national shortage of LGV drivers. Roads require 54 staff to deliver the winter maintenance service (45 LGV drivers, 3 loaders, 2 duty clerks and 4 duty officers). Substantial resilience issues are presenting in the management of concurrent risks e.g. Weather emergency - Storm Arwen.	Support is provided by Amenity services to supplement the winter emergency response team. Training up of some staff to gain LGV licence in order to be able to drive gritters is being progressed. CMT Emergency Planning Training				Service Reviews involving inputs from HR and Finance to ensure appropriate role and grading definitions within the service and broader corporate context. A debrief will be carried out on Storm Arwen noting lessons learned and promptly implementing subsequent actions. Review and broaden-out leadership resilience and service capacity within all ELC Contingency Plans.						
ELC CR 3	**Duty of Care to Public and Public Protection** The Council has a responsibility to provide care and support for the people of East Lothian and East Lothian's environment. Any breach of this duty of care may compromise legislative duties, health, safety and wellbeing, impacting on, for example, the protection of children and adults. Failure to fulfil the duty of care could also result in serious harm/death to an individual/s, prosecution, having to pay compensation and have a negative impact on the reputation of the Council. A failure to secure efficient and effective Public Protection arrangements, covering Child Protection, Adult Support and Protection, Offender Management, Violence against Women and Girls (VAWG) and Substance Misuse services, may see the Council being unable to fulfil its statutory duties/duty of care which could contribute to a service user suffering harm/death or detriment. This would in turn result in reputational damage to and increased scrutiny of the Social Work services. The duty of care is at the heart of the Council's approach to risk management. The likelihood of this risk occurring is influenced by a range of factors including: 1) The medium to longer term impact of the Covid-19 pandemic, on the mental and emotional wellbeing, and coping mechanisms of children, young people and adults, and their access to supports, where their needs are not reaching the threshold for statutory intervention. Access to and availability of earlier intervention supports and services are likely to continue to impact on vulnerable children and families. (2) Complexity of service delivery, infrastructure, environment and partnership arrangements across the Council services; (3) Increasing population and the number of vulnerable people in East Lothian;	Strategic Structure The East and Midlothian Public Protection Committee (EMPPC) The East Lothian and Midlothian Public Protection Committee (EMPPC) is the local strategic partnership responsible for the overview of policy and practice in relation to Adult Protection, Child Protection, Offender Management and Violence Against Women and Girls. The primary aim of the Committee is to provide leadership and strategic oversight of Public Protection activity and performance across East Lothian and Midlothian. It discharges its functions through four sub-groups which meet quarterly: • Performance and Quality Improvement sub-group maintains overview of work through the door and performance in relation to CP and ASP work • Learning and Practice Development sub-group takes forward our 2021-23 strategy for Multi-agency training, and oversees our training programme • VAWG delivery group keeps oversight of services for gender based violence • Offender Management Group oversees MAPPA arrangements. Critical Services Oversight Group (CSOG), Provides governance and leadership of EMPPC on a quarterly basis Marac (Multi-agency risk assessment conferences) continues to operate on a four weekly basis, by Microsoft Teams, with additional meetings scheduled to respond to increase in demand, ensuring that the needs of and supports to highest risk victims of domestic abuse are planned for on a multi-agency basis A Joint Strategic Needs Assessment for Public Protection has being developed and is being reviewed by CSOG. This projects increased demand for services and makes a number of recommendations for the future delivery of Public Protection services. ASP preparation for inspection work: • A self-evaluation of Adult Protection in East Lothian has commenced	5	4	20	Work is underway to prepare for Adult Protection inspection (no date identified/inspections resumed in June 2021) – programme of audit and self-evaluation is underway. A multi-agency strategic planning group has been established with key personnel from East Lothian HSCP, NHS Lothian, Police and Public Protection Office. This group will plan and oversee preparation activity. Public Protection Manager will review the 0.5 Learning and Development Co-ordinator post with senior managers across the EMPPC partnership, and will consider the most appropriate way of using this resource. Critical Services Oversight Group to review the Joint Strategic Needs Assessment and consider the recommendations and actions arising from such. Timescale Jan – Mar 2022. The Public Protection Manager is liaising with communications professionals in East Lothian to explore options for the development a new website for the EMPPC or a satellite website hosted within the East Lothian Council website. This is not likely to be in place before 2023. Training needs analysis is underway within the HSCP (being led by the Workforce Development Officer) Learning and Development Sub-group. This will identify training requirements and an indication of unmet need. Child Protection Lead Officer will evaluate pilot of new approach to supporting Safe and Together training – with a view to rolling this out further if evaluated positively.	5	4	20	Chief Executive Critical Service Oversight Group Executive Directors Director of East Lothian Health and Social Care Partnership Chief Social Work Officer Public Protection Team Manager Health and Safety Team	June 2022 March 2022 January 2022 December 2022 February 2022 January 2022	The Risk has been reviewed in December 2021 by CMT and the decision was taken to increase the current risk score from 12 to 20 and the residual risk score from 8 to 20 due to the current nature of the risk and the fact that, even with all measures in place a period of review will be required to measure whether or not the situation has improved and the risk has reduced.

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	(4) Increased population and more complex service demands presented by an increasing number of service users whilst resources have reduced (5) Levels of deprivation in East Lothian; 6) Capacity in partnership and purchased services. In particular, there are risks in relation to staffing shortages and capacity challenges of care at home providers in East Lothian, which leaves vulnerable adults at risk of not receiving their care at home support. EL H&SCP have not instigated Large Scale Investigations in respect of two providers where otherwise the local procedures would indicate that these should be considered. Instead daily operational meetings and weekly oversight groups are taking place with the support of the Adult Protection Lead for East Lothian. The EMPPC website is not fit for purpose and does not meet the accessibility requirements. There is a risk that staff who require refresher training in Child Protection and Adult Protection do not receive this within a two year timescale – the current focus is on delivering training for staff who have not done any of the core courses. There is a risk that children and families staff do not manage to complete the core Safe and Together training (4 days) which is designed to be completed on a self-learning basis.	• Other quality assurance activities and audits are undertaken by the lead officers for Adult Protection and Child Protection, in partnership with HSCP and children's services managers. There is an ASP inspection preparation group in place which meets regularly to plan self-evaluation and preparation for inspection activities. ELC H&SCP Management attend NHS Gold meetings where the capacity gap is detailed and set in the context of the wider system risk caused by challenges facing NHS Lothian acute sites ELC H&SCP have established a weekly Care at Home Oversight Group rather than progressing Large Scale Investigations. This multi-agency group maintains close monitoring and risk management of the current Care at Home Crisis. The council's Chief Social Work Officer attends this meeting as one means of discharging the statutory duty of assuring the quality of care provided by social work and social care services. A risk management tool has been developed to provide consistency in how the providers are assessing their capacity to respond and deliver their required level of service. Policies, Protocols, Procedures and Guidance are in place, subject to ongoing review and update and available on Public Protection website: www.emppc.org.uk. Chief Social Work Officer (CSWO) fulfils statutory role and responsibilities, overseeing and reporting on Public Protection issues to Chief Executive and Elected Members, reporting annually to Council giving oversight of Public Protection performance including assessment of risks and pressures. The Council continues to work towards delivering the UK Government's Counter Terrorism strategy, known as CONTEST, of which Prevent is a key element. EMPPC has a Prevent referral pathway which has been reviewed. Re-alignment of service areas and responsibilities across the HSCP has resulted in the creation of a dedicated team manager post in statutory services. This post holder has responsibility for supporting the link between strategic and operational activities. The Lead Officer for Adult Protection now leads the Council Officer forum, to support learning and practice and process consistency in Adult Protection. All Regulated Services e.g. Care homes for older people, residential units for young people, Schools are inspected by Care Inspectorate and Education Scotland. Improvement plans are implemented following all Regulated Services inspections. A weekly Care at Home Oversight Group has been established to oversee and manage risks in relation to staffing Both the Lead Officer for Child Protection and Adult Protection participate in the Inter-agency Referral				The current Care at Home Crisis is an agenda item for the East Lothian and Midlothian Public Protection Committee to review the level of risk and response of the H&SCP at their meeting on the 14th December. EL H&SCP is considering the impact of a move to the provision of care at home being only for those whose need is absolutely critical. This would be a reduced offer in relation to the current COSLA guidelines. IJB is meeting on 13th December and will receive an updated brief on the position						

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			L	I	L x I		L	I	L x I			
		Discussion Overview Group, which reviews and provides quality assurance of the decisions taken to manage vulnerable children and adults risks.										
ELC CR 4	**Supply/Cost of Materials and Labour** The construction materials market is currently volatile due to a number of factors including Brexit and the Pandemic impact upon the production and supply chain. Scotland Excel have confirmed a 23% increase in framework prices for timber and sheet materials. Current challenges include: • Significant / unexpected upturn in worldwide workload • Covid-19 recovery & logistical constraints • Supply from the European Union • Hedging and bulk ordering • Increase in cost of raw materials – due to Covid-19, post-Brexit trading rules and rising oil prices • Shortage of drivers of Heavy Goods Vehicles These challenges have had significant impacts on construction, including: • Massive increase in demand is resulting in shortages on key products and placing strain on labour availability. • During the pandemic manufacturing facilities were closed and the world's distribution network was impacted and is still recovering. • Although there is now a trade agreement, the borders and customs processes add administration, time and cost. • Materials suppliers, main contractors and major UK projects (e.g. HS2) have stockpiled or bulk secured manufacturing and supply slots. • High percentage increases in the cost of particular materials e.g. copper, steel, timber, concrete. • The lead-in times for delivery of materials have increased. • Shortages in components e.g. for mechanical, electrical and IT The main impacts are live project delays, delays to future projects, cost increases, contractors unable to submit fixed-price Tenders, higher risks for Contractors. The risks apply to capital and revenue-funded works for • Property • Roads • Housebuilding generally • Affordable housing programme • Maintenance and lifecycle works in the operational / non-operational and learning estate and PPP Project. • Maintenance and repairs • Domestic compliance programmes • Energy efficiency programmes • The majority of all other procurement related purchasing is being impacted	Regular contact with our suppliers who have contact with their suppliers Also looking at alternative specifications with our suppliers for cladding etc. Updates from Scotland Excel Prioritisation – deciding which works are essential, balancing time, cost and risk, possibly delaying works until the market settles Planning – assessing project programmes and possible procurement options Reporting – providing information to funding bodies, Council management and other services Monitoring – Continuing to liaise with industry bodies, working groups, other local authorities, the Scottish Government, suppliers and contractors to keep the Council informed. The Council is aiming to pre-order and provide enhanced stock management on certain materials where appropriate. Regular discussions are taking place on the Capital and Revenue Investment Plans. Continue to apply BCIS increases, monitor acceptance of offers and continue to maintain dialogues with framework contractors. Continue further engagement with Scottish Government, Government Agencies and Professional bodies.	5	4	20	Enhanced value engineering and prioritisation of specification and design parameters. Reviewing the opportunity to phase planned works rather than deliver wholesale projects. Consideration to delaying capital and revenue projects where appropriate and possible. Enhanced partnership working with HUB and major suppliers to enable pre ordering and project budget caps to be set - whilst this carries risk of increased front loaded costs used correctly it can cap risk and enable controlled project delivery. Consideration of enhanced contract payments to transfer risk to the private sector – by paying upfront to cap project risks of escalating costs from Covid and material increases project caps can be set to limit overall risk to the Council. Capital Plan review and prioritisation - using what we have differently to deliver essential projects at the expense of less essential.	4	4	16	Head of Infrastructure CMT	All planned measures are to be reviewed/progressed over the coming weeks.	New Corporate Risk created October 2021 and reviewed & refreshed during November and December 2021.

