

REPORT TO: Audit and Governance Committee

MEETING DATE: 16 June 2020

BY: Chief Executive

SUBJECT: Corporate Risk Register

1 PURPOSE

- 1.1 To present to the Audit and Governance Committee the Corporate Risk Register (Appendix 1) for discussion, comment and noting.
- 1.2 The Corporate 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 Corporate Risk Working Group (RWG).

2 RECOMMENDATIONS

- 2.1 It is recommended that the Audit and Governance Committee notes the Corporate Risk Register and in doing so, 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 Corporate 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 Corporate and are likely to be a feature of the risk register over a number of years.
 - note that the Council Management Team will review all risks in the Corporate Risk Register on a regular basis.

3 BACKGROUND

- 3.1 The Risk Register has been compiled by the Corporate RWG on behalf of and in consultation with Council Management Team. All risks have been evaluated using the standard (5x5) risk matrix (Appendix 2) 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 Corporate Risk Register includes 1 Very High, 9 High, 9 Medium and 1 Low Risks.

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 Corporate Risk Management 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 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 – Corporate Risk Register 2020
 Appendix 2 – COVID 19 Corporate Risk
 Appendix 3 – Risk Matrix

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DATE	04 June 2020	

Risk Ref.	Risk Description	Existing Risk Control Measures	Assessment of Current Residual Risk			Planned Risk Control Measures	Assessment of Predictive Risk			Risk Owner	Timescale for Completion / Review Frequency	Evidence held of Regular Review
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ELC CR 2	<p>Brexit</p> <p>The uncertainty around Brexit (and the resulting 'deal' or 'no deal' by the end of 2020) will have an impact on the local economy, local funding and the delivery and funding of council services. With a fast-changing political environment, the wider ramifications of the decision to leave the European Union are yet to be fully identified although will become clearer during 2020. Whilst there may be some opportunities, there is also considerable uncertainty that affects areas of the economy, financial markets, interest and exchange rates, construction, grants from the EU, Investment and other non-financial aspects.</p> <p>We may see a gradual slow down during period of uncertainty. A potential council impact (+/-) on:</p> <ul style="list-style-type: none"> Inward investment and positive awareness of the UK; EU funding for council-led business and training projects is known with the timescale permitted for delivery, however the university, farm businesses and other players will be accessing funding from EU sources which will be stopped at some point. While the replacement funding model is not yet clear there is ongoing consultation. Increased input and export costs for local businesses; Council and local business workforce pressures Procurement Potential Supply Issues for IT Hardware Inflationary pressures. Which could reduce and could in turn impact on the council, the university, housing market, capital costs resulting from increased cost of labour which could slow business rates growth (Inflation risk based on latest OBR predictions), workforce pressures e.g. regulatory services, social care providers, procurement costs, inflationary pressures caused by fluctuations in sterling value and potentially a loss of EU grants funding. <p>Key potential causes are:</p> <ul style="list-style-type: none"> Gradual slow down during period of uncertainty. Workforce pressures e.g. regulatory (food imports/export), social care providers. Inflationary pressures caused by fluctuations in sterling value. Loss of EU grant funding <p>EU National Staff do not apply for Settled or Pre-settled status and have no right to remain in the UK. This may result in staffing issues in a number of roles e.g. teachers, social care workers, social workers.</p> <p>From January 2021 job offers to workers from the EU will become based on satisfying a skill level.</p>	<p>The wider ramifications of the decision to leave the European Union are yet to be fully realised and felt in national and local economy. Whilst there will be some opportunities there is also uncertainty that may affect areas of the economy, financial markets, interest and exchange rates, construction, grants from the EU, Investment and other non-financial aspects.</p> <p>The CMT has appointed a strategic and tactical level Lead Officer for "no-deal readiness".</p> <p>"No-deal and EU-exit" has been acknowledged as a Corporate Risk.</p> <p>"No-deal and EU-exit" contingency planning is a standing item on the CMT agendas.</p> <p>CMT has established an appropriately represented corporate level "no-deal exit and EU-exit preparedness group" (Brexit Working Group) chaired by the appointed Strategic Lead Officer.</p> <p>The "no-deal exit and EU-exit preparedness group" is appropriately engaged with internal subject matter experts on sectoral vulnerabilities and have a mechanism in place to rapidly assess and escalate these risks where appropriate.</p> <p>CMT has considered a detailed Brexit Preparedness Report: Position Statement, presented on 7th March 2019. The Position Statement was reviewed on a fortnightly basis to 24th April, at which point the Brexit Working Group agreed to reconvene as directed and determined by local and national requirements leading to 31st October EU-Exit.</p> <p>The Lead Officer has contributed to Resilience Partnership Planning for Reasonable Worst-Case outcomes and the layering of multiple scenarios and outcomes.</p> <p>The Council has contributed to a national call for information through COSLA seeking input on likely impact of Brexit in different regions and participate in frequent teleconferences.</p> <p>Home Office facilitated an event providing information and guidance to employers in Haddington in February 2019.</p> <p>The Council has renewed and increased its Certificate of Sponsorship allocation</p> <p>Specific HR Actions for EU National Employees:</p> <ul style="list-style-type: none"> Project plan created to capture major milestones and actions from November 2018 to June 2021 Identified EU nationals through use of equalities information and manual checks of employee records to obtain right to work information and issued letter to impacted employees 	4	4	16	<p>We continue to seek clarity over how the Government plans to address the potential EU funding gap, retain highly skilled migrants and support trade.</p> <p>Key milestones include supporting and attending COSLA, RRP and national Brexit preparedness sessions. Sharing best practice with other local authorities.</p> <p>Seeking guidance at early stage from COSLA, SG and other sources around emerging thinking on Shared Prosperity Fund and Rural Development Fund as replacement support for ESF/ERDF and LEADER/Fisheries</p> <p>The Lothian & Borders Local Resilience Forum will engage and work with the East Regional Resilience Partnership (RRP) and Lothian & Borders Local Resilience Partnership (LRP), when invoked, to ensure strong partnership work is completed for a variety of reasons including mutual aid and communications.</p> <p>ELC have been successful in Scottish Government operational contingency funding to establish certification hub at Cockenzie site (including TOSCC) and as well as re-establishing utilities to TOSCC, there is significant money reserved for our own Council services to undertake property maintenance, refurbishment etc in terms of recharging.</p>	4	4	16	Council Management Team	All actions ongoing and dependant on decisions taken by UK Government	New risk created and evolved by CMT and Brexit Working Group during 2019/20.

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ELC CR 3	<p>Climate Emergency</p> <p>The Council declared a Climate Emergency in August 2019, resolving to take urgent action to make all our Council Services Net Zero Carbon as soon as reasonably practicable or in any case by 2045, and to work with our communities and partners towards a Carbon Neutral East Lothian, enabling the county to deliver its part of wider national and international commitments. The Climate Emergency motion also recognised that the impacts of climate change are having a serious effect on our communities.</p> <p>The Council has statutory duties under the Climate Change (Scotland) Act 2009 to reduce its carbon emissions, adapt to climate change and endeavour to act sustainably.</p> <p>The Climate Change (Emissions Reduction Targets) (Scotland) Act 2019 set a target for Scotland of Net Zero greenhouse gas emissions by 2045, with the expectation that public bodies will lead by example to reach Net Zero.</p> <p>The risks are:</p> <ul style="list-style-type: none"> Failure to meet the Net Zero target of 2045 at the latest; Failure to mainstream and embed action to tackle climate change may harm the Council's reputation (in terms of corporate social responsibility); Failure to meet our public bodies duties under the Climate Change (Scotland) Act 2009; Increased potential for unbudgeted costs; Unknown costs of transformational change and implementing measures to reduce emissions and reduce climate change impacts; Potentially there might be financial penalties for non-compliance although this is not yet known; Lack of resources (both financial and staff capacity) to deliver a Carbon Neutral and sustainable East Lothian. 	<p>The Council approved its Climate Change Strategy in January 2020, setting out its commitment to tackling the Climate Emergency at a local level; the vision and overall aims for a 'Net Zero Council' and a 'Carbon Neutral East Lothian', and ensuring preparedness for the impacts of climate change; and the specific outcomes, key priority areas and actions over the next five years towards achieving these overall aims.</p> <p>Since 2014/15, the Council has reported annually to the Scottish Government on its carbon footprint and progress with delivering its statutory Public Bodies Climate Change Duties under the Climate Change (Scotland) Act 2009. These reports are publicly available.</p> <p>A Climate Change Planning and Monitoring Group is established, which is responsible for overseeing, developing and monitoring progress with delivering the actions in the Climate Change Strategy, and has a critical role in driving and coordinating the work of the Council to meet its climate change obligations and commitments. Heads of Service, Service Managers and Officers from across the Council are represented on the Group, tasked with implementing the actions and plans identified in the Climate Change Strategy relevant to their Service Areas.</p> <p>Ongoing liaison is underway with the Scottish Government as it develops its Climate Change Plan Update, setting out its policies and procedures for Scotland to reach Net Zero by 2045</p> <p>The Sustainable Energy and Climate Change Officer leads on driving and coordinating the work of the Council to meet its climate change obligations and commitments.</p> <p>An Energy Transformation Board has been formed, which has been tasked to look at generating income from installing low carbon technologies across the Council's estate and improving energy efficiency and energy supply from renewable sources.</p> <p>The Sustainable Transport Officers Group coordinates multi-departmental responses to transformational change and modal shift in transport towards active and sustainable travel.</p> <p>Preparing for the impacts of climate change, including an increase in the frequency and severity of severe weather events, sea level change, and preparation of business continuity plans, are covered by other Risks identified within this Corporate Risk Register and Service Level Risk Registers.</p> <p>The Resilient Communities initiative is already underway across East Lothian to prepare our communities for emergencies and severe weather events.</p>	4	4	16	<p>Implementation and delivery of the actions set out in the Climate Change Strategy over the five years of the strategy, with ongoing review of the strategy in line with the changing policy and legislative context, and annual reporting to Cabinet of progress with the delivery of actions.</p> <p>The Scottish Government is anticipated to publish its Climate Change Plan Update. Work with the Scottish Government to secure the tools, powers and resources to enable the Council to deliver Net Zero.</p> <p>Ongoing liaison with other public bodies and key partners via organisations such as the Sustainable Scotland Network to ensure consistency of Climate Emergency response, to share best practice, and to drive forward innovation and transformative change.</p> <p>Work to identify interim emission reduction targets across Council Services, including implementation of a monitoring and evaluation framework.</p> <p>Production of a Climate Change Communications and Engagement Plan.</p> <p>Engagement is underway with external partners, including: the East Lothian Partnership, which is currently reviewing the East Lothian Plan to include emissions reduction and tackling climate change; the Area Partnerships, several of which now have 'Sustainability' sub-groups; young people via the East Lothian Youth Council and schools' Eco Groups; local groups and organisations; and local businesses.</p> <p>Work is underway with external partners to deliver transformational change in transport, waste & recycling, planning, housing, energy efficiency and renewable energy supply across the county.</p> <p>Development of a 'Climate Resilient Communities' network and the setting up of a Citizens Assembly or Climate Change Forum to work in partnership with our communities, local businesses, organisations and national agencies to develop our county-wide Climate Emergency response.</p>	4	4	16	<p>Chief Executive</p> <p>Head of Development</p> <p>Sustainable Energy and Climate Change Officer</p>	<p>2025 / reviewed annually</p> <p>We anticipate SG's Climate Change Plan Update to be published early in 2021</p> <p>Ongoing / reviewed annually</p> <p>Ongoing / reviewed annually</p> <p>December 2020</p> <p>Already in progress / Reviewed annually</p> <p>Review Annually</p> <p>June 2021</p>	<p>'Carbon Management' Risk refreshed revised and renamed Climate Emergency Risk in relation to the Council's Climate Emergency Response.</p> <p>Current and Predictive Risk scores increased from 9 and 6 to 16 due to the declaration of a Climate Emergency.</p> <p>The Council has made a lot of progress recently as noted within the risk, however, until The Scottish Government publishes its Climate Change Plan Update and the Council can work with the Government to secure the tools, powers and resources to enable the Council to deliver Net Zero there is an uncertainty as to whether the Council will be able to reduce the risk.</p>

