

REPORT TO: Audit and Governance Committee

MEETING DATE: 30 November 2021

BY: Chief Executive

SUBJECT: Service Risk Registers

1 PURPOSE

- 1.1 To present to the Audit and Governance Committee the Infrastructure, Communities, Corporate Support and Finance Service Risk Registers (Appendices 1-4) for discussion, comment and noting.
- 1.2 All Service Risk Registers are developed in keeping with the Council's Risk Management Strategy and are live documents, reviewed and refreshed on a regular basis, led by Local Risk Working Groups (LRWG).

2 RECOMMENDATIONS

- 2.1 It is recommended that the Audit and Governance Committee notes these Service Risk Registers 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, Communities, Corporate Support and Finance risks 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 the services and are likely to be a feature of the risk registers over a number of years.

3 BACKGROUND

- 3.1 The Risk Registers have been compiled by the Service 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 As per the Council's Risk Strategy only the Very high and High risks on each register are reported to the Committee.

4 POLICY IMPLICATIONS

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

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 each Service 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 Registers should be met within service 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 these registers will require the support and commitment of the Risk Owners identified within the registers.

7 BACKGROUND PAPERS

- 7.1 Appendix 1 – Infrastructure Risk Register 2021-22
- 7.2 Appendix 2 – Communities Risk Register 2021-22
- 7.3 Appendix 3 – Corporate Support Risk Register 2021-22
- 7.4 Appendix 4 – Finance Risk Register 2021-22
- 7.5 Appendix 5 – Risk Matrix 2021

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DATE	18 November 2021

Infrastructure Risk Register 2021-22

Date reviewed: 18 November 2021

APPENDIX 1

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	<p>Roads Budget/Expenditure</p> <p>An increase in the cost of raw materials, resources and commodities is impacting on the budget/expenditure of the service resulting in a reduction in the extent of all works carried out.</p> <p>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.</p> <p>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.</p> <p>There is a potential impact on the supply chain from above and due to Brexit.</p>	<p>Best value/procurement exercise.</p> <p>Use of Scotland Excel and local purchasing contracts when appropriate. Working closely with ELC Procurement on this.</p> <p>Whole-life costing in place.</p> <p>Continue to maintain an adequate Asset management regime.</p> <p>Report annually to PPRC in relation to road condition and recommendation of spend for following year.</p> <p>This risk will be constantly reviewed over the next few months and amended accordingly.</p>	5	4	20	<p>Review capital programme, prioritise repairs based on needs assessment.</p> <p>Consider delaying non-essential capital works to allow backlog of works to be reduced.</p> <p>Continuous review of Procurement and cost escalation. Develop as COVID19 restrictions are lifted and Brexit impact becomes known.</p> <p>Ensure the capital budget allocated is applied to the identified capital programmes on existing assets.</p> <p>We will pay close attention to announcements from Government to ensure we continue to comply with all relevant guidance and requirements.</p>	4	4	16	Service Manager - Roads	<p>December report to PPRC then feed in with budget process through to March 2022</p>	<p>Risk refreshed June 2021 with no change to scores.</p> <p>Risk refreshed July 2020 risk scores increase from 9 and 6 to 20 and 16</p>
INF 2	<p>Purchase of Council vehicles</p> <p>A reduction in future purchase of Council vehicles would result in revenue / maintenance expenditure costs rising.</p> <p>Requirement for the fleet to move to Ultra Low Emission Vehicles (ULEV) cost impact to meet climate change objectives and government legislation – Public Fleet sector target of 2025 for all cars/small vans to be ULEV, no purely fossil fuelled vehicles available to purchase from 2030.</p>	<p>Regular discussion with user departments on their individual requirements and within the capital budget set for replacement vehicles.</p> <p>Continued evaluation of existing fleet.</p> <p>Regular contact with vehicle suppliers to demonstrate new items available.</p> <p>Utilisation of Transport Scotland funding to support public sector 2025 objective.</p>	5	4	20	<p>Fleet strategy being undertaken combining ULEV objectives and demonstrating financial challenges associated with transition to clean vehicles – expected to be completed Nov 2021.</p> <p>Transport and Waste are working proactively with Finance to draw down planned capital budget to enable pre ordering of vehicles. This will minimise cost increase impact and secure vehicle orders in line with the fleet replacement strategy.</p>	4	4	16	Service Manager - Transport & Waste	<p>November 2021</p> <p>November 2021</p>	<p>Risk refreshed June 2021 with risk scores increased from 4 and 4 to 16 and 9 due to the government legislation</p>

