East Lothian Council

REPORT TO: Audit and Governance Committee

MEETING DATE: 22 September 2020

BY: Chief Executive

SUBJECT: Infrastructure Risk Register

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1   PURPOSE

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

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

2   RECOMMENDATIONS

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

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

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

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

3   BACKGROUND

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

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

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

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

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

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

3.3 The current Infrastructure Risk Register includes 1 Very High, 13 High risks, 44 Medium risks and 14 Low Risk. As per the Council's Risk Strategy, only the Very High and High risks are being reported to the Committee.

4 POLICY IMPLICATIONS

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

5 INTEGRATED IMPACT ASSESSMENT

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

6 RESOURCE IMPLICATIONS

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

6.2 Personnel - There are no immediate implications.

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

7 BACKGROUND PAPERS

7.1 Appendix 1 – Infrastructure Risk Register 2020

7.2 Appendix 2 – Risk Matrix 2020

AUTHOR'S NAME	Scott Kennedy
DESIGNATION	Emergency Planning, Risk and Resilience Officer
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DATE	10 September 2020

Risk ID	Risk Description (Threat/Opportunity to achievement of business objective)	Risk Control Measures (currently in place)	Assessment of Current Risk			Planned Risk Control Measures	Assessment of Residual Risk [With proposed control measures]			Risk Owner	Timescale for Completion / Review Frequency	Evidence held of Regular Review
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Residual Risk Rating			
			L	I	L x I		L	I	L x I			
INF 1	Roads Budget/Expenditure

An increase in the cost of raw materials, resources and commodities is impacting on the budget/expenditure of the service resulting in a reduction in the extent of all works carried out.

As Roads Authority we have responsibility for maintenance of the Road Network within East Lothian Council. Given current restrictions due to COVID19 and uncertainty of how long these will extend there is a real risk that we can't properly maintain and renew the road network. If we are unable to do so the condition will deteriorate. This will then result in increased costs to repair/maintain and renew the road network as we move forward.

There is a potential impact on the supply chain from above and of a Brexit No Deal. | Best value/procurement exercise.

Use of Scotland Excel and local purchasing contracts when appropriate. Working closely with ELC Procurement on this. Whole-life costing in place.

Continue to maintain an adequate Asset management regime.

Report annually to PPRC in relation to

Road condition and recommendation of spend for following year.

This risk will be constantly reviewed over the next few months and amended accordingly. | 5 | 4 | 20 | Review capital programme, prioritise repairs based on needs assessment.

Consider delaying non-essential capital works to allow backlog of works to be reduced.

Continuous review of Procurement and cost escalation.

Develop as COVID19 restrictions are lifted and Brexit impact becomes known. | 4 | 4 | 16 | Service Manager - Roads | October for PPRC then feed in with budget process through to March 2021 | Risk refreshed July 2020 risk scores increase from 9 and 6 to 20 and 16 |
| INF 2 | Waste and recycling targets and legislation.

The Waste (Scotland) Regulations 2012 set out a number of provisions which help Scotland move toward the objectives and targets set out in the Scotland's Zero Waste Plan and help transition toward a circular economy. These provisions include a ban on biodegradable municipal waste going to landfill from the 1 January 2021 – ban has been delayed until October 2024. Meeting the ban will have a negative impact on the revenue budget due to increases in gate fees.

Modelled Household Waste Charter aligned single pass weekly collection system may not now be viable depending on the scope of DRS Uncertainty over future kerbside collection model means we will be unlikely to achieve the recycling target of 60% by 2020.

The Scottish Government intends to introduce legislation towards the end of 2019 in relation to Scotland's deposit return scheme for glass, steel, aluminium and PET drinks containers. Once this is passed by the Scottish Parliament, there will then be a minimum 12-month implementation period before the scheme is operational.

The scheme is likely to result in a significant loss of high value materials to the Waste Service therefore impacting on the cost | Waste Strategy was implemented April 2015 with a view to achieving a minimum 50% recycling & composting target.

Recycling and residual collections to all domestic and commercial properties covering mixed waste, DMR, food and garden.

Bring site provision including 4 Community Recycling Centres. Monitoring of national and local indicators.

