East Lothian Council

REPORT TO:	Audit and Governance Committee
MEETING DATE:	20 September 2022
BY:	Chief Executive
SUBJECT:	Communities Risk Register

1   PURPOSE

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

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

2   RECOMMENDATIONS

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

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

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

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

3   BACKGROUND

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

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

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

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

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

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

3.3 The current Communities Risk Register includes 1 Very High, 5 High, 20 Medium and 9 Low risks. As per the Council's Risk Strategy, only the Very High and High risks are being reported to the Committee.

4   POLICY IMPLICATIONS

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

5   INTEGRATED IMPACT ASSESSMENT

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

6   RESOURCE IMPLICATIONS

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

6.2 Personnel - There are no immediate implications.

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

7   BACKGROUND PAPERS

7.1 Appendix 1 – Communities Risk Register 2022

7.2 Appendix 2 – Risk Matrix

AUTHOR'S NAME	Scott Kennedy
DESIGNATION	Emergency Planning, Risk and Resilience Officer
CONTACT INFO	skennedy@eastlothian.gov.uk 01620 827900
DATE	08 September 2022

Risk ID	Risk Category	Risk Description (Threat/Opportunity to achievement of business objective)	Risk Control Measures (currently in place)	Risk & Controls Owner	Assessment of Current Risk			Planned Risk Control Measures	Assessment of Residual Risk [With proposed control measures]			Planned Control Owners	Planned Control Target Date	Evidence held of Regular Review
					Likelihood	Impact	Risk Rating		Likelihood	Impact	Residual Risk Rating			
					L	I	L x I		L	I	L x I			
C1	Service Objectives	**Service Capacity – Staffing** Breadth of Community Services service delivery across East Lothian and ongoing staffing pressures, underpinned by budgetary constraint, stretches resources leading to an inability to sustain services which may impact on the ability to safely deliver priority 'back-office' and frontline services e.g. Customer Services and Libraries, Contact Centre, Community Centres, Food Safety Inspections etc. This risk is heightened by the workforce profile and demographic which may lead to increased vacancy rate, staff absence and staff turnover and ongoing COVID-19 related absences. Service continuity and succession planning may be challenged where services are delivered by single specialist post-holder. Failure to address this risk could lead to: • Inability to develop service and staff skills/knowledge • Inability to effectively meet stakeholder and customer demand • Reduced ability to introduce legislative changes effectively • Challenge in appropriately resourcing services (staffing and equipment) e.g. new school library • Workforce capacity pressures (e.g. attendance management, role redesign) resulting from service developments to meet strategic priorities e.g. new ways of working, digital strategy, asset management, financial strategy, within budget allocation. Communities' staff teams have been integral to the delivery of the Council's COVID-19 response, requiring staff to be redeployed from core activities to enable this work, resulting in service pressures and backlogs as COVID-19 recovery progresses – this may lead to temporary heightened risks within services. High internal turnover of staff within Customer Services due to higher graded/promoted posts being available in other services. Significant concern with the staffing of the Community Response 24/365 service within the Contact Centre due to staff turnover (often with staff moving to promoted posts within the Council), ongoing COVID-related staffing absence and recruitment market challenges. This has been alleviated with job review and	Service Plans and Business Continuity Plans in place. Upskilling and development of staff teams to respond to COVID 19 emergency service requirements and new ways of working. Customer Services Partnership working with Midlothian and Scottish Borders Council expanding which expands service provision and generates service sustainability and income; continuing exploration of further business opportunities and income streams. Effective operational and staff management, deploying ongoing service reviews, service development and staff management, policies and procedures. Flexible deployment of staff and Locum/casual/relief posts, and engaging with volunteers e.g. within the Museum Service, to meet peaks and troughs of service demand. Daily review of front-line staffing capacity and decision making re-reducing opening hours of some facilities e.g. libraries, community centres, ensuring community and partner services are advised as early as possible. Recruiting relief Community Development Assistants within Connected Communities Service to provide greater capacity and flexibility, working across community centres to improve knowledge of how different facilities operate and increase flexibility of staff available. Active monitoring of staffing budgets with Finance to move staffing resource to where it is needed Close monitoring of RIVO in relation to staff experiences/stress and risk assessments completed. Provision of effective staff Induction and ongoing training e.g. Digital training, Mental Health, Health and safety etc. Customer Services Business Continuity Plan re-invoked on 14 June 2022 to reflect current staffing pressures with agreement adjust Contact Centre telephone/on-line operations to ensure staffing of the 24/365 Community Response Service and to temporarily adjust Face to face Service operating arrangements when necessary. Customer Services Team to operate	C Rodgers C McCorry L Crothers	5	4	20	Explore graduate intern/KickStart opportunities to meet service professional requirements. Roll-out of Customer Service platform improving linkages to other systems and enable access to self-serve for customers, and over time, reducing resource demand within services. Service Reviews in Customer Services, Connected Communities and Protective Services with inputs from HR and Finance to ensure appropriate role and grading definitions within the service and broader corporate context. Review Customer Services and Connected Communities Service physical assets in the context of the Corporate Asset Strategy as regards Asset Rationalisation and Place Making. Daily monitoring of staffing and resource capacity leading to interim operational arrangements regarding service provision and operating hours in response to staffing pressures. Review of Head of Establishment role and remit, including emergency Call Out arrangements to minimise demands on front line staff, within context of Asset Strategy and Corporate Landlord model. Daily review of staffing capacity within Contact Centre and Customer Service face to face services. Contribute to HR processes re ongoing recruitment and grading developments.	2	3	6	L Crothers C Rodgers C Rodgers C Rodgers C McCorry L Crothers Head of Community Services C Rodgers Relevant Service Manager (s)	April 2023 March 2023 March 2023 September 2023 December 2022 March 2023 Ongoing December 2023	Risk refreshed by Service Manager – Customer Services – Sept 2022 – no change to scores Risk refreshed August 2022 by Head of Service – no change to scores. Risk register refreshed by Service Manager, Customer Services – May 2022 with current risk score increased from 16 to 20. Risk register refreshed by Service Manager, Customer Services – March 2022 with current risk score increased from 12 to 16. November 2021 - Risk reviewed by Head of Service to encompass all service capacity/staffing risks within the Communities Group. No changes to assessment of scores. Risk refreshed by Head of Service October 2020 with residual score reduced to 6. Risk refreshed by Service Manager – Customer Services in the context of COVID-19 service response – 2.10.19 with current risk increased from 9 to 12.