INF 3	<p>School Estate Expansion</p> <p>Risk to uncertainty with forward planning for the expansion of the school estate, where school capacities may be breached earlier than anticipated.</p> <p>This could result in insufficient accommodation for pupils within schools, with consequent appeals from parents and reputational damage.</p>	<p>Updated school roll projections are reviewed against school capacities.</p> <p>School expansion programme prepared and costed to inform Capital Plan. Changes in established roll projections are highlighted to Education if school capacities are projected to be breached.</p> <p>Strategy for managing risk agreed if no provision or budget in place for expansion.</p> <p>Regular cross service School Estate management meetings held where the baseline demographic information and the impact of development on school rolls and capacities are reviewed.</p> <p>Current staff resourcing issues in Education and SA&CPM present challenges for this work.</p>	4	4	16	<p>All census and revised roll projections prepared by Education in November 2020. Revisions for some sites are ongoing due to changes in phasing of new housing by developers.</p> <p>Housing Land Audit is being progressed by Planning.</p> <p>Sufficient staffing and financial resource to be allocated to projects generated by unforeseen breach of school capacities.</p> <p>Capital Plan interventions and S75 alongside the opportunity to refresh the capital plan and phase to match pupil product and expansion requirements.</p>	3	4	12	<p>Executive Director for Education & Children's Services</p> <p>Executive Director For Council Resources</p> <p>Service Manager – SA&CPM</p> <p>Service Manager - Planning</p>	<p>May 2022</p> <p>May 2022</p> <p>May 2022</p> <p>May 2022</p>	<p>Risk refreshed June 2021 with current scores increased from 8 to 16 and residual score from 8 to 12.</p> <p>Risk refreshed January 2018 with current risk score reduced from 12 to 8.</p>
INF 4	<p>Education Estate – Changes to Projects</p> <p>Risk of unanticipated changes within Projects resulting in project cost overruns and potential delays to the project with financial consequences for the Council as well as a reputational risk.</p> <p>Recent projects have seen increases in scope due to suitability, condition, upgrades to catering kitchens, safer routes to school and other factors. Mitigation has not been possible resulting in costs increasing.</p> <p>A full survey of all catering kitchens throughout Council properties is required which is not included in the current condition survey work and needs to be resourced.</p> <p>Scottish Government have announced the intention to introduce free school meals for all primary aged children by 2022 as part of the 100 day commitment. Work has been initiated by SG to consider the cost and logistical implications of implementing this policy intent.</p>	<p>Cost planning and financial monitoring processes are in place. Change control process manages the approvals process for additional budget arising from client changes.</p> <p>Review project risk contingency and identify a risk value in future projects.</p> <p>Ensure Project briefing, budgets and cost plans are robust and include realistic allowance for further development of scope meaning few unanticipated changes during projects.</p> <p>Close liaison with clients throughout project process.</p> <p>Data updated regularly throughout the year and Annual Report submitted re-School Core Facts.</p> <p>Regular monitoring of information for reporting to auditors.</p> <p>Meetings have taken place with Scottish Futures Trust (SFT) and Scottish Government officials to ensure there is a clear understanding of the degree of logistical challenge and impact along with providing costed returns.</p>	4	4	16	<p>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.</p> <p>Comprehensive Learning Estate Review programme underway with pre-consultation about to commence. Delivery and implementation programme to be directly linked to school condition and suitability.</p> <p>Budgeted, programmed plan of work for all existing property assets to confirm how these will be improved from Condition C/D to B or maintained as Condition A/B for their lifetime.</p> <p>Assess property estate against Scottish Government targets to address Climate Change. Plan programme of works to improve performance of buildings.</p> <p>Ongoing engagement with Head Of Infrastructure, Executive Director for Place, Executive Director for Education & Children's Services and Executive Director for Council Resources regarding project changes and mitigating against potential financial/reputational risks.</p> <p>Service Manager – SA&CPM to engage with Head Of Infrastructure, Executive Director for Education & Children's Services (PPP Project Sponsor) regarding resources and mitigating against risks.</p>	3	4	12	<p>Service Manager - SA&CPM</p> <p>Head of Infrastructure</p> <p>Executive Directors – Place, Education & Children's Services, Corporate Resources</p>	<p>May 2022</p> <p>Ongoing – Learning Estate Review</p> <p>Ongoing Learning Estate Review</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>	<p>Risk amalgamated with School Core Facts September 2021 to create this updated risk.</p> <p>Risk refreshed June 2021 with current scores increased from 9 to 16 and residual score from 8 to 12.</p> <p>Risk refreshed July 2020 with current score reduced from 12 to 8.</p>