Waste Data Flow reporting to Waste Regulatory body.

Monitoring of kerbside collection systems and targeted intervention to offer support to residents using these services.

Extension of kerbside collection service beyond the original contracted period via VEAT notice to 2020.

Long term treatment contract started November 2019 which will allows for additional recovery and enables East Lothian to be compliant with the ban on biodegradable municipal waste going to landfill in Scotland and will not have to seek alternative arrangements outwith the region. | 4 | 4 | 16 | Procurement of new kerbside collection Contract initiated.

Review of service provision and charges for services. | 3 | 4 | 12 | Service Manager - Transport & Waste

Head of Infrastructure | April 2021 | Risk updated July 2020, no change to risk score due to marketplace uncertainty and likelihood of further additional statutory service provision.

Risk refreshed October 2019 with residual risk score reduced from 16 to 12.

Risk refreshed by Senior Waste Services Officer - Strategy May 2019 with current and residual scores increased from 6 to 16 due to new legislation.

Risk refreshed November 2015 – Current score reduced from 12 to 6 and residual score reduced from 8 to 6 due to implemented measures. |

Ref	Risk	Controls	L	C	Rating	Further Action	L	C	Rating	Owner	Date	Review
	effectiveness of delivering kerbside recycling services. Uncertainty over DRS and material volumes and value mean we are unable to proceed with planned procurement of kerbside collection services. The Scottish Government within the context of the circular economy bill is proposing a move away from the current voluntary approach to Scotland's Household Recycling Charter towards a more mandated approach, whereby implementation of the Charter and its supporting Code of Practice becomes a statutory obligation, placing aspects of the Scottish Household Recycling Charter and its supporting Code of Practice on a statutory footing, specifying materials to be targeted for collection or mandating how they are collected, to accelerate improvements to both the quality and quantity of recycling that local authorities are collecting in Scotland and the provision of more consistent collections. Changes to global commodities markets have drastically altered following China's National Sword Policy which instigated strict quality controls on the materials it would accept through import. This has led to huge quantities of poorer quality material without end destinations being retained within the national county of origin. In the UK this has led to an oversupply of material and has reduced the rebate values paid, while East Lothian has in the most part been protected from the worst of the market decline as the box collection system allow us to monitor the material we collect for recycling and ensure it is of sufficiently high quality to attract a value from reprocessors, this continued market uncertainty is likely to increase the cost of procuring kerbside collections going forward.	The scope of the Deposit Return Scheme announced in May 2019 is all PET, metal and glass drinks containers, effectively removing these higher value commodities from our kerbside collection, and reducing the income generated from the commodity sales, which is at present used to offset the current cost of providing the collection services. This scheme has been delayed until July 2021 implementation by Scottish Government. Additional modelling work has been carried out to take account of the changes the Deposit Return Scheme will make to both the composition and the volume of the packaging materials that will remain within our kerbside collection system. The intention to extend the current Contract for the kerbside service has been advertised by VEAT notice, which has gone unchallenged, but the offer received is significantly more than anticipated and changes to the proposed terms mean that the Council will retain ownership of all materials and any associated cost related to receipt, haulage and processing. Placing all risk on the Council for the sale of the materials.										Risk reviewed May 2014 and Residual Risk Rating reduced from 12 to 8.
INF 3	**Maintenance of Burial Grounds** Failing to maintain the Council's burial grounds could result in a serious injury/death to the public or ELC employees from falling headstones/memorials and a resulting financial loss due to insurance claims. There is also the risk of losing part of East Lothian`s cultural heritage through the loss of family history records on headstones and memorials and failure to comply with the Equalities Act if access paths aren`t maintained. Annual programme of consolidation continues however number of memorials considered as presenting significant risk remains at around 20% of stock. Scottish Government have now published guidance on inspecting and making safe memorial stones which places a clear burden on the Council to demonstrate a duty of care in this regard.	Responsibility for maintenance of facilities shared with Property Maintenance. Inspection of all headstones now complete North Berwick Cemetery extension has concrete foundation provided for headstones. ELC staff now responsible for installation of foundations for all new memorial stones. Additional equipment purchased to assist with roll out of headstone safety works and improve output. Priority for safety works now moved over to Amenity Services Staff from Criminal Justice Team Four years in to an ongoing programme to Dig and Deepen unstable headstones. Programme will be ongoing as further dangerous memorials become known through subsequent inspections. Labels and posts are now being put on all high risk stones asking relatives to contact SC&L. Programme of Consolidation works ongoing on a yearly basis.	4	4	16	Further programme of consolidation works programmed for completion March 2021 based on revised risk assessment. Round 3 of Headstone Inspection Programme to be completed by March 2021 according to agreed 3 year rolling programme.	3	4	12	Principal Amenity Officer Business Support - Sport, Countryside & Leisure	March 2021 March 2021	Risk refreshed by Acting Principal Amenity Officer August 2020 with no change to risk scores. Risk Refreshed by Principal Amenity Officer November 2014 and by Head of Infrastructure December 2014 with Current Risk Score reduced from 20 to 16.