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		regrading undertaken and additional locum CR staff being recruited. Connected Communities and Customer Services are having to staff and manage a large no. of buildings which means constant moving of staff to cover and large amount of supervisory/management time looking after the buildings reducing capacity in their own service Challenges currently in recruitment to a wide range of vacant posts across Community Services which may be a short term COVID-19 or Brexit related issue, set in the context of wider economic recovery and a buoyant recruitment market. Unsuccessful recruitment campaigns may impact on the Council's reputation as an employer and may impact on service delivery and project deadlines.	business as usual from 5.9.22 following constant recruitment to posts in recent months. Performance Indicators analysed informing service delivery and management and supporting external funding bids for service development/redesign. Promote alternate customer service options i.e. channel shift to increase online service delivery, and reduce face-to-face and cash handling service provision. Continue to Identify critical 'specialist' work and contingency measures such as cross training, shadowing, alternative 'backup' provision and support arrangements: staff encouraged to work jointly, where appropriate, with Project team approach to some areas of work. Cross team training on issues such as project management and good relations with partner organisations such as the Improvement Service which allows for secondment of staff with specialist skills. Support access to appropriate professional development/qualifications informed by PRDs.											
C2	Financial	**Ineffective Insurance Cover** Failure to identify, source and secure effective insurance cover for the Council e.g. public liability and employers' liability, property and vehicle insurance cover etc. would leave the Council vulnerable to significant risk in respect of claims received. This could lead to financial loss and reputational damage. Should the Council's Insurance Service fail to operate effectively, risks may increase regarding effective management of insurance claims handling, policy compliance and accurate information being provided to the insurers (as required under the Insurance Act 2015). This, in turn, could lead to fraudulent claims, uninsured financial loss and reputational damage. Failure to declare accurately the risks within the Council to our insurers could result in cover being withdrawn and / or additional premiums or deductibles being incurred (leaving the Council at greater financial risk) Failure to maintain and implement / audit policies and procedures could lead to a	Documented procedures in place as well as Corporate Risk Assessment, Insurance Renewal Timetable and Insurance Administration. Insurance Policies renewed/replaced in a timely manner. New Shared Insurance Service has identified several areas where ELC has been exposed without insurance coverage – this is now being addressed. Existing Insurance Broker can assist with any queries in relation to existing policies and arrange for any new or changes in insurance cover External Claims Handlers handle all claims to ensure independence of process and consistency as service levels internally prior to the Shared Insurance Service were not upheld. Robust claims handling process in place through the use of external claims handling agents. Procedure in place to check for possible fraudulent claims received by the council; all claims are checked rigorously by internal and external claims staff.	L Crothers R Kydd A-M Glancy	4	4	16	Documented procedures in place, Corporate Risk Assessment, Insurance Renewal Timetable and Insurance Administration all being reviewed and updated during 2022. New system of monitoring and escalation of incidents leading to insurance claims and engaging with Council Management Team (CMT) and Service Management Team (SMT) re-lessons learned and preventative measures to be implemented. Use Gallagher Bassett risk review days available from insurer to explore ways to reduce risks/claims and improve processes across the Council in relation to claims that may not have been reviewed for some years. Review of Insurance Fund. Implementation of Insurance e-learning for all staff including	2	4	8	L Crothers L Crothers L Crothers A-M Glancy L Crothers	December 2022 December 2022 March 2023 December 2022 March 2023	Risk refreshed August 2022 by Head of Service – no change to scores. Risk fully reviewed by Ruth Kydd, Insurance April 2022 with current risk score increased from 8 to 16 and residual score from amended 3 to 8. Risk reviewed by HoS October 2021, with current control score amended to 8. Risk refreshed by Head of Service October 2020, with Residual Risk reduced from 6 to 3.

