East Lothian Council

REPORT TO: Audit and Governance Committee

MEETING DATE: 25 September 2018

BY: Chief Executive

SUBJECT: Communities and Partnerships Risk Register

1   PURPOSE

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

1.2   The Communities and Partnerships Risk Register 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 Communities and Partnerships Local Risk Working Group (LRWG).

2   RECOMMENDATIONS

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

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

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

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

3   BACKGROUND

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

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

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

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

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

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

3.3 The current Communities and Partnerships Risk Register includes 1 High risks, 30 Medium risks and 16 Low Risks. Per the Council's Risk Strategy only Very High and High risks are reported to the Committee, however, given there is only 1 High Risk I have included all Medium Risks scoring 8 or 9.

4 POLICY IMPLICATIONS

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

5 INTEGRATED IMPACT ASSESSMENT

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

6 RESOURCE IMPLICATIONS

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

6.2 Personnel - There are no immediate implications.

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

7 BACKGROUND PAPERS

7.1 None

Appendix 1 – Communities and Partnerships Risk Register 2018

Appendix 2 – Risk Matrix 2018

AUTHOR'S NAME	Scott Kennedy
DESIGNATION	Emergency Planning, Risk and Resilience Officer
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DATE	13 September 2018

Communities and Partnerships Risk Register   Date reviewed: 13 September 2018

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	East Lothian Plan Outcome Number Link	Evidence held of Regular Review
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C&P 1	I.T. Systems (Customer Services) Failure of IT systems (including Telephony) • Unable to deliver services some of which are vital services i.e. community alarm/telecare services for 3 Councils and 2 Housing associations/adult and children's social work calls/out-of-hours emergency calls • Data unable to be inputted onto databases • Activation of Business Continuity plan • Customers unable to access self-service and get on-line The majority of I.T. systems are Public Sector Network (PSN) compliant with the exception of Integrated Room Booking System (IRBS), Customer Relationship Management (CRM) & Closed Circuit Television (CCTV). Any of the above would result in the Council being unable to meet customer expectations resulting in reputational damage, poor publicity and failure to provide essential services.	Business continuity plan in place, tested annually and review actions implemented. Any short term outages/incidents test resilience and inform BC Plan. All software updated regularly. Regular meetings with staff to ensure they are aware of business needs; staff procedure up to date, staff trained and aware of outcomes and controls. 3rd party provider support and BC plans held (IRBS/Qnomy/Capita/ Bolinda/People's network/MODES). Manual procedures in place to support service provision, where possible: Social work service advised of any telephony problems in order that they can check on most vulnerable clients and make contacts, carers and emergency response service aware. Alternative backup solutions identified where possible e.g. CRM, Netcall 2nd server, Assure (libraries) etc. Wi-Fi contract extended to March 2019. IRBS support contract extended to October 2018. Staff ID cards system replaced April 2017. New telecare call and management system implemented March 2018. Peoples Network and Library Booking System contracts extended to March 2019. CCTV system upgraded June 2018 and now PSN compliant.	4	4	16	IRB system (bookings) is due to go out to tender in March 2019. CRM system to go out to procurement and awarded by September 2018. Netcall Call Management System contract expires September 2018. Reviewing procurement options. Review of Wi-Fi provision and re-tender for Peoples Network taking place in 2019.	2	3	6	Service Manager – Customer Services Customer Service Managers IT Service Manager	March 2019 September 2018 March 2019 March 2019		Risk refreshed by Customer Service Managers March 2018 no change to assessment of scores. Risk refreshed by Customer Service Managers January 2017 with current score increased from 9 to 16 and residual score reduced from 9 to 6.