			L	C	Score		L	C	Score			
		Toolbox talks for staff completed to cover safety aspects of working in and around headstones and to ensure consistent approach towards consolidation works. New burial sites being developed will include Pre-formed reinforced strip foundations that should prevent this risk from presenting with headstones installed thereafter.										
INF 4	Burial Service Inability to provide an efficient burial service and sufficient land for burial purposes would mean that the Council is unable to undertake its statutory duties, and create distress to family and mourners. An audit highlighted there is less available burial space than indicated previously. The service experiences increased demand for burial services in certain clusters while the remaining clusters activity continues. This can produce waiting times of up to 20 working days during winter as opposed to our acceptable target of 4-5 working days. Staff efficiencies and long-term medical absence place further risk on our ability to maintain an acceptable standard of service delivery.	Burial Administration now centralised in single office and revised procedures from service review now operating. Risk Assessments and SOPs are in place, regularly updated and employees are aware of them. Training programme in place to ensure employees are qualified and induction session delivered for all burial staff on current procedures and updated regularly by programme of Toolbox Talks. Burial Strategy now adopted by ELC. Communication procedure with the Registration Service in place and monthly liaison meetings take place. New procedures for management of burials are now operational. Planning Application secured for Dunbar and now under construction during 2020/21. Representation made to MIR consultation regarding all cluster needs for new space Recruitment exercise complete meaning staffing filled to budget. Available resources are being rotated around clusters as fully as possible to reduce waiting times but this is only having limited benefit. Media release in February highlighted the positon to the community reaching out for understanding and trying to give comfort.	4	4	16	In Prestonpans we are awaiting neighbouring housebuilding to complete, which is anticipated late 2020, prior to commencement of cemetery construction. Potential site identified for Tranent Cluster and desktop study concludes that land is suitable for development. Estates instructed to commence negotiation to purchase. Complete negotiations and secure ownership of land according to priority list.	3	4	12	Principal Amenity Officer Business Support Sport, Countryside & Leisure	December 2021 March 2021	Risk refreshed by Acting Principal Amenity Officer August 2020 with no change to risk scores. Risk refreshed by Principal Amenity Officer January 2018 and residual score increased from 9 to 12 to reflect reducing burial capacity at existing sites and no confirmed alternatives at time of review. Risk Refreshed by Principal Amenity Officer November 2014 and by Head of Infrastructure December 2014 with Current Risk Score reduced from 20 to 16.
INF 5	Future Required Maintenance of New or Extended Assets Insufficient budget allocation to manage and maintain the increased asset base may result in deterioration in condition of the assets with consequential risk of failure. Repairs and maintenance cost pressures and adoption of new facilities e.g. school extensions mean a real term reduction in resource and availability. This could ultimately result in a failure of building elements with the risk of closure or enforcement by Statutory or Regulatory authorities. COVID19 has impacted upon the ability to carry out works to our assets.	Annual update of programme of works based on Condition, Suitability and Statutory Compliance assessments to inform budget requirement. Building Surveyor now in post who will be working on accuracy of Asset Condition information. Assets Project Manager now in place whose main function will be to look for opportunities to repurpose, dispose of, or rationalise assets. The Manager will also continue to look for opportunities to co-locate and share facilities to reduce the number of assets held by the Council.	4	4	16	Ensure Condition and other data is maintained up to date to inform the planned delivery of works required to ensure buildings comply with statutory and legal requirements and are maintained in a good condition. Looking at Lifecycle Costing as part of project/business plan and review on a project basis for future capital bids and budget setting.	3	4	12	Service Manager – ESBS Service Manager – SA&CPM	April 2021 Ongoing	Risk refreshed July 2020 with no change to assessment of risk scores. Risk refreshed April 2019 with current score increased from 12 to 16 and residual score from 8 to 12.