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	Risks have both financial and programme implications. Higher material and labour costs are not necessarily being reflected in the building cost indices (BCIS) used to vary building framework prices in line with Procurement rules. This could result in ranked framework contractors declining offers of work. Note the BCIS All-in Tender Price Index for quarter 3 2021 has an increase of 1.9% from the previous quarter of 0.8% to 2.7% and a continual rise on this is predicted over the next five years. Housing service delivery The impact over the short and medium term on voids / relets and in turn impact on allocations and homeless households.	Corporate Procurement have indicated that we cannot adjust Framework pricing mid-term. However agreement has been reached that larger projects can be issued for mini-competition amongst all ranked framework contractors.										
ELC CR 5	**Climate Emergency** East Lothian Council has had statutory climate change duties since 2011. The Scottish Government's Climate Change Act (2009) section 44 requires us to mitigate emissions and adapt to climate change to support the delivery of Scotland's national net zero target and adaptation programme. The risks associated with the responsibilities are: • Failure to meet our statutory duty in Scotland's Climate Change Act (2009) • Lack of financial and staff resources to mitigate emissions and deliver the net zero target by 2045 • Unknown costs of the transformational change needed to adapt and build resilience to climate change impacts • Risk aversion, particularly in relation to new technologies that could support mitigation and adaptation • Reputational damage and failure in corporate social responsibility if climate action is not mainstreamed and embedded across the Council • Lack of/unclear funding and unbudgeted costs to reduce carbon emissions, e.g. for the transformational changes needed in Fleet[1] and Asset[2] Management The Council are making progress on the Climate Emergency risks. However, there is an urgent need to secure the funding, resources, tools and powers to enable us to deliver net zero. Until then, our capability of transformational change to reduce these risks is uncertain. [1]Fleet Management: We need to replace public sector fleet vehicles with ULEV by 2025. However, funding from the Scottish Government is limited and focused on smaller vehicles. Shifting ELC's heavy commercial fleet to a UNLEV platform will require additional unbudgeted funding. Currently, the cost of an EV refuse collection vehicle is 2.5 times more expensive than a fossil-fuelled equivalent. Another cost implication is the	Existing measures in place by the Council to handle the climate emergency and address associated risks are: • Annual reports to the Scottish Government, keeping track of the Council's progress to mitigate greenhouse gas emissions and adapt to climate change. • The Council's Climate Change Strategy (2020-2025) and Action Plan to achieve net zero by 2045 at the latest. Annual reports are sent to Cabinet to track progress and action updates. • The Council's Climate Change Planning and Monitoring Group, meeting every fourth month to ensure Council-wide commitment to the Climate Change Strategy and Action Plan. The group is chaired by the Executive Director of Place and members include Heads of Service, Service Managers and Officers. • The Council's Energy Transformation Board, meeting every second month to improve energy efficiency and energy supply from renewable sources. The Board is also generating income from installing low carbon technologies across the Council's estate. • The Council's COVID Recovery and Renewable Framework, in which a Green Recovery from COVID is a key principle. • The Resilient Communities initiative, which prepares our communities for emergencies and severe weather events in partnership with the Council. • The Corporate Risk Register, in which impacts of climate change (e.g. extreme weather, sea level change, business continuity plans) and coping strategies are covered. External partners supporting in addressing these risks are: • Sustainable Scotland Network (SSN) and the Scottish Government, guiding public authorities to implement the National Climate Change Plan Update (Dec 2020).	4	4	16	Planned actions to support existing risk measures are: a) Identify budget and funding streams to continue delivering transformational change to Fleet and Asset Management (e.g. staff resources to chase funding opportunities and support services to access them). b) Identify the implications of the Scottish Government's Climate Change Plan Update (Dec 2020) on the Council's Climate Change Strategy and Action Plan, c) Continue securing the tools, powers and resources to enable the delivery of a 'Net Zero Council'. d) Identify interim emission reduction targets across Council Services and implement a monitoring & evaluation framework in response to this. e) Produce a Climate Change Communications & Engagement Plan to continue mainstreaming climate action across Council Services. f) Continue engagement with local partners to set carbon emissions reduction targets and take climate action g) Engage East Lothian Partnerships to include carbon emissions reduction targets in review and update of the East Lothian Plan h) Set up a Citizens Assembly /Climate Change Forum.	3	4	12	Chief Executive Head of Development Sustainability and Climate Change Officer	a) Ongoing with annual review b) 2025 / reviewed annually c) Ongoing with annual review d) Ongoing with annual review e) March 2022 f) January 2022 depending on COVID and opportunities for engagement g) March 2022 depending on COVID and opportunities for engagement h) April 2022 depending on COVID and opportunities	Risk refreshed by Sustainable Energy and Climate Change Officer November 2021 with no change to risk scores. 'Carbon Management' Risk refreshed revised and renamed Climate Emergency Risk in relation to the Council's Climate Emergency Response. Current and Predictive Risk scores increased from 9 and 6 to 16 due to the declaration of a Climate Emergency.

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	charging infrastructure needed to support these vehicles. ²Asset management: We anticipate the costs of transformational change for our built assets to reach net zero to be substantial. To achieve net zero, we need to ensure that capital is available (e.g. capital for asset reconfiguration, energy efficiency measures, energy generation, etc.). It is key to manage Council assets in line with the climate change agenda.	• Adaptation Scotland and SSN, ensuring consistency and collaboration between public bodies in the response to the climate emergency. • Transport Scotland, funding ELC's ULEV public sector fleet objective (2025). NB, funding options are limited to be either lease of part funded purchases. Thus, the opportunities to fully utilise ULEVs are limited. The Sustainable Transport Officers Group, which coordinates a multi-departmental response to increase active and sustainable travel.									for engagement	
ELC CR 6	**Brexit** The Trade Co-operation Agreement (TCA) was agreed on Christmas Eve 2020 and ratified by UK Parliament on 30th December 2020 via the European Union (future relationship) Act 2020. The TCA is wider in scope than most free trade agreements and also covers the most urgent matters, however, remaining provisions such as rules on state aid are in preparation. The agreement has reduced a number of trade barriers in relation to cross-border services. The UK Subsidy Control Bill 2021 is currently at Committee Stage in the House of Commons, this will establish an ongoing framework for the giving of subsidies out of public resources. This agreement will have an impact on the local economy, local funding and the delivery and funding of council services. With a fast-changing political environment, the wider ramifications of the decision to leave the European Union are yet to be fully identified. Whilst there may be some opportunities, there is also considerable uncertainty that affects areas of the economy, financial markets, interest and exchange rates, construction, grants from the EU, Investment and other non-financial aspects. While we remain in a period of uncertainty we continue to see and anticipate a gradual slow down and potential council impact (+/-) on: • Inward investment and positive awareness of the UK; • EU funding for council-led business and training projects is known with the timescale permitted for delivery, however the university, farm businesses and other players will be accessing funding from EU sources which will be stopped at some point. There has been an announcement on a replacement funding model on which the detail of this is being assessed. • It has been announced that UK Government will be leading on the UK Prosperity Fund and have confirmed that this will not be within the jurisdiction of the UK Devolved Administrations. • Management of State Aid – COVID Business Support Grants currently administered by ELC constitute State Aid (now known as Subsidy Control under UK legislation). The UK Government held a consultation on Subsidy Control, the results of which were published in June 2021 at the same time as the Subsidy	The wider ramifications of the decision to leave the European Union are yet to be fully realised and felt in national and local economy. Whilst there will be some opportunities there is also uncertainty that may affect areas of the economy, financial markets, interest and exchange rates, construction, grants from the EU, Investment and other non-financial aspects. The CMT appointed a strategic and tactical level Lead Officer to keep an oversight on ongoing EU Exit developments and "EU-exit" has been acknowledged and remains a Corporate Risk. ELC remains aware of the subsidy control situation and continues to monitor the progress of the Bill and any potential impacts on LA Grants. Measures are currently in place to ensure Special Drawing Rights / De minimis levels are not exceed by east Lothian Council. "EU-exit" contingency planning is a standing item on the CMT agendas. COSLA published a paper in January 2021 on "UK EU Post Transition" providing Council leaders with an update on the TCA and potential issues for local government. COSLA then published an "EU Exit Local Impacts Review" in August 2021 which was circulated to Council leaders. CMT established an appropriately represented corporate level "D20 EU-Exit Working Group" chaired by the appointed Strategic Lead Officer. This group has been stood down as there are no immediate issues for it to deal with. Any service level risks are being monitored at that level. The Council has also established a Connected Economies Group (CEG) which has a multi-agency membership, providing the Council with a forum to communicate and link with Elected Members, Local Trade Agencies and Organisations, Tourism representatives, the DWP and Scottish Enterprise. Council Officer representatives have attended EU-Exit related meetings, national Brexit preparedness sessions and training run by COSLA, RRP, LARGS and Scottish Government and have contributed to Resilience Partnership Planning for Reasonable	4	4	16	We continue to seek clarity over how the Government plans to address the potential EU funding gap, retain highly skilled migrants and support trade.	3	4	12	Council Management Team	All actions ongoing and dependant on decisions taken by UK Government	The risk continues to be reviewed on a monthly basis throughout 2021. Following the TCA being in place the current risk was reduced from 25 to 16 and the residual risk from 25 to 12 in February 2021. The risk score was increased from 16 to 25 during December 2020. New risk created and evolved by CMT and Brexit Working Group during 2019/20.