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C&P 2	Security and safety risks at the Brunton Hall (BH) Risk of reoccurring incidents of inappropriate and antisocial behaviour, damage to property, small fire outbreaks and security breaches. If these risks fail to be addressed, there is a continuing risk of: • Inability to access office accommodation, equipment, data; • Damage to building and contents including irreplaceable heritage assets e.g. museum objects, paintings and/or all other assets held within these premises; • Serious injury to staff/members of public; • Long term absences of staff • Damage to the public reputation of the BH as a professionally managed and safe high class public service centre and events/theatre venue • Loss of income to Brunton Theatre Trust and to ELC if customers put off using facilities due to anti-social and inappropriate behaviour.	The correct fire and security systems are incorporated in the building, including panic alarm systems in place. Regular fire drills, H&S workplace inspections and Risk Assessments are conducted. Staff trained in aspects in relation to good working practices and fire drills and security procedures. Staff also trained in Suicide Awareness and receiving training in dealing with clients presenting with mental health issues. Regular visits to the building by members of Safer Communities team and Police Scotland Youth Protection Officer. CCTV system upgraded in July 2017. Problem solving partnership meetings and Brunton Hall User Group meetings held bi-monthly with reps from all services accommodated in the building to agree protocols /policies/ health and safety/awareness of issues/events and response to antisocial behaviour etc. All incidents reported on Sphera. Authorised building access and egress routes operate securely and are monitored – Temporary Caretaker deployed in foyer to assist customers and respond to any issues. Main Brunton hall back doors are closed whilst theatre performances are on to reduce inappropriate use of building. Primary Care Access Hub now located in Musselburgh Health Centre to support those who may require immediate assessment for those who have mental health or other issues.	3	3	9	Project team set up to identify library relocation to the Brunton hall, which will involve reviewing all use of accommodation. Undertaking Service Review of Facilities Support within the Brunton Hall. Review of impact of Temporary Caretaker in public access areas to determine future need.	2	3	6	Service Manager Customer Services Team Manager - Arts Service Manager – Facilities Support Service Managers Community Housing & Homelessness Criminal Justice Area Manager - Musselburgh Team Manager – Public Health and Protection Team Manager – Safer Communities Group Manager – Mental Health Services	December 2018 October 2018 October 2018		New Risk created February 2018 by Service Manager Customer Services and further reviewed by Head of Service August 2018 with Current Score reduced from 12 to 9.
C&P 3	Service Capacity (Customer Services) Breadth of service delivery across East Lothian and staffing pressures, underpinned by budgetary constraint, stretches resources leading to an inability to sustain services which may impact on the ability to meet priority frontline services e.g. Customer Service desks and libraries. Failure to address this risk could lead to: • Inability to develop service and staff skills/knowledge e.g. school librarians • Inability to effectively meet stakeholder and customer demand	Service Plans and Business Continuity Plans in place. Partnership working with Midlothian and Scottish Borders Council expanding service provision and generating service sustainability and income. Staff Performance Review and Development deployed consistently. Managing Attendance Policy deployed consistently. Flexible deployment of staff and Locum/casual/relief posts within Local	3	3	9	Continue to explore further business opportunities and funding streams to maximise use of resources and achieve income potential e.g. Museum Scotland grants/ Historic Environment Funding etc. Develop graduate intern opportunities to meet service professional requirements e.g. graduate librarian, graduate communications interns. Work with Finance to review allocation of 2018/19 customer services budget across services to meet priority needs.	3	2	6	Service Manager – Customer Services All Customer Service Managers	Under constant review Ongoing October 2018		Risk refreshed by Head of Communities and Partnerships August 2018 with Current Score reduced from 12 to 9. Risk refreshed by Customer Service Managers March 2018 no change to assessment of scores. Risk Control measures refreshed to include library services– Risk rating increased due to

