

**REPORT TO:** Audit and Governance Committee

**MEETING DATE:** 20 January 2015

**BY:** Chief Executive

**SUBJECT:** Infrastructure Risk Register

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## **1 PURPOSE**

- 1.1 To present to the Audit and Governance Committee the Infrastructure Risk Register (Appendix 1) for discussion, comment and noting.
- 1.2 The Infrastructure Risk Register has been 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 Infrastructure Local Risk Working Group (LRWG).

## **2 RECOMMENDATIONS**

- 2.1 It is recommended that the Audit and Governance Committee notes the Infrastructure 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 Infrastructure risk can be borne by the Council at this time in relation to the Council's appetite for risk
  - although the risks presented are those requiring close monitoring and scrutiny over the next year, many are in fact longer term risks for Infrastructure and are likely to be a feature of the risk register over a number of years
  - while this report has been compiled by the Risk Officer, the Risk Register has been compiled by the Infrastructure LRWG. The Head of Infrastructure has lead responsibility and will speak to it at the Committee.

## **3 BACKGROUND**

- 3.1 In presenting the Infrastructure Risk Register to the Committee for discussion, comment and noting, I would wish to draw the Committee's attention to one specific matter. 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).

- 3.2 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 Infrastructure Risk Register includes six High risks, twenty seven Medium risks and thirteen Low risks. All Very High and High Risks are reported to the Audit and Governance Committee annually while Medium and Low Risks are reported biennially.
- 3.4 A copy of the risk matrix used to calculate the level of risk is attached as Appendix 2 for information.

#### **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 EQUALITIES IMPACT ASSESSMENT**

- 5.1 This report is not applicable to the well being of equalities groups and an Equalities Impact Assessment is not required.

#### **6 RESOURCE IMPLICATIONS**

- 6.1 Financial – It is the consideration of the Infrastructure Local Risk Working Group 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 for the year ahead 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 – Infrastructure Risk Register
- 7.2 Appendix 2 – Risk Matrix

<b>AUTHOR'S NAME</b>	Scott Kennedy Paolo Vestri
<b>DESIGNATION</b>	Emergency Planning and Risk Officer Service Manager - Corporate Policy and Improvement
<b>CONTACT INFO</b>	<a href="mailto:skennedy@eastlothian.gov.uk">skennedy@eastlothian.gov.uk</a> 01620 827900 <a href="mailto:pvestri@eastlothian.gov.uk">pvestri@eastlothian.gov.uk</a> 01620 827320
<b>DATE</b>	8 January 2015

# Infrastructure Risk Register

Date reviewed: 08 January 2015

Risk ID Number	Risk Description (Threat/Opportunity to achievement of business objective)	Risk Control Measures (currently in place)	Assessment of Current Risk			Planned Risk Control Measures	Assessment of Residual Risk [With proposed control measures]			Risk Owner	Timescale for Completion / Review Frequency	Single Outcome Agreement Outcome Number Link	Evidence held of Regular Review
			Likelihood (Probability)	Impact (Severity)	Risk Rating		Likelihood (Probability)	Impact (Severity)	Residual Risk Rating				
			L	I	L x I		L	I	L x I				
INF 1	Failing to maintain the Council's burial grounds could result in a serious injury/death to the public or ELC employees from falling headstones/memorials and a resulting financial loss due to insurance claims. There is also the risk of losing part of East Lothian's cultural heritage through the loss of family history records on headstones and memorials and failure to comply with the Equalities Act if access paths aren't maintained.	Limited action has been taken to make headstones safe. Responsibility for maintenance of facilities shared with Property Maintenance. An inspection of all headstones and memorials to record their condition has commenced that is highlighting the scale of the problem, however, action to rectify unsafe memorials not in place to keep pace with known risk in most sites. North Berwick Cemetery extension has concrete foundation provided for headstones. A Community Pay Back scheme to repair headstones/memorials has been set up but will take time to make any significant impact. St Mary's Haddington has had emergency stability work undertaken on headstones. ELC staff now responsible for installation of foundations for all new memorial stones.	4	4	16	Recruitment of 17 manual staff to partially fill vacancies in the Business Unit due for completion by March 2015.  Round 1 of Headstone Inspection programme to be completed by March 2015.  Squad to be established from within existing staff to undertake annual winter programme of priority headstone stabilisation works.	3	4	12	Principal Amenity Officer	March 2015  March 2015  Implement October 2015 & Review March 2016	11	Risk Refreshed by Principal Amenity Officer November 2014 and by Head of Infrastructure December 2014 with Current Risk Score reduced from 20 to 16.
INF 2	There is a risk of environmental and reputational harm (in terms of corporate social responsibility) and also the potential for significant unbudgeted costs if the Council does not develop solutions and/ or implement robust arrangements for Land Management challenges.  The Council currently has ownership of potentially contaminated land sites (including the former Carberry landfill site, old coal mining sites etc). Whilst there are no current indications of significant problems, possible remediation costs to the Council could be substantial.	Land Management (remediation) sites in Council ownership subject to environmental monitoring to evaluate risk.  Former Carberry Landfill site is subject to SEPA waste management licence conditions.  Implementation of the Contaminated Land Inspection Strategy in line with the Environmental Protection Act 1990. Potential contaminated sites across East Lothian including Council development sites will be remediated as part of development plans through planning conditions.  Data Recorder for Flow installed and being monitored for Scottish Water.	4	4	16	Carberry landfill Site - Gas Pumping Trial to be carried out. Unbudgeted cost projected at £50,000.  High probability now of Gas Flaring requirement. Unbudgeted cost projected at £170,000.  Consultation and discussion with SEPA on gas management issues.	3	3	9	Depute Chief Executive – Partnerships and Community Services	Gas pumping trial to be implemented by December 14.  Gas Flaring if required 2015.		May 2014 – Transferred from Corporate Risk Register.  Risk reviewed and updated March 2014 – score increased from 8 to 16 due to Carberry Landfill issues.  Planned Measures updated October 2014.  October 2014 planned risk score reduced to 9 due to planned works.