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		deterioration in the Councils claims experience. This will increase the premiums that the Council will have to pay. This may impact on the value of the Corporate Insurance Fund held within the Council's Reserves.

Failure to safeguard data held by the insurance team. | Insurance Fund in place within Council Reserves budget. External reviews undertaken every 3 years to ensure adequacy of fund.

Regular Members' reports submitted to update members about the improvements being focussed on.

Service Level Agreement for outsourced Insurance Service to City of Edinburgh Council in place to increase resilience and capacity and ensure ELC has experienced and knowledgeable team operating the service. | | | | | information about the policies in place, requirements for annual declarations and also emerging insurance risks.

Annual performance report to be drafted highlighting Strategic Insurance Market context and ELC claims history and cover arrangements and corporate risk management improvements arising.

Data sharing protocol operating between insurers is currently being amended / updated as there is no contract in place for the claims handling agents. | | | | L Crothers

L Crothers | March 2023

December 2022 | |
| C3 | Service Objectives | **Failure of Customer Services / Contact Centre I.T. Systems**

Failure of IT customer interface systems (including Telephony) would render the Council:
• Unable to deliver customer services some of which are vital 'life and limb' services i.e. community alarm/telecare services for 3 Councils and 2 Housing associations/adult and children's social work calls/out-of-hours emergency calls
• Data unable to be inputted onto databases
• Customers unable to access self-service and get on-line
• unable to meet customer expectations resulting in reputational damage, service level breach, poor publicity and failure to provide essential services.

Digital enabled telecare

Risk of failure of ELC to provide digitally enabled 24/7/365 telecare alarms and periphery to vulnerable health and social care clients when client telephony systems are transferred from analogue to digital in xx year xx could result in alarm failure or delay in connecting when vulnerable client needs assistance.

As Telephony companies are now replacing fibre from analogue to digital in East Lothian – this is now critical and more failures likely | Business continuity plan in place, tested annually and any actions implemented. Any short term system outages/incidents test resilience and inform BC Plan.

Regular meetings with staff to ensure they are aware of business needs; staff procedure up to date, staff trained and aware of outcomes and controls.

3rd party provider support and BC plans held ESS/Overdrive//MODES).

Manual 'back-up' procedures in place to support service provision, where possible: Social work service advised of any telephony problems in order that they can check on most vulnerable clients and make contacts, carers and emergency response service aware.

Alternative backup solutions identified where possible e.g. Netcall 2nd server, Assure (libraries) etc. Review of Netcall Telephony Management system.