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	• Reduced ability to introduce legislative changes effectively. • Challenge in appropriately resourcing new services (staffing and equipment) e.g. new school library • Workforce capacity pressures (e.g. attendance management, role redesign) resulting from service developments embedding new ways of working to meet strategic priorities e.g. digital strategy, asset management, financial strategy, within budget allocation.	Area offices /Libraries/ Contact Centre and Museum Service and use of volunteers within Library and Museum Service to meet peaks and troughs of service demand. Library HQ and school librarians working as one team supporting one another. Closure monitoring on RIVO in relation to staff experiences/stress and risk assessments completed. Provision of effective staff Induction and ongoing training e.g. CSPQ, Mindfulness, Mental Health etc. Performance Indicators analysed informing service delivery and management. Provide data and analysis to support bids for additional resources or business case to reduce/withdraw resources. Knowledge software deployed within key areas and evaluated and staff trained to extract, interpret and apply knowledge. Programme of Service Reviews ongoing e.g. Libraries Review Promote alternate customer service options i.e. channel shift to increase online service delivery, and reduce face-to-face and cash handling service provision New Jontek digital telecare platform implemented March 2018.				Online Customer Service platform will improve linkages to other systems and enable access to self-serve for customers, reducing resource demand within services.					March 2019		significant period of change which will result in increased likelihood of resource issues – May 2014 Wide range of services being provided and so any long term absence becoming difficult to sustain.
C&P 4	Environmental Health's interventions on Health and Safety enforced premises allocated to ELC under appropriate legislation. Failing to respond satisfactorily to a major incident, death or serious personal injury in local businesses and organisations under Environmental Health's enforcement regime has negative impacts on financial and reputational risk. There could be • further risk to life and limb if the occurrence allowed to remain unidentified/unresolved or continue for longer than necessary • impact on public and business confidence within East Lothian. • cause a reputational risk for the Council if the response was unsatisfactory • attract significant media interest	Appointment, development and retention of sufficient authorised inspectors to investigate incidents and regulate duty holders through health & safety inspection and intervention programmes. Associated enforcement action is taken where it is identified that controls have broken down or have been breached. Enforcement is conducted by trained and competent Environmental Health Officers, and Technical Officers, with ongoing CPD requirements. The business plan and inspection process are reviewed annually. Specialist knowledge/expertise sought from partners (HSE) if and when appropriate.	2	4	8	The Environmental Health App has the potential to be further developed. Its use has been profiled through social media and engagement with Community Councils. Through limited proactive engagement with business, as directed by UK Government, the variable nature of commercial sector and willingness of business operators means likelihood is realistically and accurately always above 1.	2	4	8	Service Manager – Protective Services	December 2018		Risk refreshed May 2018 with no change to assessment of risk scores. Risk refreshed February 2017 with current score reduced from 10 to 8 due to new staffing structure Risk updated January 2015 by Environmental Health Partnership Manager, current score increased from 8 to 10.

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	• a public enquiry/formal investigation into the incident, which would impact on the deployment of Council resources to carry out day to day work. • third party insurance claims made against the Council. • Depending upon the nature of the incident, the area may require evacuation and/or decontamination.	Environmental Health will disseminate information to the general public to advise them of the risks and any appropriate precautions they should take to mitigate any risks. Of prime importance in an incident is the communication of the message, whether this message is primarily the responsibility of East Lothian Council, National Health Service, Scottish Government, Scottish Water, Food Standards Scotland. Therefore, the ELC Corporate Communications team has a vital role in relation to both the messaging and the use of the Environmental Health App. In addition, the Business Continuity Plans may have to be put in force should a serious incident occur that requires a community council response.											
C&P 5	Assets including, loss, damage, upkeep and facilities support of public buildings. Loss or damage due to fire, explosion, storm, flood, malicious damage, theft, lack of repair/maintenance, lack of adequate security measures, loss of utility supply or lack of facility support could result in • Inability to access office accommodation, equipment, data; • Damage to equipment including our irreplaceable heritage assets e.g. museum objects, paintings and/or all other assets held within these premises; • Inability to retrieve data; • Serious injury to staff/members of public; • Long term absences; • Loss of Income	Business continuity planning in place and alternative premises identified; plans and training records reviewed annually. Key equipment, maintenance contracts are kept up to date and in good working order. Regular fire drills carried out, H&S workplace inspections and Risk Assessments. Currently, there are regular audits/inspections conducted within each facility with remedial actions undertaken within head of establishment authority. Staff trained in aspects relating to good working practices and in relation to fire drills and security procedures. Emergency planning procedures in place and regularly tested e.g. Service disaster plans for Museums. Alarm systems and CCTV systems in place for some museums and libraries. Prestonpans Library CCTV upgraded. Inventory held of all Council paintings, recording values, locations and conservation needs in accordance with the Councils Museum Collections Policy. Accreditation governing the quality of care for collections and museum buildings received from the Museums Association and reviewed tri-annually. The correct fire and security systems are incorporated in any new builds.	2	4	8	Considering new CCTV at Prestongrange Museum. Undertaking Service Review of Facilities Support within the Brunton Hall, which should result in improved use of staffing resources and increased staffing resources.	2	4	8	Service Manager Customer Services Team Manager - Arts Team Manager – Museums Service Manager – Community and Area Partnerships (Vacant)	December 2018 October 2018		Risk refreshed February 2018 with no change to current risk scores. Refreshed November 2015 with current score reduced from 10 to 8.