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INF 3	Inability to provide an efficient burial service and sufficient land for burial purposes would mean that the Council is unable to undertake its statutory duties, and create distress to family and mourners.  An audit highlighted there is less available burial space than indicated previously.	Burial Administration now centralised in single office and revised procedures from service review now operating. Risk Assessments and SOPs are in place, regularly updated and employees are aware of them. Training programme in place to ensure employees are qualified. Draft Burial Strategy developed, but not approved yet. Communication procedure with the Registration Service has been put in place and monthly liaison meetings take place. New procedures for management of burials are now operational.	4	4	16	Burial Strategy & Action Plan to be approved and capital budget identified to create new burial grounds.  Recruitment of staff programmed for March 2015 to partially restore operational levels.  Identify and develop new burial provision sites	2	4	8	Principal Amenity Officer	March 2015  March 2015  Complete Phase 1 by March 2016	11	Risk Refreshed by Principal Amenity Officer November 2014 and by Head of Infrastructure December 2014 with Current Risk Score reduced from 20 to 16.
INF 4	Police Scotland has removed the Traffic Warden Service nationally since January 2014. Police Scotland is still responsible for enforcing Traffic violations. However, this reduction of resource may have impact on the enforcement of traffic regulation orders issued by ELC and the policing of other parking and traffic management issues.	The enforcement of parking infringement is a Police Scotland responsibility. ELC cannot enforce traffic or parking infringements. We will continue to work with Police Scotland making them aware of areas identified where there are parking violations.  Continue to advise the public and encourage them to make Police Scotland aware of parking violations so they can take appropriate action. ELC will look at a parking strategy in the long term in the interest of public safety and economic impact on businesses.	4	3	12	The Council is considering options to deal with the removal of Police Traffic Warden and its impacts. This includes Decriminalised Parking. This is ongoing.	4	3	12	Head of Infrastructure	1-2 Years	7	Risk Refreshed October 2014 by Roads Manager
INF 5	Failure to manage and maintain the Council's tree estate including a failure to monitor for the current risk from tree diseases. This would have a negative impact on the landscape and character of East Lothian and its towns and villages, biodiversity, health & wellbeing of residents and the local economy and tourism. Failure to deliver SOA Outcome.	Some regular inspections undertaken. Monitoring for tree diseases within the tree estate. Some record kept of trees inspected. Record kept of arboricultural work undertaken. Annual programme of tree planting and record kept of trees planted. All forestry staff have appropriate qualifications, training and experience. Risk Assessments and SOPs in place for all arboricultural and forestry work. Woodland Action Plan in the Biodiversity Action Plan.	3	4	12	Survey of all Council owned trees on condition and location has been started, but without additional staff or resources it will take some time to complete. Set up a rolling inspection programme. Ensure Risk Assessments & SOPs are regularly updated & employees are aware of them. Recruitment of staff programmed for March 15 to partially restore operational levels.	2	4	8	Tree Officer	March 2015  December 14  March 15	11	Risk Refreshed by Principal Amenity Officer November 2014 and by Head of Infrastructure December 2014 with Current Risk Score reduced from 16 to 12 and residual score reduced from 10 to 8.

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INF 6	<p>A failure to meet the targets agreed in our Single Outcome Agreement and to meet EU landfill targets could result in reputational harm (in terms of corporate social responsibility) but more especially the potential for significant unbudgeted costs and financial penalties.</p> <p>The Waste (Scotland) Regulations 2012 has placed additional statutory obligations upon Local Authorities. A strategy review including implementation with additional services will need to be provided if the Council is to meet these obligations. This will impact upon current service provisions and has yet to be approved.</p>	<p>Waste Strategy agreed in July 2014 to be implemented by April 2015 with a view to achieving a minimum 50% recycling &amp; composting target.</p> <p>Recycling and residual collections to all domestic and commercial properties covering mixed waste, DMR, food and garden.</p> <p>Bring site provision including 4 Community Recycling Centres.</p> <p>Monitoring of national and local indicators.</p> <p>Waste Data Flow reporting to Waste Regulatory body.</p> <p>Monitoring of kerbside collection systems and targeted intervention to offer support to residents using these services.</p> <p>Short term disposal/treatment framework Contract. Partnership working.</p> <p>Strategy Review and Implementation.</p> <p>Procurement of a long term treatment contract which will allow for additional recovery and enable compliance with bans on waste disposal given the previous procurement exercise being halted through the preferred contractor going into liquidation.</p>	3	4	12	<p>Review services in line with policy changes and maintain continual analysis outlining options for consideration for each type of Waste and Recycling Collection the Council carries out.</p> <p>Meet the Waste (Scotland) Regulations 2012 by implementing the Waste Strategy in April 2015.</p> <p>2020 – Ban on bio-degradable municipal waste to landfill and recycling rate of 60% to be achieved.</p>	2	4	8	<p>Waste Services Manager</p> <p>Head of Infrastructure</p> <p>Depute Chief Executive – Partnerships and Community Services</p>	27 <sup>th</sup> April 2015.		<p>Risk reviewed May 2014 and Residual Risk Rating reduced from 12 to 8.</p> <p>Risk refreshed October 2014 – no changes to scores.</p>
INF 7	<p>Failure to comply with the statutory requirements of the Land Reform (Scotland) Act and to meet the expectations of access users, local community and land managers.</p> <p>There may also be a negative impact on sustainable transport, health &amp; wellbeing of residents and access users and the local economy and tourism. Failure to deliver SOA Outcome and contribute to cross cutting SOA Outcomes.</p>	<p>Approved East Lothian Core Path Plan in place and available to purchase.</p> <p>Local Access Forum established which holds quarterly meetings.</p> <p>Database maintained of access complaints and action taken to resolve.</p> <p>Annual paths/rights of way maintenance programme in place.</p> <p>Voluntary Path Warden Scheme set up.</p>	3	3	9	<p>External sources of funding to create/improve core paths to be explored to offset loss of budget in Capital Plan.</p> <p>Work in partnership with local interest/community groups to secure funding for core path works.</p> <p>Investigate constituting the Path Warden Scheme as a means of securing external funding to maintain the path network.</p>	2	3	6	Principal Countryside officer	March 2015	1,5,11,13	<p>Risk Refreshed by Principal Amenity Officer November 2014 and by Head of Infrastructure December 2014 with Current Risk Score reduced from 12 to 9 and residual score reduced from 8 to 6.</p>