Customer Service Platform developed and services transferring over from CRM.

ELC is participating in the national Digital Office A2D scheme but progress slow

Digital mobile alarms are in place but don't operate as they should so that there can be delay until it finds mobile signal to connect with.

CCTV system upgrade, review of static and mobile camera use.

The majority of I.T. systems are Public Sector Network (PSN) compliant with the exception of the Customer Relationship Management (CRM). | C Rodgers

R McGill | 4 | 4 | 16 | New Customer Relations Management System / Customer Services Portal / implementation programme ongoing. Phase one implemented March 2020 and ongoing. Most Waste services functions are now live - March 2022 - for complete transfer from CRM – October 2022.
Property maintenance services have been delayed due to lack of staffing resources across all Services which are involved so hope to go live – November 2022.

Netcall Management System contract extended to October 2022.

Replacement of analogue with digital enabled alarms (won't work with existing ARC system).

Upgrade existing Digital system to cope with both analogue and digital alarms or migrate to national Shared Arc system.

Public Network to be refreshed. Funding identified by IT to upgrade/replace PN hardware and support – working group to be established.

Full replacement and upgrade of CCTV. | 2 | 3 | 6 | C Rodgers

C Rodgers

C Rodgers

C Rodgers/ R McGill/ A Cruickshank

C Rodgers

R McGill | March 2023

March 2023

March 2023

March 2023

September 2023

March 2023 | Risk refreshed by Service Manager – Customer Services – September 2022 – no change to scores.

Risk refreshed August 2022 by Head of Service – no change to scores.

Risk register refreshed by Service Manager – May 2022 with no changes to assessment of scores with new element on Digital Enabled Telecare added and further discussion to take place through DSEG and Digital Office project.

Risk refreshed by Customer Service Managers January 2017 with current score increased from 9 to 16 and residual score reduced from 9 to 6. |

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			Library Booking System contracts extended to end of December 2022.					Continuing work to replace the CRM with the new Customer Platform with the existing Verint CRM system no longer being supported by Verint since 30.9.21. Full transfer of work to new Platform not due to end of December 2022. Numerous delays compounded by COVID and resource issues.

Library Management System MS replacement way forward agreed with Procurement but existing LMS extended for further 6 months due to demand on IT resources. Contract has now been let – August 2022 with implementation expected by end of December 2022. | | | | C Rodgers

C Rodgers/C Messer | December 2022

December 2022 | |
| C4 | Reputation | **Failure in Contact Centre Community Response**

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

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

All of the above could lead to reputational and or financial damage to the council and poor publicity.

Current service pressures and risks enhanced related to difficulties in recruitment and retention of staff. | Staff recruited for key qualifications, skills & attributes. Training programme for staff in place.

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

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

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

Solo Operating risk assessment and working procedure in place.

Lessons learned report from incidents.

Ongoing development of closer working between colleagues and stakeholders.

Increased flexibility in relation to shift cover within CRT with staff having built in responsibility to cover shift gaps.

CECOPS accredited.

Recruitment campaigns taking place as soon as vacancies arise to limit reductions in staffing for any length of time.

Role redefinition and regrading undertaken in June 2022 has assisted the situation greatly

New ways of working e.g. home working enabled by system development, allows | C Rodgers

R McGill | 3 | 4 | 12 | Contribute to corporate HR job design and grading processes, related to systems and care related roles. | 3 | 3 | 9 | C Rodgers | December 2022 | Risk refreshed by Service Manager – Customer Services – September 2022 – Current risk reduced from 20 to 12.

Risk refreshed August 2022 by Head of Service – no change to scores.

Risk register refreshed by Service Manager – Customer Services – May 2022 with current risk score increased from 6 to 20 and residual score from 6 to 9.

Risk register refreshed by Service Manager, Customer Services – March 2022 with no change to risk scores.

Risk register refreshed by Service Manager, Customer Services – September 2021 with current score reduced from 8 to 6.