INF 6	<p>Maintenance of Non-Operational Properties, Non-Operational Property Portfolio and Voids</p> <p>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.</p> <p>Failure to maintain rental income of non-housing property portfolio due to disrepair of properties, poor financial checks on tenants, poor debt retrieval, poor implementation of rent reviews and recession. This would result in deteriorating properties, loss on rental income and increase in the number of void properties.</p> <p>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.</p> <p>Scottish Government targets to address Climate Change and imminent changes to energy performance requirements for properties will require significant work to assess the current status and plan works to bring buildings up to the required standard.</p> <p>If voids are not kept to a minimum due to disrepair of property, delay in safety checks, and the undertaking of repairs and improvements it could lead to loss of income.</p> <p>There is the potential for additional voids due to COVID19 and businesses struggling financially while COVID19 restrictions have placed a significant burden on commercial businesses, resulting in financial pressures.</p>	<p>Funding required from limited Property Renewals budget to address identified remedial works in public buildings.</p> <p>Condition surveys carried out on all Common Good properties during 2021 as part of review of Common Good review.</p> <p>Programme of Fixed Electrical Installation in place in accordance with statutory requirements.</p> <p>Contractors' reports reviewed on an ongoing basis.</p> <p>Close liaison with and monitoring performance of framework electrical contractor to ensure inspections, reports, cost estimates, works and certification are completed timeously.</p> <p>Close liaison with Property Maintenance, in-house financial checks, regular debt meetings, rent review programme and early warning system in Badger asset management system.</p> <p>Liaise with Property Maintenance and Engineering Services to ensure prompt undertaking of safety checks, necessary repairs and refurbishment works.</p> <p>Providing support to local businesses, administering government grants and rent holidays, as required.</p> <p>Planned maintenance and liaison with Projects to programme resources and works.</p> <p>Processing rent holidays for any businesses struggling financially due to COVID19.</p> <p>Estates team continue to communicate with and provide support to tenants, endeavouring to manage situations and maintain high level of occupancy in commercial portfolio.</p>	4	4	16	<p>Plan a programme of condition surveys and an audit of statutory compliance including dealing with remedial works identified during EICR testing in place.</p> <p>Review and identify inspection and management resource required within SACPM (including Estates) and Engineering Services. Service review ongoing.</p> <p>Consider wider strategic review of commercial portfolio post COVID-19, including the potential reinvestment of income generated from commercial properties into an improvement programme.</p> <p>Continue asset rationalisation work to reduce surplus assets, non-efficient assets and reduce our carbon footprint. Aim for a focus of staffing resource and maintenance budgets on a reducing number of more efficient buildings</p>	3	4	12	<p>Service Manager – ESBS</p> <p>Service Manager – Service Manager - Strategic Asset & Capital Plan Management (SA&CPM)</p> <p>Head of Infrastructure</p> <p>Executive Directors – Place, Education & Children's Services, Corporate Resources</p>	<p>December 2022</p> <p>May 22</p> <p>May 22</p> <p>Date TBC</p>	<p>Risk updated June 2021 to combine previous risks on Non-Operational Properties, the Portfolio and Voids with new overall scores of 16 and 12.</p>
INF 7	<p>Cleaning Service for Education</p> <p>Failure to provide cleaning services within education premises out with core provision, due to staff shortages or health pandemic.</p> <p>This could result in schools not being cleaned to the required standard and a breakdown of infection control potentially resulting in schools not being able to remain open, putting the council at risk.</p>	<p>Utilise special clean team and specialist products when required. Throughout the COVID19 Pandemic the cleaning service have been using disinfectant and sanitiser during the cleaning processes in all schools. At the end of each cleaning day each school is receiving a sanitisation using a fogger. Senior cleaners complete cleaning schedule including daily checks that all areas have been cleaned to the appropriate standard. Can also contact agency workers should additional resource be required.</p> <p>Since the schools returned in April 2021 some Caretaking and Cleaning staff from the few remaining mothballed buildings, are being redeployed into schools to support daytime enhanced cleaning of contact surfaces in all schools.</p>	4	4	16	<p>This risk is currently heightened due to COVID, however Business Continuity Plans and rationalising of resource related to deployment of staff is being prioritised to manage the demand.</p>	3	4	12	<p>Service Manager - Facilities</p>	<p>Ongoing during response to current issues</p>	<p>Risk scores refreshed by Head of Infrastructure September 2021 and increased from 8 to 16 and 12 due to a shortage of staff.</p> <p>Risk refreshed May 2021 by Service Manager – Facilities with no changes to risk scores.</p> <p>New risk created January 2015 by Service Manager – Facilities.</p>

INF 8	<p>Capital Programme</p> <p>Risk of adverse financial implications for the Councils capital programme in the light of unpredictable tender price indices including the impact of Brexit and COVID19. This could result in tender returns being higher than cost plans.</p> <p>Tender and construction costs continue to rise nationally and there are significant delays in availability of materials, due to Brexit, COVID, Suez Canal etc.</p> <p>East Lothian Council have received a number of national reports, information from other local authorities and notifications from contractors regarding e.g. steel, timber, plasterboard, cement shortages/increase in costs. Furniture and IT component shortages/lead-in times are also a significant challenge.</p>	<p>Monitoring Tender prices and benchmarking with other authorities and contracting partners e.g. Hub South East.</p> <p>Risk allowance incorporated within cost planning but not sufficient to deal with real cost rises experienced.</p> <p>Continue to monitor and adjust allowance to reflect market activity.</p> <p>Keep Council Management teams informed regarding costs and availability of materials.</p> <p>'Lessons Learned' summary prepared by SACPM for infrastructure projects arising from current Local Development Plan, circulated to key services and discussed at meetings to identify and possible mitigations for future planning.</p> <p>Prioritise essential works and agree to re-programme other planned works.</p>	4	4	16	<p>Continue to monitor national situation with ELC Procurement, other local authorities and contractors.</p> <p>Prioritise capital projects according to need.</p> <p>Prioritise and programme Capital Plan according to need and prioritise need and timescales.</p>	3	4	12	<p>Service Manager – SA&CPM</p> <p>Corporate Finance Manager</p>	<p>May 2022</p> <p>May 2022</p> <p>May 2022</p>	<p>Risk refreshed June 2021 with current scores increased from 9 to 16 and residual score from 9 to 12.</p> <p>Risk refreshed July 2020 with residual score increased from 6 to 9.</p>
INF 9	<p>Waste and recycling targets and legislation.</p> <p>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 2024. Meeting the ban will have a negative impact on the revenue budget due to increases in gate fees.</p> <p>The Scottish Government intends to introduce legislation in June 2022 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.</p> <p>The scheme is likely to result in a significant loss of high value materials to the Waste Service therefore impacting on the cost effectiveness of delivering kerbside recycling services.</p> <p>Uncertainty over DRS and material volumes and value mean we are unable to proceed with planned procurement of kerbside collection services.</p> <p>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,</p>	<p>Waste Strategy was implemented April 2015 with a view to achieving a minimum 50% recycling & composting target.</p> <p>Recycling and residual collections to all domestic and commercial properties covering mixed waste, DMR, food and garden.</p> <p>Bring site provision including 4 Community Recycling Centres. Monitoring of national and local indicators.</p> <p>Waste Data Flow reporting to Waste Regulatory body.</p> <p>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 June 2022 implementation by Scottish Government.</p> <p>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.</p> <p>Monitoring of kerbside collection systems and targeted intervention to offer support to residents using these services.</p> <p>Continue reviewing supply chain for procurement of bins, boxes and bags to source best lead times and cost.</p> <p>Long term treatment contract started November 2019 which will allow for additional recovery and enables East</p>	4	4	16	<p>Procurement of new kerbside collection Contract completed, implementation process on going with new weekly service going live November 2021.</p> <p>Review of bulky uplift recharging provision.</p> <p>Prepare commodity document for process for selling with authorised suppliers and sustainable platform for disposal.</p>	3	4	12	<p>Service Manager - Transport & Waste</p> <p>Head of Infrastructure</p>	<p>November 2021</p> <p>Summer 2022</p> <p>November 2021</p>	<p>Risk updated June 2021 with no change to risk scores.</p> <p>Risk refreshed October 2019 with residual risk score reduced from 16 to 12.</p> <p>Risk refreshed by Senior Waste Services Officer - Strategy May 2019 with current and residual scores increased from 6 to 16 due to new legislation.</p> <p>Risk refreshed November 2015 – Current score reduced from 12 to 6 and residual score reduced from 8 to 6 due to implemented measures.</p> <p>Risk reviewed May 2014 and Residual Risk Rating reduced from 12 to 8.</p>