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	Control Bill 2021 was introduced. There remains an uncertainty regarding risk ownership between Local Authorities and Scottish Government until this bill is passed. • Increased import and export costs for local businesses due to increased administration overhead and introduction of tariffs in accordance with the UK Governments border operating model. Trade and Co-operation Agreement makes most trade tariff free, however, there are still administration costs. • Council and local business workforce pressures • Procurement • Supply Issues remain for IT Hardware and are unlikely to change until 2023. • Inflationary pressures. Which could reduce and could in turn impact on the council, the university, housing market, capital costs resulting from increased cost of labour which could slow business rates growth (Inflation risk based on latest OBR predictions), workforce pressures e.g. regulatory services, social care providers, procurement costs, inflationary pressures caused by fluctuations in sterling value and potentially a loss of EU grants funding. • Price increases related to Services, Materials and in particular fresh food supplies. Key potential causes are: • Gradual slow down during period of uncertainty. • Border disruption • Workforce pressures e.g. regulatory (food imports/export), social care providers. • Inflationary pressures caused by fluctuations in sterling value. • Loss of EU grant funding From 1st January 2021 UK introduced a points-based immigration system treating EU and Non-EU citizens equally. Priority is given to skilled workers with a job offer from an approved sponsor. Applicants also need to be able to speak, read and write English and meet a salary threshold of £25,600 or have an offer for a job in shortage occupation. In the medium to long term, a national skill/ recruitment gap is evident, particularly for occupations that are not highly skilled e.g. care work, agricultural labouring, food manufacturing etc. Overall national and local economic impact in relation to: · RPI, cost of goods, services, supplies · Overall employment · Cost of borrowing · Availability of goods on import and cost if available Data Protection –It is possible that future changes to UK Data Protection laws could diverge from the EU regulatory regime, affecting the EU's 'adequacy	Worst-Case outcomes and the layering of multiple scenarios and outcomes. Specific HR Actions for EU National Employees: • Project plan created to capture major milestones and actions from November 2018 to June 2021 • Reviewed and amended job adverts to signpost EU nationals to sponsorship arrangements and thresholds. • Communications issued to managers to advise of new requirements necessary to employ an EU national. • The Council has renewed and increased its Certificate of Sponsorship allocation. • Created additional capacity within HR Payroll System to easily capture and report on nationality and right to work. The settlement scheme application date has now passed. There are some very few exceptions to this and the details are available here: Apply to the EU Settlement Scheme (settled and pre-settled status) - GOV.UK (www.gov.uk). A Lothian & Borders Local Resilience Forum is in place, including the ELC EP, Risk & Resilience Manager, engaging and liaising with partner agencies through the East Regional Resilience Partnership (RRP) and Lothian & Borders Local Resilience Partnership (LRP). This ensures partnership working processes are in place and understood, should such processes be invoked. Economic Development are continually reviewing and updating website business pages and its' Business Gateway (webinar offerings). The Council has engaged in business continuity collaboration arrangements with local partners and neighbouring Local Authorities: via LRP/RRP. The Council has assessed internal essential services business continuity arrangements. The Council has employed horizon-scanning activities to identify and communicate emerging risks. Seeking guidance at early stage from COSLA, SG and other sources around emerging thinking on Shared Prosperity Fund and Rural Development Fund as replacement support for ESF/ERDF and LEADER/Fisheries. There are 3 new funding schemes taking us beyond EU funding including one which serves as the Shared Prosperity Fund (SPF) pilot: • Shared Prosperity Fund • Levelling Up Fund – 21/22 – 24/25 • Community Ownership Fund The council is considering project(s) for submission to the Levelling Up Fund and will provide advice and support for community organisations considering										

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	agreement' for the UK and risking impediments to data sharing with EU countries. We are currently awaiting the outcome of a UK Government public consultation via DCMS on a new Date Protection regime, with no immediate action indicated.	submitting applications to the Community Ownership Fund.										
ELC CR 7	**Managing the Financial Environment** The Council may not be able to manage its obligations within the resources available. The Council is operating in an increasingly complex financial environment which has become further complicated due to managing the financial implications from COVID. Reducing levels of core national funding relative to rising demand, increased ring fenced and short term funding settlements, and rising demand for services, creates significant challenges to ensure that the Council remains financially resilient and services can be delivered sustainably. The Council is managing a multitude of pressures, and these have been increased significantly in recent months due to the financial implications arising from COVID 19. If these pressures are not successfully planned for and managed effectively over the short, medium and longer term there would be a serious risk of unplanned / reactive budget realignments with significant adverse impact on availability and quality of both front-line services and necessary investment in the Council's infrastructure and asset base. This includes the requirement to successfully plan and deliver recurrently identified savings proposals. Over the medium term it is highly likely that the Council's grant from Scottish Government will, at best, remain static and may even reduce. At the same time the Council continues to face significant cost and demand pressures. These pressures include: (1) Supporting the resource requirements associated with the delivery of the growth agenda resulting from the Local Development Plan; (2) Associated demographic change and social-economic pressures; (3) Growing inflationary pressures and contractual commitments including pay and pensions; (4) Potential financial costs associated with a wide range of new obligations or legislative changes. (5) Managing the financial implications from COVID interventions and recovery. (6) Enhanced risks relating to receipt of S75 contributions which will impact on capital and revenue financial planning. Given that the scale of the additional financial pressures and challenges, there remains a risk that	The Council has well developed medium term financial planning arrangements. These include: • Five year financial strategy; • Three year General Services revenue budgets; • Five year General Services capital plan budgets; • Five year Housing Revenue Account revenue and capital budgets. The Council approves a Financial Strategy, Capital Strategy and Treasury Management Strategy which governs the financial planning for the organisation. The Financial Strategy contains an enhanced reserves strategy which sets out the current level of reserves and associated commitments, including a requirement to maintain a minimum level of uncommitted reserves to support any unforeseen event. The Council has an enhanced range of cost control and financial management arrangements to manage in year budget performance and delivery of planned efficiencies. This includes monthly management information to CMT and wider Council management, and quarterly financial information to Council. This provides mitigating controls in terms of the immediate financial risk and pressures the Council is faced with. A Financial Monitoring Risk Assessment is in place where services are assessed and provided within a risk rating. Any service areas which are classified as High Risk are asked to prepare financial recovery plans, and enhanced financial controls are in place. Continue to closely monitor information arising from both UK and Scottish financial settlements through intelligence gathered from COSLA, professional bodies such as CIPFA Directors of Finance and also credible professional commentators. Quarterly financial reviews are reported formally to Council for wider scrutiny setting out the in-year financial performance against approved budgets. The Council has enhanced the in-year financial monitoring to include the financial support received to date and implications faced by COVID-19. Payment processes have been amended to accommodate remote working, ensuring creditors obligations can continue to be paid and allow use of direct banking faster payments.	4	4	16	Enhanced in year monitoring and review of expenditure commitments against approved budgets. Support the delivery of a Council budget, and medium term spending plans aligned to Council priorities and medium term financial planning assumptions. Continued development of longer term scenario based financial planning to inform future decisions and longer term financial strategies and financial plans. Continued scrutiny and challenge of planned efficiency measures to ensure they can be delivered and achieved within agreed timescales. Development of a refreshed Transformational Programme to support the transformation of services and deliver enhanced efficiencies. Undertake a review of budget development framework. Development of a refreshed Capital and Treasury Strategy supporting the future capital programme and treasury management and investment requirements. Ensure the financial strategy sets a clear financial framework for the Council to operate within and that it is appropriately implemented and monitored. Enhanced financial scrutiny and monitoring in place, which assess financial impacts of COVID against all approved council budgets and the Financial Strategy. Enhanced financial update and reviews provided as part of quarterly financial reports.	3	4	12	Chief Executive Executive Director of Council Resources Council Management Team Head of Finance	Actions ongoing and under continuous review while monitoring arrangements will continue to be applied.	Risk reviewed by Executive Director of Council Resources December 2021 with no change to assessment of scores.