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ELC CR 4	<p>Managing the Financial Environment</p> <p>The Council may not be able to manage its obligations within the resources available.</p> <p>Reducing general funding levels, increasing ring fenced and short term funding, and increasing demand for services, means that the Council is having to ensure that it remains financially resilient and services can be delivered sustainably.</p> <p>The Council is managing a multitude of pressures, and if these are not successfully planned for and managed effectively over the medium to longer term there would be a serious risk of unplanned / reactive budget realignments with significant adverse impact on availability and quality of both front-line services and required investment in the Council's infrastructure and asset base. This includes the requirement to successfully plan and deliver recurrently identified savings proposals.</p> <p>Over the medium term it is highly likely that the Council's income will, at best, remain static and may even reduce. At the same time it will have specific cost and demand pressures to deal with. These include:</p> <ol style="list-style-type: none"> (1) Supporting the resource requirements associated with the delivery of the growth agenda resulting from the Local Development Plan; (2) Associated demographic change and social-economic pressures; (3) Growing inflationary pressures and contractual commitments including pay and pensions; (4) Potential financial costs associated with a wide range of new obligations or legislative changes. 	<p>The Council has well developed medium term financial planning arrangements. These include:</p> <ul style="list-style-type: none"> • Five year financial strategy; • Three year General Services revenue budgets; • Five year General Services capital plan budgets; • Five year Housing Revenue Account revenue and capital budgets. <p>The Financial Strategy contains an enhanced reserves strategy which sets out the current level of reserves and associated commitments, including a requirement to maintain a minimum level of uncommitted reserves to support any unforeseen event.</p> <p>The Council has an enhanced range of cost control and financial management arrangements to manage in year budget performance and delivery of planned efficiencies. This includes monthly management information to CMT and wider Council management, and quarterly financial information to Council. This provides mitigating controls in terms of the immediate financial risk and pressures the Council is faced with.</p> <p>A Transformation Programme is in place which is monitored monthly by the Council Executive Team, and mitigating actions taken on projects as required to bring them to successful conclusion</p> <p>A Financial Monitoring Risk Assessment is in place where services are assessed and provided within a risk rating. Any service areas which are classified as High Risk are asked to prepare financial recovery plans, and enhanced financial controls are in place.</p> <p>Continue to closely monitor information arising from both UK and Scottish Financial settlements through intelligence gathered from COSLA, professional bodies such as CIPFA Directors of Finance and also credible professional commentators.</p>	4	4	16	<p>Enhanced in year monitoring and review of expenditure commitments against approved budgets.</p> <p>Continued development of budget proposals to ensure that the Council can continue to deliver its obligations within financial resources.</p> <p>Continued development of longer term scenario based financial planning to inform future decisions and longer term financial strategies and financial plans.</p> <p>Continued scrutiny and challenge of planned efficiency measures to ensure they can be delivered and achieved within agreed timescales.</p> <p>Development of annual Capital Strategy supporting the future capital programme.</p> <p>Explore new options for enhanced commercial opportunities within the organisation to maximise income generation for the Council.</p> <p>Ensure the financial strategy sets a clear financial framework for the Council to operate within and that it is appropriately implemented and monitored.</p> <p>The Chief Executive along with the Depute Chief Executives has established a transformation board to oversee delivery of a transformational programme of strategic change projects to improve services and secure planned efficiencies.</p> <p>Establishment of a Budget Review Group chaired by the Chief Executive which will provide enhanced budget scrutiny on the financial performance of the Council.</p>	3	4	12	<p>Chief Executive</p> <p>Depute Chief Executive – Resources and People Services</p> <p>Depute Chief Executive – Partnerships and Community Services</p> <p>Head of Council Resources</p> <p>Chief Operating Officer Finance</p> <p>Council Management Team</p>	<p>Actions ongoing and under continuous review while monitoring arrangements will continue to be applied.</p>	<p>Risk reviewed by Head of Council Resources and Chief Operating Officer Finance May 2020 with no change to assessment of scores.</p> <p>Risk reviewed by Head of Council Resources and Service Managers - Finance May 2017 with Current Score reduced from 20 to 16.</p>
ELC CR 5	<p>Welfare Reform</p> <p>The rollout of Universal Credit, (UC) in East Lothian started in April 2015. Whilst initially involving only a small number of cases the subsequent rollout of the Universal Credit Full (Digital) Service in East Lothian on 23rd March 2016 has seen a significant number of households migrate from legacy benefits to UC. Since the COVID-19 lockdown began on 24 March 2020 there has been an increase in UC decisions, (with a consequential impact on HB/CTR assessment.</p> <p>Main risks associated with the UC rollout include:</p> <ul style="list-style-type: none"> • A wider range of people in scope for claiming UC & higher volume of cases as a consequence • Additional demand for (SWF) Crisis Grants. (Risk of overspend)% increase in UC related current tenant rent arrears 	<p>The Benefits Service is continuing to make full use of additional Discretionary Housing Payment (DHP) and continues to monitor its SWF & DHP expenditure.</p> <p>Council has actively lobbied in various relevant arenas – UK and Scottish Governments both directly and via COSLA. This has resulted in senior DWP Officers attending PPRC Committee meeting to account for UCFS impact on Council performance.</p> <p>Revenues & Benefits Services engage with colleagues in other LAs/RSLs, CoSLA and DWP UC/Job Centre Plus officers to ensure a managed transition to Universal Credit is achieved.</p> <p>DWP funding has been utilised to appoint a Welfare Development Officer. This post is temporary, subject to continuation of funding</p> <p>Council Officers continue to engage with the new Scottish Social Security Agency in relation to</p>	4	4	16	<p>Council services will continue to work with the UC Project Team in respect of timescales for the Managed Migration phase rollout of UCFS.</p> <p>Council services will continue to explore the potential for further increasing automation of UC Change of Circumstances notifications (LCTRs).</p> <p>The Benefit Service reserves the option to implement 'high and most compelling' (priority level) in order to keep SWF & DHP expenditure within budget.</p> <p>The Benefits Service will disburse any additional COVID related SWF funding (allocated by the Scottish Government). Service review to integrate the Revenues & Welfare Support and Benefits &</p>	3	4	12	<p>Depute Chief Executive – Resources and People Services</p> <p>Service Managers – Benefits & Financial Assessments and Revenues & Welfare Support</p> <p>Heads of Council Resources and Communities & Partnerships</p>	<p>December 2020</p> <p>December 2020</p> <p>March 2020</p> <p>September 2020</p> <p>31 July 2020</p>	<p>Risks refreshed by Service Managers May 2020 with no change to assessment of current scores.</p> <p>Risk reviewed by Board of Directors August 2018 and Assessment of Current and Residual Scores reduced from 20 and 16 to 16 and 12.</p> <p>Risk refreshed by Service Manager</p>

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	<ul style="list-style-type: none"> An increased risk of reduced take up of Council Tax Reduction and increased arrears Overall reduction in HB caseload brings the size & scope of Benefits Administration into question. DWP Housing Benefit Admin Subsidy distribution methodology changed from 2019/20 onwards. In spite of 'transitional protection' being applied by the DWP this will still result in 'significant' ongoing reductions in ELC's HB Admin' subsidy grant every year until the end of 2021/22 The return of Temporary Accommodation cases from UC Housing Costs to HB has been broadly welcomed, (in respect of claimant's interests). However, contrary to previous service planning expectations this is now expected to increase the number of residual HB cases to be administered by what may soon be a reduced ELC Benefits Service. Reduced HB processing performance below DWP performance expectations is likely to induce more intensive engagements with the DWP Housing Delivery Performance Team and/or Audit Scotland Performance Audit. Increased demand for Discretionary Housing Payments, (DHP) risk of funding gap. Managed migration dates (for remaining HB to UC claims) still to be announced but this represents further financial risk and gives rise to capacity issues. <p>A reduction in DWP (UC related) funding which has been supporting, the Welfare Development Officer and an additional Personal Budgeting Support post along with and Digital Assistance for UC claimants could jeopardise these elements of service delivery.</p> <p>The secondment of experienced Benefits Officers to newly established, temporary Financial Inclusion posts risks further depletion of HB/SWF decision making/processing capacity.</p> <p>As a consequence of reduced grant funding and decisions already taken as part of the Council's budget setting process, staffing structures will be required to change and additional financial savings will need to be delivered.</p> <p>This presents additional risks and challenges:</p> <p>A reduction in the number of management posts may reduce command & control capacity and ability to train and develop staff. These changes will also result in increased work pressures for some staff.</p> <p>Risk that reducing income posts would give rise to false economy whereby collection rates (Council Tax/Housing Rent/Business Rates/Sundry Accounts) would reduce by more than the cost of funding deleted posts.</p> <ul style="list-style-type: none"> Risk that reducing welfare/benefit support posts would significantly weaken the Council's ability to improve the life chances of the most vulnerable in our society and reduce poverty and inequality. 	<p>development of devolved and 'localised' welfare provision/administration.</p> <p>ELC Management & staff continue to engage with other LAs, JCP/DWP, CoSLA and Scottish Government at a range of levels.</p> <p>An additional £100k was allocated in the Administration budget 2017/18 to help mitigate the impact of UC on rent arrears.</p> <p>Council officers have provided reports/briefings to the Council's PPRC Committee, (Universal Credit/Rent Collection).</p> <p>DWP Universal Support funding has been used to fund a Financial Inclusion post within the Welfare Rights team to provide a Personal Budgeting Support capability for new/recent UC claimants. This post is temporary, subject to continuation of funding.</p> <p>An additional 1.6 FTE Financial Inclusion positions have been funded within the Welfare Rights team to carry out campaign work to help Council tenants prepare for UC managed migration (existing HB claimants). This work will help safeguard the Council's rental income.</p> <p>The Council's Welfare Rights team helps to secure unclaimed welfare benefit money for people who cannot do this themselves and who are often in desperate need of help (£3.5m in 2018/19). The team also works in partnership with Macmillan Cancer Support to provide welfare advice and support to people and families affected by cancer (this project alone secured income gains of over £1.36m for clients in 2018/19). The Council also provides funding to the East Lothian Advice Consortium (Haddington and Musselburgh CAB and Carers of East Lothian) to provide free, impartial, confidential advice (including advocacy and representation) to all residents of East Lothian. Both the Council's Welfare Rights team and the partners in the Consortium are involved in delivering the Council recommendations within the Poverty Commission Action Plan.</p> <p>East Lothian Advice Services review completed.</p>				Financial Assessments services on a phased basis						<p>– Benefits, November 2016 with Current Risk Score increased from 16 to 20 due to the introduction of the Universal Credit "Full Service" since March 2016.</p>