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INF 8	NICEIC audit of October 2014 identified possible failure to ensure adequate quality assurance regime for domestic electrical works in place.	ELC remain well established members of NICEIC, who undertake an annual audit of Qualifying Supervisor competency.  In-house training is delivered to all front-line Operatives following any changes to Regulations and/or best practice.  Administrative arrangements have been revised to allow responsive electrical supervisor to undertake greater frequency of on-site supervision.	3	3	9	Most recent audit indicated requirement for Qualifying Supervisors to undertake greater level of on-site supervision and increase frequency of 'tool box talks'.  Qualifying Supervisor role has been incorporated into relevant supervisor job outlines in proposed service review.	2	3	6	Service Manager – Property Maintenance	Annual (in line with NICEIC audit)	7 & 9	Newly created risk identified 30/10/14 following NICEIC audit.
INF 9	An increase in the cost of raw materials, resources and commodities is impacting on the budget/expenditure of the service resulting in a reduction in the extent of all works carried out.	Use of Scotland Excel and local purchasing contracts when appropriate.  Joint agreement in place with West Lothian Council for the purchase of bituminous materials.  Whole-life costing in place.  Continue to maintain an adequate Asset management regime.	3	3	9	Looking at other/innovative treatments on road surfaces.  Improve asset management and intervene to produce measures on the roads that prevent further deterioration and therefore reduce the need for more intensive work in the future.	2	3	6	Road Services Manager	March 2016	7	Risk refreshed October 2014
INF 10	Current mobile working hardware is dated and does not meet PSN requirements.  System failure could result in inability to meet customer appointments resulting in increased complaints and poor Social Housing Charter performance.	PSN extension agreed by ELC IT, in lieu of further roll-out of mobile working hardware and software.	3	3	9	Implementation of phase 2 mobile working, encompassing Windows 8 tablet technology.	1	3	3	Service Manager – Property Maintenance	Feb 2015		New risk identified 30/10/14 by PG.
INF 11	Extreme Weather conditions can result in the demand of rock salt exceeding supply resulting in problems with the availability and supply of rock salt.	Stockpile capacity of 9,000 tonnes as a result of new salt barn. Winter Maintenance Budget of £8-900,000. When the supply is reaching critical levels, intervention by the Government in the form of a Salt Cell which monitors stocks and generates advice to suppliers about the allocation of salt stocks.	2	4	8		2	4	8	Road Services Manager		7	Risk score reduced to 8 from 10 by Service Manager – Roads (October 2014).

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INF 12	Failure to manage and maintain the designated sites resulting in the Council not fulfilling its statutory duties under the Nature Conservation (Scotland) Act and Wildlife & Countryside (Scotland) Act. This would have a negative effect on the landscape character of East Lothian, biodiversity, health & wellbeing of residents and local economy and tourism as well as failing to deliver Local SOA Outcome.	East Lothian Biodiversity Action Plan. Site management plans developed for coastal & countryside sites. Risk Assessments & SOPs developed for all operations. Employees receive appropriate training. Countryside Rangers issued with mobile phones. Emergency procedures in place. Vehicle management system installed in all vans. Sustain conservation volunteer programme.	2	4	8	Maintain staffing levels and ensure sufficient resources to deliver the service.	2	4	8	Principal Countryside Officer	March 2015	11	Risk Refreshed by Principal Amenity Officer November 2014
INF 13	Inability to sustain the Conservation Volunteer Programme and Path Warden Scheme. This would have a negative impact on the landscape character of East Lothian, biodiversity, condition of designated sites, sustainable transport, health & wellbeing of residents and access users, the local economy and tourism, the partnership working with the community and ability to contribute to the delivery of SOA Outcomes.	Risk Assessment & SOP in place for each activity and each new activity and reviewed annually Each activity supervised by an ELC employee. Volunteers given clear instructions & training programme in place. Emergency procedures in place and supervisors aware of the procedures & their responsibility. Young Ranger Scheme now in operation.	2	4	8		2	4	8	Countryside Officer		5,11,14	Risk Refreshed by Principal Amenity Officer November 2014
INF 14	Failure to provide a sufficient grounds maintenance service would have a negative effect on the landscape and character of East Lothian and its towns and villages, biodiversity, health & wellbeing of residents and the local economy and tourism. Failure to deliver Local Outcome in SOA.	Risk Assessments & SOPs in place for all grounds maintenance operations are regularly reviewed & employees are aware of them. The Risk Assessments & SOPs Clarify roles & responsibilities of Amenity Officers. Employees have appropriate qualifications and training. BCP covers suppliers going out of business. Regular depot inspections are carried out. Vehicle management system installed in all vans & machines. Adequate staffing levels through filling of some of the fulltime vacancies and seasonal posts. Maintain staffing levels and ensure sufficient resources to deliver service.	2	4	8	Recruitment exercise planned for March 15	2	4	8	Principal Amenity Officer	March 2015	11	Risk Refreshed by Principal Amenity Officer November 2014