INF 6	Maintenance of Existing Operational Assets Insufficient staffing and financial resource to carry out repairs and maintenance programmes to ensure buildings are maintained in a good condition. Significant financial investment is required to improve the condition rating of properties which are currently C rated. Failure to carry out repairs and maintenance programmes could result in unavailability of buildings e.g. school closure and reputational damage to the Council. COVID19 has impacted upon the ability to carry out works to our assets.	Ongoing review and update of programme of works based on Condition, Suitability and Statutory Compliance assessments to inform budget requirement. Building Surveyor now in post who will be working on accuracy of Asset Condition information. Assets Project Manager now in place who will be looking for opportunities to repurpose, dispose of, or rationalise assets.	4	4	16	Ensure Condition and other data is maintained up to date to inform the planned delivery of works required to ensure buildings comply with statutory and legal requirements and are maintained in a good condition. A report to PPRC will be brought forward in relation to this risk.	3	4	12	Service Manager – ESBS Service Manager – SA&CPM	April 2021 December 2020	Risk refreshed July 2020 with residual score increased from 9 to 12. Risk Refreshed Aug'19 - current risk score increased from 9 to 16 and residual score from 6 to 9.
INF 7	Roads infrastructure, bridge management and street lighting These are all major issues for the council given its responsibility for key routes. Any failure in provision/ maintenance may lead to closures, disruptions, adverse public reaction in terms of expectation. A healthy road network aids in enabling a vibrant economy and future economic development.	Appropriate inspection & assessment regimes in place although reduced during COVID19. Register of road bridges, underpasses, footbridges and culverts completed. Partnering in the Scottish National Road Condition Survey. Consultation with Councillors and constituents in place on annual maintenance plan and Roads Asset Management Plan in place. Annual programme of roads maintenance works in place aimed at reducing the percentage of the roads network in amber/red condition. Regular monitoring of the condition of street lighting units. An electronic system to log all complaints and reports of road defects/lighting faults is in place in conjunction with the call centre system (LAGAN) at Macmerry. This ensures all reports are recorded, actioned and monitored under the Road Network Management ISO:9001 Quality System.	4	4	16	Review capital programme, prioritise repairs based on needs assessment. Consider delaying non-essential capital works to allow backlog of works to be reduced. Continuous review of Procurement and cost escalation. Develop as COVID19 restrictions are lifted and Brexit impact becomes known.	3	3	9	Head of Infrastructure Service Manager - Roads	March 2021	Risk refreshed June 2020 with current score increased from 4 to 16 and residual from 4 to 9.
INF 8	Maintenance of Non-Operational Properties Failure to maintain non-operational properties in compliance with statutory legislation, particularly in relation to Public Buildings Statutory Electrical Testing and inspections due to insufficient resources may expose the Council to legal proceedings, financial loss, service reduction, damage to its reputation and potential Health and Safety incidents in properties. This could result in injury/loss of life of public building users and legal action against the Council. Failure to make sufficient finance available to carry out testing and implement recommendations may result in all of the above.	Funding required from limited Property Renewals budget to address identified remedial works in public buildings. Programme of Fixed Electrical Installation in place in accordance with statutory requirements. Contractors' reports reviewed on an ongoing basis. Close liaison with and monitoring performance of framework electrical contractor to ensure inspections, reports, cost estimates, works and certification are completed timeously.	3	5	15	Plan a programme of condition surveys and an audit of statutory compliance including dealing with remedial works identified during EICR testing in place. Review and identify inspection and management resource required within SACPM and Engineering Services.	2	4	8	Service Manager – ESBS Service Manager – Service Manager - Strategic Asset & Capital Plan Management (SA&CPM)	August 2021 December 2020	Risk refreshed July 2020 with no change to assessment of risk scores. Risk Refreshed February 2016 by Head of Service and residual risk score reduced from 10 to 8.