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ELC CR 6	<p>Information Security and Data Protection</p> <p>Information Security Failure to have comprehensive council wide Information Security Management (ISM) measures in place will put at risk the availability, integrity and confidentiality of the councils information and may cause a Council wide failure of central I.T. systems (incl. Telephony) caused by a malicious attack by hackers, virus, trojan, disclosure of information or Fire/Flood event.</p> <p>Attacks via spam emails containing infected ransomware attachments are on the increase amongst local authorities and should these emails manage to break through Firewalls and Intrusion Detection Systems there is a high possibility of file encryption at both a local and network wide levels.</p> <p>The Cabinet Office has introduced zero tolerance for all LA's connected to the Public Sector Network (PSN). All Scottish LA's use the PSN to register Births, Marriages & Deaths and connection to DWP for benefit provision. We have to re-accredit to this network every year and must meet stringent requirements. Failure to do so would mean disconnection from the PSN.</p> <p>In 2017 the Scottish Government introduced the Cyber - Public Sector Action Plan which sets out the minimum security standards for all public bodies</p> <p>IS&DP New ways of working and shared buildings including the proposed Collaborative Hib between the Council, Police and other parties present new risks and challenges to maintaining IT Security and Data Privacy. New procedures, appropriate design of workspaces and staff training will be needed to mitigate risks.</p> <p>Data Protection In May 2018 the UK Government introduced the Data Protection (DP) Act 2018.</p> <p>Breach of the Data Protection Act, other confidentiality requirements, any relevant laws or duty of care through the loss or wrongful transmission of information (including information stored electronically) could result in - harm to individuals; - legal action; - fines of up to 20 million euros; - requirement to pay compensation; - adverse publicity; - damage to reputation</p> <p>The Act introduced a mandatory 72 hour window in which to report relevant breaches to the Information Commissioners Office.</p> <p>Limited security, procedural and environmental controls at the Dunbar Road records store mean that</p>	<p>Information Security The Council uses the international standard ISO 27001:2017 as the framework for its ISM system.</p> <p>As part ISO27001:2017 a number of control areas are set out : IS policy; IS organisation; Human resources security; Asset management; Access controls and managing user access; Physical & Environmental security of all sites/equipment, Secure communications, Data handling and Data Protection (including paper documents); Secure acquisition, development, and support of information systems; Security for suppliers and third parties; Information Security Incident management; Business continuity/disaster recovery (to the extent that it affects information security);</p> <p>Annual IT health checks on the existing infrastructure.</p> <p>New systems introduced are risk assessed and security checked to ensure they meet the criteria.</p> <p>Council Information Governance and Security (IGS) Forum co-hosted by the IT Team Manager – Infrastructure and Security and the Team Manager – Information Governance / Data Protection Officer.</p> <p>ISO27001 covers all areas detailed in this plan</p> <p>Info Sec & DP specialists are included during requirements/design and build phases on shared buildings.</p> <p>Data Protection Compliance – The Council takes measures to avoid breaches of law, statutory, regulatory or contractual obligations (including the DP Act 2018, GDPR and Public Records (Scotland) Act 2011).</p> <p>The Council has reviewed and updated its Data Protection Policy</p> <p>The role of Data Protection Officer is a statutory role filled in March 2018. The Council has a dedicated Data Protection inbox.</p> <p>IS, DP and Records Management Awareness training forms part of our induction process. This incorporates a mandatory GDPR module supplemented by paper and person-to-person training. Data Protection and IS awareness training is mandatory for all employees and must be renewed every two years. The Data Protection Officer developed a GDPR toolkit including templates, guidance and information to support Corporate GDPR compliance. The Toolkit is updated and maintained on a continuous basis.</p> <p>The Council's Records Management Plan covers how the Council manages its records and includes links to our IS, DP policies and retention schedule. There is</p>	4	4	16	<p>Information Security Upgrade of external facing systems taking place to increase security of our internet facing gateways.</p> <p>The Cyber Essentials + accreditation will be introduced across our corporate and education networks to ensure we meet the Scottish Government Cyber Action Plan in 2020/21.</p> <p>Acceptable use policy for all ELC employees is to be refreshed during 2020 with all employees expected to sign.</p> <p>Setup visits to all Education facilities to do refresher awareness sessions on Info Sec & DP</p> <p>The DPO/Team Manager-Information Governance is a member of the Collaborative Hub Working Group and the JMH User Group and provides advice and support re: compliance.</p> <p>Info Sec/DP are working together on an information asset register</p> <p>Data Protection The Data Protection Officer will continue to oversee a series of "health checks"/audits in various Council departments to ensure compliance and to improve practice.</p> <p>Work will continue to complete and publish a Corporate Information Asset Register which identifies all Council Information Assets and Data Flows.</p> <p>The Council will continue to ensure that all data subjects are informed through Privacy Notices how we use, share and retain personal information.</p> <p>The DPO will review the Council's Retention Schedule and will ensure that all staff are aware of and complying with it.</p> <p>Annual reports on records management compliance will be submitted to PPRC.</p> <p>The Council needs to review information sharing agreements and contracts to ensure they are fit for purpose. As part of this review the Council will also need to introduce agreements where they are not in place.</p> <p>The DPO will maintain a centralised register of all information sharing and information processing agreements.</p>	3	4	12	Depute Chief Executive – Resources and People Services Head of Council Resources Depute Chief Executive – Partnerships and Community Services	April 2021 January 2021 August 2020 December 2021 August 2020 August 2020 March 2021 March 2021 March 2021 March 2021 December 2020 March 2021 March 2021	Risk updated May 2020 by Team Managers – IT Security and Information Governance with on change to scores.

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	<p>records and personal data are at risk of security breach and/or accidental loss or destruction.</p> <p>DP compliance is dependent on good records management. The Council's Records Management Plan 2014-2019 needs to be formally updated to account for GDPR/DPA18 as well as changes to recordkeeping practice across the Council.</p>	<p>an annual approval of Progress of Records Management Plan by The Keeper.</p> <p>CMT and SMT continue to receive briefings from the DP Officer and any other relevant staff.</p> <p>The Council website includes a revised privacy statement and cookie policy.</p> <p>Templates for Information Sharing Agreements and Data Processing Agreements have been produced and a joint strategy with Procurement, Legal and People and Governance is in place to roll out updates to all new and existing contracts.</p> <p>The Council implements DP Impact Assessments (DPIA) for all new business processes which are incorporated into the Council's Integrated Impact Assessment Process. A standalone template has been produced to enable staff to complete DPIAs for individual processes/projects.</p> <p>DPIA is also embedded in the Transformation teams' project methodology.</p> <p>The DP Officer and the Communications team created a Communications Plan including Inform briefings, e-mail updates and other training and briefings.</p> <p>The Council has a close working relationship with SOLAR (Society of Local Authority Lawyers and Administrators) and attends meetings regularly. These meetings are also attended by the Information Commissioners office. The Council also attends and currently chairs ASLAWG (Archivists of Scottish Local Authorities Working Group) to share best practice with other record keeping professionals.</p> <p>Data Breaches</p> <p>A Data Breach Procedure has been approved by CMT including a mandatory reporting form for completion by staff upon discovering a breach. All breaches are reported to the Data Breach Team by phone or email within 24 hours of discovery.</p>				<p>The DPO/Team Manager-Information Governance is a member of the Collaborative Hub Working Group and the JMH User Group and provides advice and support re: compliance.</p> <p>A 2019-20 internal audit of records management compliance across the Council recommended that the existing Records Management e-learning module be made mandatory for all staff. The Team Manager-Information Governance and Service Manager-People and Governance will submit this recommendation to CMT.</p> <p>The Council's Records Management Plan will be updated and formally re-submitted to the Keeper of the Records of Scotland for assessment under the terms of the Public Records (Scotland) Act 2011.</p> <p>Improvements to technical and procedural arrangements at Dunbar Road store will be included in RMP re-submission and reported to PPRC.</p>				<p>December 2020</p> <p>August 2020</p> <p>August 2020</p> <p>August 2020</p>		
ELC CR 7	<p>Limitation (Childhood Abuse) (Scotland) Bill</p> <p>On 16 November 2016 Scottish Government introduced the Limitation (Childhood Abuse) (Scotland) Bill to remove the three year limitation period for civil actions arising out of childhood abuse (defined to include sexual abuse, physical abuse, and emotional abuse) relating to children who have been in the care system. This means survivors no longer have to persuade a court to exercise its power to allow an action to proceed notwithstanding the three year limitation period and may raise action relating to the predecessors Councils responsibilities.</p> <p>In conjunction with the Scottish Child Abuse Inquiry there is an increased likelihood of claimants coming forward potentially resulting in financial implications if historic allegations of child abuse are made and</p>	<p>Child Abuse Claims Group and SCAI Overview Group – East Lothian co-ordination of responses, reported strategically, managed flow and collaboration.</p> <p>Close monitoring of the work of the Scottish CAI itself and review of any published materials.</p> <p>Records Management Expertise allows us to respond effectively to SAR requests and information requests / provide evidence.</p> <p>Cross Lothian collaboration on Lothian Region period 1975 to 1996 (and predecessor authorities) re-records management etc.</p> <p>Accurate records post 1996 relating to East Lothian Council clients.</p>	4	4	16	<p>CACG and SCAIOG reports to CMT – to sustain level of awareness of risk.</p> <p>Monitor and build a timeline showing the Councils control of the schools from 1975 onwards.</p> <p>Monitor to ensure that there is sufficient staffing resource available to deal with claims, court actions and recovery of documentation and to preserve the Council's position.</p> <p>Make budgetary provision for any additional costs/claims that may not be covered by insurance.</p>	3	3	9	East Lothian Council	Continue to progress all and report quarterly to CMT.	Risk reviewed May 2020 with no change to assessment of current scores.

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	<p>upheld against East Lothian Council as the statutory successor.</p> <p>There is no way of knowing how many claims may be made (i.e. all 'living' potential claimants). The Council has received intimation of 18 claims for compensation of which 8 are live claims which are progressing through process. It is anticipated this number will rise following conclusion of the Child Abuse Inquiry. The Council's insurers have indicated that they will cover appropriate external legal costs and compensation payments but the cases will place considerable strain on internal resources within the legal, social work and records management teams for which there is no additional budget.</p>	<p>Scotland-wide networking and information sharing on SCAI between authorities.</p> <p>Council Financial Reserve – may reduce the impact to service provision if claims extend beyond budget.</p> <p>Continue current working practices with care experienced young people in accord with national legislation and care standards, reducing likelihood of any 'new' claims arising.</p>										
ELC CR 8	<p>Flooding and Coastal Erosion</p> <p>As the incidence of flooding and coastal erosion increases as an impact of Climate Change, there is an increased risk of disruption to road and path networks, impact on public safety, damage to roads, property, harbours and natural heritage sites and an associated increase in claims against the Council.</p>	<p>Flooding and drainage issues are considered when processing planning applications. Inspection regimes and good housekeeping measures in place.</p> <p>The Severe Weather Response Plan has been developed and ensures a co-ordinated and consistent multi-agency response across the county. Emergency surface water, coastal and river flood procedures in place and have proven effective.</p> <p>Shoreline Management Plan has been produced. A National Flood Risk Management Strategy has been produced and a Local Flood Risk Management Plan for the Forth Area has also been published to meet the requirements of the Flood Risk Management (Scotland) Act 2009 which includes specific actions to be discharged by the Council.</p> <p>Flooding advice is on the Council website and directs people to the relevant pages on the SEPA website.</p> <p>The Council is working with various organisations to promote and progress "Resilient Communities" as per the Scottish Government initiative "Ready Scotland".</p> <p>Communication with vulnerable groups regarding access and assistance during severe weather events.</p>	4	4	16	<p>ELC have commissioned Flood Studies for Haddington and Musselburgh and are progressing a Flood Protection Scheme on the River Esk through Musselburgh.</p> <p>Flood Protection Schemes for Musselburgh and Haddington have been included in the List of Prioritised Actions in the Local Flood Risk Management Plan for the Forth Estuary Local Plan District. Implementation of Flood Protection Works is reliant on available funding. These two schemes are being funded 80% by Scottish Government and 20% by East Lothian Council.</p> <p>The Musselburgh Flood Protection Scheme is a fully established project. It has completed three of its nine stages, and is currently processing Stage 4 (Outline Design) of the Scheme Design in accordance with the project's PRINCE2 Project Management System. It is currently proposed that the scheme will start construction and have scheme in place by October 2024. (Subject to change as we move to next stage).</p> <p>Include potential Testing of Severe Weather Response to incorporate Flooding in 2022 per CRMG 2/6 – speak to SB</p>	3	3	9	<p>Depute Chief Executive – Partnerships and Community Services</p> <p>Depute Chief Executive – Resources and People Services</p>	<p>2024</p> <p>2016-2022</p> <p>2024</p>	<p>Risk further reviewed and updated April 2020 with no change to assessment of current scores.</p>
ELC CR 9	<p>Expansion of Early Learning and Childcare (ELCC) to 1140 hours.</p> <p>Scottish Government are implementing plans to expand ELCC to 1140 hours by 2020. As a result of the impact of COVID 19 the implementation has been delayed, although no new date has been determined.</p> <p>The uncertainty of COVID 19 impacts on several areas within this risk.</p> <p>Risk that this cannot be delivered within the timescale due to challenges of expanding within existing resource, available funds and staffing.</p> <p>Risks that there are insufficient funds available to fully cover all capital and revenue costs.</p>	<p>The Council continues to develop detailed plans and work with Scottish Government to take forward the expansion. Project board and associated working groups are already in place. Regular meetings in place with SG officials / SFT and the Improvement service to review our plan and provide advice on any changes required.</p> <p>There is clear governance of the project through the 1140 hours project board to ensure careful planning, communication and monitoring of progress.</p> <p>Work underway to establish baseline of quality across all provision and ELCC across all settings will be supported and monitored by the early years team</p>	3	4	12	<p>Continue to review the planning and preparation for full implementation by 2020. Continue to engage with officials from SG / SFT and the IS in rolling out our plan.</p> <p>Ongoing work with council departments to ensure key priorities are met.</p> <p>Liaison with SG to ensure that risks are flagged and that the service is aware of expectations and demands.</p>	2	4	8	<p>Head of Education</p> <p>Head of Council Resources</p> <p>Head of Finance</p> <p>Chief Operating Officer (Education)</p>	<p>TBC per Scottish Government</p> <p>TBC per Scottish Government</p> <p>TBC per Scottish Government</p>	<p>Risk reviewed and updated April 2020 with no change to assessment of scores.</p> <p>Current risk score reduced by Chief Operating Officer (Education) from 16 to 12 in November 2018 due to ongoing work with stakeholders and</p>