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INF 15	Failure to provide a street sweeping service resulting in the Council not being able to fulfil its statutory duties under the Environmental Protection Act. This would have a negative effect on the landscape character of East Lothian and its towns and villages, biodiversity, health & wellbeing of residents and the local economy and tourism. Failure to deliver SOA Outcome.	Risk Assessments & SOPs developed for litter collection, bin emptying, removal of dog fouling, snow clearance and gritting and are reviewed annually. Employees have appropriate qualifications and training. BCP covers suppliers going out of business. Regular depot inspections are carried out. Vehicle Management system fitted to all vans & machines. Internal & external LEAMS audits and KSB validation audit. Maintain staffing levels and ensure sufficient resources to deliver service.	2	4	8		2	4	8	Principal Amenity Officer		11	Risk Refreshed by Principal Amenity Officer November 2014
INF 16	Failure to risk assess guided walks could result in an investigation by the HSE in the event of a serious incident occurring, financial risk to the Council through insurance claims from injured parties and also damage the reputation of the Council through negative publicity.	Risk Assessments developed for each walk. Employees have appropriate training with regular updates. Safety & Good Practice in the Outdoors Guidance adhered to and emergency procedures in place.	2	4	8		2	4	8	Principal Countryside Officer		5, 14	Risk Refreshed by Principal Amenity Officer November 2014
INF 17	Loss of Operators Licence would result in Waste Services and Road Services inability to uplift waste and carry out winter maintenance. Failing to maintain public highways free of ice and snow and uplift of household waste which is a statutory requirement and could result in Scottish Government sanctions and damage to the Councils reputation.	Regular maintenance of vehicles following VOSA best practice guides. Checks carried out on external companies work on Council fleet.	2	4	8		2	4	8	Transport Services Manager		9	Risk refreshed October 2014
INF 18	Any disruption to our fuel supply would affect our ability to undertake our day to day work. Fuel shortages can range from very minor to very severe. A very minor shortage may result in brief shortages at a few fuel stations, with minimal impacts. However, a very severe fuel shortage can result in major impacts very quickly especially on our ability to carry out our statutory requirements.	Fuel supply held at our depots. Fuel sourced externally from local fuel service stations. Shared services with other Local Authority. A Council Fuel Plan is in place.	2	4	8		2	4	8	Road Services Manager Waste Service Manager Transport Services Manager Property Maintenance Service Manager		3,9	Risk refreshed by all managers winter 2014/15.
INF 19	Employee human error could result in major injury or death to themselves or another employee carrying out their duties, consequently resulting in suspension of a number of services.	Risks are controlled through a health and safety policy. Relevant employee training and awareness is carried out regularly. At the VPMU all vehicle lifts have fail safe mechanisms. All drivers complete an initial driver assessment.	2	4	8		2	4	8	All managers.		N/A	

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		Continual review takes place as to how we operate our business.											
INF 20	Risks highlighted for the development of 7 target sports for sports development include injury to staff or participants, breach of Child Protection and Vulnerable Adults Act, failure to service and maintain equipment to a safe standard which could all lead to bad publicity for the Council and result in financial loss through insurance claims from the public.	Risk Assessments undertaken for venues and activities. Service Management of Coaches and Volunteer Guidelines in place. Volunteer and Coach handbook / emergency operating procedures in place and reviewed annually Volunteers and coaches are trained in procedures. Child protection training undertaken by staff / coaches and volunteers and council guidelines followed. Council Education Excursion Guidelines and Approval procedures followed. Only fully trained and qualified coached and volunteers employed. PVG checks for all coaches and volunteers and key staff undergo first aid training which is reviewed regularly. Emergency operating procedures are followed for all venues and all equipment is maintained and checked regularly. Coach and Volunteer Handbook and emergency operating training procedures are reviewed annually.	2	4	8		2	4	8	Principal Officer Sports Development			
INF 21	Failure to maintain harbours could lead to damage to the fabric of the harbour and to boats on moorings and in dinghy parks (where appropriate). Potential risk of injury to harbour users, water pollution, vessels sinking and danger from heights should people / equipment fall. Failure to warn of the dangers of the operation of the boom crane (North Berwick only) resulting in HSE / MCA (Marine and Coastguard Agency) involvement. All could lead to bad publicity for the Council and result in financial loss through insurance claims from the public.	Risk Assessments in place, including weather assessment. Regular visual inspection of harbour area by harbour master. Training provided for boom operators and provision of personal protective clothing (N Berwick only). Lifebelts in place, regular inspection. Safety barriers erected in areas of highest risk. Regular maintenance and repair programme in place. Provision of pollution spill kit (N Berwick only). Guidelines for boom crane operation in place. Pollution spill kit in place for Fisherrow/Cockenzie.	2	4	8		2	4	8	Principal Recreation & Physical Officer			
INF 22	Failure to provide cleaning services within education premises out with core provision, due to staff shortages or health epidemic. This could result in schools not been cleaned to the required standard and a breakdown of infection control. This could result in schools not being able to remain open and putting the council at risk.	Utilise special clean team and specialist products when required. Senior cleaners complete cleaning schedule including daily checks that all areas have been cleaned to the appropriate standard.	2	4	8	Review job outlines to meet the needs of the service.	2	4	8	Service Manager - Facilities	March 2016	5 & 6	New risk created January 2015 by Service Manager – Facilities.