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	current resources are not sufficient to meet on-going statutory requirements and services due to additional unbudgeted spend and increased costs with reduced income.	Monitoring and clear reconciliation arrangements are in place to track all funding announcements and allocations made by UK and Scottish Government and regular returns on financial pressures are now being made to COSLA. Ongoing engagement with COSLA, to monitor national financial implications and support political lobbying. Detailed monitoring of S75 obligations to support financial planning and cash flow monitoring. Annual treasury indicators approved as part of Treasury Strategy and mid-year review against indicators reported through political governance structures of A&G Committee.										
ELC CR 8	**Information Security and Data Protection** **Information Security** Failure to have comprehensive council wide Information Security Management (ISM) measures in place will put at risk the availability, integrity and confidentiality of the councils information and may cause a Council wide failure of central I.T. systems (incl. Telephony) caused by a malicious attack by hackers, virus, trojan, disclosure of information or Fire/Flood event. Attacks via spam emails containing infected ransomware attachments are on the increase amongst local authorities, should these emails manage to break through Firewalls and Intrusion Detection Systems there is a high possibility of file encryption at both a local and network wide levels. During 2020/21 high profile attacks against supply chain and other Scottish public bodies has shown this risk has not decreased. An increase in the use of Cloud facilities means our security risk from external influences has increased and our security posture needs to change to meet these new challenges The Cabinet Office has introduced zero tolerance for all LA's connected to the Public Sector Network (PSN). Scottish LA's use the PSN to register Births, Marriages & Deaths and connection to DWP for benefit provision. We have to re-accredit to this network every year and must meet stringent requirements. Failure to do so would mean disconnection from the PSN. The PSN network is being redeveloped over the next 2 years In 2017 the Scottish Government introduced the Cyber - Public Sector Action Plan which sets out the minimum security standards for all public bodies New ways of working and shared buildings including the proposed Collaborative Hub between the Council, Police and other parties present new risks and challenges to maintaining IT Security and Data Privacy. Procedures, appropriate design of workspaces and staff training are needed to mitigate risks.	**Information Security** The Council complies with the international standard ISO 27001:2017 as the framework for its ISM system. As part ISO27001:2017 a number of control areas are set out : IS policy; IS organisation; Human resources security; Asset management; Access controls and managing user access; Physical & Environmental security of all sites/equipment, Secure communications, Data handling and Data Protection (including paper documents); Secure acquisition, development, and support of information systems; Security for suppliers and third parties; Information Security Incident management; Business continuity/disaster recovery (to the extent that it affects information security); Annual IT health checks on the existing infrastructure. New systems introduced are risk assessed and security checked to ensure they meet the criteria. Council Information Governance and Security (IGS) Forum co-hosted by the IT Team Manager – Infrastructure and Security and the Team Manager – Information Governance / Data Protection Officer. The Team Manger – IT Infrastructure & Security sits on the Scottish Governments Digital Assurance group The DPO/Team Manager-Information Governance & Team Manager – Infrastructure & Security (CISO) are members of the Collaborative Hub Working Group and the JMH User Group and provide advice and support re: compliance & Info Security.	4	4	16	**Information Security** Upgrade of external facing systems taking place to increase security of our internet facing gateways. Due to increased use of cloud systems at ELC, we need to review our security posture & systems to ensure we are covering this area. We are reviewing all security systems to ensure protection Acceptable use policy for all ELC employees is to be refreshed during 2021 with an online version introduced to enable easier review and signing by all employees. New Information Security/DP Awareness Campaign being launched in Dec 21, this will send scheduled 'hot topic' awareness updates	3	4	12	Executive Director – for Council Resources Head of Corporate Support Data Protection Officer	December 2021 January 2022 December 2021	Risk updated November 2021 by Team Managers – IT Security and Information Governance with on change to scores.

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			Likelihood	Impact	Total		Likelihood	Impact	Total			
			L	**I**	**L x I**		**L**	**I**	**L x I**			
	Data Protection Under the Data Protection Act 2018 and the UK GDPR, the Council is required to ensure that personal data is processed lawfully, fairly and securely. Breaches of the Data Protection Act / GDPR could result in: - harm to individuals; - legal action; - fines of up to £17.5 million or 4% of turnover, whichever is higher; - requirement to pay compensation; - adverse publicity; - damage to reputation The Council has a mandatory 72 hour window in which to report relevant breaches to the Information Commissioner's Office. Limited security, procedural and environmental controls at the Dunbar Road records store mean that records and personal data are at risk of security breach and/or accidental loss or destruction. The shift to home/digital working in response to COVID-19 has also placed additional pressures to digitise paper records management systems and ensure new ways of working remain secure. DP compliance is dependent on good records management. The Council's Records Management Plan 2014-2019 needs to be formally updated to account for GDPR/DPA18 as well as changes to recordkeeping practice across the Council. This is also a requirement of the Public Records (Scotland) Act 2011 (PRSA). Current pressures on Registration service and increased demand from Services for review of Data Sharing Agreements / Data Protection Impact Assessments are impacting capacity to address Records Management.	**Data Protection** The Council has a comprehensive suite of measures to ensure compliance, including the retention of a statutory Data Protection Officer (DPO), the Data Protection Policy, Data Breach Procedure and multiple procedures governing the creation, use and disposition of records and personal data. IS, DP and Records Management Awareness training is a mandatory part of induction and must be refreshed every two years. The ELNet pages for Information Governance also include templates, guidance and information to support corporate compliance. The Council's Records Management Plan (RMP) covers how the Council manages its records and includes links to our IS, DP policies and retention schedule. There is an annual assessment of Progress of Records Management Plan by The Keeper's office. The Council is planning formal re-submission of its RMP for the Keeper's approval (date tbc). The Council has a close working relationship with SOLAR (Society of Local Authority Lawyers and Administrators) and attends meetings regularly. These meetings are also attended by the Information Commissioners office. The Council also attends and currently chairs ASLAWG (Archivists of Scottish Local Authorities Working Group) to share best practice with other record keeping professionals.				**Data Protection** Training & awareness: e-learning modules currently being refreshed. The DPO, Team Manager- IT Infrastructure & Security and Communications teams are progressing a Communications Plan including Inform briefings, e-mail updates and other training and briefings to reinforce awareness of data protection and information security across the Council. Information Transformation Strategy: the Team Manager–Information Governance and Team Manager-IT Infrastructure & Security are drafting an Information Transformation Strategy and associated Action Plan to underpin the Digital Strategy and Business Transformation agendas and 'to ensure the right information gets to the right person, at the right time, and in the right format'. Records Management Plan: All 14 elements of the Council's RMP will be reviewed and updated, focusing particularly on secure destruction, digital preservation, application of retention schedules and changes to ways of working. DSA/DPIA Process Reviews: The processes for approving Data Sharing Agreements and Data Protection Impact Assessments are being simplified and streamlined. Dunbar Road Options Paper: An options paper is being prepared regarding next steps to upgrade and secure our paper records storage and retrieval arrangements.					Ongoing; promotion at SMT planned in Feb 2022 Ongoing; next meeting with IT Service Manager on 29/11/2021 TBC pending resolution of staffing & DSA/DPIA pressures Formal launch in Feb 2022; soft launch progressing from Dec 2021 TBC pending resolution of staffing & DSA/DPIA pressures.	
ELC CR 9	**Limitation (Childhood Abuse) (Scotland) Act 2017** Introduced on 4 October 2017 removing the three year limitation period for civil actions arising out of childhood abuse (defined to include sexual abuse, physical abuse, and emotional abuse) relating to children who have been in the care system. In conjunction with the Scottish Child Abuse Inquiry there is an increased likelihood of claimants coming forward potentially resulting in financial implications if historic allegations of child abuse (see definition above) are made and upheld against East Lothian Council as the statutory successor. There is no way of knowing how many claims may be made (i.e. all 'living' potential claimants). It therefore is now not anticipated that this number will rise significantly, although claims may still be received. The Council's insurers have indicated that they will cover appropriate external legal costs and	It is a requirement under the act that the abuse occurred at a time when the individual was a child which is defined as being under 18. Child Abuse Claims Group and SCAI Overview Group – East Lothian co-ordination of responses, reported strategically, managed flow and collaboration. Close monitoring of the work of the Scottish CAI itself and review of any published materials. Scotland-wide networking and information sharing on SCAI between authorities. Records Management Expertise allows us to respond effectively to SAR requests and information requests / provide evidence. Cross Lothian collaboration on Lothian Region period 1975 to 1996 (and predecessor authorities) re-records	4	4	16	Monitor to ensure that there is sufficient staffing resource available to deal with claims, court actions and recovery of documentation and to preserve the Council's position. Regular discussions with Council's Insurance providers and brokers to ensure risk continues to be covered and/or mitigated to allow regular review for sufficient budgetary provision for any additional costs/claims that may not be covered by insurance. Continue current working practices with care experienced young people in accord with national legislation and care standards, reducing likelihood of any 'new' claims arising.	3	3	9	Head of Corporate Support Service Manager – Legal Insurance Team	Continue to progress all and report quarterly to CMT.	Risk reviewed November 2021 with no change to assessment of current scores.

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			L	I	L x I		L	I	L x I			
	compensation payments but the cases may place [considerable] strain on internal resources within the legal, social work and records management teams for which there is no additional budget. The Child Abuse Inquiry continues to extend its investigations into other areas which may affect the Council. The most recent of which is in relation to Foster Carers and at present no claims have come forward in relation to this area. Notwithstanding Scottish Government Schemes any legitimate claimant may still raise action against ELC in lieu of these schemes as the court award may be significant in excess of the £10,000 available under the above schemes. Note that there remains a period from 2004 to present which is not covered by Scottish Government proposals/legislation for compensation schemes and as such any legitimate claim arising would need to be taken forward through ELC and/or Insurers.	management etc. Accurate records post 1996 relating to East Lothian Council clients. Council Financial Reserve – may reduce the impact to service provision if claims extend beyond budget. Scottish Government redress schemes available for potential claimants to pursue. The maximum amount of redress available from this scheme is £10,000. [Note: The Council has received intimation of 20 claims for compensation (as of 9th November 2021) of which 5 have been withdrawn, 5 presently do not have sufficient evidence and 10 are live claims. The introduction of the legislation generated the majority of the claims with two additional claims being received since June 2020.]										
ELC CR 10	**Flooding and Coastal Erosion** As the incidence of flooding and coastal erosion increases as an impact of Climate Change, there is an increased risk of disruption to road and path networks, impact on public safety, damage to roads, property, harbours and natural heritage sites and an associated increase in claims against the Council.	Flooding and drainage issues are considered when processing planning applications. Inspection regimes and good housekeeping measures in place. The Severe Weather Response Plan has been developed and ensures a co-ordinated and consistent multi-agency response across the county. Emergency surface water, coastal and river flood procedures in place and have proven effective. Shoreline Management Plan has been produced. A National Flood Risk Management Strategy has been produced and a Local Flood Risk Management Plan for the Forth Area has also been published to meet the requirements of the Flood Risk Management (Scotland) Act 2009 which includes specific actions to be discharged by the Council. Flooding advice is on the Council website and directs people to the relevant pages on the SEPA website. The Council is working with various organisations to promote and progress "Resilient Communities" as per the Scottish Government initiative "Ready Scotland". Communication with vulnerable groups regarding access and assistance during severe weather events.	4	4	16	ELC have commissioned Flood Studies for Haddington and Musselburgh and are progressing a Flood Protection Scheme on the River Esk through Musselburgh. Further studies are proposed (subject to funding allocation) for Dunbar & West Barns to include North Berwick Coastal; and Cockenzie & Port Seton, Longniddry and Prestonpans. Flood Protection Schemes for Musselburgh and Haddington have been included in the List of Prioritised Actions in the Local Flood Risk Management Plan for the Forth Estuary Local Plan District. Implementation of Flood Protection Works is reliant on available funding. These two schemes are being funded 80% by Scottish Government and 20% by East Lothian Council. The Musselburgh Flood Protection Scheme is a fully established project. It has completed three of its nine stages, and is currently processing Stage 4 (Outline Design) of the Scheme Design in accordance with the project's PRINCE2 Project Management System. It is currently proposed that the scheme will start construction and have scheme in place by October 2024 (Subject to change as we move to next stage). The Council's Severe Weather Response will be tested in an Emergency Planning exercise during 2022 which will incorporate Flooding.	3	3	9	Executive Director for Place	2024 2016-2022 2016-2022 2024 August 2022	Risk further reviewed and updated November 2021 with no change to assessment of current scores.