	<p>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.</p> <p>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.</p>	<p>Lothian to be compliant with the ban on biodegradable municipal waste going to landfill in Scotland and will not have to seek alternative arrangements out with the region.</p> <p>New kerbside recycling service procured, awarded 1st May 2021 with weekly service being implemented November 2021. 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.</p> <p>Service procuring larger volumes of stock to ensure supply level is maintained and sourced at most competitive price. Recycling service change requires additional supply of containers and new weighted bag.</p>										
INF 10	<p>Maintenance of Burial Grounds</p> <p>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.</p> <p>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.</p>	<p>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.</p> <p>ELC staff now responsible for installation of foundations for all new memorial stones.</p> <p>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</p> <p>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.</p> <p>Programme of Consolidation works ongoing on a yearly basis.</p> <p>Toolbox talks for staff completed to cover safety aspects of working in and around headstones and to ensure consistent approach towards consolidation works.</p> <p>New burial sites being developed will include Pre-formed reinforced strip foundations that should prevent this risk from presenting with headstones installed thereafter.</p>				Further programme of consolidation works programmed for completion March 2022 based on revised risk assessment.				Team Manager – Operations (Amenity Services)	March 2022	Risk refreshed by Team Manager – Operations (Amenity Services) June 2021 with no change to risk scores.
			4	4	16		3	4	12	Business Support - Sport, Countryside & Leisure	March 2022	

INF 11	<p>Burial Service</p> <p>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.</p> <p>An audit highlighted there is less available burial space than indicated previously.</p> <p>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.</p>	<p>Burial Administration now centralised and revised procedures from service review now operating. Risk Assessments and SOPs are in place, regularly updated and employees are aware of them.</p> <p>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.</p> <p>Burial Strategy now adopted by ELC. Communication procedure with the Registration Service in place. New procedures for management of burials are now operational. Continuing to work under current Covid restrictions until government guidance changes.</p> <p>Working towards local provision where suitable land is available.</p>	4	4	16	<p>In Prestonpans we are awaiting neighbouring housebuilding to complete, which is anticipated late summer 2021, prior to commencement of cemetery construction.</p> <p>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. Site inspection programmed for 2021-22.</p>	3	4	12	<p>Principal Amenity Officer</p> <p>Business Support Sport, Countryside & Leisure</p>	<p>December 2021</p> <p>March 2022</p>	<p>Risk refreshed by Team Manager – Operations (Amenity Services) June 2021 with no change to risk scores.</p> <p>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.</p>
INF 12	<p>Roads infrastructure, bridge management and street lighting</p> <p>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.</p> <p>A healthy road network aids in enabling a vibrant economy and future economic development.</p> <p>The level of investment in street lighting replacement and maintenance is linked into the holistic road service budget.</p>	<p>Appropriate inspection & assessment regimes in place although reduced during COVID19.</p> <p>Register of road bridges, underpasses, footbridges and culverts completed. Partnering in the Scottish National Road Condition Survey.</p> <p>Consultation with Councillors and constituents in place on annual maintenance plan and Roads Asset Management Plan in place.</p> <p>Annual programme of roads maintenance works in place aimed at reducing the percentage of the roads network in amber/red condition.</p> <p>Regular monitoring of the condition of street lighting units.</p> <p>An electronic system to log all complaints and reports of road defects/lighting faults is in place in conjunction with the call centre system (LAGAN) at Macmerry. This ensures all reports are recorded, actioned and monitored under the Road Network Management ISO:9001 Quality System.</p>	4	4	16	<p>Review capital programme, prioritise repairs based on needs assessment. Consider delaying non-essential capital works to allow backlog of works to be reduced.</p> <p>Continuous review of Procurement and cost escalation. Develop as COVID19 restrictions are lifted and Brexit impact becomes known.</p> <p>We will pay close attention to announcements from Government to ensure we continue to comply with all relevant guidance and requirements.</p>	3	3	9	<p>Head of Infrastructure</p> <p>Service Manager - Roads</p>	<p>October for PPRC then feed in with budget process through to March 2022</p> <p>Ongoing</p> <p>Ongoing</p>	<p>Risk reviewed June 2021 no change risk scores.</p> <p>Risk refreshed June 2020 with current score increased from 4 to 16 and residual from 4 to 9.</p>

