

REPORT TO: Audit and Governance Committee

MEETING DATE: 19 January 2016

BY: Chief Executive

SUBJECT: Infrastructure Risk Register

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

3 BACKGROUND

- 3.1 The Risk Register has been compiled by the Infrastructure LRWG. 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 6 High risks, 25 Medium risks and 12 Low Risks.

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

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DATE	7 January 2016

Infrastructure Risk Register

Date reviewed: 7 January 2016

Risk ID	Risk Description (Threat/Opportunity to achievement of business objective)	Risk Control Measures (currently in place)	Assessment of Current Risk			Planned Risk Control Measures	Assessment of Residual Risk [With proposed control measures]			Risk Owner	Timescale for Completion / Review Frequency	Single Outcome Agreement Outcome Number Link	Evidence held of Regular Review
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			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. Inspection of all headstones now complete 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. Programme of winter stabilisation now in place and underway (Winter 2015) which will reduce the number of dangerous headstones over an anticipated period of 5-6 years.	4	4	16	Round 2 of Headstone Inspection programme to be completed by March 2017. Monitor progress of annual winter programme and ensure high risk sites are dealt with first.	3	4	12	Principal Amenity Officer	March 2017 March 2016	11	Risk Refreshed by Principal Amenity Officer September 2015. 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	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. Burial Strategy now adopted by ELC 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. Negotiation ongoing with landowners and consultation with Planning for new burial provision at priority sites – Dunbar, Prestonpans and Tranent, Representation made to MIR consultation regarding all cluster needs for new space Recruitment exercise complete meaning staffing filled to budget.	4	4	16	Complete negotiations and secure ownership of land according to priority list. Deliver induction session for all burial staff on current procedures	2	4	8	Principal Amenity Officer	December 2016 March 2016	11	Risk Refreshed by Principal Amenity Officer September 2015. Risk Refreshed by Principal Amenity Officer November 2014 and by Head of Infrastructure December 2014 with Current Risk Score reduced from 20 to 16.

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INF 3	<p>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.</p> <p>The Council currently has ownership of potentially contaminated land sites (including the former Carberry landfill site, old coal mining sites etc).</p> <p>Whilst there are no current indications of significant problems, possible remediation costs to the Council could be substantial.</p>	<p>Land Management (remediation) sites in Council ownership subject to environmental monitoring to evaluate risk.</p> <p>Former Carberry Landfill site is subject to SEPA waste management licence conditions.</p> <p>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.</p> <p>Data Recorder for Flow installed and being monitored for Scottish Water.</p> <p>Carberry landfill Site - Gas Pumping Trial complete.</p>	4	4	16	<p>Carberry landfill Site -</p> <p>There is now a requirement for a Gas Flaring system. WS Manager has secured verbal agreement from Scottish Government of £250,000 grant to affect the works. Awaiting written confirmation and grant allocation dates.</p> <p>Consultation and discussion with SEPA on gas management issues.</p>	2	2	4	Depute Chief Executive – Partnerships and Community Services	Gas Flaring works dependant on grant aid.	<p>Planned measures updated December 2015 and residual score further reduced from 9 to 4.</p> <p>Planned Measures updated October 2014 and planned risk score reduced to 9.</p> <p>May 2014 – Transferred from Corporate Risk Register.</p> <p>Risk reviewed and updated March 2014 – score increased from 8 to 16 due to Carberry Landfill issues.</p>		
INF 4	<p>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.</p>	<p>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.</p> <p>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.</p>	4	3	12	<p>The Council is considering options to deal with the removal of Police Traffic Warden and its impacts.</p> <p>At Council on 15th December 2015 approval was given for submission to Transport Scotland of an application to introduce Decriminalised Parking Enforcement in East Lothian.</p>	3	3	9	Head of Infrastructure	December 2016	7	Risk Refreshed December 2015 by Roads Manager.	