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		All Museums have had security surveys carried out by Police Scotland, which will be refreshed every five years.

Panic alarm systems review in all Libraries, John Gray Centre, John Muir Birthplace and Area Offices September 2017.

Regular reporting and investigation of incidents and remedial action taken and highlighted to management if necessary. | | | | | | | | | | | |
| C&P 6 | Communicable Disease incidents

A major outbreak of food poisoning or a public health incident could result in serious illness or fatalities to the public. If such an incident is not adequately responded to this could:
• allow the outbreak or incident to remain unidentified or continue for longer than necessary. Thereby, possibly causing additional unnecessary illnesses.
• impact on public and business confidence within East Lothian.
• cause a reputational risk for the Council if the incident response was unsatisfactory
• attract significant media interest
• result in a public enquiry/formal investigation into the incident, which would affect the deployment of Council resources to carry out day-to-day work.
• cause a significant increase in workload as an enquiry or investigation could run for several years.
• cause third party insurance claims to be made against the Council.
• Depending upon the nature of the incident, the area may require evacuation and/or disinfection. | Appointment, development and retention of sufficient authorised officers to regulate food businesses through a food safety inspection programme including enforcement action where controls are known to have broken down or have been breached, including sampling.

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

Established major/ incident response arrangements with NHS Lothian.

Rigorous monitoring of water supplies.

Service delivery is conducted by trained and competent Environmental Health Officers and Food Safety Officers.

Specialist Knowledge sought from partners (NHS and HPS) if and when appropriate.

The Council has a major incident plan, which may be activated.

Of prime importance in an incident is the communication of the message, whether this message is primarily the responsibility of East Lothian Council, National Health Service, Scottish Government, Scottish Water, Food Standards Scotland. Therefore, the ELC Corporate Communications team has a vital role in relation to both the messaging and the use of the Environmental Health App.

Promote key public health campaigns and communicate safeguard actions as and when incidents occur. | 2 | 4 | 8 | The Environmental Health App has the potential to be further developed. Its use has been and will continue to be profiled through social media and engagement with Community Councils. | 2 | 3 | 6 | Service Manager – Protective Services | December 2018 | | Risk refreshed May 2018 with no change to assessment of risk scores.

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

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

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C&P 7	Public Health/Nuisance Incident Major public health/nuisance incident such as environmental contamination or significant dust/noise/other pollution caused by individuals and/or local businesses would result in major public complaint to the Council. An inadequate response to any such incident and any resulting public complaints could result in reputational risk to the Council. There could be enforcement responsibilities for the Council resulting in an impact on the day-to-day service delivery. In relation to any environmental contamination, there may be a significant financial cost to the Council in organising a clean-up where a responsible third party cannot be identified.	Appointment, development and retention of sufficient authorised inspectors to investigate incidents and regulate duty holders regarding environmental protection matters. Trained and competent Officers to enable appropriate response. Council Emergency Planning arrangements include a Chemical Incident plan and an Oil Pollution plan, while multi-agency response arrangements are in place. The Council has Chemical Incident response arrangements in place with a specialist company (RAW Group). SEPA monitoring of bathing waters from June – September. Close liaison with SEPA and Scottish Water should incident involve pollution of watercourse/sea. Enhanced Blue green algae monitoring. Contact Centre issued with correct information in order to ensure a fast and appropriate response from relevant teams within the Council. Use of APP/Social Media/Council website to communicate general information and also during and after incidents. Public awareness raised following incidents and any enforcement action taken highlighted.	2	4	8	Proportionate and effectively resourced out of hours / on-call service being devised.	2	3	6	Service Manager – Protective Services	December 2018		Risk refreshed March 2018 with no change to assessment of risk scores. New risk added January 2015 by Environmental Health Partnership Manager
C&P 8	Building on Contaminated Land Allowing building on contaminated land without sufficient intervention to ensure that any relevant pollutant linkage is permanently broken could result in: • Allowance of any contamination to present a 'Significant possibility of Significant Harm' (SPOSH) to the receptor be that human health or the water environment • An impact on public and business confidence within East Lothian. • reputational risk for the Council • heightened local media interest. • require remedial works to be conducted • third party insurance claims to be made against the Council.	Contaminated Land Officer currently advises on all aspects of Contaminated Land Regime (Part IIA) and consults with Development Control on accordingly. Officer undergoes regular, relevant training with regards to all aspects of Contaminated Land and any enquiries, concerns or information concerning Contaminated Land issues are relayed to the Contaminated Land Officer. Appointment of external Consultants (suitably qualified) where required for more extensive Part IIA determinations (requiring SI's and risk assessments). All sites determined as being Part IIA are shown on the Contaminated Land Register held by the Council. There are currently no entries on this Register. Policies and procedures applying in any incident ensure prompt intervention, guidance and advice to members of the public and landowners.	2	4	8	Ongoing prioritisation and assessment of potentially contaminated sites according to the Council's Contaminated Land Strategy, specifically dealing with Part IIA. Any Council owned sites found to contain a pollutant linkage would be further investigated (SI) and remediated, if necessary. Ongoing consultation with Development Control regarding planning applications in relation to potential impact from contaminated land. Conditions would be specified on Planning Consent relating to investigation, remediation and validation.	2	3	6	Service Manager – Protective Services	Ongoing Ongoing		Risk refreshed March 2018 with no change to assessment of risk scores. New risk added January 2015 by Environmental Health Partnership Manager