INF 13	<p>PPP Project</p> <p>Failure to adequately resource contract management arrangements will have subsequent issues related to contract compliance, financial risks and deterioration in asset base.</p> <p>Compliance issues include, but are not limited to: asbestos, fire, water quality, building fabric and building services (significant safety and reputational risks). Contract management issues at risk include, but are not limited to: contract guidance for users, benchmarking, Education PPP Specification and curriculum development (modernisation).</p> <p>Asbestos treatment at pre/post of PPP Contract and changes to legislation again form significant risks for ELC including statutory/legislative/management and financial risks. The agreed process is in place however appropriate resources require review. This is also a reputational risk.</p> <p>Fire – Full review of Fire Plans etc. required due to changes in ELC PPP Estate. The agreed process is in place however appropriate resources require review.</p> <p>PPP Future Risk items including Handback preparations.</p> <p>Treasury guidance for the management of PPP Contracts state a minimum of 2% of Contract Value to be spent on Contract management (and this is the basis on which ELC received Government support). Currently the PPP Contract Monthly Unitary Charge is £1,042,021.54 per month or £12,504,258.43 per annum.</p> <p>Expansion of Secondary Schools leased to Innovate under PPP Project Agreement.</p> <p>Failure to conclude Supplemental Agreements in sufficient time to meet timescales for the completion of the extensions resulting in insufficient capacity for pupils.</p> <p>This could result in future reputational risk to the Council.</p> <p>COVID19 and the subsequent new guidance for schools has resulted in more space required at schools and could potentially lengthen contracts.</p> <p>Risk of PPP Provider falling into financial difficulty or insolvency.</p> <p>PPP Provider IML employ FM service staff, apart from Catering, for the 6 secondary schools, the Mercat Gait Centre and the Musselburgh Community Centre and are contracted to carry out maintenance and lifecycle works on the buildings until 2035. If IML were to fail there is a risk that schools and other buildings would not operate and the Council would need to step in.</p>	<p>Formation of Senior Learning Estate Management Board and WHS Board to be replicated to deliver on significant capital projects</p> <p>Service Manager has engaged with Service Review Team and Finance to update job descriptions for PPP Project Officer (Grade 10) and PPP Project Assistant (Grade 7-including a review of resources available).</p> <p>Application of Lessons Learned from experience of preparing documentation for Dunbar Grammar School extension.</p> <p>Allocation of sufficient time for process and ensure Council approval for procurement route for extensions.</p> <p>Although in place in principle, this measure is not wholly within the control of the Council and requires input from IML legal and technical advisors at the appropriate time.</p> <p>A report on Procurement of Secondary School extensions was approved by Council which set out the procurement route for all extensions and the associated risks.</p> <p>Contingency plans developed and in place to resolve ongoing issues with legal approvals, delay caused to construction works and delivery of projects at Ross and North Berwick High Schools</p> <p>Ensure Project Agreement is implemented and Unitary Charge paid timeously.</p> <p>Reviewing lifecycle expenditure to ensure investment in the PPP leased buildings is maintained at an acceptable level.</p> <p>Financial accounts provided by IML at Innovate Board Meeting. ELC Finance to comment. Cease of LIBOR raised as a risk by ELC at last Innovate Board Meeting on 29th April 2021 – IML have yet to comment on the effect that this has had on Innovate.</p>	4	4	16	<p>Service review to refresh the establishment and match work demands with capacity and resource and recruit to positions identified.</p> <p>Planned return of Schools Estate Planning Officer post to Strategic Asset & Capital Plan Management team to increase capacity for Team Manager – Schools Estate & PPP Project</p> <p>Governance around separate contracts for installation, maintenance and lifecycle replacement of equipment or approve instruction through the PPP contract.</p> <p>Financial approval required to address compliance risks highlighted. An updated procurement report is required, revising key programme dates and incorporating what has been carried out to date, as well as recommending procurement for remainder of growth projects.</p> <p>Recent processes completed for Ross High School and North Berwick High School expansions are to be reviewed by educational, technical and legal teams to identify any possible improvements and mitigation of risks.</p> <p>ELC Finance to review and report on current financial status of Innovate.</p>	2	4	8	<p>Executive Director for Education & Children's Services (PPP Project Sponsor)</p> <p>Service Manager - SA&CPM</p>	<p>May 2022</p> <p>Date TBC</p> <p>Ongoing</p> <p>Ongoing</p> <p>March 2022</p> <p>November 2022</p>	<p>Expansion of Secondary Schools Risk amalgamated with this risk September 2021 with risk score reduced to 16 and 8 from 20 and 12.</p> <p>Risk added June 2021 by Service Manager – Strategic Asset & Capital Plan Management</p>
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INF 14	<p>Current Asset Data</p> <p>Asset data for operational properties requires continual review otherwise insufficient information is held to prioritise planned investment in buildings. Potential risk to occupants, contractors and members of the public from failure of building elements or systems.</p> <p>Asset data requires continual updating and aligned to financial information as if this is not updated and accurate the data cannot be used to inform decisions regarding future of properties. A recent Finance audit identified the Council would benefit from investment in an integrated IT system recording all assets. A comprehensive, maintained asset database is required with full access for all relevant parties.</p>	<p>Limited annual desktop updates carried out on existing data informed by feedback from maintenance team.</p> <p>3rd Phase of 3 Phase building survey now completed but significant QA issues identified and being dealt with.</p> <p>Building Surveyor working on accuracy of Asset Condition information.</p>	4	4	16	<p>A new cycle of building surveys shall commence on completion of QA issues identified. Internal and External resources will be allocated to enable these surveys and comprehensive 5 yearly reviews.</p> <p>Implement a comprehensive asset management database for operational and non-operational property, with access available to all relevant services e.g. Finance, E&BS, SACPM. This will require staff and financial resource to deliver in key services, with input by IT and Improvement.</p>	2	4	8	<p>Service Manager – ESBS</p> <p>Service Manager – SA&CPM</p>	<p>June 2026</p> <p>March 2023</p>	<p>Risk refreshed June 2021 with current scores increased from 12 to 16.</p> <p>Risk refreshed July 2020 with no change to assessment of risk scores.</p>
INF 15	<p>Musselburgh Flood Protection Scheme (MFPS)</p> <p>MPFS is a major project being advanced under the Local Flood Risk Management Plan (Forth Estuary) and funded at a rate of 80% under the Scottish Government's Flood Protection Scheme Programme.</p> <p>In summer 2021 a managed 'Pause and Review' of the national FPS Programme is being commenced by Scottish Ministers, with a view of re-determining the validity of each project and thereafter the structure of the programme once it re-starts.</p> <p>The risk is that MFPS may not be on the recommenced programme or that the intervention rate may not remain at 80% for the restarted programme.</p>	<p>MFPS is being advanced by a Project Management Team under a formal PRINCE2 Project Management System, therefore financial exposure is always only to the current stage which ends at a formal stage gateway before the next stage.</p> <p>The project has a risk management process and a Risk Register.</p> <p>The project regularly updates with the Scottish Government's Flooding Policy Team and liaises with them on any key developments on the Scheme</p>	3	4	12	<p>The Project Team will continue to liaise with SG's Flooding Policy Team. It is currently assumed that due to existing legal contractual commitments the Scheme does not need to pause before the end of the current stage – i.e. late 2022.</p> <p>The Project Team have responded to a request for information from the 'Pause & Review' management team. Evidence confirming the: (i) scale of flood risk; (ii) the value for money; (iii) the robustness of the project team, systems, programme and approach to consultation; (iv) the preparedness to deliver; and (v) the scale of multiple-benefits to Musselburgh, ELC and regionally through their Scheme being delivered in partnership – is being prepared. It is assumed this Scheme will present near the top of any new national prioritisation.</p>	2	4	8	Service Manager - Roads	<p>Autumn 2022</p> <p>March 22</p>	<p>New Risk added June 2021 by Service Manager - Roads</p>
INF 16	<p>Public Road Network Maintenance</p> <p>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.</p> <p>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</p>	<p>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:</p> <ul style="list-style-type: none"> • 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. <p>Annual road maintenance plan/schedule in place although impacted by COVID19.</p> <p>Weekly works planning meetings where any impact on the Scottish Road Works Register is monitored.</p> <p>Register held of all events which is refreshed regularly.</p>	3	4	12	<p>Review capital programme, prioritise repairs based on needs assessment. Consider delaying non-essential capital works to allow backlog of works to be reduced.</p> <p>Develop as COVID19 restrictions are lifted and Brexit impact becomes known.</p> <p>We will pay close attention to announcements from Government to ensure we continue to comply with all relevant guidance and requirements.</p>	2	4	8	Road Services Manager	<p>October for PPRC then feed in with budget process through to March 2022</p> <p>Ongoing</p> <p>Ongoing</p>	<p>Risk reviewed June 2021 no change risk scores.</p> <p>Risk refreshed June 2020 with current score increased from 4 to 12 and residual score from 4 to 8.</p>