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INF 5	<p>Failure to manage and maintain the Council's tree estate including a failure to monitor for the current risk from tree diseases resulting in potential damage to people and or property. Also potential 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.</p> <p>Failure to deliver SOA Outcome.</p>	<p>Some regular inspections undertaken. Monitoring for tree diseases within the tree estate. Some record kept of trees inspected. Record kept of arboriculture 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 and regularly updated for all arboriculture and forestry work which employees are aware of. Woodland Action Plan in the Biodiversity Action Plan. Forestry Squad currently operating at structure.</p>	3	4	12	<p>Survey of all Council owned trees on condition and location and set up a rolling inspection programme. Purchase of specialised Tree Management software to allow mapping and detailed recording of condition & history. Survey of trees has been started, but due to workload & without additional staff or resource progress is too slow for data to be of any relevance.</p>	2	4	8	Tree Officer	<p>March 2017</p> <p>No completion date currently available.</p>	11	<p>Risk description updated by Principal Amenity Officer September 2015 to reflect possible risk to property and people.</p> <p>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.</p>
INF 6	<p>Current mobile working hardware is dated and does not meet PSN requirements.</p> <p>Failure to implement by end March 2016 will result in return to paper-based job ticketing, placing increased pressure on administrative resources.</p>	<p>PSN extension agreed until end March 2016 by ELC IT, in lieu of further roll-out of mobile working hardware and software.</p> <p>Revised project plan agreed with suppliers to ensure system in place by deadline.</p>	4	3	12	<p>Implementation of phase 2 mobile working, encompassing Windows 8 tablet technology.</p>	1	3	3	Service Manager – Property Maintenance	<p>March 2016</p>		<p>Risk refreshed Nov'15 by Service Manager – Property Maintenance</p> <p>New risk identified 30/10/14 by Service Manager – Property Maintenance.</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. There may also be a negative impact on sustainable transport, health & 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. Local Access Forum established which holds quarterly meetings. Database maintained of access complaints and action taken to resolve. Annual paths/rights of way maintenance programme in place. Voluntary Path Warden Scheme set up. Working in partnership with local interest/community groups to secure funding for core path works. Path Warden Scheme constituted as a means of securing external funding to maintain the path network.</p>	3	3	9	<p>Capital bid in with the Capital Asset Management Group for funding to create/improve core paths to offset loss of budget in Capital Plan.</p>	2	3	6	Principal Countryside officer	<p>January 2016</p>	1,5,11,13	<p>Risk Refreshed by Principal Countryside Officer December 2015.</p> <p>Head of Infrastructure reduced Current Risk Score reduced from 12 to 9 and residual score reduced from 8 to 6 – December 2014.</p>
INF 8	<p>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.</p>	<p>Use of Scotland Excel and local purchasing contracts when appropriate.</p> <p>Joint agreement in place with West Lothian Council for the purchase of bituminous materials.</p> <p>Whole-life costing in place.</p> <p>Continue to maintain an adequate Asset management regime.</p>	3	3	9	<p>Looking at other/innovative treatments on road surfaces.</p> <p>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.</p>	2	3	6	Road Services Manager	<p>March 2016</p>	7	<p>Risk refreshed December 2015.</p>

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INF 9	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 reviewed December 2015. Risk score reduced to 8 from 10 by Service Manager – Roads (October 2014).
INF 10	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 2016	11	Risk Refreshed by Principal Countryside Officer December 2015.
INF 11	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	Principal Countryside Officer		5,11,14	Risk Refreshed by Principal Countryside Officer December 2015.
INF 12	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. Staff resource being maintained up to budget	2	4	8		2	4	8	Principal Amenity Officer		11	Risk Refreshed by Principal Amenity Officer September 2015.

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INF 13	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. Amenity Operative Posts now live allowing greater service cross over	2	4	8		2	4	8	Principal Amenity Officer		11	Risk Refreshed by Principal Amenity Officer September 2015
INF 14	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 Council's reputation 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 Countryside Officer December 2015.
INF 15	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 December 2015.
INF 16	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. 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. A Council Fuel Plan is in place.	2	4	8		2	4	8	Service Managers – Roads, Waste, Transport and Property Maintenance.		3,9	Risk refreshed by all managers winter 2015/16.
INF 17	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. Continual review takes place as to how we operate our business.	2	4	8		2	4	8	All managers.		N/A	Risk refreshed by all managers winter 2015/16.