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			L	I	L x I		L	I	L x I			
CR 11	**Ash Dieback** Failure to adequately plan for and manage the implications and effects of Ash Dieback tree disease across East Lothian, and particularly in high risk areas including alongside roads, paths/core paths, and in parks, woodlands, open spaces and housing areas. The risks to the Council associated with Ash Dieback are: • Health & Safety impacts – the potential for death or injury as a result of Ash Dieback related accidents, both to professionals working on trees, and to the general public; risks to statutory functions or service delivery such as retaining safe schools, public open spaces or roads; risks from falling ash to infrastructure such as houses, buildings, structures; • Economic impacts – the cost implications for local authorities (financial / resource / staff capacity; direct and indirect costs; increased liabilities and insurance premiums) are anticipated to be significant, and the costs escalate the longer the problem is left unresolved; • Reputational damage – political and reputational risks as a result of negative press over Ash Dieback management and public outrage and/or anxiety, particularly in light of Climate Emergency declaration and Climate Forest tree planting initiative; potential for disruption as a result of Ash Dieback management e.g. widespread road closures to deal with potentially dangerous trees; potentially strained relationships with land owners and managers as Ash Dieback spreads, particularly in relation to costs; • Environmental impacts – landscape changes with impacts on tourism and recreational opportunities; losses to ecosystem services such as reductions in air quality, potential for increased flooding, loss of shade; risks to Protected Species/ sites (e.g. bats); losses of carbon storage and sequestration; loss of biodiversity.	Briefing and awareness raising internally. Liaison with national agencies who are leading on the national response to Ash Dieback in Scotland, including Scottish Forestry and The Tree Council who have provided us with the Scottish Toolkit for Ash Dieback Action Plans, and who can pass on learning from the experiences of local authorities in England. Ongoing liaison with other local authorities on best practice and monitoring frameworks, including potential for regional collaboration. An internal Ash Dieback risk management group has been set up and includes the Head of Infrastructure, Service Managers for Sport, Countryside & Leisure and Roads Service, and the Tree Officer. An ELC Ash Dieback Action Plan (ADAP) is currently being drafted, following national guidance, with an options appraisal identifying priority actions to reduce the risk. Budget options for resourcing this work are being considered by CMT (2nd December 2021 meeting). In August 2021 we purchased hand-held digital GPS devices to enable surveying and recording of ash trees on Council land, which includes an improved record keeping system. An initial survey of ash trees in high amenity areas of the Council's estate, i.e. school grounds and some adjacent play parks, was undertaken during summer / early autumn 2021. This has identified a number of priority ash trees that require work, to be undertaken over this coming winter period (2021-22). Communication & publicity: information on Ash Dieback has been placed on the Council's website (aimed at the general public, land owners, home owners) and an article on Ash Dieback was published in the Council's 'Living' magazine (Winter 2021).	3	5	15	Undertake detailed surveys of ash trees for which the Council has responsibility, i.e. alongside the roads network and on Council land, to determine the extent and scale of Ash Dieback across East Lothian, to enable further prioritisation, resourcing and undertaking of work, following national best practice guidelines. Action Plan and monitoring framework put in place based around national best practice guidelines. Liaison with national agencies. Ensure forestry staff have appropriate qualifications, training and experience for dealing with diseased ash trees. Risk Assessments and SOPs to be put in place and regularly updated for all arboriculture and forestry work relevant to dealing with infected trees. Monitoring for supply chain issues (availability of skilled arboriculturalists who can undertake the works needed), particularly as the disease becomes more prevalent across Scotland, through liaison at national level and with national agencies. Linking with national communications / publicity around Ash Dieback. Communication, collaboration and active engagement with communities.	2	3	6	Team Manager – Strategy, Policy & Development (Amenity Services) Tree Officer	October 2023 March 2022 September 2022 September 2022 Ongoing Ongoing	New risk added by Team Manager – Strategy, Policy & Development (Amenity Services), June 2021 and refreshed by CMT November 2021.
ELC CR 12	**Failure to maintain a Highly Skilled Workforce** The Council's salary and grading structure may not be competitive compared to other employers making it more difficult to recruit qualified staff to certain posts. The high number of specialist roles/skills within the Council means that service reviews, budget restrictions, long-term absence, cessation of contract etc. could compromise service delivery. Reduction in skilled, qualified and experienced workforce would result in an inability to provide good quality services, increased pressure on existing staff and increased likelihood of poor operational performance. During the COVID pandemic workplace practice segments have not been able to be fulfilled resulting in an inability to enhance the experience of staff before fulfilling a post.	The Council has an approved Workforce Plan 2018-2022 which addresses the issues relating to this risk. The Plan contains 38 actions which are being brought together into a detailed Implementation Plan seven workstreams which are being taken forward by lead officers. Actions, such as developing a Management and Leadership Programme, reviewing the Managing Attendance Policy, renewed focus on Healthy Working Lives and implementing the Early Learning and Childcare Workforce Plan are already underway. The Workforce Plan 2018-2022 is being reviewed and updated to take account of the impact of COVID 19 on the council and its workforce, including the development of new Homeworking and Worksmart policies and actions being taken to support staff who	3	3	9	The Workforce Plan is to be reviewed in 2021 and a new Workforce Plan will be adopted in early 2022.	3	3	9	Service Manager Corporate Policy & Improvement Service Manager – People and Governance	June 2022	Risk reviewed November 2021 and updated to reflect review of Workforce Plan and implications of COVID. No change to assessment of current scores.

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			L	I	L x I		L	I	L x I			
	The Council recognises that a large proportion of the workforce is aged over 55 years and many staff with significant knowledge and experience could leave the Council leaving the Council at risk in key areas.	have been working differently as a result of the pandemic. New training and development programmes are being developed to take account of staff who are working from home and to prepare staff and managers to working remotely and differently. Healthy Working Lives and OD have been issuing regular briefings to staff on techniques etc. to support staff to maintain mental health and wellbeing. Managers have been issued with advice on inducting new members of staff during lockdown.										
ELC CR 13	**Severe Weather** There is a risk that severe winter weather will lead to an increase in demand for gritting and snow clearing of roads/footpaths which exceeds normal capacity and supplies of salt. This could result in travel disruption, difficulties for people in accessing services, failure to maintain refuse collection timetable and school closures at short notice as well as a possible increase in insurance claims related to pothole damage. Communities may become isolated, particularly in rural areas, due to heavy and prolonged snow. In such cases communication with residents within these isolated areas may become difficult as they become cut off, possibly aligned to power failure caused by strong winds and/or the weight of snow on the lines. There are limitations to the service the council can offer. The Council Roads team focus on treatment and snow clearing of the main priority road network, made up of the major routes where the majority of vehicle movements take place and also includes accesses to hospitals, ambulance stations, fire stations, other emergency service establishments, railway stations and schools. Primary Routes are treated and cleared of ice and snow first and then the Roads team move onto Secondary Routes and finally tertiary and minor routes which include residential areas, cul-de-sacs. During periods of extreme weather and heavy snowfall when roads and footways are affected by significant levels of lying snow, priority will be given to primary carriageway routes and primary footpath routes with resources deployed on these specified routes continuously until satisfactory snow clearance has been achieved before resources are deployed to any secondary routes and tertiary routes, so it maybe some time before we can attend to these areas.	East Lothian Councils Winter Maintenance Plan has been in place for some time and ensures that the main transport routes are treated as priority. The Council has a Severe Weather and Adverse Events Policy in place for all staff while the Council has its own mitigating measures for its own estates/property during severe weather. During Severe Weather events our Contact Centre becomes the first point of contact for any issues to be raised and responded to whilst our Communications team shares warnings and other relevant information with the public as this becomes available. The ELC Severe Weather Response Plan has been developed over many years and ensures a co-ordinated and consistent multi-agency response across the county. This plan is reviewed annually in conjunction with support from partner agencies. The ELC Severe Weather Response plan includes reference to and improvements learned from the 'Beast from the East' incident in 2018 when many parts of East Lothian become isolated because of the heavy and prolonged snow falls. The Council's Salt Barn has a capacity of 8,000 tonnes to meet demand arising from severe cold weather. Snow clearing equipment has been supplied to Primary Schools. Community Councils through Resilient Communities are able to request winter response equipment from the Council. These requests are considered as per their need. A number of grit bins are provided to enable self-help gritting of adopted roads and footways. Resilient Communities are encouraged to survey the grit bins in their area and report back to the Council if new bins or grit is required. Winter Maintenance operatives are trained to SVQ or equivalent in winter gritting and snow clearing. Winter Maintenance Duty officers trained as Winter Service Supervisors to City and Guilds level. The majority of Community Councils have Resilient Community Groups who have created their own emergency response plans or asset registers of volunteers/skills available at a time of crises. Each Resilient Community has its own Single Point of	3	3	9		3	3	9	Executive Director of Place		Risk refreshed November 2021 with no change to assessment of current scores.