	<p>deteriorate. This will then increase the cost to repair/maintain and renew the road network as we move forward.</p> <p>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 or 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.</p>	<p>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.</p>										
INF 17	<p>Building Standards Team</p> <p>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.</p> <p>Service Reviews were carried out in 2016, 2019 and a current refresh is underway; however, there is an ongoing inability to recruit suitably qualified BS Surveyors & Inspectors resulting in an inability to meet targets.</p>	<p>Monitoring of workload to fee income, performance to staffing levels and project complexity to staff abilities and training.</p> <p>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.</p> <p>Two new Building Standards Surveyors commenced June 2021.</p> <p>Work continues to be outsourced to Argyll & Bute Council to minimise backlog. Commitment made to re-invest Building Standards Income within the service.</p> <p>Continue to measure BS performance against set KPO's.</p> <p>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.</p>	3	4	12	Looking to recruit to ongoing vacant Building Standards Inspector and Technician.	2	4	8	Service Manager – ESBS	Ongoing	<p>Risk refreshed June 2021 with no change to assessment of risk scores.</p> <p>Risk Refreshed November 2014 and residual risk score reduced from 12 to 8.</p>
INF 18	<p>Dangerous Buildings</p> <p>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.</p> <p>Service Reviews were carried out during 2016 and 2019 and implemented; however, there is an ongoing inability to recruit suitably qualified BS Surveyors resulting in inability to meet targets.</p>	<p>Climatic and financial factors are outwith East Lothian Council's control.</p> <p>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 two Senior BS Surveyors to provide cover outwith office hours.</p> <p>Further review carried out and 3 new Posts filled March 2019 (Surveyor, Inspector & Technician). Two new Building Standards Surveyors commenced June 2021. Work outsourced to Argyll & Bute Council to minimise backlog. Commitment made to re-invest Building Standards Income within the service.</p>	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 2021	<p>Risk refreshed June 2021 with no change to assessment of risk scores.</p> <p>Risk Refreshed February 2015 with current score reduced from 15 to 12 and residual score from 10 to 8.</p>