Risk refreshed by Head of Services in October 2020 and Residual Risk reduced from 8 to 6. |

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			for greater business continuity with regard to severe weather or the Contact Centre not being available for any reason. (NB: when IT systems are upgraded over a weekend, this negates being able to access from home.) CR Staff working extra hours until Christmas to allow vacancies to be filled and staff trained. Locum staff being recruited and trained.											
C5	Reputation	**Animal Health/Welfare Incident** Any major animal health and welfare incident or disease e.g. avian influenza, foot and mouth, rabies, animal neglect etc. could have significant impact on local farms and business and on East Lothian as a whole (transport, rural schools, tourism etc.). During the summer of 2022 there was an outbreak in cases of Avian Flu around the North Berwick area. This was managed by various Council teams. There is an ongoing lack of import checks at borders e.g. increasing numbers of trafficked puppies which then require quarantine. The above incidents take up significant staff resource while it's recognised that further resource is required. An incident has the potential to close down parts/all of the county and restrict movement of animals or the public. The Council has a duty to make arrangements for care of animals where serious neglect is established which could have both financial and resource impact. Increased risk of pets being introduced to the country via Ukranians moving to the UK due to ongoing war. UK and Scottish Government are aware of the issue and putting in place additional quarantine facilities, however, lack of import checks could see animals missing quarantine requirements.	The Council has a major incident plan in place to activate if an incident occurs. Trading Standards employees are trained and deploy enforcement responsibilities under animal health and welfare legislation. Attendance at the East of Scotland Animal Health & Welfare panel. Established liaison/incident response arrangements with the Animal and Plant Health Agency (APHA). As part of the Animal Health & Welfare Framework with APHA, risk assessed visits carried out annually to certain high risk premises. APHA also conduct their own visits. Whilst staffing levels remain low annual inspections to premises are paused with officers continuing to respond to serious animal welfare complaints. Public and industry information and advice placed promptly on website, social media. Added Resilience from the Safer Communities Team (Dog Warden) where deemed necessary. Ongoing monitoring of Avian Flu outbreak nationwide as they occur. National Group set up and Scottish RRPs have devised a Local Authority Avian Influenza Response Guide which is to be approved. Pets and animals are checked as part of the property checks carried out on Ukranians moving to East Lothian.	A Connell	3	4	12	Protective Services Service Review may lead to an increase in staffing levels, providing increased capacity in respect of inspections and animal welfare checks and compliance. Contribution to national Trading Standards review of professional pathways and efforts to address national shortage of qualified officers.	2	3	6	L Crothers A Connell	December 2022 December 2022	Risk refreshed August 2022 by Head of Service – no change to scores. Risk refreshed by Service Manager, Protective Services, April 2022 due to heightened risks with likelihood increased from 2 to 3. Risk refreshed by Head of Service and current score decreased from 10 to 8. Risk refreshed August 2021 by PTSO and Head of Service with current score increased from 8 to 10. Risk refreshed August 2019 by PTSO with both scores increased from 4 to 8.
C6	Business Continuity	**Loss or damage of assets** Loss or damage or delayed repair of assets due to fire, explosion, storm, flood, malicious damage, theft, lack of repair/maintenance, lack of adequate security measures, loss of utility supply or	Business continuity planning in place and alternative operating premises identified; plans and training records reviewed annually. Key equipment and maintenance contracts are kept up to date and in good working order.	C Rodgers C McCorry	3	4	12	All senior staff to attend updated e-learning managing safely course. The Council's overarching Health & Safety Policy and Arrangements re Head of Establishment remit are under review. An increased focus on the Audit and Inspection role of the	2	3	6	C Rodgers L Crothers	September 2022 March 2023	Risk refreshed August 2022 by Head of Service and Service Manager Customer Services – no change to scores.