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INF 23	<p>Carberry landfill Site – The Carberry site is a gassing landfill with the following risks associated to it:</p> <p>There is a public safety risk of an explosion if landfill gas accumulates in a building or other enclosed space. There are a number of residential and commercial properties in the vicinity of the site, although several hundred metres away.</p> <p>SEPA have intimated that we may be required to install an additional gas management measurement system (flare stack/gas engine) as the simple vents that are currently in place and were originally agreed do not provide the best possible environmental solution</p> <p>Attached to this is a reputational risk should SEPA take enforcement action against the Council.</p> <p>The cost of any additional gas management systems would be significant unbudgeted expenditure.</p>	<p>Regular on-site gas monitoring has not indicated any migration of landfill gas off-site. The gassing from the landfill has not substantially changed over recent years.</p> <p>Passive venting arrangements are currently in place which SEPA have accepted up to now.</p> <p>We have carried additional monitoring in this respect and are now progressing pumping trials.</p>	2	4	8	<p>We are progressing a gas pumping trial to determine whether or not a flare system is required.</p> <p>The Council remains in discussion with SEPA about gas monitoring results and the legal requirement for Flaring should this be deemed necessary.</p> <p>We are against capping the stacks due to the increased risk of uncontrollable gas migration and the danger this poses to surrounding properties.</p> <p>Installation of a gas monitoring/ control management system is likely to cost in excess of £170,000 capital with revenue for maintenance. No budget currently exists.</p>	2	3	6	Waste Services Manager	<p>Gas Pumping Trial December 14.</p> <p>Gas Flare if required 2015.</p>	11 & 12	Risk Refreshed by Waste Services Manager October 2014 and by Head of Infrastructure December 2014 with Current Risk Score reduced from 10 to 8 and residual score reduced from 10 to 6.
INF 24	<p>Current Microsoft Access voids module is unsupported.</p> <p>Failure could result in loss of information with significant impact on voids turnaround resulting in rent loss and poor Social Housing Charter performance.</p>	ELC IT have database specialism who can invariably resolve minor system glitches, bugs etc	2	4	8	<p>Commission full review of software including architecture.</p> <p>Subsequently scope system revisions/upgrade require and possibly tender if no in-house capacity to develop /support going forward.</p>	1	4	4	Property Maintenance Service Manager	<p>October 2015</p> <p>December 2015</p>		New risk identified 30/10/14 PG
INF 25	Increasing exposure to drug related/contaminated waste materials resulting from the handling of needle sticks and/or body fluids has heightened the risk of infection from blood borne virus – HIV, Hep, B, C for all front-line employees, which could expose the council and/or individuals to criminal charges and subsequent civil actions.	Awareness training for all staff. Additional training for staff required to handle waste materials. Frontline staff issued with sharps kits to facilitate removal of small items of contaminated waste System in place to identify problem properties/tenants and issue warning to staff with regards to potential exposure.	2	4	8	Work ongoing to develop corporate guidance on drug-related contaminated waste and strengthen disposal procedures and joined-up working.	1	4	4	All Managers	April 2015	1 & 5	Risk Refreshed by Head of Infrastructure December 2014 with Current Risk Score reduced from 10 to 8 and residual score reduced from 5 to 4.
INF 26	<p>Work at Height remains the biggest cause of fatal injury in the workplace.</p> <p>A fatal injury could expose the council and/or individuals to criminal charges and subsequent civil actions. Any fatal injury could have a major impact</p>	<p>Generic risk assessment have been carried out to identify significant risk and appropriate control measures that are required to be implemented.</p> <p>Training for specific equipment. PASMA, IPAF provided to relevant</p>	2	4	8	Generic risk assessments should form the basis of a site specific risk assessment where additional hazards have been identified Dynamic risk	1	4	4	Service Manager – Property Maintenance	June 2015	1 & 5	Risk Refreshed by Property Maintenance Manager and by Head of Infrastructure December 2014 with Current Risk Score reduced from 20 to 8

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			L	I	L x I		L	I	L x I				
	on the victims' family and potentially damaging to the Council's reputation.	Operatives on 5 year cyclical basis.  All staff are provided with Working at Heights training on induction, with refresher training provided every 4 years.  Staff and workforce receive ongoing training and development to encourage a managing safety culture and the implementation of safe working practice.				assessments may also apply, to consider changing local/environment conditions (traffic/weather etc.)  Proposed introduction of trade based supervisors will clearly identify supervisory responsibilities.  All planned control measures are reliant on implementation of service review.							and residual score reduced from 10 to 4
INF 27	Failure to adequately plan maintenance activities on the public road network could lead to conflict with the requirements of other roads users, including public utilities, events and members of the public. Also failure to comply with the requirements of the Scottish Roads Commissioner such as keeping the gazetteer up to date and other statutory obligations under the Transport Scotland Act and the New Roads and Street Works Act.  This could result in fines from the Scottish Roads Commissioner (as occurred this year) as well as a reputational impact on ELC if events have to be cancelled.	Annual road maintenance plan/schedule in place.  Weekly works planning meetings where any impact on the Scottish Road Works Register is monitored.  Register held of all events which is refreshed regularly.	2	4	8	Service reviews within Road Services and Road Network to combine into a single Roads Unit will produce further clarity on job roles within the future establishment.	1	4	4	Road Services Manager	March 2015	7	Risk Refreshed October 2014
INF 28	Service reviews, VERS and budget restrictions combined with a workload increase due to Major Housing Developments could result in a reduction in staffing levels such that the service is unable to continue in its present form and as a consequence unable to meet Statutory Obligations and fail to carry out regular inspections of RCC sites.	Balanced recruiting level of staff/workload ratio and re prioritising of essential tasks.	2	4	8	Seek alternative, innovative methods of service delivery to ensure legal compliance.	1	4	4	Head of Infrastructure  Road Services Manager	March 2015	7, 10	Risk refreshed October 2014
INF 29	Significant Trading Operation fails to demonstrate Best Value & Workforce Equality resulting in work possibly having to be outsourced and subsequent job losses.	Structure and organisation of services (including option appraisal for Service Delivery) determined through service review.  Monthly review of Trading Accounts to ensure service is on target to meet	2	4	8	Further roll-out of mobile working and targeted efficiency improvements.  Increasing number of repairs by appointment.	1	3	3	Service Manager – Property Maintenance  Team Leader	April 2015	1	Risk Refreshed by Property Maintenance Manager and by Head of Infrastructure December 2014 with Current Risk Score reduced from 10 to 8