INF 19	<p>Tree Estate</p> <p>Failure to manage and maintain the Council's tree estate including a failure to monitor for the current risk from tree diseases resulting in potential damage to people and or property. Also potential negative impact on the landscape and character of East Lothian and its towns and villages, biodiversity, health & wellbeing of residents and the local economy and tourism, as well as ability to achieve climate change targets in the Council's Climate Change Strategy through carbon offsetting.</p> <p>A separate risk on Ash Dieback tree disease has been added to the Corporate Risk Register. Ash Dieback has significant implications for the Council (health & safety, financial, reputational and environmental implications) which have elevated this specific risk to Corporate Risk Register due to its difference in level of risk management and overall tree management responsibility.</p>	<p>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.</p> <p>Annual programme of tree planting and record kept of trees planted.</p> <p>All forestry staff have appropriate qualifications, training and experience.</p> <p>Risk Assessments and SOPs in place and regularly updated for all arboriculture and forestry work which employees are aware of.</p> <p>Woodland Action Plan in the Biodiversity Action Plan.</p> <p>Advice provided to volunteer groups on tree planting around the county, on an ongoing basis.</p>	3	4	12	<p>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.</p> <p>Purchase of specialised Tree Management software to allow mapping and detailed recording of condition & history intended.</p> <p>Policy intent approved by Cabinet (January 2021) for an East Lothian Climate Forest; currently being taken forward by an in-house Climate Forest Steering Group which includes the Tree Officer.</p>	2	4	8	<p>Tree Officer</p> <p>Business Support Sport, Countryside & Leisure</p>	<p>March 2022</p> <p>March 2022</p> <p>10 year strategy to 2031 with annual review.</p>	<p>Risk refreshed by Team Manager – Strategy, Policy & Development (Amenity Services) August 2021 with no change to risk scores.</p> <p>Risk refreshed by Head of Infrastructure Dec'14 with Current Score reduced from 16 to 12 and residual score from 10 to 8.</p>
INF 20	<p>IT systems (e.g. server, AutoCAD)</p> <p>Failure of these systems to support service delivery due to power failure or other IT issues would impact on ability to carry out design work and to monitor and control contractors operations. Inability to vet contractors competences, carry out financial control, communicate over IP telephony and produce contract documentation.</p> <p>These complex software systems have faced significant challenges during remote working due to Covid. Staff have been unable to operate at normal productivity levels. The CAD systems affected include Autodesk Autocad and Revit. Other systems have also been affected e.g. Mail Manager, Badger, causing significant productivity/business continuity challenges. Issues caused by IT 're-imaging' of laptops have also been challenging, in terms of productivity and business continuity.</p> <p>Availability of hardware is a significant risk to business continuity – Current lead-in time for standard laptops is six months. This is a challenge for recruitment of new staff and for lifecycle replacement of existing equipment.</p> <p>Due to remote working being required during the pandemic, staff have had to take Council IT equipment home in order to meet Display Screen Assessments to comply with Health & Safety legislation. This leaves office spaces deficient and will require to be addressed corporately if a 'blended' model is the future return to workplaces.</p> <p>It has been highlighted by the IT service the Bracken server which houses all the technical files for the SA&CPM and Engineering Services teams is close to capacity. High risk of non-operation and data loss, resulting in catastrophic failure of business continuity and reputational damage. High financial risk to contract management and project delivery.</p>	<p>IT are aware of the need to return SACPM IT systems operational if there was an incident affecting them.</p> <p>The timescale for this would depend upon the scale of the incident.</p> <p>Systems are backed up and mentioned within the SACPM Business Continuity Plan.</p> <p>Replacement of some systems initiated but not fully resourced or programmed as yet e.g. Badger, NBS.</p> <p>Ongoing communication with IT service for awareness. Raised at 'Working Differently' Group and Infrastructure Management Team meetings.</p> <p>Raised at 'Working Differently' Group and Infrastructure Management Team meetings.</p>	3	4	12	<p>IT service need to increase capacity and improve timescales to deal with issues outlined, resolve for remote working as much as possible, and advise if other solutions are possible.</p> <p>IT service to resolve availability of hardware and lead-in times for delivery (subject to international market).</p> <p>IT and Transformation/ Improvement resources required to support the service through changes.</p> <p>IT to arrange replacement of the Bracken server, providing sufficient digital storage for files.</p>	2	4	8	<p>Service Manager – SA&CPM</p> <p>Service Manager - IT</p>	<p>December 2021</p> <p>December 2021</p> <p>December 2021</p> <p>March 2022</p>	<p>Risk refreshed June 2021 with current score increased from 8 to 12 and residual score increased from 4 to 8</p>

	Increased data storage requirements are inevitable due to transformation, 'New Ways Of Working' (scanning of paper files), Building Information Modelling and value of capital projects.											
INF 21	<p>Solid Fuel Installations and Safety</p> <p>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.</p>	<p>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.</p> <p>Policy in place that properties are replaced upon becoming vacant.</p>	2	5	10	<p>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.</p>	1	5	5	<p>Service Manager - Engineering Services & Building Standards (ESBS)</p> <p>Service Manager - Property Maintenance</p>	<p>March 2022 to review numbers installed.</p>	<p>Risk refreshed July 2021 - no change to risk scores.</p> <p>Refreshed 2019 by Head of Service with Residual Score reduced 10 to 5 and Current Risk Score reduced 15 to 10.</p> <p>Also H11</p>

Original date produced (Version 1)	9 th January 2013					Risk Score
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
21	September 2020	S Kennedy	Final review prior to presentation to A&G Committee.			
22	January 2021	S Kennedy	New risk regarding Enjoy ALEO added.			
23	May 2021	S Kennedy	Facilities and Sports risks reviewed and updated.			
24	June 2021	S Kennedy	Waste, Transport, Roads and SA&CP reviewed and updated.			
25	June 2021	S Kennedy	SC&L and E&BS Risks updated.			
26	July 2021	S Kennedy	Full Register reviewed by all Service Managers			
27	August 2021	S Kennedy	Register updated following CMT review			
28	September 2021	S Kennedy	Register fully reviewed and updated by Executive Director for Place and Head of Infrastructure			
29	November 2021	D Proudfoot/T Reid	Register further reviewed and updated by Executive Director for Place and Head of Infrastructure			