INF 9	Public Road Network Maintenance Failure to adequately plan maintenance activities on the public road network could lead to conflict with the requirements of other roads users, including public utilities, events and members of the public. Also failure to comply with the requirements of the Scottish Roads Commissioner such as keeping the gazetteer up to date and other statutory obligations under the Transport Scotland Act and the New Roads and Street Works Act could result in fines from the Scottish Roads Commissioner (as occurred this year) as well as a reputational impact on ELC if events have to be cancelled. As Roads Authority we have responsibility for maintenance of the Road Network within East Lothian Council. Given current restrictions due to COVID19 and uncertainty of how long these will extend there is a real risk that we can't properly maintain and renew the road network. If we are unable to do so the condition will deteriorate. This will then increase the cost to repair/maintain and renew the road network as we move forward. In accordance with the Chartered Institute of Public Finance and Accountancy (CIPFA) Code of Practice on Transport Infrastructure Assets, road assets are split in to 6 distinct Asset Groups: Carriageways; Footways and Cycleway; Street Lighting Status; Structures; Traffic Management Status and Street Furniture. It basically sets out estimated value of asset, condition and as officers we make a recommendation of investment to be in place to either keep the steady state our improve condition of asset going forward. This feeds into budget setting. The Audit and Governance Report has suggested a capital bid of £9m for the last two years to deal with street lighting. A £2m increase across road services has been provided to cover all road assets which leaves a shortfall.	Report annually to PPRC titled "Roads Asset Management - Annual Status and Options Report". This report presents a summary of the council's road assets and: • Describes the status of the asset, its current condition, and performance; • Defines the value of the assets; • Details the service that the asset and current budgets are able to provide; • Presents the options available for the future. Annual road maintenance plan/schedule in place although impacted by COVID19. Weekly works planning meetings where any impact on the Scottish Road Works Register is monitored. Register held of all events which is refreshed regularly. Regularly train and develop staff, within new Road services Structure and continue to review and make changes to service area as required within the resources available.	3	4	12	Review capital programme, prioritise repairs based on needs assessment. Consider delaying non-essential capital works to allow backlog of works to be reduced. Develop as COVID19 restrictions are lifted and Brexit impact becomes known.	2	4	8	Road Services Manager		Risk refreshed June 2020 with current score increased from 4 to 12 and residual score from 4 to 8.

INF 10	Building Standards Team

Recruitment constraints faced by the Council could lead to the Building Standards Team not being able to maintain a level of staff that is adequately qualified, trained and competent to carry out the Building Standards duties of verification, enforcement, licensing etc. to the targets expected in BSD's new performance framework. BSD recent audit resulted in 3 year extension to the verification role subject to successful completion of Improvement Plan. Failure to improve could lead to the Council losing the verification role.

Service Reviews were carried out in 2016 and 2019 and implemented; however, there is an ongoing inability to recruit suitably qualified BS Surveyors & Inspectors resulting in an inability to meet targets. | Monitoring of workload to fee income, performance to staffing levels and project complexity to staff abilities and training.

Involvement with the Local Authority Building Standards Scotland (LABSS) and the BSD to influence delivery of the new performance framework of 9 performance outcomes and a risk based inspection regime for Reasonable Inquiry to deliver compliance with the building regulations.

Work continues to be outsourced to Argyll & Bute Council to minimise backlog. Commitment made to re-invest Building Standards Income within the service.

Continue to measure BS performance against set KPO's

Scottish Government (BSD) recognise the national shortage of suitably qualified and experienced Building Standards staff and launched a Workforce Strategy to create a sustainable BS workforce for the future. ELC have attended workshops on this. | 3 | 4 | 12 | Look to recruit to ongoing vacant Surveyor, Inspector & Graduate posts and potentially restructure the team. | 2 | 4 | 8 | Service Manager – ESBS | December 2020 | Risk refreshed July 2020 with no change to assessment of risk scores.