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	<p>Risk that expansion cannot be delivered due to pressures on other council departments.</p> <p>Risk that expansion cannot be delivered due to pressures placed on Construction Industry due to COVID 19.</p> <p>Risk that quality in existing early years provision deteriorates because the focus is on the expansion.</p> <p>Reputational risk to the Council from Scottish Government reporting on progress in relation to the delivery of 1140hrs ELCC. Parents not able to access 1140hrs of ELCC.</p> <p>There is a risk to the Council that a significant increase in workload reduces the availability of other Council service areas to ensure delivery to timescale.</p> <p>Reputational risk to the Council from Partnership centres who regard the offered hourly rate as non-sustainable and decline to be in partnership.</p>	<p>Scottish Government National Standard and associated guidance followed.</p> <p>Relationships have been well established with neighbouring authorities and learning from other approaches ensures that progress is on track.</p> <p>Strong focus on the quality of existing provision alongside the expansion and enhancement of the number of staff focussed on both areas.</p> <p>Positive engagement with partner nursery providers of early learning and childcare to ensure planning meets the Scottish Government brief regarding parental choice, flexibility, quality and accessibility.</p> <p>Work stream groups established, including cross sector representation, and network meetings that feed in to the project board to ensure collective detailed planning across service areas and consider risks associated with delay.</p> <p>Regular planned governance meetings with focussed actions and reporting on key priorities take place.</p>										a continued focus on quality. Residual score also reduced from 12 to 8.
ELC CR 10	<p>Duty of Care to Public and Public Protection</p> <p>The Council has a responsibility to provide care and support for the people of East Lothian and East Lothian's environment. Any breach of this duty of care may compromise legislative duties, health, safety and wellbeing, impacting on, for example, the protection of children and adults.</p> <p>Failure to fulfil the duty of care could also result in serious harm/death to an individual/s, prosecution, having to pay compensation and have a negative impact on the reputation of the Council.</p> <p>A failure to secure efficient and effective Public Protection arrangements, covering Child Protection, Adult Support and Protection, Offender Management, Violence against Women and Girls (VAWG) and Substance Misuse services, may see the Council being unable to fulfil its statutory duties/duty of care which could contribute to a service user suffering harm/death or detriment. This would in turn result in reputational damage to and increased scrutiny of the Social Work services.</p> <p>The duty of care is at the heart of the Council's approach to risk management. The likelihood of this risk occurring is influenced by a range of factors including:</p> <p>1) The impact of the Covid-19 pandemic. Those at risk of different forms of harm and abuse are overall less visible within our communities, including children who are experience neglect, women and children at risk of domestic violence, and those at risk of or affected by drug and/or alcohol use.</p> <p>(2) Complexity of service delivery, infrastructure, environment and partnership arrangements across the Council services;</p>	<p>The East and Midlothian Public Protection Committee (EMPPC) incorporates the Adult Protection Committee, Child Protection Committee, Offender Management Committee and Violence Against Women Partnership and ensures robust links with Midlothian and East Lothian Drug and Alcohol Partnership (MELDAP). EMPPC has oversight of Public Protection work and performance across East Lothian and Midlothian councils and Partnerships.</p> <p>The East Lothian and Midlothian Public Protection Office coordinated the joint involvement of East Lothian and Midlothian as pilot areas in the national minimum dataset for Child Protection, which is now being fully implemented to supplement the existing performance framework</p> <p>Revisions to the East Lothian and Midlothian Public Protection Office and model for Domestic Abuse service delivery. Continued investment in the office's frontline domestic abuse support service.</p> <p>Following a case file audit of core Adult Support and Protection processes, aligned with the Care Inspectorate quality improvement framework, has identified areas for improvement which are being progressed through ELHSCP.</p> <p>The East Lothian and Midlothian Public Protection Office have drafted a communications strategy for key areas of Public Protection, with the support of the Midlothian and East Lothian local authority communications teams, with input from Police Scotland and NHS Lothian. This will involve internal audiences and the broader public, through a range of media channels. The strategy will be take forward through the Communications and engagement sub-group of the East Lothian and Midlothian Public Protection Committee, which meets quarterly.</p>	3	4	12	<p>A single agency self-evaluation exercise for Child Protection, aligned with the Care Inspectorate quality improvement framework, is to be reinstated.</p> <p>Following the pilot of the Minimum National dataset for Child Protection, we are scheduled to fully implement in 2020/21 and will report to EMPPC during this period.</p> <p>The Public Protection senior business administrator will lead on further work to review the East Lothian and Midlothian Public Protection Office satellite website during 2020/21, to ensure it is accessible, purposeful and user-friendly.</p> <p>A Joint Strategic Needs Assessment for Public Protection, will be led by the Public Protection Manager and Detective Chief Inspector of the J Division Public Protection Unit. This will report to CSOG by the end of the 2020 calendar year.</p>	2	4	8	<p>Chief Executive</p> <p>Critical Service Oversight Group</p> <p>Depute Chief Executives</p> <p>Director of East Lothian Health and Social Care Partnership</p> <p>Heads of Service</p> <p>Chief Social Work Officer</p> <p>Public Protection Team Manager</p> <p>Health and Safety Team</p> <p>Emergency Planning and Risk Management Team</p>	<p>September 2020</p> <p>April 2021</p> <p>April 2021</p> <p>December 2020</p>	<p>Risk reviewed May 2020 by former PPO manager (seconded during COVID) with no change to assessment of current scores.</p> <p>Former Public Protection and Duty of Care to Public Risks combined and reviewed May 2016. Current risk score reduced from 16 to 12 and Predictive Risk score reduced from 12 to 8 as likelihood reduced.</p>

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	<p>(3) Increasing population and the number of vulnerable people in East Lothian;</p> <p>(4) Increased population and more complex service demands presented by an increasing number of service users whilst resources have reduced</p> <p>(5) Levels of deprivation in East Lothian;</p> <p>(6) Capacity in partnership and purchased services.</p> <p>The Public Protection manager post has been vacant since October 2019, with no candidate being appointed from previous recruitment campaigns Due to the vacancy of the Public Protection Team manager post the Public Protection Office Business Plan has not been reviewed since January 2019.</p> <p>As of June 2019 the full time Public Protection Learning and Development coordinator post was reduced to 12hrs per week, this post is now vacant.</p>	<p>Governance and scrutiny arrangements through Critical Services Oversight Group (CSOG), including Self Evaluation.</p> <p>Policies, Protocols, Procedures and Guidance are in place, subject to ongoing review and update and available on Public Protection website: www.emppc.org.uk.</p> <p>Chief Social Work Officer (CSWO) fulfils statutory role and responsibilities, overseeing and reporting on Public Protection issues to Chief Executive and Elected Members, reporting annually to Council giving oversight of Public Protection performance including assessment of risks and pressures.</p> <p>The Council continues to work towards delivering the UK Governments Counter Terrorism strategy, known as CONTEST, of which Prevent is a key element. The EMPPO has led on revisions to our Prevent referral pathway.</p> <p>The EMPPO will continue to coordinate Prevent Professional Concerns Case Conferences, where an individual has been identified at risk of being drawn into terrorism.</p> <p>The inter-agency learning and development strategy for public protection has been reviewed, with e learning becoming more accessible, courses becoming more targeted to workforce need and areas of local and national priority. Learning and Development responsibilities are now undertaken by the lead Officers for Child Protection, Adult Support and Protection, VAWG coordinator, MARAC coordinator and agency learning and development officers. All employees can access appropriate training or e-learning, free of charge. .</p> <p>All Regulated Services e.g. Care homes for older people, residential units for young people, Schools are inspected by Care Inspectorate and Education Scotland. Improvement plans are implemented following on from all Regulated Services inspections.</p> <p>The Lead Officers for Child Protection and for Adult Support and Protection chair inter-agency meetings to review decisions taken at Inter-agency Referral Discussion where significant risk is identified.</p>										
ELC CR 11	<p>Failure to maintain a Highly Skilled Workforce</p> <p>The Council's salary and grading structure may not be competitive compared to other employers making it more difficult to recruit qualified staff to certain posts.</p> <p>The high number of specialist roles/skills within the Council means that service reviews, budget restrictions, long-term absence, cessation of contract etc. could compromise service delivery.</p> <p>Reduction in skilled, qualified and experienced workforce would result in an inability to provide good</p>	<p>The Council has an approved Workforce Plan 2018-2022 which addresses the issues relating to this risk.</p> <p>The Plan contains 38 actions which are being brought together into a detailed Implementation Plan seven workstreams which are being taken forward by lead officers.</p> <p>Actions, such as developing a Management and Leadership Programme, reviewing the Managing Attendance Policy, renewed focus on Healthy Working Lives and implementing the Early Learning and Childcare Workforce Plan are already underway.</p>	3	3	9	Keep the implementation of the Workforce Plan under review.	3	3	9	Service Manager Corporate Policy & Improvement Service manager – People and Governance	Ongoing through to 2022	<p>Risk reviewed February 2020 with no change to assessment of current scores.</p> <p>Risk reviewed and refreshed July 2018 with Current Risk Score reduced from 12 to 9.</p>

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	<p>quality services, increased pressure on existing staff and increased likelihood of poor operational performance.</p> <p>The Council recognises that a large proportion of the workforce is aged over 55 years and many staff with significant knowledge and experience could leave the Council leaving the Council at risk in key areas.</p>											
ELC CR 12	<p>Severe Weather</p> <p>There is a risk that severe winter weather will lead to an increase in demand for gritting and snow clearing of roads/footpaths which exceeds normal capacity and supplies of salt.</p> <p>This could result in travel disruption, difficulties for people in accessing services, failure to maintain refuse collection timetable and school closures at short notice as well as a possible increase in insurance claims related to pothole damage.</p> <p>Communities may become isolated, particularly in rural areas, due to heavy and prolonged snow. In such cases communication with residents within these isolated areas may become difficult as they become cut off, possibly aligned to power failure caused by strong winds and/or the weight of snow on the lines.</p>	<p>East Lothian Councils Winter Maintenance Plan has been in place for some time and ensures that the main transport routes are treated as priority.</p> <p>The ELC Severe Weather Response Plan has been developed over many years and ensures a co-ordinated and consistent multi-agency response across the county. This plan is reviewed annually in conjunction with support from partner agencies.</p> <p>The ELC Severe Weather Response plan includes reference to and improvements learned from the 'Beast from the East' incident in 2018 when many parts of East Lothian become isolated because of the heavy and prolonged snow falls.</p> <p>The Council's Salt Barn has a capacity of 8,000 tonnes to meet demand arising from severe cold weather. Snow clearing equipment has been supplied to Primary Schools and offered to Community Councils with some taking up this offer. A number of grit bins are provided to enable self-help gritting of adopted roads and footways.</p> <p>Winter Maintenance operatives are trained to SVQ or equivalent in winter gritting and snow clearing. Winter Maintenance Duty officers trained as Winter Service Supervisors to City and Guilds level.</p> <p>The majority of Community Councils have Resilient Community Groups who have created their own emergency response plans or asset registers of volunteers/skills available at a time of crises. Each Resilient Community has its own Single Point of Contact (SPOC) and deputy. Communication is maintained with these SPoCs/deputies throughout the year. Good working relationships have been created and are maintained with each group by ELC Emergency Planning staff.</p> <p>ELC finances all 20 Community Councils annual insurance premiums ensuring that Insurance is not perceived as a barrier to invoking such plans.</p> <p>Community Councils and TRAs have been asked to appoint SPoC and deputies for resilient matters including severe weather. During such an incident ELC will communicate directly with these persons.</p> <p>Work continues with the Resilient Communities and also involves other voluntary groups such as Tenants and Residents Groups. ELC organises an annual workshop for Resilient Communities. Opened by the Chief Executive this workshop allows lessons learned and best practice to be discussed and progressed. It</p>	3	3	9				Depute Chief Executive – Partnerships and Community Services		Risk refreshed April 2020 with no change to assessment of current scores.	