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			L	I	L x I		L	I	L x I			
		Contact (SPOC) and deputy for resilient matters including severe weather. Communication and good working relationships have been created and maintained with these SPoCs/deputies throughout the year by ELC Emergency Planning staff. Work continues with the Resilient Communities and also involves other voluntary groups such as Tenants and Residents Groups. ELC organises an annual workshop for Resilient Communities which allows lessons learned and best practice to be discussed and progressed. It also allows for the public to meet responder agency staff such as the 'blue lights', SEPA and the utility companies. ELC finances all 20 Community Councils annual insurance premiums ensuring that Insurance is not perceived as a barrier to invoking such plans. Training and awareness sessions, related to the activation of the ELC Severe Weather response plan, are completed on a regular basis. Partner agencies are often involved.										
ELC CR 14	**Contest** Deliver the UK Governments Counter Terrorism (CT) strategy, known as CONTEST (Prevent, Protect, Prepare and Pursue). All Local Authorities in Scotland are required to comply with the statutory legislation issued under section 24 of the Counter Terrorism and Security Act 2015 that relates to Prevent. Failure to discharge this duty could mean sufficient steps are not taken to prevent an incident taking place, under Prevent, and could result in the Secretary of State issuing a direction to the Council via the powers within the act and would also result in a loss of reputation and negative publicity. Our capacity to monitor and respond if we are concerned about children with these lines of thinking is severely compromised as schools are closed and older teenagers are less likely to engage.	Multi agency 'J' Division CONTEST Meeting attended by East Lothian Council representatives. ELC has established a CT WG chaired by the Head of Communities with members consisting of CMT, key senior managers, Police Scotland and a QMU representative. ELC has appointed senior members of staff as SPoC (Head of Children's Services) and Deputy SPoC (Executive Director Education and Children's Services) for Prevent as per statutory guidelines. A SPoC for Prepare and Protect although not a statutory requirement, has also been appointed (Emergency Planning, Risk and Resilience Manager). Under Protect the CMT are prepared should the Government raise the Security Level to Critical. Service Business Continuity plans take this into account. This includes staff working from home as a result of council facilities being closed. ELC follows and contributes towards the 'J' Division Contest group implementation plan. The SPOC Prevent Group in the East of Scotland is attended by the ELC SPoC. Prevent Multi–Agency Panels Chair (SPoC) and Depute (Iain Gorman) identified to chair multi-agency meetings established to discuss any referrals. Regular internal and external communication of any national counter-terrorism updates. Information regarding Protect and Prepare is received from the National Counter Terrorism Security Office. This information is then circulated to appropriate key ELC staff and local businesses.	3	3	9	A refreshed Prevent Delivery Plan has been completed and will be approved by the ELC Contest group. Progress of the Prevent delivery plan will be monitored through quarterly Prevent working group meetings and reporting to EL Contest group. Within the new statutory guidance for Prevent and PMAP (Feb 2021), the Scottish Government will request an annual assurance statement of compliance with Prevent duties. Elected Members will be briefed in January 2022.	2	3	6	Chief Executive Executive Directors Council Management Team EL Contest Chair (Head of Communities) Contest SPoC (Emergency Planning, Risk & Resilience Manager) Prevent SPoC (Head of Children's Services)	December 2021 December 2021 December 2021 January 2022	Risk refreshed and reviewed November 2021 by Contest SPoC with no change to assessment of scores. Risk reviewed August 2018 by Board of Directors with Current Score reduced from 12 to 9.

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			L	I	L x I		L	I	L x I			
		A Prevent working group, chaired by the Head of Children's Services, has been established and meets regularly and a Prevent reporting process has been established. Education personnel are fully engaged with Prevent and appropriate filters have been installed on the Education infrastructure. Updated Prevent referral pathway has been agreed with EMPPC and communicated on the intranet, including the new national Prevent referral form. Whilst ELC Managers have received Prevent training through LearnPro previously, since November 2020 interim arrangements have been in place for all staff via Home Office resources pending the roll-out of new Scottish Government training materials. Ongoing exploration of other arrangements including toolbox sessions. The ELC Prepare and Protect SPoC liaises with Police Scotland and in particular the CT team to ensure current information on these areas is circulated to appropriate ELC key staff and staff in general if required. The SPoC also ensures important information is uploaded onto the ELC Intranet.										
ELC CR 15	**Public Sector Reform** Major elements of public sector reform have been or are being implemented including: • Integration of Health and Social Care and creation of a new H&SC Partnership; • Implementation of the Community Empowerment (Scotland) Act 2015; • New legislative duties in procurement, regulation, and children and young people; • Reform of Education Following the May 2021 Scottish Parliament elections the new Scottish Government may introduce a proposal for further public sector reform which means is continuing uncertainty about the future governance of Scotland, the future structure and governance of local government and the public sector and continuing pressure on public finances. The Scottish Government is carrying out a Review of Local Governance which may result in further public sector reform with impact on local government. The cost of implementing changes arising from legislation is not always fully reflected in Scottish Government funding. In addition, the Scottish Government's commitment to protect and increase funding in priorities such as health and education run the risk of further eroding Scottish Government funding for other local government services. Existing public sector reforms and new reforms create uncertainty, additional workload, requirement to restructure services and new accountability, governance, scrutiny and partnership arrangements.	CMT and elected members work together to ensure that the Council is prepared for future public sector reform and differing scenarios for future governance, financial, operational and performance management arrangements are explored in order to minimise risk. Responses to the Scottish Government on consultations around public sector reform are prepared and submitted as required. Financial and resource scoping is carried out as required. The Integration Joint Board has been established along with appropriate governance and scrutiny arrangements. Continue to monitor developments in the Public Sector Reform agenda and Scottish Government's legislative programme and develop responses to exploit potential benefits from, or mitigate potential negative impacts of, different future scenarios. East Lothian Partnership has a 2020-2027 East Lothian Plan that will meet the requirements set out in the Community Empowerment (Scotland) Act 2015 to have a Local Outcome Improvement Plan. The structure of the Partnership has been revised to provide a more focused approach to implementation of the Plan and addressing issues arising from the public sector reform agenda. Effective working relations with key partners including Police Scotland, Scottish Fire and Rescue Service, NHS Lothian and the voluntary sector are being further developed through East Lothian Partnership and bi-	3	3	9	Reports will be submitted to Council on the implications of the reform proposals and on the Council's preparations, as appropriate which are led by the Chief Executive and senior officers. A self-evaluation of the ELP including its governance structure is to be carried out in spring 2022.	2	3	6	Chief Executive	October 2022	Risk reviewed November 2021 by Service Manager – Improvement, Policy & Communications and current risk score increased from 6 to 9. Risk reviewed by Board of Directors August 2018 and Assessment of Current and Residual Scores reduced from 12 and 9 to 6 and 6. Risk reviewed and refreshed July 2018 with Current Risk Score reduced from 16 to 12 and residual score from 12 to 9.

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			L	I	L x I		L	I	L x I			
	The Scottish Government has published a consultation paper proposing establishing a National Care Service which will could have significant detrimental impacts on the council and adult and children's care services	lateral meetings and arrangements to prepare for public sector reform. The Council submitted a response critical of the proposals to create a National Care Service as proposed in the Scottish Government's consultation paper Area Partnerships now established and will be supported to enhance local service delivery and fulfilment of Local Outcome Improvement Plans. The Council has put in place processes to deal with its new duties and responsibilities arising from the Community Empowerment (Scotland) Act 2015 such as responding to Participation Requests and Community Asset Transfer requests. The Council maintains regular communication with employees to manage any uncertainty in times of change. The Council's Improvement programme will provide resilience to assist to respond to public sector reform.				The council will continue to monitor the proposal to create a National Care Service to try to minimise any negative impact on social work services provided by the Council.					October 2022	
ELC CR 16	**Duty of Care to Council Staff (Health & Safety)** East Lothian Council has a duty of care and has existing Health and Safety Polices to look after the care of staff to all its employees across the full range of services and those who can be affected by the Council's activities. Any breach of this duty of care may affect the health, safety and wellbeing of the Council's employees leading to increased sickness absence, pressures on service delivery with the added potential for claims against the Council for incidents involving employees or non-employees or enforcement action by the Health & Safety Executive. The Council also has a duty of care to our staff delivering services in an environment where the COVID pandemic is a huge risk. Areas which have been identified as posing a particularly high level of risk are • COVID19 • Manual Handling • Stress • Lone Working • Unacceptable Behaviour • Risks from Public Monuments • Safe Driving at work • School Trips	Health, Safety and Wellbeing Strategy 2018 – 2021 in place. All employees receive an induction including Health & Safety information, have job outlines and follow the PRD process ensuring all are capable and trained to perform safely in their roles. Consultation with employees and Unions in place with Joint Health & Safety Committee and Joint Consultative Committee Management Arrangements in place for a range of topics outlining the responsibilities of each level of management and employees. A rolling programme of review of topic specific management arrangements is being undertaken. Risk assessments carried out to identify significant workplace hazards and to establish suitable workplace controls e.g. safe systems of work. Services carry out a rolling programme of reviewing risk assessments to ensure they are suitable and sufficient and reflect current practice and organisational structures. As part of this training and health surveillance requirements are identified. Health Surveillance is carried out on employees where they are exposed to specific hazards. Safety Management System supported by audit and inspection programme across the Council. Health and Safety Training needs are identified from project plans and Risk Assessment findings. An annual programme of training is developed including a number of Institute of Occupational Health accredited courses.	2	4	8	Service review underway to address the short staffing. This will allow the full programme of inspections and audits to be undertaken. The Council's overarching Health & Safety Policy and Arrangements are under review. As part of this the role of the Head of Establishment is being reviewed Priority topics for updated Management Arrangements are • Legionella Management • Fire Safety • First Aid Procedure for ensuring safe management of monuments on ELC land is being developed	2	4	8	Executive Director for Place SDAW Group Health and Safety Team Human Resources	December 2021 June 2022 June 2022 June 2022	Risk reviewed and updated November 2021 with no changes to risk scores. Risk reviewed and updated March 2020 with Current score reduced from 12 to 8.