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		<p>budgeted surplus.</p> <p>Ongoing implementation of mobile working in Property Maintenance Services</p> <p>Job costing aligned to nationally benchmarked Schedule of rates.</p> <p>Ongoing twice-yearly reconciliation of maintenance material stock.</p>				<p>Housing Asset Management Strategy following SHQS – March 2015 delivery to allow forward planning of Housing modernisation work.</p> <p>Improved customer feedback (ongoing and targeted improvements).</p> <p>Social Housing charter improvements. Involvement of customer representatives in designing improved services.</p> <p>Property Maintenance re-structures to be implemented.</p> <p>Revision of Craft t Workers Green Book to ensure continued relevance of performance monitoring in mobile working environment.</p>				– Housing Assets			and residual score reduced from 5 to 3.
INF 30	Waste collection arrangements are inadequate due to a failure or loss of staff, vehicles, plant, equipment or buildings to provide resource availability for waste and recycling management requirements.	<p>Business continuity plan</p> <p>Operation of depot and transfer station.</p> <p>Contracts for haulage / disposal / recycling / composting.</p> <p>Operation of four Recycling Centres.</p> <p>Provision of receptacles to customers.</p> <p>Ability to suspend non critical activities.</p> <p>Adequate levels of staff and resources.</p> <p>Storage and maintenance of vehicles &amp; equipment.</p> <p>Risk assessments and safe operating instructions.</p> <p>Monitoring of national and local indicators.</p> <p>Customer Feedback and Consultation.</p> <p>Waste Collection Policy.</p> <p>Strategy agreed with alterations to types and frequencies of collections</p>	2	3	6		2	3	6	Waste Services Manager	December 14		Risk refreshed October 2014 – Both scores reduced to 6.
INF 31	There is the risk that staff and volunteers involved in the delivery of Sports and Activity and Promoting Increased Physical Activity sessions and those participating in said sessions could be injured due to inadequate controls or the failure to service and maintain equipment to a safe standard. This could lead to negative publicity for the Council, HSE	<p>Risk Assessments undertaken for venues and activities.</p> <p>Service Management of Coaches and Volunteer Guidelines in place.</p> <p>Volunteer and Coach handbook / emergency operating procedures in place and reviewed annually</p> <p>Volunteers and coaches are trained in procedures.</p> <p>Council Education Excursion</p>	2	3	6		2	3	6	Principal Officer Sports Development Principal Officer Active Schools			3 Former general risk entries on various risks within Sports development, physical activity opportunities and promoting increased physical activity split to show one risk on the risk of

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	involvement and financial loss through insurance claims from the public.	Guidelines and Approval procedures followed. Only fully trained and qualified coached and volunteers employed. Resource packs and in house training available for all volunteers as well as shadowing/buddying. Coach and Volunteer Handbook and emergency operating training procedures are reviewed annually. Emergency operating procedures are followed for all venues and all equipment is maintained and checked regularly by those responsible for the venue whilst all coaches/volunteers have a responsibility to carry out visual checks before each activity. Risk Assessments in place and regularly updated, including weather assessment while qualified/ trained staff / volunteers are used to lead sessions.										injury/maintaining of equipment and one on Child Protection.	
INF 31	Failure to maintain the AALS (Adventure Activities Licence) resulting in the Council being unable to provide adventure activities for under 18 year olds, which in turn would significantly reduce the range of outdoor learning opportunities available to young people , their health and wellbeing and personal development.	Safety and Good Practice in managing Off Site Visits Guidelines in place. Educational Excursion Approval needs to be gained prior to the event taking place and is gained by the visit Leader submitting a form using the internet based EVOLVE system. Employees have appropriate up to date qualifications and experience. Only appropriately qualified and experienced Associate Instructors are employed. All Outdoor Centres that provide adventure activities outside their grounds should have a valid Adventure Activity Licence and insurance cover All Outdoor Centres that provide activities within their own grounds should use appropriately qualified staff, have Risk assessments for each activity in place and have valid insurance cover. All schools and establishments using EVOLVE.	2	3	6	Joint monitoring programme of activities takes place with Health & Safety Advisers and is inspected quarterly.	1	3	3	Principal Teacher Outdoor Education	June 2015	2,5	Risk Refreshed by Principal TOE November 2014 and by Head of Infrastructure 2014 with Risk Score reduced from 10 to 6 and residual score from 5 to 3.
INF 32	Failure to comply with the statutory requirements under the Health & Safety at Work Act in relation to HAVS and Whole Body Vibration (WBV), noise exposure, lung function and suitability for employment generally would create a financial risk to the Council through staff insurance claims and open up the Council to investigation by the HSE. Enforcement notices and/or other punitive actions may also apply If	Suitable & sufficient risk assessments are in place for all tasks to identify hazards and implement appropriate control measures. Staff receive appropriate instruction & training to allow work tasks to be performed safely and managers should ensure work tasks are monitored for compliance with Safe Systems of Work Noise awareness training for all affected employees. Initial health screening of all new	2	3	6	Competency frameworks to be identified to ensure supervisors attend training courses to ensure they have a good understanding of their role with regards to the duty of care imposed on them by current H&S Regulations.  Improvements through	1	3	3	Principal Amenity Officer  Roads Services Manager  Service Manager – Property Maintenance	June 2015	1 & 5	Risk score reduced from 16 to 6 as all Risk Measures now in place and HSE Improvement Notice lifted March 2014 per Principal Amenity Officer and Road Services Manager, November 2014

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	illness/ injury/death occurs as a direct result of non-compliance.	employees to establish a benchmark. Thereafter, annual health monitoring of all staff exposed to risk undertaken by the Council's Occupational Health Service provider and specific restrictions placed on any staff who display symptoms of HAVS or Carpel Tunnel. Approved HAV / WBV annual screening process now in place and annual testing and exposure controls as approved by HSE now in place All machinery and equipment has been tested and assessed for WBV and within Property Maintenance & Amenities traffic light coded to indicate the length of time they can be used for each Tier level of HAVS. All staff record on their timesheets exposure or over Exposure to vibration. Amenity Technician has undergone WBV training. Where noise, dust exposure or other risk pertains, a bespoke risk assessment should be carried out to determine exposure levels and appropriate control measures should be implemented.				service review to more clearly identify supervisory responsibilities within Property Maintenance.  Work ongoing to renew occupational health arrangements.  ELC currently procuring contract to deliver lung function monitoring.							
INF 33	IT failure preventing use of Fleetmaster software for maintenance and repair records of vehicles within the Council fleet. Impact on vehicle history electronically recorded and therefore VOSA and Scottish Government requirements.	All information backed up daily.	2	3	6	Request additional software back-up in addition to current data back-up.	2	1	2	Transport Services Manager	Reviewed annually but unlikely to be a priority as IT have confirmed existing back-up facility is currently sufficient.	13	
INF 34	By providing a range of activities to all members of the public including children and vulnerable adults there is a risk of a breach of the Child Protection and Vulnerable Adults Act, which could all lead to putting participants at risk resulting in negative publicity for the Council and possible criminal investigations.	Active Schools Management of Coaches and Volunteer Guidelines in place. Child Protection training undertaken by staff while all coaches and volunteers receive a briefing on Child Protection and council guidelines are followed. Only fully trained and qualified coaches employed. PVG checks for all coaches and volunteers while key employees undertake first aid training which is reviewed regularly.	1	4	4	A form is being developed for all coaches and volunteers to sign in relation to Child Protection and Social Media.	1	4	4	Principal Officer Sports Development  Principal Officer Active Schools	March 2015		3 Former general risk entries on various risks within Sports development, physical activity opportunities and promoting increased physical activity split to show one risk on the risk of injury/maintaining of equipment and one on Child Protection.
INF 35	A pandemic resulting in a loss of workforce would impact on our ability to undertake normal duties, but more importantly, to respond to emergencies including winter maintenance.	Identify essential employees and other critical inputs required to maintain business operations by location and function during a pandemic. Use of external resources. Implementation of an exercise/drill to test readiness for emergencies and	1	4	4	Completion of Business Continuity which will identify critical activities to be completed by January 2015	1	3	3	All Managers	January 2015	7, 10	October 2014 – Risk score reduced from 10 to 4. Residual score reduced to 3 once BC updated.