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		<p>also allows for the public to meet responder agency staff such as the 'blue lights', SEPA and the utility companies.</p> <p>Training and awareness sessions, related to the activation of the ELC Severe Weather response plan, are completed on a regular basis. Partner agencies are often involved.</p>										
ELC CR 13	<p>Contest</p> <p>Deliver the UK Governments Counter Terrorism (CT) strategy, known as CONTEST.</p> <p>All Local Authorities in Scotland are required to comply with the statutory legislation issued under section 24 of the Counter Terrorism and Security Act 2015 that relates to Prevent.</p> <p>Failure to discharge this duty could mean sufficient steps are not taken to prevent an incident taking place, under Prevent, and could result in the Secretary of State issuing a direction to the Council via the powers within the act and would also result in a loss of reputation and negative publicity.</p> <p>Our capacity to monitor and respond if we are concerned about children with these lines of thinking is severely compromised as schools are closed and older teenagers are less likely to engage.</p>	<p>Multi agency 'J' Division CONTEST Meeting attended by East Lothian Council representatives.</p> <p>ELC has established a CT WG chaired by the Deputy Chief Executive with members consisting of the CMT and Police Scotland.</p> <p>ELC has appointed senior members of staff as SPoC and Deputy for Prevent as per statutory guidelines. A SPoC for Prepare and Protect, although not a statutory requirement, has also been appointed.</p> <p>A performance review report was completed for PREVENT and submitted to the East Prevent Group and Scottish Government as part of ongoing monitoring of implementing PREVENT plan.</p> <p>Under Protect the CMT are prepared for the Government to raise the Security Level to Critical. This includes ensuring BC plans are fit for purpose, particularly if staff have to work from home as a result of council facilities being closed.</p> <p>ELC follows and contributes towards the 'J' Division Contest group implementation plan.</p> <p>Prevent Professional Concerns Conference Chair identified to chair multi-agency meetings established to discuss any referrals.</p> <p>Prevent training gap analysis completed.</p> <p>Education personnel are fully engaged with Prevent and appropriate filters have been installed on the Education infrastructure.</p> <p>ELC Managers have received Prevent training.</p> <p>A mandatory e-learning (level 1) training package available to all staff.</p> <p>A good level of engagement will be maintained with Community Planning Partners.</p> <p>A Prevent Plan sub-group has been established and meets regularly and a Prevent reporting process has been established.</p>	3	3	9	<p>Programme of awareness training and delivery of packages such as WRAP/ACT Now training to be followed in ELC. Reports prepared for internal ELC Prevent meetings as requirement to continue to deliver updates and ensure new staff undertake training.</p> <p>The SPoC will continue to ensure Prevent associated training for staff and pupils. Raising awareness events and training ongoing for staff and pupils. New resources developed by Education Scotland being shared with PT Guidance staff 31 May 2019.</p> <p>A register and/or system of recording the names and positions of those having completed Prevent training will be established.</p> <p>Access to Prevent training and particularly the mandatory e-learning package, through the ELC IT, is to be established for staff who are unable to access a computer. Ongoing exploration of other arrangements including toolbox sessions.</p>	2	3	6	Chief Executive Depute Chief Executives Council Management Team	<p>November 2020</p> <p>November 2020</p> <p>November 2020</p>	<p>Risk refreshed April 2020 with no change to assessment of scores.</p> <p>Risk reviewed August 2018 by Board of Directors with Current Score reduced from 12 to 9.</p>

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			L	I	L x I		L	I	L x I			
ELC CR 14	<p>Duty of Care to Council Staff (Health & Safety)</p> <p>East Lothian Council has a duty of care and has existing Health and Safety Policies to look after the care of staff to all its employees across the full range of services and those who can be affected by the Council's activities.</p> <p>Any breach of this duty of care may affect the health, safety and wellbeing of the Council's employees leading to increased sickness absence, pressures on service delivery with the added potential for claims against the Council for incidents involving employees or non-employees.</p> <p>Areas which have been identified as posing a particularly high level of risk are</p> <ul style="list-style-type: none"> Manual Handling, Stress, Lone Working Unacceptable Behaviour, Risks from Public Monuments, Safe Driving at work, School Trips 	<p>Health, Safety and Wellbeing Strategy 2018 – 2021 in place.</p> <p>All employees receive an induction including Health & Safety information, have job outlines and follow the PRD process ensuring all are capable and trained to perform safely in their roles.</p> <p>Consultation with employees and Unions in place with Joint Health & Safety Committee and Joint Consultative Committee</p> <p>Management Arrangements in place for a range of topics outlining the responsibilities of each level of management and employees</p> <p>Risk assessments carried out to identify significant workplace hazards and to establish suitable workplace controls e.g. safe systems of work.</p> <p>Health Surveillance is carried out on employees where they are exposed to specific hazards.</p> <p>Safety Management System supported by audit and inspection programme across the Council.</p> <p>Health and Safety Training needs are identified from project plans and Risk Assessment findings. An annual programme of training is developed including a number of Institute of Occupational Health accredited courses.</p> <p>For all of the risks identified as high risk</p> <ul style="list-style-type: none"> Management Arrangement or guidance is in place Training is available Risk Assessments are undertaken <p>Manual Handling Manual Handling is avoided where possible.</p> <p>Stress As part of the sickness absence policy employees off work with Stress are referred to Occupational Health. Initiatives are in place to help employees manage their own stress, including Employee Assistance Programme, Listening Ears, Healthy Working Lives</p> <p>Lone Working Specific procedures are in place in services with a high level of lone working where required lone workers have access to lone worker devices</p> <p>A 'Potentially Violent Client' Register is in place to ensure information is shared between services</p> <p>Safe Driving at Work Council vehicles used in the course of Council activities are properly maintained and fit-for-purpose. All Council vehicles over 3.5t are maintained in accordance with VOSA publication "Guide to Maintaining Roadworthiness".</p> <p>The E Davis system used by East Lothian Council records and monitors grey fleet users driver details</p>	2	4	8	<p>Service review underway to address the short staffing. This will allow the full programme of inspections and audits to be undertaken.</p> <p>Unacceptable Behaviour - Update to the PVC register Management Arrangements awaiting CMT approval to go for consultation.</p> <p>Risks from Public Monuments - Management Arrangements awaiting CMT approval to go for consultation</p> <p>Safe Driving at work - Updated Management Arrangements awaiting CMT approval to go for consultation.</p>	2	4	8	<p>Depute Chief Executive – Partnerships and Community Services</p> <p>SDAW Group</p> <p>Health and Safety Team</p> <p>Human Resources</p>	<p>August 2020</p> <p>June 2020</p> <p>June 2020</p> <p>June 2020</p>	<p>Risk reviewed and updated March 2020 with Current score reduced from 12 to 8.</p> <p>Risk refreshed December 2015 by CMT with current residual score reduced from 15 to 12 and planned score reduced from 10 to 8.</p> <p>Risks on Lone Working, Safe Driving at Work and Duty of Care amalgamated into one Duty of Care (H&S of employees) Risk in May 2014 at the request of CMT.</p>

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			L	I	L x I		L	I	L x I			
ELC CR 15	<p>Business Continuity</p> <p>Failure to ensure currency of Business Continuity Plans could lead to services not having a robust response to an incident affecting their service area or critical services may not be maintained, while critical services for the public could be affected and statutory requirements not completed.</p> <p>Non availability of:</p> <ul style="list-style-type: none"> premises, through fire, flood or other unexpected incident; key staff or significant numbers of front-line staff for any reason e.g. a Pandemic; systems (IT, telephony, power failure etc.); any form of transportation due to a fuel shortage. <p>The occurrence of any of these may have an adverse effect on the Council to function fully and to complete critical services and statutory requirements.</p>	<p>Business Continuity Framework Plan in place and regularly reviewed.</p> <p>Business Continuity Plans are maintained for all service areas, giving details of minimum levels of staff, alternate locations, exercise and review dates and version control.</p> <p>The Chief Executive has a statutory responsibility for the ELC BC process. The Heads of Service remain responsible for ensuring the BC process is completed within their area of work.</p> <p>Each service area now has a Single Point of Contact (SPoC) and deputy who are responsible for, their services BC Plan, exercising this plan and ensuring it is maintained. All BC Plans are managed through Continuity² Software.</p> <p>The Council carried out a Council Wide Business Continuity Exercise in November 2019 which successfully tested the BC capabilities of the Council.</p> <p>ELC staff have access to an e-learning package on Business Continuity.</p> <p>IT –specific disaster recovery arrangements in place for the critical systems – telephony, e-mail and social care. These have duplicate servers in place off site which can be brought into action if ELC lost its main data centre at JMH.</p> <p>An IT Disaster Recovery Plan is in place and will be regularly updated when any changes take place in the main data centres. For single server failure - there are over 100 systems now running on virtual servers which automatically fall over to another server if there are hardware issues.</p> <p>Controls that are in place to prevent and limit the effects of IT system unavailability including firewalls, anti-virus software, system/ data backup routines, and resilience in the form of a back-up generator for the main data centre at JMH.</p> <p>The Council will be advised by Scottish Government whenever there are Fuel Shortages on the horizon. Fuel supply is held at our depots and can be sourced externally from local fuel service stations and through shared services with other Local Authorities. Regular monitoring of current fuel stock and assessment of any weather predictions, political developments or industrial action etc. that may affect fuel availability.</p>	2	4	8	<p>Continue to progress BC with Education and Care Homes.</p> <p>Review the ELC BC e-learning package to ensure it is current and makes reference to the new Continuity² software.</p>	2	3	6	<p>Emergency Planning, Risk and Resilience Manager</p> <p>Emergency Planning, Risk and Resilience Officer</p>	<p>December 2020</p> <p>November 2020</p>	<p>Risk refreshed April 2020 with no change to assessment of current scores.</p>

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			L	I	L x I		L	I	L x I			
ELC CR 16	<p>Development Plan</p> <p>Failure to maintain an up-to-date Development Plan could result in an out of date planning strategy and policy context for planning decisions in East Lothian and lead to a shortfall in the effective 5 year housing land supply. This could prevent us from meeting the needs of our growing population and undermine our ability to defend local planning decisions due to planning by appeal. This could lead to unplanned development at odds with the Council's planning strategy for East Lothian, and consequent reputational damage. It could also contribute towards the Council not being able to achieve its Council Plan objectives – Growing our Economy and Growing our Communities – and related Single Outcome Agreement objectives.</p> <p>The Local Development Plan is also required to support and guide the provision of infrastructure required to meet the needs of our growing population and growing economy.</p>	<p>Details are set out in the Local Development Plan Scheme with timescales (reviewed December 2019 then annually).</p> <p>LDP adopted September 2018 following approval by Scottish Ministers.</p> <p>ELC and SESplan Development Plan Schemes commit to a programme of Development Plan Scheme review (reviewed annually).</p> <p>SESplan Joint Committee, Project Board and Steering Group guide joint authority preparation of Strategic Development Plan for Edinburgh and SE Scotland; this is being replaced through the 2019 Planning Act by a power to pursue a Regional Spatial Strategy either as a single authority or jointly with others and this will be considered along with Regional Growth Framework from City Region Deal.</p> <p>Community Planning Partnership liaison and involvement through East Lothian Strategic Land Use Planning Group.</p> <p>Impact of SDP2 rejection is mitigated for ELC by having an up to date LDP and a greater than 5 years effective housing land supply.</p> <p>2019 Housing Land Audit in place following consultation with Homes for Scotland with a 6 year housing land supply, backing up plan process.</p> <p>Preliminary work for LDP2 being prepared at present. Public engagement being planned.</p>	4	2	8	<p>SDP2 has been rejected by Scottish Ministers. SESplan Board and Joint Committee are currently appraising options in response to those, including liaising with Scottish Government over timescales for transitional arrangements and secondary legislation/guidance. Minister has indicated any new LDPs should be considered in relation to SDP1, though as it is over five years old this may be open to challenge.</p> <p>There is currently consultation on NPF4, which when approved will be a material consideration in planning decisions. The Council will be submitting a response to the Scottish Government's call for ideas.</p> <p>SG and SPG mostly approved/adopted, including Developer Contributions Framework. Remaining item to go to May Council.</p>	1	2	2	Head of Development	<p>March 2021</p> <p>April 2020</p> <p>May 2020</p>	<p>Risk Refreshed by Service Manager April 2020 with no change to scores.</p> <p>Risk Refreshed by Service Manager August 2019 with Current and risk score increased from 2 to 8.</p> <p>Risk Refreshed by Service Manager – Planning April 2019 with Current and predictive risk scores reduced from 4 to 2.</p>