Risk Refreshed Novembér 2014 and residual risk score reduced from 12 to 8. |
| INF 11 | Dangerous Buildings

Higher enforcement workload in terms of dangerous buildings for Officers due to various reasons (including increasing instances of severe weather and owners unable to maintain their properties) resulting in increased risk to members of the public.

A Service Review was carried out during 2016 and implemented; however, there is an ongoing inability to recruit suitably qualified BS Surveyors resulting in inability to meet targets.

Climatic and financial factors are outwith East Lothian Council's control. | No contractual obligation for staff to provide an out of hours dangerous buildings service which therefore relies on the goodwill of the BS Manager and three Senior BS Surveyors to provide cover outwith office hours.

Further review carried out and 3 new Posts filled March 2019 (Surveyor, Inspector & Technician). Work outsourced to Argyll & Bute Council to minimise backlog. Commitment made to re-invest Building Standards Income within the service. | 3 | 4 | 12 | Continue to monitor situation with revised workforce in place and further review to take place re-home working. | 2 | 4 | 8 | Service Manager – ESBS | December 2020 | Risk refreshed July 2020 with no change to assessment of risk scores.

Risk Refreshed February 2015 with current score reduced from 15 to 12 and residual score from 10 to 8. |
| INF 12 | Current Asset Data

Asset data for operational properties is not current, resulting in insufficient information to prioritise planned investment in buildings and potential risk to occupants, contractors and members of the public at risk from failure of building elements or systems. | Limited annual desktop updates carried out on existing data informed by feedback from maintenance team.

3rd Phase of building surveys now complete and QA process underway.

Building Surveyor in post who will work on accuracy of Asset Condition information. | 3 | 4 | 12 | 3rd Phase of 3 Phase building survey now completed but significant QA issues identified and being dealt with. External resources allocated to enable ongoing surveys and comprehensive 5 yearly reviews. | 2 | 4 | 8 | Service Manager – ESBS | April 2021 | Risk refreshed July 2020 with no change to assessment of risk scores. |
| INF 13 | Tree Estate

Failure to manage and maintain the Council`s tree estate including a failure to monitor for the current risk from tree diseases resulting in potential damage to people and or property. Also potential negative impact on the landscape and character of East Lothian and its towns and villages, biodiversity, health & wellbeing of residents and the local economy and tourism. | Regular inspections undertaken as well as monitoring for tree diseases within the tree estate with record kept of trees inspected. Record kept of arboriculture work undertaken.

Annual programme of tree planting and record kept of trees planted.

All forestry staff have appropriate qualifications, training and experience.

Risk Assessments/SOPs in place and regularly updated for all arboriculture and forestry work which employees are aware of. | 3 | 4 | 12 | Survey of all Council owned trees on their condition and location has commenced and a rolling inspection programme to be set up. Resourcing issues are such that survey progress will be limited and completion will take an extended period of time.

Purchase of specialised Tree Management software to allow mapping and detailed recording of condition & history intended. | 2 | 4 | 8 | Tree Officer

Business Support Sport, Countryside & Leisure | March 2021

March 2021 | Risk refreshed by Acting Principal Amenity Officer August 2020 with no change to risk scores.

Risk refreshed by Head of Infrastructure Dec'14 with Current Score reduced from 16 to 12 and residual score from 10 to 8. |

			L	C	Score		L	C	Score			
		Woodland Action Plan in the Biodiversity Action Plan.										
INF 14	Solid Fuel Installations and Safety Failure to Manage Solid Fuel safety on all Solid Fuel Installations in ELC Housing Properties leading to potential CO poisoning of tenants, increased risk of house fires and potential risk of prosecution. Chimneys are generally in poor condition while the Council are unable to control fuels burnt in solid fuel appliances.	Programme for Solid Fuel Servicing terminated end of 2018. New servicing contractor in place from April 2019. Heating replacements to energy efficient, low carbon alternative fuels are available and being installed but implementation is difficult due to customer refusals. Contractor in place for removal and replacement of solid fuel systems.	2	5	10	Programme for removal and replacement of solid fuel systems ongoing in remaining 37 properties. Gas supplies have been installed to all Council houses in gas areas to enable rapid replacement when consent received. Clear policy to be developed on solid fuel systems replacement process.	1	5	5	Service Manager - Engineering Services & Building Standards (ESBS) Service Manager - Property Maintenance	March 2021 to review numbers installed. December 2020	Risk refreshed July 2020 with no change to assessment of risk scores. Refreshed Aug'19 by Head of Service. Residual Score reduced 10 to 5. Refreshed May'19 by Head of Service. Current Risk Score reduced 15 to 10. Also D7