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C&P 9	Corporate Policy & Improvement team's specialist roles/ skills

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

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

This would generate delay in production of key corporate plans and performance reporting and could limit the organisation's ability to take informed business decisions. | Individuals encouraged to work jointly, where appropriate.

Project team approach to some areas of work.

Staff encouraged to have detailed work plans.

External support brought in if required.

Employees have the ability to work from home.

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

Staffing Review of Communications Team has provided more resilience.

Cross team training on issues such as project management and developed good relations with partner organisations such as the Improvement Service which allows for secondment of staff with specialist skills. | 4 | 2 | 8 | Service review involving all aspects of the Corporate Policy & Improvement team including Organisational Development, Performance Management and Transformation is to be completed with focus from new Service plan on collaborative working across the team. | 3 | 2 | 6 | Service Manager Corporate Policy & Improvement | October 2018 | Not applicable | Risk reviewed April 2018 – residual score reduced from 8 to 6.

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

New risk created by Service Manager February 2015 and further refreshed January 2016. |
| C&P 10 | Corporate Health & Safety Controls & Legislation

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

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

would leave the Council more open to accidents, incidents litigation and reputational damage. | Safety policy and training in place and accessible to all employees.

Management arrangements & procedures and specialist staff in place.

The ELC H&S Safety Management System is in operation and H&S controls are monitored through cross-departmental auditing, inspections and Sphera data analysis to identify control and risk issues.

Reporting quarterly to JH&S Committee ensures scrutiny by management and trades unions.

Health & Safety Policy, Management Arrangements and Guidance in place.

Revised H&S Policy, Management Arrangements and procedures have been developed.

Performance monitoring framework, including KPIs being developed in-line with new management arrangements.

Programme of employee health and safety training in place. | 2 | 4 | 8 | New Health, Safety & Wellbeing Plan to be implemented during 2018. | 2 | 3 | 6 | Service Manager – Protective Services

Corporate Health & Safety Manager (Partnership) | October 2018 | | Risk refreshed May 2018 with no change to assessment of risk scores.

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

Two risks reviewed and combined to form this one risk by Service Manager CP&I February 2015 and refreshed January 2016