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			L	I	L x I		L	I	L x I			
ELC CR 17	<p>Public Sector Reform</p> <p>Major elements of public sector reform have been or are being implemented including:</p> <ul style="list-style-type: none"> Integration of Health and Social Care and creation of a new H&SC Partnership; Implementation of the Community Empowerment (Scotland) Act 2015; New legislative duties in procurement, regulation, and children and young people; Reform of Education <p>Following the Scotland Act 2016 there is continuing uncertainty about the future governance of Scotland, the future structure and governance of local government and the public sector and continuing pressure on public finances.</p> <p>The Scottish Government is carrying out a Review of Local Governance which may result in further public sector reform with impact on local government.</p> <p>The cost of implementing changes arising from legislation is not always fully reflected in Scottish Government funding. In addition, the Scottish Government's commitment to protect and increase funding in priorities such as health and education run the risk of further eroding Scottish Government funding for other local government services.</p> <p>Existing public sector reforms and new reforms create uncertainty, additional workload, requirement to restructure services and new accountability, governance, scrutiny and partnership arrangements.</p>	<p>CMT and elected members work together to ensure that the Council is prepared for future public sector reform and differing scenarios for future governance, financial, operational and performance management arrangements are explored in order to minimise risk.</p> <p>Responses to the Scottish Government on consultations around public sector reform are prepared and submitted as required. Financial and resource scoping is carried out as required.</p> <p>The Integration Joint Board has been established along with appropriate governance and scrutiny arrangements.</p> <p>East Lothian Partnership has a new East Lothian Plan that will meet the requirements set out in the Community Empowerment (Scotland) Act 2015 to have a Local Outcome Improvement Plan. The structure of the Partnership has been revised to provide a more focused approach to implementation of the Plan and addressing issues arising from the public sector reform agenda.</p> <p>Effective working relations with key partners including Police Scotland, Scottish Fire and Rescue Service, NHS Lothian and the voluntary sector are being further developed through East Lothian Partnership and bi-lateral meetings and arrangements to prepare for public sector reform.</p> <p>Area Partnerships now established and will be supported to enhance local service delivery.</p> <p>The Council has put in place processes to deal with its new duties and responsibilities arising from the Community Empowerment (Scotland) Act 2015 such as responding to Participation Requests and Community Asset Transfer requests.</p> <p>Maintain regular communication with employees to manage any uncertainty in times of change.</p> <p>The Council's Transformation Programme will provide resilience to assist to respond to public sector reform.</p>	2	3	6	<p>Continue to monitor developments in the Public Sector Reform agenda and Scottish Government's legislative programme and develop responses to exploit potential benefits from, or mitigate potential negative impacts of, different future scenarios.</p> <p>Reports will be submitted to Council on the implications of the reform proposals and on the Council's preparations, as appropriate which are led by the Chief Executive and senior officers.</p>	2	3	6	Chief Executive	Ongoing	<p>Risk reviewed February 2020 with no change to assessment of current scores.</p> <p>Risk reviewed by Board of Directors August 2018 and Assessment of Current and Residual Scores reduced from 12 and 9 to 6 and 6.</p> <p>Risk reviewed and refreshed July 2018 with Current Risk Score reduced from 16 to 12 and residual score from 12 to 9.</p>

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			L	I	L x I		L	I	L x I			
ELC CR 18	<p>Corporate Events Management</p> <p>Effective preparation and co-ordination across a number of services, for all events held in East Lothian, is essential and failure to achieve this could result in a risk of adverse reputational impact for the Council on a national/international level as well as possible legal procedures at fatal accident enquiries accounting for our action or non-action.</p> <p>COSLA, Police Scotland and the Health & Safety Executive (HSE) recommend that Local Authorities form a core group, led by a senior officer, who will meet to discuss all events taking place within their area over a pre-determined period of time. This group includes category 1 responders and other appropriate organisations and decide if each individual event should be organised through a separate, specific Safety Advisory Group (SAG) or if the event can carry on without interference, other than appropriate safety advice.</p> <p>The following criteria would be considered by the SAG:</p> <ul style="list-style-type: none"> • Status of the principal e.g. HM Queen • Status of the event organiser e.g. Scottish Defence League • The size of the crowd or the number of spectators • The profile of the event e.g. North Berwick Highland games. • The requirement for a TTRO • At the request of one of the partner agencies • At the request of an event organiser <p>The council is involved in events as they tend to take place in Council parks or on our roads and the Council issues licenses and permits for events. The Council also has a statutory role in enforcement /inspection (building control, food hygiene etc.) and will help the organisers with traffic management.</p> <p>If the event organisers fail to have the correct licences or safety processes in place then it is the organisers, not the Council, who face the risk of possible criminal prosecution.</p> <p>East Lothian Council is itself responsible for organising several events on an annual basis. For each event an event organiser will be identified. Each event organiser will attend a SAG meeting if required to do so.</p>	<p>The Council now has a SAG policy and a Senior Officer – Events Co-ordination in place who is now the Single Point of Contact (SPOC) to overview events and event notifications, awareness and assessment to support overarching SAG meetings and Corporate Events Management Group meetings and the actions that flow from these.</p> <p>Events that require to be put through the SAG are managed through a risk profile process which grades each event as having a Red, Amber or Yellow risk. Events graded as Yellow are not required to attend a SAG meeting. Those graded Red and Amber are required to attend a SAG meeting.</p> <p>The Corporate Events Management Group will hold SAG process overview meetings (at least annually) to confirm which events require to attend SAG, based on the risk profile.</p> <p>The SAG process co-ordinates preparation for various events as per the risk profile, with representation from relevant Services areas and Multi-Agency Partners.</p> <p>Event guidance for organisers of events is published on the Council website.</p> <p>Where the SAG group is set up, for a specific event, it has no statutory power to stop it taking place; however, the SAG group can withdraw its support and co-operation which means that the event cannot proceed. In these circumstances the event organiser will be required to notify their insurance provider. Police Scotland will always provide the final advice on public safety.</p> <p>Events information and documentation accessed through the ELC website will be reviewed by the ELC Event Safety & Resilience Officer. This staff member will also review all processes linked with the SAG process, through his line manager, to continually improve the overall system.</p>	2	3	6				<p>Depute Chief Executive - Partnerships & Community Services</p> <p>Head of Service (Development)</p> <p>Service Manager – Protective Services</p> <p>Team Manager, Economic Development</p>	September 2019	<p>Risk reviewed February 2020 with no changes to assessment of risk scores.</p> <p>New risk created May 2016 and updated April 2017 with current score reduced from 12 to 6 and residual score from 8 to 6 due to implemented measures, chiefly new Senior Officer – Events Co-ordination and SAG process in place.</p>	

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			L	I	L x I		L	I	L x I			
ELC CR 19	<p>Equality</p> <p>Failure to meet duties and legislative requirements of the Single Equality Act 2010.</p> <p>The Single Equality Act 2010 and related guidance places a general duty on public authorities to be active in promoting equality, eliminating unlawful conduct and fostering good relations. It also places specific duties on public authorities to</p> <ul style="list-style-type: none"> report on mainstreaming the equality duty; publish equality outcomes and report progress; assess and review policies and practices; gather and use employee information; publish gender pay gap information; publish statements on equal pay; consider award criteria and conditions in relation to public procurement; publish in a manner that is accessible. <p>The Scottish Government has introduced a 'socio-economic duty'. This will require the Council to consider the impact of our work on those living in poverty. The Council will need to respond to the full requirements of this new duty and raise awareness of the requirements on the Council.</p> <p>There is a risk that the Council may not be able to meet its general or specific duties and in particular at a time when difficult budget decisions are having to be made that there will be cuts in services or increases in charges that have a disproportionate impact on people who may need those services most because of their equality background.</p> <p>The Council would be open to legal challenge of not meeting its duties and in particular of not carrying out adequate assessment of impact of policies and budget decisions.</p>	<p>ELC Equality Plan in place and available online. A revised Equality Plan was produced in 2017. This includes the commitments made by East Lothian Council as a Licensing Board and as an Education Authority. The plan outlines our commitments:</p> <ul style="list-style-type: none"> Continue to lead a culture where respect, choice and understanding is fostered and diversity positively valued; Maintain a working environment where unlawful discrimination, harassment, victimisation or bullying is not tolerated; Continue to develop our understanding of the needs of different individuals and communities in a time of rapid change; Continue to embed the equality agenda in all our work, and contribute to the early intervention and prevention approach adopted by the Council and its Partners; Improve understanding of the impact of poverty and inequality on people's lives; and Ensure that we plan and deliver services which meet modern standards of delivery and that are inclusive of a wide range of different needs from digital services to face to face interactions <p>The Integrated Impact Assessment Process is embedded and is now widely used. This includes consideration of poverty which should allow us to meet the requirements of the new socio economic duty. A programme of support, including training on the new IIA process is ongoing.</p> <p>The Health & Social Care IJBs (East & Midlothian and City of Edinburgh) along with NHS Lothian will use the 'checklist and IIA form' package, with East and Midlothian Councils using the IIA form only package.</p> <p>As per our statutory obligation, HR is annually capturing the Employment Monitoring information required under the Act. This is reported publically alongside the requirement to publish an annual Equal Pay Report.</p> <p>ELearning equalities modules are available on Learn Pro and 'Get in on the Act' guides to the Council's legal responsibilities are available for all employees and Elected members. A new e learning package 'Understanding Poverty' has been added to support employees to understand about taking poverty into account when designing services and will be updated once details of the Socio Economic duty are known.</p> <p>The actions from the East Lothian Poverty Commission have been turned into a detailed Action Plan with clearly defined responsibilities and timelines.</p> <p>We will be working with Police Scotland to refresh the East Lothian Hate Crime Action plan.</p>	2	3	6	A draft Equality Plan 2021-2024 will be prepared during 2020 for approval by Cabinet in early 2021.	2	3	6	Depute Chief Executive – Partnerships and Community Services	March 2021	<p>Risk reviewed and updated February 2020 with no change to assessment of current scores.</p> <p>Risk register updated August 2017 to include the new Equality Plan and to flag the introduction of the Socio Economic duty. No change to assessment of current scores.</p> <p>Risk reviewed and refreshed May 2016 with both current and predictive scores reduced from 8 to 6 due to implementation of additional measures.</p>
ELC CR 20	Standards in Public Life	Standing Orders (the Schemes of Administration and Scheme of Delegation) were extensively revised, approved by Council in October 2019 and published	2	2	4		2	2	4	Service manager – People and		Risk reviewed April 2020 by Service Manager

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			L	I	L x I		L	I	L x I			
	<p>Failure of corporate governance or to meet standards in public life.</p> <p>Failure of the Council's corporate governance or of officials or members to meet standards in public life could result in reputational damage.</p>	<p>on the ELC website and will be revised on a regular basis.</p> <p>Councillors, officials and employees conduct is governed by Codes of Conduct. The Standards Commission is responsible for encouraging high standards of behavior by Councillors and will adjudicate where there are allegations that Councillors have breached the Code of Conduct. The Council adopted a Code of Conduct for its employees in February 2020 giving all employees greater clarity around the standards of behaviour expected of them. The Code incorporated some other existing policies such as the one governing Gifts and Hospitality. Breach of the Code may amount to a disciplinary offence.</p> <p>The Council's Monitoring Officer and Depute Monitoring Officers provide advice as required.</p> <p>Training of Councillors continues to take place as required to ensure understanding of the importance of standards in public life. Councillors have been provided with a copy of the Code and the accompanying guidance and are provided with copies of any updates, guidance and advice notes as those are issued</p> <p>A survey of all Councillors was carried out in May 2019 establishing their views as to the training and development provided and to identify future needs.</p> <p>Councillors have an ongoing opportunity to participate in a CPD programme, which has been developed in conjunction with the Council's Organisational Development Team. This is based on the offering available from the Improvement Service and the IS have offered to input into the final product. Councillors have an ongoing opportunity to attend Master classes run by the Improvement Service.</p> <p>A 100-day review took place with our Elected Members between August and November 2017. This was carried out by way of face-to-face meetings with Elected Members and covered the Elected Member Induction Programme, the Councillors' Code of Conduct, PA support, office accommodation, Access to Council officers, committee papers, surgeries, and further training and development.</p>							Governance and Service Manager – Corporate Policy		<p>– People and Governance with both scores reduced from 6 to 4 due to Cllrs familiarity with the Code and the new Code of Conduct from Employees.</p> <p>Risk further reviewed and updated July 2017 with both current and predictive risk scores increased to 6 due to the number of newly elected Councillors.</p>	