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			L	I	L x I		L	I	L x I			
		For all of the risks identified as high risk • Management Arrangement or guidance is in place • Training is available • Risk Assessments are undertaken **COVID19** The Council has a duty of care to staff delivering a service in a COVID world and have heightened risk assessments and ensure that all services have updated their risk assessments for work settings and external visits. A programme of workplace inspections focusing on COVID take place. **Manual Handling** Manual Handling is avoided where possible. Where this is not possible mechanical aid's and staff training is provided in accordance with the Management Arrangements. Physiotherapy is available to staff through the Occupational Health Contract. **Stress** As part of the sickness absence policy employees off work with Stress are referred to Occupational Health. Initiatives are in place to help employees manage their own stress, including Employee Assistance Programme, Listening Ears, Healthy Working Lives **Lone Working** Specific procedures are in place in services with a high level of lone working where required lone workers have access to lone worker devices A 'Potentially Violent Client' Register is in place to ensure information is shared between services **Safe Driving at Work** Council vehicles used in the course of Council activities are properly maintained and fit-for-purpose. All Council vehicles over 3.5t are maintained in accordance with VOSA publication "Guide to Maintaining Roadworthiness". The E Davis system used by East Lothian Council records and monitors grey fleet users driver details including insurance, RFL and driving licence. This ensures that the registered drivers have the correct credentials to drive on behalf on the Council. **Fire Safety** Fire Safety Risk Assessments are carried out on our operational buildings where employees work with a process in place to ensure prioritisation of any remedial actions. **School Trips** All trips must be approved by HT or Delegate and Residential Trips and Adventurous Activities must also be approved by LA. Residential School Trips are on hold until at least 2022.										

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			Likelihood	Impact	Total		Likelihood	Impact	Total			
			L	I	L x I		L	I	L x I			
ELC CR 17	**Expansion of Early Learning and Childcare (ELCC) to 1140 hours.** Scottish Government confirmed the implementation date for the expansion of ELCC to 1140 hours as August 2021. There is a risk that Capital costs exceed budget availability. The ongoing impact of COVID could risk the completion date of the programme. The impacts of the COVID19 pandemic are still playing a part in terms of staff absence and challenges over cover. Senior leadership teams in schools are being used to address this situation which is impacting on the broader school leadership and management activities. A number of Early Years practitioners are requiring support in adjusting to the transition from sessional to full year working. Collaboration between central department officers and school leadership teams is in place alongside engagement with trade unions.	Scottish Government recently commended East Lothian on its full implementation of the 1140 hours policy intent. Ongoing work with council departments to ensure key priorities are met. A county wide recruitment campaign took place in early 2020 along with a recruitment fair to attract new and returning staff to the profession. Further recruitment campaigns have been undertaken and a full staff compliment is now in place. Further recruitment will take place on an as and when required basis in line with service needs and staff movement. Ongoing support to Early Years staff to assist in the transition to full year working through regular liaison with Head Teachers, central department officers and collaboration with Trade Unions on a regular basis Continued work on new pathways in to the profession to be developed including our Foundation Apprenticeship and work in Tots and Teens in 5 of our 6 secondary schools. A comprehensive programme of reviews of settings is underway to monitor and enhance quality of Early Learning and Childcare delivery within COVID restrictions. Baseline established and updated on quality across all provisions and ELCC across all settings is being supported and monitored by the Early Years' team. Scottish Government National Standard and associated guidance in place and ongoing discussion/collaboration with partners. Relationships are well established with neighbouring authorities as is learning from other approaches. Positive engagement with partner providers of early learning and childcare to ensure planning meets the SG brief regarding parental choice, flexibility, quality and accessibility. Ongoing work to determine the full costs of the current model for Early Learning and Childcare.	2	4	8	Development of a dual qualification in Care in partnership with Edinburgh College. Planned review of provision of Early Learning and Childcare in 2022.	2	3	6	Executive Director for Education and Children's Services Head of Education Executive Director for Council Resources Head of Finance	August 2022 August 2022	Current risk score reduced from 12 to 8 and Residual Score from 8 to 6 by Head of Education in November 2021 due to delivering 1140hrs from August 2021 with ongoing monitoring and review being put in place. Risk reviewed and refreshed at a Risk Session with managers 11 December 2020 and further refreshed April 21 with no changes to risk scores. Current risk score reduced by Chief Operating Officer (Education) from 16 to 12 in November 2018 due to ongoing work with stakeholders and a continued focus on quality. Residual score also reduced from 12 to 8.

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			Likelihood	Impact	Total		Likelihood	Impact	Total			
			L	**I**	**L x I**		**L**	**I**	**L x I**			
ELC CR 18	**Business Continuity** Failure to ensure currency of Business Continuity Plans could lead to services not having a robust response to an incident affecting their service area or critical services may not be maintained, while critical services for the public could be affected and statutory requirements not completed. Non availability of: • premises, through fire, flood or other unexpected incident; • key staff or significant numbers of front-line staff for any reason e.g. a Pandemic; • systems (IT, telephony, power failure etc.); • any form of transportation due to a fuel shortage. The occurrence of any of these may have an adverse effect on the Council to function fully and to complete critical services and statutory requirements.	Business Continuity Framework Plan in place and regularly reviewed. Business Continuity Plans are maintained for all service areas, giving details of minimum levels of staff, alternate locations, exercise and review dates and version control. The Chief Executive has a statutory responsibility for the ELC BC process. The Heads of Service remain responsible for ensuring the BC process is completed within their area of work. Each service area now has a Single Point of Contact (SPoC) and deputy who are responsible for, their services BC Plan, exercising this plan and ensuring it is maintained. All BC Plans are managed through Continuity² Software. The Council carried out a Council Wide Business Continuity Exercise in November 2019 which successfully tested the BC capabilities of the Council. ELC staff have access to an e-learning package on Business Continuity which was reviewed and refreshed during March 2021. An IT Disaster Recovery Plan is in place and will be regularly updated when any changes take place in the main data centres. For single server failure - there are over 100 systems now running on virtual servers which automatically fall over to another server if there are hardware issues. Specific disaster recovery arrangements are in place for the critical systems of telephony, e-mail and social care. Controls that are in place to prevent and limit the effects of IT system unavailability including firewalls, anti-virus software, system/ data backup routines, and resilience in the form of a back-up generator for the main data centre at JMH.	2	4	8	Progress Business Continuity Plans with Education and H&SCP in order that each School and Care Home has a plan.	2	3	6	Emergency Planning, Risk and Resilience Manager Emergency Planning, Risk and Resilience Officer	March 2023	Risk refreshed November 2021 with no change to assessment of current scores.

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			L	I	L x I		L	I	L x I			
ELC CR 19	**Corporate Events Management** Effective preparation and co-ordination across a number of services, for all events held in East Lothian, is essential and failure to achieve this could result in a risk of adverse reputational impact for the Council on a national/international level as well as possible legal procedures at fatal accident enquiries accounting for our action or non-action. COSLA, Police Scotland and the Health & Safety Executive (HSE) recommend that Local Authorities form a core group, led by a senior (strategic) officer, who will meet to discuss all events taking place within their area over a pre-determined period of time. This group includes category 1 responders and other appropriate organisations and decide if each individual event should be organised through a separate, specific Safety Advisory Group (SAG) or if the event can carry on without interference, other than appropriate safety advice. The following criteria would be considered by the SAG: • Status of the principal e.g. HM Queen • Status of the event organiser e.g. Scottish Defence League • The size of the crowd or the number of spectators • The profile of the event e.g. North Berwick Highland games. • The requirement for a TTRO • At the request of one of the partner agencies • At the request of an event organiser ELC is involved in events as they tend to take place in Council parks or on Council roads. The Council issues licenses and permits for events. The Council also has a statutory role in enforcement /inspection (building control, food hygiene etc.) and will help the organisers with traffic management, through TTRO's. If the event organisers fail to have the correct licences or safety processes in place it is the organisers who face the risk of possible criminal prosecution. East Lothian Council is itself responsible for organising several events on an annual basis. For each event an event organiser will be identified from within the Council. All event organisers will attend a SAG meeting if required to do so.	East Lothian Council has a SAG policy in place which is currently under review. The East Lothian Safety Advisory Group (ELSAG) strategy comprises two main elements: · Strategic Event Safety Committee (SESC) · Safety Advisory Group (SAG) The SESC will hold SAG process overview meetings (at least annually) to prescribe criteria for which event organisers are invited to participate in the Safety Advisory Group process and to confirm which events require to attend SAG, based on the risk profile. The SESC will be Chaired by an East Lothian Council Head of Service. The Service Manager, Protective Services or, whilst the current ELC SAG process is under review the Emergency Planning, Risk and Resilience Manager, will Chair the ELC multi-agency SAG, except for any specific events where the SESC determines otherwise. Events that require to be put through the SAG are managed through a risk profile process which grades each event as having a Red, Amber or Yellow (RAG) risk. Events graded as Yellow are not required to attend a SAG meeting. Those graded Red and Amber are required to attend a SAG meeting. The SAG process co-ordinates preparation for various events as per the risk profile, with representation from relevant Services areas and Multi-Agency Partners. Event guidance for organisers of events is published on the Council website. Where the SAG group is set up, for a specific event, it has no statutory power to stop it taking place. However, the SAG group can withdraw its support and co-operation, for any event, which means that the event cannot proceed. In these circumstances the event organiser will be required to notify their insurance provider. Police Scotland will always provide the final advice on public safety. Events information and documentation accessed through the ELC website will be reviewed by the ELC Event Safety & Resilience Officer. This staff member will also review processes linked with the SAG, through his/her line manager, to continually improve the overall system.	2	3	6		2	3	6	Executive Director for Place Head of Development Service Manager – Protective Services Team Manager, Economic Development		Risk reviewed November2021 with no changes to assessment of risk scores. New risk created May 2016 and updated April 2017 with current score reduced from 12 to 6 and residual score from 8 to 6 due to implemented measures, chiefly new Senior Officer – Events Co-ordination and SAG process in place.