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INF 18	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 19	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.	Regular visual inspection of harbour areas by harbour masters. Lifebelts in place and regularly inspected whilst safety barriers are erected in areas of highest risk. Provision of pollution spill kit (N Berwick only). Training provided for boom operators and provision of personal protective clothing (N Berwick only). Risk Assessments and guidance in place for the boom operation and lift in/lift out of vessels.	2	4	8	Meeting to be convened by Eamon John to review required works at Fisherrow Harbour. Regular maintenance and repair programme underway for Fisherrow/Cockenzie. Pollution spill kit to be put in place for Fisherrow/Cockenzie.	2	4	8	Recreation & Physical Officer	December 2016		Risk reviewed by PRPO December 2015
INF 20	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 and refreshed December 2015
INF 21	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 and our Special Clean Team, Toilet Attendants, Cleaning/Domestic and Janitorial Staff,	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	2	4	8		2	4	8	All Managers		1 & 5	Risk refreshed December 2015. Risk Refreshed by Head of Infrastructure December 2014 with Current Risk Score reduced from 10 to 8.

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	which could expose the council and/or individuals to criminal charges and subsequent civil actions.	<p>staff with regards to potential exposure. Generic risk assessment have been carried out to identify significant risk and appropriate control measures that are required to be implemented.</p> <p>Special Clean Team – specialist training received from Apropos Training Ltd in relation to needle handling.</p> <p>Corporate guidance on drug-related contaminated waste developed in and in use. Disposal procedures and joined-up working strengthened.</p> <p>Special Clean Team issued with yellow disposable sacks, needle handling pack, PPE, face masks, eye goggles fit for purpose, appropriate footwear, suitable gloves and gauntlets for use for body spillage.</p>											
INF 22	<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 they require us 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 is a 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 gas pumping trials have been completed.</p>	2	4	8	<p>A gas pumping trial confirmed a gas management system is required.</p> <p>There is now a requirement for a Gas Flaring system. WS Manager has secured verbal agreement from Scottish Government of £250,000 grant to affect the works. Awaiting written confirmation and grant allocation dates.</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>Environmental report is being created.</p>	2	2	4	Waste Services Manager	December 2016. Gas Flaring works dependant on grant aid.	11 & 12	<p>Risk reviewed December 2015 and residual score reduced from 6 to 4.</p> <p>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.</p>
INF 23	<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 on the victims' family and potentially damaging to the Council's reputation.</p>	<p>Generic risk assessments carried out to identify significant risk and appropriate control measures that require to be implemented.</p> <p>Training for specific equipment. PASMA, IPAF provided to relevant Operatives on 5 year cyclical basis.</p> <p>All staff are provided with Working at</p>	2	4	8	<p>Generic risk assessments should form the basis of a site specific risk assessment where additional hazards have been identified</p> <p>Dynamic risk assessments may also apply, to consider changing local/environment conditions (traffic/weather etc.)</p> <p>Competency frameworks to be</p>	1	4	4	Service Managers – Property Maintenance and Facilities	April 2016	1 & 5	<p>Risk refreshed and Service Manager Facilities added as risk owner December 2015.</p> <p>Risk Refreshed by Property Maintenance Manager and by Head of Infrastructure</p>

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		<p>Heights training on induction, refresher training provided every 4 years.</p> <p>Staff and workforce receive ongoing training/development to encourage a managing safety culture and the implementation of safe working practice.</p> <p>Trade based supervisors (with responsibility for ensuring safe working practices) in place following implementation of service review.</p>				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.							December 2014 with Current Risk Score reduced from 20 to 8 and residual score reduced from 10 to 4.
INF 24	<p>New Construction (Design & Management) Regulations (CDM 2015) came into force as of 6 April 2015.</p> <p>This is a legal requirement and ELC could be faced with a fine or work stoppages should we not comply with the regulations.</p>	Robust H&S regime in place across Council services.	2	4	8	Operating procedures to be developed through cross-Service working group.	1	4	4	Service Managers- Community Housing Building Standards & Engineering Services Property Maintenance	April 2016		New Risk Created by Service Manager Property Maintenance December 2015
INF 25	If waste collection arrangements were 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 & equipment. 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			<p>Risk reviewed December 2015.</p> <p>Risk refreshed October 2014 – Both scores reduced to 6.</p>