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		revise periodically. Keep up-to-date with reliable pandemic information from public health. Prioritise essential business functions and for a period of time prepare to suspend other non-essential business functions.											
INF 36	Failure of the Print Unit to meet publishing deadlines for critical materials resulting in damage to the Council's reputation.	Controls include open dialogue between graphics/print unit/external supplier or client to ensure deadlines are achievable before work commences.	2	2	4		2	2	4	Facilities Service Manager		Risk refreshed November 2014	
INF 37	Failing to provide free meals during periods of adverse weather would result in legal action being taken against the Council and a loss of reputation.	During adverse weather pupils in cluster school areas would attend another school if necessary and receive their free meal there. Continuity plan in place and regularly tested. Production kitchens are equipped to increase production if required. Support from transportation using a 4x4 vehicle to transport staff and deliver meals to rural schools.	2	2	4		2	2	4	Facilities Service Manager	3 & 5	Risk refreshed November 2014	
INF 38	Failure to comply with Education Scotland requirements in relation to The Schools (Health Promotion and Nutrition) (Scotland) Act 2007 would result in a poor report from Education Scotland, loss of reputation and adverse publicity. This is a legal requirement and ELC could be faced with a fine should we not comply with the regulations.	Menu analysis carried out to determine nutritional values and they meet the legal regulations. Employee training and development to ensure all food served within schools meets the standard. Food and Health training carried out. Recipes and Menus issued to all unit Supervisors and schools. Photographs of food on offer each day. Supervisors in kitchens informed that they must comply with the menus and recipes for each day.	2	2	4		2	2	4	Facilities Service Manager	3 & 5	Risk refreshed November 2014	
INF 39	Roads infrastructure, bridge management and street lighting are major issues for the council given its responsibility for key routes. Any failure in provision/ maintenance may lead to closures, disruptions, adverse public reaction in terms of expectation.  A healthy road network aids in enabling a vibrant economy and future economic development.	Appropriate inspection & assessment regimes in place.  Register of road bridges, underpasses, footbridges and culverts completed.  Partnering in the Scottish National Road Condition Survey.  Consultation with Councillors and constituents in place on annual maintenance plan.  Roads Asset Management Plan in	2	2	4		2	2	4	Head of Infrastructure	7, 10	Risk refreshed October 2014	



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		<p>place.</p> <p>Annual programme of roads maintenance works in place aimed at reducing the percentage of the roads network in amber/red condition.</p> <p>Regular monitoring of the condition of street lighting units.</p> <p>An electronic system to log all complaints and reports of road defects/lighting faults is in place in conjunction with the call centre system (LAGAN) at Macmerry. This ensures all reports are recorded, actioned and monitored under the Road Network Management ISO:9001 Quality System.</p>											
INF 40	Carberry Landfill Site – leachate from the landfill site is collected in site drainage system and discharges to the public sewer for which the Council pays a trade effluent charge. Scottish Water required the Council to install an effluent meter to provide records of the daily volume discharges into the sewer as they are no longer accepting fixed volume estimates. Since installation initial readings suggest the leachate levels are higher than predicted and could result in increased water treatment charges.	<p>Effluent Meter installed and providing accurate readings.</p> <p>Waste Services are monitoring the flow rate readings along with SC and awaiting Scottish Water's determination of the amounts.</p>	2	2	4		2	2	4	Waste Services Manager		11 & 12	Risk Refreshed October 2014
INF 41	Loss of children's outdoor play facilities due to facility being poorly maintained/not functioning which would have a negative impact on personal and social development of young people and their levels of physical activity.	<p>Dedicated play maintenance squad. Qualified play area inspector. Play Area Chargehand RPI approved. Annual play area inspection carried out by an independent play inspector. High level of investment by the Council over 20 years in a play improvement programme and this continues with partnership working and developer contributions. Maintain investment programme through working in partnership with the Housing Service and local community groups.</p>	1	3	3		1	3	3	Principal Amenity Officer		5,11	<p>Risk Refreshed by Principal Amenity Officer November 2014 and score reduced from 8 to 3.</p> <p>External Consultant's Report completed July 14.</p>
INF 42	A public transport strike would prevent the transport of pupils to and from school resulting in the Council not fulfilling its statutory requirements.	<p>Use of local bus operators. Reduce reliance on individual companies. If short term strike parents would be requested to transport pupils to and from school.</p>	1	3	3		1	3	3	Transport Services Manager		1, 2, 3, 13	