Deleted Risk No 4 and include H&S staff training in this risk. |

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C&P 11	Contact Centre Community Response This is a call service for telecare/community alarm customers for East Lothian Council, Midlothian Council and Scottish Borders Councils. A failure in Community Response processes i.e. staff not dealing with calls appropriately, not following scripts, not asking appropriate questions, making assumptions about what is wrong/who the caller is, not dealing with requests timeously/not noting key information etc. could result in: • Serious injury to customers • Fatality of customers • Loss in confidence by stakeholders/partners/customer • Financial loss due to liability claims • HSE involvement • The Council could become unable to respond to customer requests at the first point of contact. All of the above could lead to reputational and or financial damage to the council and poor publicity.	Staff recruited for key qualifications, skills & attributes. Continual communication, training and staff development, which is aligned to good practice, industry standards and service delivery levels, monitored through PRDs. Monitor performance and service provision e.g. call monitoring. Working taken on from Scottish Borders Council in March 2018 i.e. telecare and out-of-hours calls, increased capacity and resilience. Solo Operating risk assessment and working procedure in place. Lessons learned report from incidents. Ongoing development of closer working between colleagues and stakeholders. Staffing review to increase flexibility in relation to shift cover within CRT completed February 2018. Additional staff recruited to Community Response Service July 2018.	2	4	8	Exploration of CECOPS (Community Equipment Code of Practice Scheme) accreditation. Staff development of other staff within the rest of the Contact centre will assist in cover/training support.	1	4	4	Service Manager – Customer Services Team Manager - Contact Centre	March 2019 March 2019		Risk refreshed by Customer Service Managers March 2018 with Current Score reduced from 12 to 8 and residual score reduced to 4 by Head of Service. Risk refreshed January 2017 – current score increased from 8 to 12.
C&P 12	Emergency Planning, Incident Response and Management Failure to maintain, review and exercise Contingency Plans and to comply with current legislation or to contravene current legislation, which would result in severe penalties as well as an ineffective response to emergencies. Any ineffective preparation and planning for potential crises and disruptive events such as those reflected within the Community Risk Register, that directly relate to the council as a 'Category 1 Responder' may result in the council's inability to effectively respond and manage the event in a way that minimises harm to the community, our employees and the reputation of the council.	Contingency plans in place including generic, site specific, event specific and response specific plans while incident Response processes and resources are identified in contingency plans. Training and exercises to ensure emergency arrangements remain 'fit for purpose' and to test the robustness of contingency plans. In 2018 these include a Rest Centre exercise. The Council continues to work with the Community Councils and other community groups such as Tenants and Residents Associations to promote and progress 'Resilient Communities' as per the Scottish Government initiative 'Ready Scotland' and Communicates directly with community groups when risk warnings have been received (similar work has commenced with the Area Partnership Groups). The Council continues to offer assistance in this area including attending Community Council meetings. The Emergency Planning & Risk Manager continues to communicate with community groups when risk warnings have been received while similar work	2	4	8	Several Community Councils are considering creating Resilient Communities plans. A further workshop, similar to the workshop completed in October 2014, has been organised by ELC to ensure the new Community Council officials are fully aware of 'Resilient Communities' as per the Scottish Government initiative 'Ready Scotland'. This will take in place in October 2018.	1	4	4	Emergency Planning and Risk Manager	October 2018 October 2018		Risk refreshed May 2018 and combined with risk on Incident Response and Management with residual score reduced to 4.

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			L	I	L x I		L	I	L x I				
		has commenced with the Area Partnership Groups. Ensure employees receive adequate training and that 'key' ELC players continue to stay abreast of incident/ emergency response arrangements and processes and are aware of their role and how they integrate with multi-agency partnership working. Corporate emergency planning arrangements are in place, including media and public information arrangements. Working with other Category 1 and 2 Responders e.g. Police Scotland, SFRS, Scottish Ambulance Service, Utility companies etc. as defined by the Civil Contingencies Act 2004 to ensure an effective and integrated response. A new Events and Resilience Officer commenced with the Emergency Planning, Risk and Resilience team on 6th August 2018 to deal with Events and Emergency Planning. Debriefing processes are followed to enable lessons to be learned and fed back into contingency planning. Training and exercise events are held for employees to ensure an efficient and effective response to emergency situations. North Berwick Community Council has completed their plan and a table top to ensure it is fit for purpose. This plan has been promoted to others as best practice.											

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	East Lothian Plan 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				
7		December - February 2017				S Kennedy	Area Partnership Risks created and refreshed. Customer Feedback Risks transferred to Council Resources Risk Register. All risks refreshed by Service Managers and reviewed by Head of Service and CMT.						
8		November 2017				S Kennedy	Community Housing and Homelessness Risks moved to Development Risk Register while Protective Services and Trading Standards risks moved from Development Risk Register following Council Service Review.						
9		April/May 2018				S Kennedy	Protective Services, Customer Services, Community & Area Partnerships and Corporate Policy and Improvement Risks updated and then further reviewed by new Head of Service.						
10		July 2018				S Kennedy	Full Register Reviewed and Updated by Head of Service						

East Lothian Council
Risk Matrix

Likelihood Description

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

Impact Description

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

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

Key

Risk	Low	Medium	High	Very High