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			L	I	L x I		L	I	L x I				
INF 26	<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 was implemented April 2015 with a view to achieving a minimum 50% recycling & 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. 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> <p>Waste (Scotland) Regulations met following implementation of Waste Strategy.</p> <p>Ban on bio-degradable municipal waste to landfill and recycling rate of 60% achieved.</p>				Continue to 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.				Waste Services Manager Head of Infrastructure Depute Chief Executive – Partnerships and Community Services	Review annually.		<p>Risk refreshed November 2015 – Current score reduced from 12 to 6 and residual score reduced from 8 to 6 due to implemented measures.</p> <p>Risk reviewed May 2014 and Residual Risk Rating reduced from 12 to 8.</p>

Risk ID	Risk Description (Threat/Opportunity to achievement of business objective)	Risk Control Measures (currently in place)	Assessment of Current Risk			Planned Risk Control Measures	Assessment of Residual Risk [With proposed control measures]			Risk Owner	Timescale for Completion / Review Frequency	Single Outcome Agreement Outcome Number Link	Evidence held of Regular Review
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Residual Risk Rating				
			L	I	L x I		L	I	L x I				
INF 27	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 involvement and 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. Council Education Excursion 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.	2	3	6		2	3	6	Principal Officer Sports Development Principal Officer Active Schools			Risk reviewed September 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 POAS added.
INF 28	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 2016	2,5	Risk refreshed by PTOE September 2015. 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.

Risk ID	Risk Description (Threat/Opportunity to achievement of business objective)	Risk Control Measures (currently in place)	Assessment of Current Risk			Planned Risk Control Measures	Assessment of Residual Risk [With proposed control measures]			Risk Owner	Timescale for Completion / Review Frequency	Single Outcome Agreement Outcome Number Link	Evidence held of Regular Review
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Residual Risk Rating				
			L	I	L x I		L	I	L x I				
INF 29	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 illness/injury/death occurs as a direct result of non-compliance.	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 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 has resulted in improvements and more clearly identifying supervisory responsibilities within Property Maintenance.	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. Work ongoing to renew occupational health arrangements. ELC currently procuring contract to deliver lung function monitoring. Case study risk assessments for HAVS risk exposure to be created.	1	3	3	Principal Amenity Officer Roads Services Manager Service Manager – Property Maintenance Service Manager - Facilities	April 2016 March 2016	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
INF 30	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. Qualifying Supervisors now in post following implementation of PM service review.	2	3	6	Regular 'tool box talks' to be conducted by new Trade Supervisors.	1	3	3	Service Manager – Property Maintenance	Annual (in line with NICEIC audit)	7 & 9	Risk refreshed November 2015 by Service Manager and current risk score reduced from 9 to 6 and residual risk score from 6 to 3. Newly created risk identified 30/10/14 following NICEIC audit.

Risk ID	Risk Description (Threat/Opportunity to achievement of business objective)	Risk Control Measures (currently in place)	Assessment of Current Risk			Planned Risk Control Measures	Assessment of Residual Risk [With proposed control measures]			Risk Owner	Timescale for Completion / Review Frequency	Single Outcome Agreement Outcome Number Link	Evidence held of Regular Review
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Residual Risk Rating				
			L	I	L x I		L	I	L x I				
INF 31	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	Currently looking at external hosting of software.	2	1	2	Transport Services Manager	April 2016	13	Risk Refreshed December 2015.

Original date produced (Version 1)	9 th January 2013			Risk Score		Overall Rating	
File Name	Infrastructure Risk Register			Risk Score	20-25	Overall Rating	Very High
Original Author(s)	Scott Kennedy, Risk Officer			Risk Score	10-19	Overall Rating	High
Current Revision Author(s)	Scott Kennedy, Risk Officer			Risk Score	5-9	Overall Rating	Medium
Version	Date	Author(s)	Notes on Revisions	Risk Score	1-4	Overall Rating	Low
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.				
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 Dalgleish). Facilities Mgmt risks updated.				
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	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.				
9	December 2015	S Kennedy	All Infrastructure risks reviewed and refreshed by all Service Managers. Risks on postal strike and print unit deadlines removed by Head of Infrastructure. Risk on staffing levels also removed as covered in Corporate Risk Register.				

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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