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			L	I	L x I		L	I	L x I						
INF 43	Any postal strike could prevent the delivery of parts to the VPMU for vehicle maintenance and repair thus resulting in vehicles not being available to user departments.	Suppliers to use courier services for delivery of parts.	1	3	3	.	1	3	3	Transport Services Manager		2, 3, 9, 13			
INF 44	Failure of security staff to make premises secure and monitor the premises could result in vandalism, fire, theft and a risk to employees.	Security staff check buildings are alarmed, gates locked where appropriate and doors are secure. Training & procedures are updated and issued to staff. All school buildings have key safes outside main doors of schools.	1	3	3	Keys for all ELC buildings within FMS to be held at Contact Centre and security team to have access to allow them to deal with emergencies.	1	2	2	Service Manager - Facilities Service Manager - Engineering Svcs & Building Stds	April 2015	4, 5 & 7	Risk refreshed November 2014		
INF 45	Ineffective fleet management in relation to future purchase of Council vehicles would result in capital expenditure costs rising.	Regular discussion with user departments on their individual requirements. Continued evaluation of existing fleet. Regular contact with vehicle suppliers to demonstrate new items available.	1	2	2		1	2	2	Transport Services Manager		12, 13			
INF 46	Failure to carry out PVG checks on employees within FMS which could result in an inappropriate person working with children or adults. This could result in children/adults being put in danger and result in major reputational damage to the council, as ELC could be committing an offence if employing a barred person. The offence is up to 5 years in prison and/or fine.	Use of correct ELC procedures during recruitment and selection. Correct PVG checked for location employees are working within. We try to use as little agency staff as possible. When we do they have the correct PVG for the post they are covering. FMS keep a record of all agency staff used and record includes PVG number and photographic evidence of person where appropriate.	1	1	1		1	1	1	Facilities Service Manager		4 & 7	Risk updated October 2014 and score reduced from 2 to 1 due to planned measures now being current measures.		
<b>Original date produced (Version 1)</b>		9 <sup>th</sup> January 2013										<b>Risk Score</b>	<b>Overall Rating</b>		
<b>File Name</b>		Infrastructure Risk Register										<b>20-25</b>	<b>Very High</b>		
<b>Original Author(s)</b>		Scott Kennedy, Risk Officer										<b>10-19</b>	<b>High</b>		
<b>Current Revision Author(s)</b>		Scott Kennedy, Risk Officer										<b>5-9</b>	<b>Medium</b>		
<b>Version</b>		<b>Date</b>	<b>Author(s)</b>			<b>Notes on Revisions</b>							<b>1-4</b>	<b>Low</b>	
1		09/01/2013	S Kennedy			Environment Register updated to Infrastructure Risk register following Senior Management Restructure and updates to Risk Strategy and Corporate Risk Register.									
2		April-May 2013	S Kennedy			Updated by M Johnston and T Reid and risks combined following Working Group meeting. Dog Fouling/Dangerous Dogs risk split by M Johnston. Transport Services updated by I Dalgleish. Facilities Management updated by J Marlow. Property Maintenance updated by R Rafferty.									
3		September 2013	S Kennedy			Landscape & Countryside Risks updated by S Pryde.									

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4		October 2013	S Kennedy			Waste Management Risks updated and two added by T Reid and no change to Road Services Risks (A Stubbs) or Transport Services Risks (I Dalglish). Facilities Mgmt risks updated – measures added to Inf 28 and score reduced from 8 to 4 accordingly.							
5		December 2013	S Kennedy			Roads Network Risks Added							
6		January 2014	S Kennedy			Dangerous Dogs & Dog Fouling Risks transferred to Communities & Partnerships (Customer Services) Risk Register ; Healthy Living Risks added and Print Unit Risk added to Facilities to create initial Infrastructure Risk Register following realignment process.							
7		May 2014	S Kennedy			Pandemic risk score reduced from 10 to 5 and all Waste risks reviewed by Tom Reid. Land Management Risk transferred from Corporate RR at the request of CMT.							
8		November 2014	S Kennedy			Waste, Transport, Road, Facilities Services and Property Maintenance Risks all reviewed and refreshed by respective Service Managers. Amenity Risks reviewed by Principal Amenity Officer.							

**Appendix 2**  
**East Lothian Council**  
**Risk Matrix**

Likelihood Description

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

Impact Description

Impact of Occurrence	Score	Description						
		Impact on Service Objectives	Financial Impact	Impact on People	Impact on Time	Impact on Reputation	Impact on Property	Business Continuity
Catastrophic	5	Unable to function, inability to fulfil obligations.	Severe financial loss (>5% budget)	Single or Multiple fatality within council control, fatal accident enquiry.	Serious - in excess of 2 years to recover pre-event position.	Highly damaging, severe loss of public confidence, Scottish Government or Audit Scotland involved.	Loss of building, rebuilding required, temporary accommodation required.	Complete inability to provide service/system, prolonged downtime with no back-up in place.
Major	4	Significant impact on service provision.	Major financial loss (3-5% budget)	Number of extensive injuries (major permanent harm) to employees, service users or public.	Major - between 1 & 2 years to recover pre-event position.	Major adverse publicity (regional/national), major loss of confidence.	Significant part of building unusable for prolonged period of time, alternative accommodation required.	Significant impact on service provision or loss of service.
Moderate	3	Service objectives partially achievable.	Significant financial loss (2-3% budget)	Serious injury requiring medical treatment to employee, service user or public (semi-permanent harm up to 1yr), council liable.	Considerable - between 6 months and 1 year to recover pre-event position.	Some adverse local publicity, limited damage with legal implications, elected members become involved.	Loss of use of building for medium period, no alternative in place.	Security support and performance of service/system borderline.
Minor	2	Minor impact on service objectives.	Moderate financial loss (0.5-2% budget)	Lost time due to employee injury or small compensation claim from service user or public (First aid treatment required).	Some - between 2 and 6 months to recover.	Some public embarrassment, no damage to reputation or service users.	Marginal damage covered by insurance.	Reasonable back-up arrangements, minor downtime of service/system.
None	1	Minimal impact, no service disruption.	Minimal loss (0.5% budget)	Minor injury to employee, service user or public.	Minimal - Up to 2 months to recover.	Minor impact to council reputation of no interest to the press (Internal).	Minor disruption to building, alternative arrangements in place.	No operational difficulties, back-up support in place and security level acceptable.

Risk	Impact				
	None (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
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