			Risk Score
Original date produced (Version 1)	9th January 2013		**20-25**
File Name	Infrastructure Risk Register		**20-25**
Original Author(s)	Scott Kennedy, Risk Officer		**10-19**
Current Revision Author(s)	Scott Kennedy, Risk Officer		**5-9**
Version	**Date**	**Author(s)**	**Notes on Revisions**	**1-4**

Version	Date	Author(s)	Notes on Revisions
1	09/01/2013	S Kennedy	Environment Register updated to Infrastructure Risk register following Senior Management Restructure and updates to Risk Strategy and Corporate Risk Register.
2	April-May 2013	S Kennedy	Updated following Working Group meeting. Dog Fouling/Dangerous Dogs risk split. Transport Services updated by Service Manager. Facilities Management updated by Service Managers. Property Maintenance updated by Service Manager.
3	September 2013	S Kennedy	Landscape & Countryside Risks updated by Service Manager.
4	October 2013	S Kennedy	Waste Management Risks updated and two added. No change to Road Services Risks or Transport Services Risks. Facilities Mgmt risks updated.
5	December 2013	S Kennedy	Roads Network Risks Added
6	January 2014	S Kennedy	Dangerous Dogs & Dog Fouling Risks transferred to Communities & Partnerships (Customer Services) Risk Register; Healthy Living Risks added and Print Unit Risk added to Facilities to create initial Infrastructure Risk Register following realignment process.
7	May 2014	S Kennedy	Waste risks reviewed by Head of Service. Land Management Risk transferred from Corporate RR at the request of CMT.
8	November 2014	S Kennedy	Waste, Transport, Road, Facilities Services and Property Maintenance Risks all reviewed and refreshed by respective Service Managers. Amenity Risks reviewed by Principal Amenity Officer.
9	December 2015	S Kennedy	All Infrastructure risks reviewed and refreshed by all Service Managers. Risks on postal strike and print unit deadlines removed by Head of Infrastructure. Risk on staffing levels also removed as covered in Corporate Risk Register.
10	December 2016	S Kennedy	All Infrastructure risks reviewed and refreshed by all Service Managers.

11	November 2017	S Kennedy	Property Maintenance Risks moved to Development Risk Register while Engineering Services & Building Standards and Strategic Asset and Capital Plan Management risks moved from Development Risk Register following Council Service Review. Two Waste Services Risks on Carberry Landfill Site removed as risk removed.
12	December 2017 - January 2018	S Kennedy	Transport, Waste and Roads (Traffic Warden Risk Removed) Risks updated followed by January updates to Engineering Services & Building Standards, Sport Countryside & Leisure, Facilities and Strategic Asset & Capital Plan Management.
13	February 2018	S Kennedy	Full Review of Register by current Head of Infrastructure prior to retiring.
14	December 2018	S Kennedy	Waste and Facilities Risks Updated
15	April-May 2019	S Kennedy	All risks reviewed and updated.
16	May 2019	S Kennedy	Risks reviewed and refreshed by Head of Service with Risk on Waste and Recycling Targets & Legislation AND Community Asset Transfer increased.
17	August 2019	S Kennedy	All risks reviewed. Full review and update of all SA&CPM Risks by new Service Manager.
18	March 2020	S Kennedy	Waste Services Risks Updated
19	July 2020	S Kennedy	Full document reviewed and updated by Service Managers for Facilities, Roads, SC&L, ES&BS, Transport & Waste
20	July 2020	S Kennedy	Full review carried out by Head of Infrastructure
21	September 2020	S Kennedy	Final review prior to presentation to A&G Committee.

East Lothian Council
Risk Matrix

Likelihood Description

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

Impact Description

Impact of Occurrence	Score	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

Likelihood	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