Original date produced (Version 1)	13 April 2011		
File Name	East Lothian Council Corporate Risk Register		
Original Author(s)	Scott Kennedy, Risk Officer		
Current Revision Author(s)	Scott Kennedy, Risk Officer		
Version	Date	Author(s)	Notes on Revisions
1	13/04/2011	S Kennedy	Original Version
2	05/12/2011	S Kennedy	2 nd version made available to BoD for review
3	23/08/2012	S Kennedy	Draft version updated
4	15/11/2012	S Kennedy	Updated following BoD meeting and Strategy update
5	07/12/2012	S Kennedy	Updates received from services following BoD recommendations

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

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			L	I	L x I		L	I	L x I			
6	18/12/2012	S Kennedy	Updated with additional risks.									
7	04/01/2013	S Kennedy	Updated following consideration by CMT									
8	09/05/2013	S Kennedy	EP & BC Risks updated									
9	31/07/2013	S Kennedy	Data Protection Risk Added									
10	01/11/2013	S Kennedy	Welfare Reform Risk updated (no change to score)									
11	04/03/2014	S Kennedy	New Corporate Risks added on Safe Driving at Work, VERS, Fuel Shortages and Lone Working									
12	March/April 2014	S Kennedy	All risks reviewed and amended where required.									
13	11/04/2014	S Kennedy	New Corporate Risk on Integration of Health & Social Care and Adult Wellbeing added.									
14	25/04/2014	S Kennedy	Risks amended following consultation with CMT.									
15	01/05/2014	P Vestri	Amendments following review of latest draft by Chief Executive and Depute Chief Executives.									
16	27/05/2014	S Kennedy	Amendments following consultation with CMT/Risk Owners. Development Plan and Public Protection risks added.									
17	23/12/2014	S Kennedy	Climate Change Risk refreshed as well as adding column for date Planned Risk Measures will be completed by.									
18	February-April 2015	S Kennedy	All Risks Refreshed by Owners and reviewed by CMT									
19	December 2015	S Kennedy	All Risks Refreshed by Owners and reviewed by CMT									
20	January 2016	S Kennedy	Carbon Management, Flooding and Equality Risks refreshed.									
21	April – May 2016	S Kennedy	CMT met to amend. Further update of all risks including Duty of Care & Public Protection Risks combined.									
22	March – May 2017	S Kennedy	New risk created on Limitation and all other risks reviewed.									
23	August 2017	S Kennedy	All risks reviewed and updated where necessary by Risk Owners and Heads of Service.									
24	June-August 2018	S Kennedy	All risks reviewed and updated by Risk Owners and Heads of Service. Risk added from Education Risk Register on Expansion of Early Learning and Childcare to 1140 hours.									
25	29 August 2018	S Kennedy	Register fully reviewed and updated by Board of Directors									
26	29 November 2018	S Kennedy	Expansion of Early Learning and Childcare to 1140 hours reviewed and updated.									
27	12 December 2018	S Kennedy	Welfare Reform Risk Update by Risk Owners.									
28	April-May 2019	S Kennedy	All risks updated by Risk Owners.									
29	May 2019	S Kennedy	All risks reviewed by CMT and Corporate Risk Group and risk on Stability of the Council Plan removed.									
30	August 2019	S Kennedy	All risks reviewed and refreshed by Risk Owners.									
31	November 2019	S Kennedy	IS & DS and Standards in Public Life refreshed									
32	April 2020	S Kennedy	Register updated to include risk on COVID 19 and Climate Emergency Risk Renamed, Updated and Scored									
33	May 2020	S Kennedy	All other risks refreshed.									

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			L	I	L x I		L	I	L x I			
ELC CR 1	<p>If East Lothian Council does not have the appropriate plans/contingency in place to ensure continued delivery of service during the COVID 19 outbreak there is a risk to our ability to provide an effective critical and emergency service to the vulnerable residents, business and Government defined Key Workers residing within East Lothian.</p> <p>The current novel coronavirus (COVID-19) outbreak, which began in China in December 2019, presents a significant challenge for the entire world. The UK government and the devolved administrations, including the health and social care systems, have planned extensively over the years for an event like this, and the UK (and East Lothian Council) is therefore well prepared to respond in a way that offers substantial protection to the public. As it is a new virus, the lack of immunity in the population (and the absence as yet of an effective vaccine) means that COVID-19 has the potential to spread extensively.</p> <p>The overall phases of the Government's Four Nation's Plan to respond to COVID-19 are: Contain: detect early cases, follow up close contacts, and prevent the disease taking hold in this country for as long as is reasonably possible Delay: slow the spread in this country, if it does take hold, lowering the peak impact and pushing it away from the winter season ACTIVE NATIONALLY FROM 12/3/20 Research: better understand the virus and the actions that will lessen its effect on the UK population; innovate responses including diagnostics, drugs and vaccines; use the evidence to inform the development of the most effective models of care Mitigate: provide the best care possible for people who become ill, support hospitals to maintain essential services and ensure ongoing support for people ill in the community to minimise the overall impact of the disease on society, public services and on the economy</p> <p>The UK was placed in nation-wide 'lock down' on 23 March 2020 at 8.30pm for which the national guidelines are as follows:</p> <ul style="list-style-type: none"> Only go outside for food, health reasons or work (where this absolutely cannot be done from home) Stay 2 metres (6ft) away from other people Wash your hands as soon as you get home <p>A further three week extension was announced from 7th May to 28th May 2020.</p>	<p>Encouraging and Communicating all government and public health authorities' advice and reducing the impact and spread of misinformation by relying on information from trusted sources e.g. NHS, Public Health and Government.</p> <p>Scottish Government published the Route Map, comprising of 4 phases which will be supplemented in the days ahead with detailed advice and information for the public, as well as guidance covering key sectors of our economy, travel and transport. The Council will share this document amongst managers and follow the guidance within it. A second Coronavirus Bill has been tabled for Scotland; the Regulations provide for a statutory review of the need for restrictions and requirements and a review must take place at least once every 21 days i.e. 28 May, 18 June, 9 July, 30 July, 20 August, 10 September.</p> <p>A weekly CMT meeting takes place discussing only COVID 19 issues and actions.</p> <p>Commonly Recognised Information Picture (CRIP) being provided to Crisis Response Team and Service Managers on a regular basis.</p> <p>The Council has the following groups operational:</p> <ul style="list-style-type: none"> Council COVID Oversight Group in place meeting twice weekly and arrangements in place for Crisis Response Team and Emergency Coordination Centre (if required). Food Group in place who meet weekly to discuss any major gaps and use of the current food fund monies. Poverty Group in place who meet weekly to take stock. Recovery and Renewal Coordination Group in place with Terms of Reference agreed and Framework approved by Chief Executive Multi Agency Open Spaces group being created to mitigate the risks of the lockdown policy through the 4 phases. <p>Resilience Direct being used to share information Council wide from both the Council Oversight Group and Government/NHS.</p> <p>Good planning and preparedness underway; better co-ordination and communication of service specific decision making assisting onward planning and ability to flex and respond to developing situation linked with accurate and timely wider staff/public communication.</p> <p>Protective Services are performing Social Distancing visits and/or dealing with complaints in conjunction with the Police and following the principles of Engage, Explain, Encourage, Enforce. This approach mirrors Police Scotland's Policing by Consent Policy.</p> <p>Harbour Protocol A COVID 19 Harbour Protocol has been put in place to deal with anyone having to be brought onshore from the ships in the Firth of Forth.</p>	5	4	20	<p>Civic Amenity Sites to re-open on Monday 1st June for seven days per week with traffic measures in place.</p> <p>Planning across Services re ongoing COVID19 response in event of any relaxation of lockdown particularly in relation to education, roads, waste, countryside, protective services, townscape et al; consider Spaces for People Fund, proposals and deployment. Multi Agency Open Spaces group being created to mitigate the risks of the lockdown policy through the 4 phases.</p> <p>HR/Property Working Group established to manage the Council transition from lockdown through subsequent phases.</p>	5	4	20	<p>Council Management Team (Crisis Response Team)</p> <p>Council COVID 19 Oversight Group</p>	<p>All measures are live and monitored on a weekly basis</p>	<p>New Corporate Risk created 18th March 2020 in response to COVID 19 by Risk Officer in collaboration with Head of Communities & Partnerships.</p> <p>Refreshed on a regular basis and reviewed at weekly CMT meetings.</p>

Risk Ref.	Risk Description	Existing Risk Control Measures	Assessment of Current Residual Risk			Planned Risk Control Measures	Assessment of Predictive Risk			Risk Owner	Date Planned Measure to be in place	Evidence held of Regular Review
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			L	I	L x I		L	I	L x I			
		<p>Test Trace Isolate Support (TTIS) Testing for all key workers is in place and readily available in the H&SCP. TTIS can take place alongside this testing. The Council continues to review TTIS and prepare for this and will follow Government Guidance on this. A Mobile Testing facility for key workers with symptoms will be available at the former Cockenzie Power Station site for three days at a time of a thirteen day period, shared with Midlothian and Borders.</p> <p>Shielding Cross-service Shielding Working Group are established, meeting weekly and are following Scottish Government guidance and developing referral processes and public communications and web content.</p> <p>A team are in place to carry out proactive telephone calls to individuals on the Shielding list. Information will then be passed to customer services colleagues to enable individuals to be referred to appropriate sources of support as necessary (Social Work, Connected Community Hubs, or to register for the national Shielding support scheme). The vast majority of people on the list have been contacted by the team.</p> <p>Next steps agreed for those we have been unable to contact by phone or letter. Process has been agreed, including identifying them and considering those on the Potentially Violent Clients Register and then doorstep visits/card drops commence w/c 25th May.</p> <p>Mass Fatalities Mass Fatalities Planning completed and we are able to 'stand up' when required having reviewed and tested the plan and site during April.</p> <p>Remote registration of deaths is now in place with new procedures issued by National Registers of Scotland.</p> <p>Resilient Communities Encouraging and Supporting Resilient Communities and establishment of RC Groups in each Community Council area and actively communicating with these groups daily.</p> <p>The Scottish Government has updated its advice and guidance for Resilient Communities which ELC has sent all information on to our Resilient Communities.</p>				<p>Test Trace Isolate Support (TTIS) Mobile Testing Site now located at former Cockenzie Power Station and activated by the Army from 16-18 May and will be again from 30 May-1 June. Public Communication made.</p> <p>Test and Protect arrangements in design and development led by NHSL as part of wider Public Health Scotland approach. Clear communication of final deployment needed for ELC/HSCP and community understanding and use in due course.</p> <p>The Lothian Health Board Pilot Contact Tracing group is in place.</p> <p>Participation in national discussion re development of Contact Tracing and consideration of local implementation/resource requirements.</p> <p>HR have a matrix detailing those key staff eligible for testing at the available testing facilities should they show symptoms of the virus.</p>						