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		lack of facility support could result in (using Brunton Hall as an example): • Inability to access office accommodation, equipment, data; • Damage to equipment including our irreplaceable heritage assets e.g. museum objects, paintings and/or all other assets held within these premises; • Inability to retrieve data; • Serious injury to staff/members of public; • Long term absences; • Loss of Income • Damage to the public reputation of the BH as a professionally managed and safe high class public service centre and events/theatre venue • Loss of income to Brunton Theatre Trust and to ELC if customers are discouraged from using facilities due to anti-social and inappropriate behaviour. Private cars routinely parked around and under parts of the Brunton Hall building potentially risking fire/terrorism attack. Prestongrange Museum at risk of vandalism/unauthorised encampment due to openness of site.	Ensure Condition and other data is maintained up to date to inform the planned delivery of works required to ensure buildings comply with statutory and legal requirements and are maintained in a good condition. Regular fire drills carried out, H&S workplace inspections and Risk Assessments, while staff are trained in aspects relating to good working practices and in relation to fire drills and security procedures. Emergency planning procedures in place and regularly tested e.g. Service disaster plans for Museums. Alarm systems and CCTV systems in place for some Council buildings e.g. John Muir House, museums and libraries. Inventory held of all Council paintings, recording values, locations and conservation needs in accordance with the Councils Museum Collections Policy. Insurance query. Accreditation governing the quality of care for collections and museum buildings received from the Museums Association and reviewed tri-annually. All Museums have had security surveys carried out by Police Scotland, which are be refreshed every five years. Regular reporting and investigation of incidents and remedial action taken and highlighted to management if necessary, while all incidents reported on Sphera. Authorised building access and egress routes operate securely and are monitored. Brunton Hall back doors have been closed since March 2020. Problem solving partnership operate in respect of key buildings/locations when necessary e.g. Brunton Hall. User Groups meet regularly at Penston House, Brunton Hall, Library and Museum HQ, John Muir House and John Gray Centre. Prestongrange Project Board and Prestongrange Project Team meeting regularly: to limit vehicular access to the site, boulders and soil tips put on various parts of the Prestongrange site.					team will also be part of this review and an Audit Programme will be developed. Audit taking place in relation to the Council's Artworks Catalogue. (Delay due to long term absence of key member of staff) Review parking enforcement and Journey Hub operation around the Brunton Hall. Exploration of CCTV for Prestongrange site. Refresh of BH asset condition report by Infrastructure Services and programme of essential works within allocated capital budgets over the next 4 years. Exploration of appropriate insurance cover and insurance quotations for ELC Arts and Museum collections. Development of 'Trusted Keyholder Scheme', approved by ELC insurers, to enable controlled and limited community access to specific community buildings out of hours.				C Rodgers L Crothers C Rodgers P Iannetta C Rodgers C McCorry	December 2022 December 2022 December 2022 December 2022 March 2023 March 2023	Risk updated by Service Manager – Customer Services, March 2022 with current score increased from 8 to 12. Risk refreshed by Head of Service in October 2020 and Residual risk reduced from 8 to 6. Risk refreshed by Customer Service Manager in October 2019 and merged with former risk specifically on Brunton Hall.

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					L	**I**	**L x I**		**L**	**I**	**L x I**			
		Original date produced (Version 1)		06 May 2014										**Overall Rating**
		File Name		Policy and Partnerships Risk Register										**Very High**
		Original Author(s)		Scott Kennedy, Risk Officer										**High**
		Current Revision Author(s)		Scott Kennedy, Risk Officer										**Medium**
		Version		**Date**	**Author(s)**		**Notes on Revisions**							**Low**
		21		November 2021	S Saunders		Full review and refresh completed by Head of Communities. Risks on Equality and Health & Safety removed as these are covered in the Corporate Risk Register.							
		22		March 2022	S Kennedy		Risk Register Reviewed by Risk Officer plus Service Managers: Policy, Improvement & Partnerships.							
		23		April 2022	S Kennedy		Risk Registered reviewed by Insurance team including full update of risk on Insurance. Connected Communities Risks reviewed.							
		24		20 April 2022	S Kennedy		Full Risk Register reviewed and refreshed by Head of Service							
		25		16 June 2022	S Kennedy		Animal Health/Welfare Incident Risk updated							
		26		28 June 2022	S Kennedy		Avian Flu Risk updated							
		27		25 July 2022	S Saunders		Review of Very High Risks carried out by Head of Communities and new columns added for new risk software.							
		28		22nd August 2022	S Saunders		Review of Register carried out by Head of Communities							
		29		29th August 2022	S Kennedy		Improvement, Policy & Communications, Customer Services and Protective Services risks updated by Service Managers.							