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			L	**I**	**L x I**		**L**	**I**	**L x I**			
ELC CR 20	**Equality** Failure to meet duties and legislative requirements of the Single Equality Act 2010. The Single Equality Act 2010 and related guidance places a general duty on public authorities to be active in promoting equality, eliminating unlawful conduct and fostering good relations. It also places specific duties on public authorities to • report on mainstreaming the equality duty; • publish equality outcomes and report progress; • assess and review policies and practices; • gather and use employee information; • publish gender pay gap information; • publish statements on equal pay; • consider award criteria and conditions in relation to public procurement; • publish in a manner that is accessible. The Scottish Government has introduced the Fairer Scotland (socio- economic) duty. This will require the Council to consider the impact of our work on those living in poverty. The Council will need to respond to the full requirements of this new duty and raise awareness of the requirements on the Council. There is a risk that the Council may not be able to meet its general or specific duties and in particular at a time when difficult budget decisions are having to be made that there will be cuts in services or increases in charges that have a disproportionate impact on people who may need those services most because of their equality background. The Council would be open to legal challenge of not meeting its duties and in particular of not carrying out adequate assessment of impact of policies and budget decisions.	ELC Equality Plan 2021-2025 was adopted in November 2025. This includes the commitments made by East Lothian Council as a Licensing Board and as an Education Authority. The plan outlines our commitments: • Continue to lead a culture where respect, choice and understanding is fostered and diversity positively valued; • Maintain a working environment where unlawful discrimination, harassment, victimisation or bullying is not tolerated; • Continue to develop our understanding of the needs of different individuals and communities in a time of rapid change; • Continue to embed the equality agenda in all our work, and contribute to the early intervention and prevention approach adopted by the Council and its Partners; • Improve understanding of the impact of poverty and inequality on people's lives; and • Ensure that we plan and deliver services which meet modern standards of delivery and that are inclusive of a wide range of different needs from digital services to face to face interactions The Integrated Impact Assessment Process is embedded and is now widely used. This includes consideration of poverty which should allow us to meet the requirements of the new socio economic duty. A programme of support, including training on the new IIA process is ongoing. The Health & Social Care IJBs (East & Midlothian and City of Edinburgh) along with NHS Lothian will use the 'checklist and IIA form' package, with East and Midlothian Councils using the IIA form only package. As per our statutory obligation, HR is annually capturing the Employment Monitoring information required under the Act. This is reported publically alongside the requirement to publish an annual Equal Pay Report. ELearning equalities modules are available on Learn Pro and 'Get in on the Act' guides to the Council's legal responsibilities are available for all employees and Elected members. A new e learning package 'Understanding Poverty' has been added to support employees to understand about taking poverty into account when designing services and will be updated once details of the Socio Economic duty are known.	2	3	6	The Poverty Plan 2021-2023 (49 actions) will be implemented. Delivery will be monitored by the Poverty Working Group and a new East Lothian Poverty Partnership. The new Equality Plan 2021-2025 (28 actions) will be implemented	2	3	6	Executive Director for Place	November 2022 November 2022	Risk reviewed and updated November 2021 with no change to assessment of current scores. Risk reviewed and refreshed May 2016 with both current and predictive scores reduced from 8 to 6 due to implementation of additional measures.
ELC CR 21	**Development Plan** Failure to maintain an up-to-date Development Plan could result in an out of date planning strategy and policy context for planning decisions in East Lothian; it could: • contribute towards the Council not being able to achieve Council Plan objectives – Growing our Economy and Growing our Communities	Maintenance of the Local Development Plan Scheme with timescales (last reviewed June 2021). Interim Regional Spatial Strategy has been prepared, informing draft NPF4. The Regional Prosperity Framework has been ratified by the SE Scotland authorities.	3	2	6	There is currently consultation on NPF4, which when approved will be a Statutory Development Plan. The Council has until 31st March to respond to the published draft.	1	2	2	Head of Development	March 2022	Risk Refreshed by Head of Service & Service Manager November 2021 with no change to risk scores.

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			L	I	L x I		L	I	L x I			
	– and related Single Outcome Agreement objectives; • lead to failure to accord with more recent higher level plans and legislation; • undermine our ability to defend local planning decisions leading to 'planning by appeal'. This could result in unplanned development at odds with the planning strategy for East Lothian, and consequent reputational damage; • undermine our ability to secure S75 contributions towards essential infrastructure with consequent impact on corporate capital and revenue planning.	SG and SPG all approved/adopted, including Developer Contributions Framework. Impact of SDP2 rejection by Scottish Government is mitigated by having an approved housing land audit, up to date LDP and a greater than 5 years effective housing land supply. Preliminary work for LDP2 being prepared at present. Public engagement being planned.				Work on LDP2 will increase as NPF4 is finalised by the Scottish Government.					October 2022	Risk Refreshed by Service Manager March 2021 with Current Score reduced from 8 to 6. Risk Refreshed by Service Manager August 2019 with Current and risk score increased from 2 to 8.
ELC CR 22	**Standards in Public Life** Failure of corporate governance or to meet standards in public life. Failure of the Council's corporate governance or of officials or members to meet standards in public life could result in reputational damage.	Standing Orders (the Schemes of Administration and Scheme of Delegation) were extensively revised, approved by Council in October 2019 and published on the ELC website and are revised on a regular basis, with the Scheme of Delegation being updated in August 2021. Councillors, officials and employees conduct is governed by Codes of Conduct. The Standards Commission is responsible for encouraging high standards of behavior by Councillors and will adjudicate where there are allegations that Councillors have breached the Code of Conduct. The Council adopted a Code of Conduct for its employees in February 2020 giving all employees greater clarity around the standards of behaviour expected of them. The Code incorporated some other existing policies such as the one governing Gifts and Hospitality. Breach of the Code may amount to a disciplinary offence. The Council's Monitoring Officer and Depute Monitoring Officers provide advice as required. Training of Councillors continues to take place as required to ensure understanding of the importance of standards in public life. Councillors have been provided with a copy of the Code and the accompanying guidance and are provided with copies of any updates, guidance and advice notes as those are issued A survey of all Councillors was carried out in May 2019 establishing their views as to the training and development provided and to identify future needs. Councillors have an ongoing opportunity to participate in a CPD programme, which has been developed in conjunction with the Council's Organisational Development Team. This is based on the offering available from the Improvement Service and the IS have offered to input into the final product. Councillors have an ongoing opportunity to attend Master classes run by the Improvement Service. A 100-day review took place with our Elected Members between August and November 2017. This was carried out by way of face-to-face meetings with Elected Members and covered the Elected Member	2	2	4	The Council's Standing Orders will be reviewed in advance of the implementation of Hybrid Committee meetings to ensure they are suitable for this format. The Scheme of Administration is likely to be reviewed following the Local Government Elections in May 2022 to reflect any changes required by the incoming Administration. A new, revised Councillors' Code of Conduct is to be introduced in December 2021 and training will be offered to all Members. An induction programme for new Councillors has been prepared and will be taken to Council for approval prior to the Local Government Elections in May 2022. This includes training on standards in public life and, specifically, on compliance with the requirements of the Councillors' Code of Conduct. Training on the Code of Conduct will be offered to Members periodically with regular updates from the Standards Commission circulated to Members.	2	2	4	Service manager – People and Governance Service Manager – Corporate Policy	June 2022 January 2022 June 2022 Ongoing	Risk reviewed by Monitoring Officer November 2021 with no change to risk scores Risk reviewed April 2020 by Service Manager – People and Governance with both scores reduced from 6 to 4 due to Cllrs familiarity with the Code and the new Code of Conduct from Employees.

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			L	I	L x I		L	I	L x I			
		Induction Programme, the Councillors' Code of Conduct, PA support, office accommodation, Access to Council officers, committee papers, surgeries, and further training and development.										

Original date produced (Version 1)	13 April 2011			
File Name	East Lothian Council Corporate Risk Register			
Original Author(s)	Scott Kennedy, Risk Officer			
Current Revision Author(s)	Scott Kennedy, Risk Officer			

Risk Score	**Overall Rating**
20-25	**Very High**
10-19	**High**
5-9	**Medium**
1-4	**Low**

Version	Date	Author(s)	Notes on Revisions
24	June-August 2018	S Kennedy	All risks reviewed and updated by Risk Owners and Heads of Service. Risk added from Education Risk Register on Expansion of Early Learning and Childcare to 1140 hours.
25	29 August 2018	S Kennedy	Register fully reviewed and updated by Board of Directors
26	29 November 2018	S Kennedy	Expansion of Early Learning and Childcare to 1140 hours reviewed and updated.
27	12 December 2018	S Kennedy	Welfare Reform Risk Update by Risk Owners.
28	April-May 2019	S Kennedy	All risks updated by Risk Owners.
29	May 2019	S Kennedy	All risks reviewed by CMT and Corporate Risk Group and risk on Stability of the Council Plan removed.
30	August 2019	S Kennedy	All risks reviewed and refreshed by Risk Owners.
31	November 2019	S Kennedy	IS & DS and Standards in Public Life refreshed
32	April 2020	S Kennedy	Register updated to include risk on COVID 19 and Climate Emergency Risk Renamed, Updated and Scored
33	May 2020	S Kennedy	All other risks refreshed.
34	June 2020	S Kennedy	Flooding and Coastal Erosion Risk updated
35	July 2020	S Kennedy	COVID19 Risk on Finance incorporated into Financial Environment Risk
36	August 2020	S Kennedy	COVID 19 Risk brought into this document.
37	December 2020	S Kennedy	COVID and Brexit Risks Updated alongside Failure to maintain a Highly Skilled Workforce
38	January 2021	S Kennedy	COVID, Brexit, Contest, Public Protection, Severe Weather, and Business Continuity Risks updated.
39	February 2021	S Kennedy	COVID, Brexit, Highly Skilled Workforce, Corporate Events Management, Duty of Care to Council Staff (H&S) and 1140hrs risks updated
40	March 2021	S Kennedy	IT & DP, Climate Emergency, Public Sector Reform, Equality Development Plan, Flooding & Coastal Erosion and Finance risks updated.
41	April 2021	S Kennedy	Welfare Reform risk removed.
42	May 2021	S Kennedy	Full Risk Register reviewed and updated by Risk Owners with COVID Risk reduced to a summary and separate COVID Risk Register created.
43	July 2021	S Kennedy	New risk on Ash Dieback added to the Register
44	October 2021	S Kennedy	Brexit Risk Updated
45	October 2021	S Kennedy	New risks on Staffing AND Supply/Cost of Materials and Labour added to Register.
46	November 2021	S Kennedy	Full Review carried out by all risk owners and CMT.
47	December 2021	S Kennedy	Further review and updated carried out by CMT to capture the current challenges the Council is facing.