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	<p>Financial Environment The Council's existing financial plans and core revenue streams have been significantly impacted relating to COVID 19.</p> <p>The Council is having to deliver a wide range of enhanced support to Communities, provided by Scottish Government and there remains a risk that this will not be sufficient to meet and deliver the on-going requirements.</p> <p>There is a risk that the Council does not have in clear monitoring and reporting arrangements which accurately reflects the cost and pressures for the Council.</p> <p>Given that the scale of the additional financial pressures and challenges, there is a risk that current resources are not sufficient to meet on-going statutory requirements and services due to additional unbudgeted spend and increased costs with reduced income.</p>	<p>All services have been provided with templates to record and return details of all COVID related spending to Finance.</p> <p>Additional special arrangements are now in place to support increased Scottish Welfare Fund including Crisis Grant and Community Care grant activities and significant levels of additional support for businesses.</p> <p>Creditor's payment processes have also been amended to accommodate remote working and much greater use of direct banking faster payments.</p> <p>Monitoring and clear reconciliation arrangements are in place to track all funding announcements and allocations made by UK and Scottish Government and regular returns on financial pressures are now being made fortnightly to COSLA.</p> <p>Scottish Government Grant acceptance letters have been provided at indicative levels of between 60-80%. National maximum quantum levels of funding has been set with the balance of funding at each local authority level aligned to monitoring returns. The Council has responded to grant acceptance to state that it will only commit expenditure aligned to confirmation of current funding levels.</p> <p>Ongoing engagement with COSLA, to monitor national financial implications and support political lobbying.</p>				<p>Enhanced financial scrutiny and monitoring in place, which continually assess financial impacts of COVID against all approved council budgets and the Financial Strategy.</p> <p>Enhanced financial update and reviews provided as part of quarterly financial reports.</p>						
	<p>Service Delivery and Staffing Staff Absence due to symptoms/self-isolation and for childcare reasons resulting in reduced ability to provide a service to the public or a response to the outbreak and resulting in only critical activities being provided. In some services this could result in risk to life and severe reputational damage to the Council.</p> <p>Over the period of an outbreak it can be anticipated that 50% staff will be affected over the period, with 30% at any one time potentially therefore absent resulting in 30% reduction in operational capability. Services would prioritise available resources to meet critical and emergency service requirements.</p> <p>The Public could lose confidence in the Council due to a reduced number of staff and less ability to provide a service.</p> <p>Transference of virus amongst staff still present at work would further diminishing already 'stretched' staff resources, limiting capacity to 'cover' essential critical and emergency services and capacity to respond to increasing demand from our communities/residents.</p> <p>There is an additional strain on those staff who are well, from anxiety on individuals who have family members who are suffering and additional work caused by large numbers of absences.</p>	<p>Staff Register of attendance and COVID19 related absence completed through myHR system reporting by all Service Managers.</p> <p>Business Continuity Chief Executive invoked Council wide Business Continuity on 24/3/20 which has resulted in all services invoking Business Continuity Plans while all Business Continuity Plans have been refreshed over the last few months. All SPoCs and BIA owners were asked to ensure all Critical Activity BIAs were reviewed w/c 16/3/20. Prime source of local EL public information, constantly updated, is the Council Website as well as regular updates on Social Media platforms. Regular Staff Briefings being issued by Chief Executive and HR and clear and fast communication of daily developments being provided to the public and staff.</p>				<p>HR/Property Working Group established to manage the Council transition from lockdown through subsequent phases – particularly in terms of property asset management and planning any alterations required. Also develop generic Guidance for Service Managers / staff to apply in any relaxation of 'lockdown', staff returning to work and how those staff are able to social distance, follow all guidance and any new IT requirements.</p> <p>Long-term planning for service sustainability essential as resources diminish – to ensure critical services are maintained.</p> <p>Services review Service Delivery and priority essential critical and emergency service provision, and sustain essential corporate service provision e.g. IT systems, Payroll, Contact Centre et al.</p>						

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	Buildings Failing to check mothballed buildings ad to carry out weekly fire and sprinkler testing across the buildings FMS are responsible for could result in issues with these buildings when required.	Buildings There is a real focus on carrying out fire and sprinkler testing on the same day and same time each week across the buildings FMS are responsible for. Unoccupied Buildings – weekly testing must be carried out with flexibility due to nature of the mobile janitorial/SFA team.										
	<p>Education A risk to the continuing education of all Children and Young People. There is also a risk for vulnerable children as staff don't have eyes and ears on them as they normally do. There is also a reputational risk that we are not fully able to support all Category 1, 2 and 3 workers in the Children's Hubs and that should significant numbers of staff go down then we will need to restrict access.</p> <p>Currently thirteen of our eighteen Partner Provider Nurseries are closed resulting in limited provision for Early Learning and Childcare. As restrictions are lifted this could result in all children not being able to access their entitlement to 600hrs.</p> <p>School Trips There have been issues with School Trips which have been cancelled or are unlikely to go ahead regarding the reimbursements of payments for these. A co-ordinated approach to the refunds for school trips is now being put in place.</p>	<p>Education All schools closed with pupils having access to online learning through Google classroom and learning packs from school. Children's Hubs established to support childcare needs of Key Workers residing in EL at six locations (one in each school cluster). Places also offered to eligible Category 1, 2 and 3 keyworkers and to children with severe/complex needs/vulnerable children. Children's Hubs offer extended hours of 8am-6pm from Monday 27th April with children also receiving an evening meal.</p> <p>Planning for the operation of the Children's Hubs during the summer holiday period is underway. This will be led by Active Schools.</p> <p>From Monday 8th June Emergency Childcare will be provided within the school that the child attends and the Hubs will close from Friday 5th June. All Head Teachers and a limited number of school staff will be in attendance from 8 June onwards to prepare all schools for the new school session which will commence 11th August.</p> <p>Following the most up to date Scottish Government and Public Health Guidance in developing our plans.</p> <p>An Education Recovery Group has been established which meets weekly. This has associated work stream groups to take forward detailed planning.</p> <p>Engaging with Trade Unions and other service areas in relation to staff and pupils returning to schools.</p> <p>Currently working with the closed nurseries to address how we can support them to open over the summer months in accordance with Scottish Government guidance.</p> <p>School Trips A co-ordinated approach to refunding payments, cancellation of trips and engagement with tour operators is being dealt with through a coordinated approach with colleagues in Finance, Legal, Insurance and Procurement.</p>				<p>Education are surveying all school staff to obtain the availability of all staff in relation to being able to return to work and any childcare arrangements and health related issues they have.</p> <p>Mothballed school buildings are being recommissioned week commencing 1st June 2020.</p> <p>Cleaning and risk assessments will take place during the week of the 1st June in preparation for opening on 8th June.</p> <p>Planning a parent's survey to gather views on the re-opening of schools as well as the home learning which has been taking place.</p> <p>Reviewing pupil transport in accordance with all guidance and liaising with Transport on this.</p> <p>A Local Phasing Delivery Plan is being developed.</p> <p>Plans being put in place to offer a limited number of hours in the new school session until providers are back up and running.</p>						

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	<p>Health & Social Care Partnership, Care for People and Children's Services</p> <p>Heightened risk levels in respect of capacity to effectively manage child and adult protection cases, justice social work , compliance with court ordered activity e.g. supervised contact, compliance with Regulated duties e.g. FOI, DPA etc., places increased risk on the operation of Council services.</p> <p>Adult Social Work - challenges related to prioritising service provision for those most in need of support</p> <p>Risk of service failure within the H&SCP due to third party providers being unable to deliver the services they are commissioned to provide – e.g. Care Homes, Home Care.</p> <p>Staffing levels in Care Homes may become more of a concern as new testing regime is implemented</p> <p>Domestic Abuse The Council realises that It is well evidenced, internationally and nationally, that the Covid-19 social distancing and isolation measures are likely to increase the risk of gender based violence, as well as other forms of abuse. The Council is asking all services to be aware of this in dealing with the public and alert the necessary service if they have concerns. Experts have</p>	<p>Promote the preparation and response for local HSCP services to flex and adapt to meet the needs of local residents maintaining H&SC service provision for vulnerable clients.</p> <p>Multi-agency working at both a national and local level ensures joint planning between all organisations. A co-ordinated approach to ensure best use of resources to achieve the best outcome for the local area.</p> <p>H&SCP working together to support early discharge from hospital, and to look after people in their own homes.</p> <p>Daily Care allocations meeting established, chaired by GM for ASW, to consider all new referrals for care, to ensure maximisation of volunteers/ temporary availability of family carers etc. prior to authorisation of any new PoCs. Daily check on availability of Council Officers to ensure ability to deliver Adult Support and Protection duties. Assessment of care and support needs for young people over summer is underway. Targeted RAG of all individuals in the community with a diagnosis of dementia underway.</p> <p>Strong relationships in place with third party providers of Care Homes, Home Care etc. and daily contact being made to identify any emergent issues.</p> <p>The Carer Change Board is working with local carer organisations to embrace new ways of working and to ensure clear pathways are in place to support unpaid carers to minimise the risk of carer support breakdown.</p> <p>SSSC recruitment portal now being utilised by care homes, with recruitment process supported by HR Recruitment team. Standing advert on MJS to recruit HSCP staff. Both being used successfully to resource staff.</p> <p>All commissioned support services and internal Homecare service completed a RAG rating for all individuals they provide a service to allowing them to prioritise people most in need and at greatest risk in the event of failed service. The information is gathered from the Provider and cross referenced to information provided by District Nurses. We also ask providers to report daily on their own status and confirm business continuity, this allows us to be proactive in our approach to supporting all care providers and prevent failed services. This has included training for Provider staff, for example in relation to use of PPE.</p> <p>Additional health staff have been redeployed to support the Care Home Team (primary care).</p> <p>Domestic Abuse Over the weeks of lockdown we have continued to adjust our services so they continue to support survivors of gender based violence and their families and also those who cause harm, through our specialist VAWG services in partnership with wider services. Prevent victim/survivors homelessness by ensuring women and children can remain in the home.</p>				<p>Develop a proactive and preventative cross-service model of support for children/young people (focus on teens) in danger of being accommodated due to family breakdown brought about during lock-down.</p> <p>Plans in place from week commencing 25/5/20 to provide diversionary activities for vulnerable young people (teenagers) identified by Children's Services and Education.</p> <p>Broaden out the Hub working group to become the 'Supporting children and young people through COVID 19' group with a focus on the following:</p> <ul style="list-style-type: none"> • Broader support for vulnerable children • Support for older young people who are at risk of care / family breakdown and planning a targeted evening offer via CLD etc. for a small number of young people • Planning for the summer holidays <p>Amendment to Coronavirus Bill introducing measures for enhanced professional clinical and care oversight of care homes. This entails new and additional responsibilities for clinical and professional leads in local authorities / Health & Social Care Partnerships / Health Boards in relation to daily support and oversight of care provided in care homes in their area. This change has significant implications for East Lothian HSCP in terms of additional workload and responsibility, at this stage much discussion is still underway regarding the potential impact of the new measures.</p> <p>Work underway in relation to staffing provision for Care Homes – potential for redeployment from across ELC and HSCP, third sector and use of locum staff (also work being progressed by SSSC)</p>						

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	<p>Substitute Therapy. There is a potential financial risk to ELHSCP and MELDAP if the individual chooses to continue Bupropion therapy post release as this is more expensive than other forms of OST</p> <p>Mental Health services are currently reporting an increase in alcohol use for those patients needing assistance from their services.</p> <p>Mental Health There has been an increasing pressure on mental health services and a rise in MH presentations specifically relating to COVID-19.</p>	<p>ELHSCP and MELDAP are assessing potential financial implications for implementation of this policy on medication budgets. East Lothian normally has smaller numbers of prisoners in the SPS system.</p> <p>EL SMS, MELD and ELCA will continue to respond. These services and MELDAP will plan post lockdown responses to mitigate any further increases in people requiring alcohol related treatment, support and counselling</p> <p>Intensive Home Treatment Team continue to operate an emergency mental health service for those with acute mental health illness of in MH crisis. Operating 8am to midnight, seven days a week Community Mental Health Team seeing patients for depot medication, and maintaining telephone support for others. Mental Health Pathway now in place - CWIC Primary Care MH Service - Primary Care OT and nursing staff have been co-located to offer MH support to those with mild to moderate MH issues - access via an individual's GP practice where a telephone appointment is offered same day or within 72 hours</p> <p>Public Protection Unit The former Public Protection Manager has been seconded from the Care Inspectorate, provisionally for 3-months, as part of the National response to Covid-19. Interviews for the permanent post took place on 4 May 2020. The Public Protection improvement and business plans are currently subject to review and will be reported through the Critical Services Oversight Group.</p> <p>A Covid-19 Public Protection continuity plan is in place. This includes the following key points: - Weekly meetings of senior agency leads, including chief social work officers, including detailed consideration of live data. - Fortnightly meetings of the Critical Services Oversight Group for Public Protection - Continuation of the Domestic Abuse Referral Pathway and Multi-Agency Risk Assessment Conferences, ensuring those identified at highest risk receive a swift response. - Development of a public protection communications response</p>										
	<p>IT and Digital Resilience At the moment we face an increased Information Security risk as spam and hacking attempts have risen as they feel we will be less focused on security during the crisis so we need to be just as vigilant.</p> <p>Council Services are having difficulty interacting with clients who use alternative platforms to the Skype platform we use.</p> <p>ELC staff working from home may find their IT use compromised due to the speed of their own broadband connection which can be variable and is dependent on factors such as other devices are being used in the home and the number of other connections at the telephone exchange.</p>	<p>IT have purchased and deployed more than 500 laptops as well as supporting services to bring many others already issued into service. Within 3 weeks of the response IT are now providing home based working support across the Council to more than 2,000 staff from an initial base of 12 contracted home workers.</p> <p>IT are able to facilitate the use of MS Teams meetings for those staff who require it via contact with the IT Service Desk.</p>				Maximisation ELC staff mobile working technology e.g. Skype and Laptop facilities & review regularly.						

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				
	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
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