East Lothian Council Risk Matrix

Appendix 2

Likelihood Description

Likelihood of Occurrence	Score	Description
Almost Certain	5	>90% chance of occuring
Probable	4	70%-90% chance of occurrence
Possible	3	30-70% chance of occuring
Unlikely	2	10-30% chance of occuring
Rare	1	<10% chance of occuring

Impact Description

Impact of Occurrence	Score	Impact on Service Objectives	Financial Impact	Physical and/or Psychological Impact on People	Impact on Time	Impact on Reputation	Impact on Assets	Business Continuity	Legal & Regulatory
Catastrophic	5	Catastrophic failure in service delivery and key service standards are not met, long-term catastrophic interruption to operations, several major partnerships are affected	Severe impacts on budgets (emergency Corporate measures to be taken to stabilise Council Finances. Consideration should be given as to whether this is an insured or uninsured risk and whether there may be reliance on reserves. The Council is expected to hold a reserve to budget ratio of 2%.	Single or Multiple fatality and or physcological impact, within council control, leading to fatal accident enquiry.	Serious - in excess of 2 years to recover pre-event position.	Highly damaging, severe loss of public confidence, Scottish Government or Audit Scotland involved. Prolonged regional and national condemnation.	Significant disruption to building, facilities, vehicles or equipment (Loss of building, vehicles, rebuilding required, temporary accommodation required, vital equipment lost without replacement capability available resulting in services being unable to be delivered).	Complete inability to provide service/system, prolonged downtime with no back-up in place.	Catastrophic legal, regulatory, or contractual breach likely to result in substantial fines or other sanctions, including substantial involvment from regulators.
Major	4	Major impact to service quality, multiple service standards are not met, long-term disruption to operations, multiple partnerships affected.	Major impact on budgets (need for Corporate solution to be identified to resolve funding difficulty). Consideration should be given as to whether this is an insured or uninsured risk and whether there may be reliance on reserves.	Number of extensive injuries (major permanent harm) or major physcological impact to employees, service users or public.	Major - between 1 & 2 years to recover pre-event position.	Serious negative national or regional criticism and publicity.	Major disruption to building, facilities, vehicles or equipment (Significant part of building unusable for prolonged period of time, alternative accommodation required, equipment or vehicles unavailble to provide significant elements of service delivery and no appropriate contingency arrangements in place).	Significant impact on service provision or loss of service.	Legal, regulatory, or contractual breach, severe impact to Council, fines and regulatory action publicly enforced.
Moderate	3	Significant fall in service quality, major partnership relationships strained, serious disruption in service standards.	Moderate impact on budgets (can be contained within overall directorate budget).	Serious injury requiring medical treatment or moderate physcological impact to employee, service user or public (semi-permanent harm up to 1yr), council liable.	Considerable - between 6 months and 1 year to recover pre-event position.	Adverse national media public attention with elected members becoming involved.	Moderate disruption to building, facilities, vehicles or equipment (loss of use of building for medium period, loss of equipment or vehicles requires contingency arrangements to be employed and has moderate impact on overall service delievery).	Security support and performance of service/system borderline.	Legal, regulatory, or contractual breach, moderate impact to Council, regulator action and or improvement required of the Council .
Minor	2	Minor impact to service quality, minor service standards are not met, short-term disruption to operations, minor impact on a partnerships	Minor impact on budgets (can be contained within service head's budget).	Non life changing injury or physcological impact to staff or member of the public requiring treatement.	Some - between 2 and 6 months to recover.	Minor adverse local, public or media attention and complaints.	Minor disruption to building, facilities, vehicles or equipment (alternative arrangements in place and covered by insurance, equipment or vehicles unavailable for small period of time minor impact on service).	Reasonable back-up arrangements, minor downtime of service/system.	Legal, regulatory, or contractual breach, minor impact to Council, regulator advice and improvement requested of the Council.
Minimal	1	No impact to service quality, limited disruption to operations.	Minimal impact on budgets (can be contained within unit's budget).	Minor injury or minor physcological impact to employee, service user or public.	Minimal - Up to 2 months to recover.	Public concern restricted to local complaints and of no interest to the media.	Minimal disruption to building, facilities, vehicles or equipment (alternative arrangements in place, equipment or vehicles alternative quickly available to replace or subsitute).	No operational difficulties, back-up support in place and security level acceptable.	Legal, regulatory, or contractual breach, negligible impact to Council, regulator suggested improvements requested.

Risk

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

Key

Risk	Low	Medium	High	Very High