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			
C1	<p>Customer Services / Contact Centre I.T. Systems</p> <p>Failure of IT customer interface systems (including Telephony) would render the Council:</p> <ul style="list-style-type: none"> Unable to deliver customer services some of which are vital 'life and limb' services i.e. community alarm/telecare services for 3 Councils and 2 Housing associations/adult and children's social work calls/out-of-hours emergency calls Data unable to be inputted onto databases Customers unable to access self-service and get on-line unable to meet customer expectations resulting in reputational damage, service level breach, poor publicity and failure to provide essential services. 	<p>Business continuity plan in place, tested annually and review actions implemented. Any short term system outages/incidents test resilience and inform BC Plan.</p> <p>Regular meetings with staff to ensure they are aware of business needs; staff procedure up to date, staff trained and aware of outcomes and controls.</p> <p>3rd party provider support and BC plans held ESS/Overdrive//MODES).</p> <p>Manual 'back-up' procedures in place to support service provision, where possible: Social work service advised of any telephony problems in order that they can check on most vulnerable clients and make contacts, carers and emergency response service aware.</p> <p>Alternative backup solutions identified where possible e.g. Netcall 2nd server, Assure (libraries) etc. Review of Netcall Telephony Management system (currently 2 versions behind current version).</p> <p>Customer Service Platform currently developed and services transferring over from CRM.</p> <p>CCTV system upgrade, review of static and mobile camera use.</p> <p>Public Network refresh in progress.</p> <p>The majority of I.T. systems are Public Sector Network (PSN) compliant with the exception of Integrated Room Booking System (IRBS) and Customer Relationship Management (CRM)</p>	4	4	16	<p>New Customer Relations Management System / Customer Services Portal / implementation programme ongoing. Phase one implemented March 2020 and ongoing. Waste services is now live - March 2022 for complete transfer from CRM. Netcall Management System contract extended to June 2022.</p> <p>Work in progress on CCTV replacement and upgrade</p> <p>Funding identified by IT to upgrade/replace PN hardware and support – working group to be established.</p> <p>Continuing work to replace the CRM with the new Customer Platform prior to the existing Verint CRM system no longer being supported by Verint – 30.9.21. Full transfer of work to new Platform not due to end of financial year March 2022. Numerous delays compounded by COVID and resource issues.</p> <p>IRB booking system supported but not upgraded so restrictions on use. Bookings to transfer to booking live – December 2021.</p>	2	3	6	Service Manager - Customer Services	<p>March 2022</p> <p>June 2022</p> <p>March 2022</p> <p>March 2022</p> <p>December 2021</p>	<p>Risk refreshed by Head of Service – October 2021 – no change to assessment of scores.</p> <p>Risk register refreshed by Service Manager – September 2021 with no changes to assessment of scores.</p> <p>Risk refreshed by Head of Service October 2020 with no change to assessment of scores.</p> <p>Risk refreshed by Service Manager - Customer Services October 2019 with no change to assessment of scores.</p> <p>Risk refreshed by Customer Service Managers January 2017 with current score increased from 9 to 16 and residual score reduced from 9 to 6.</p>

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			Likelihood	Impact	Risk Rating		Likelihood	Impact	Residual Risk Rating			
			L	I	L x I		L	I	L x I			
		Library Booking System contracts extended to March 2022.				Library Management System MS replacement being sought with procurement expected in January 2022 and implementation by end of September 2022.					September 2022	
C2	<p>Service Capacity – Staffing</p> <p>Breadth of Community Services service delivery across East Lothian and ongoing staffing pressures, underpinned by budgetary constraint, stretches resources leading to an inability to sustain services which may impact on the ability to safely deliver priority 'back-office' and frontline services e.g. Customer Services and Libraries, Contact Centre, Community Centres, Food Safety Inspections etc.</p> <p>This risk is heightened by the workforce profile and demographic which may lead to increased vacancy rate, staff absence and staff turnover and ongoing COVID-19 related absences. Service continuity and succession planning may be challenged where services are delivered by single specialist post-holder.</p> <p>Failure to address this risk could lead to:</p> <ul style="list-style-type: none"> Inability to develop service and staff skills/knowledge Inability to effectively meet stakeholder and customer demand Reduced ability to introduce legislative changes effectively Challenge in appropriately resourcing services (staffing and equipment) e.g. new school library Workforce capacity pressures (e.g. attendance management, role redesign) resulting from service developments to meet strategic priorities e.g. new ways of working, digital strategy, asset management, financial strategy, within budget allocation. <p>Communities' staff teams have been integral to the delivery of the Council's COVID-19 response, requiring staff to be redeployed from core activities to enable this work, resulting in service pressures and backlogs as COVID-19 recovery progresses – this may lead to temporary heightened risks within services.</p> <p>High internal turnover of staff within Customer Services due to higher graded/promoted posts being available in other services.</p> <p>Challenges currently in recruitment to a wide range of vacant posts across Community Services which may be a</p>	<p>Service Plans and Business Continuity Plans in place.</p> <p>Upskilling and development of staff teams to respond to COVID 19 emergency service requirements and new ways of working.</p> <p>Customer Services Partnership working with Midlothian and Scottish Borders Council expanding which expands service provision and generates service sustainability and income; continuing exploration of further business opportunities and income streams.</p> <p>Effective operational and staff management, deploying ongoing service reviews, service development and staff management, policies and procedures.</p> <p>Flexible deployment of staff and Locum/casual/relief posts, and engaging with volunteers e.g. within the Museum Service, to meet peaks and troughs of service demand.</p> <p>Daily review of front-line staffing capacity and decision making re-reducing opening hours of some facilities e.g. libraries, community centres, ensuring community and partner services are advised as early as possible.</p> <p>Recruiting additional relief Community Development Assistants within Connected Communities Service to provide greater capacity and flexibility, working across community centres to improve knowledge of how different facilities operate and increase flexibility of staff available.</p> <p>Active monitoring of staffing budgets with Finance to move staffing resource to where it is needed</p> <p>Close monitoring of RIVO in relation to staff experiences/stress and risk assessments completed.</p> <p>Provision of effective staff Induction and ongoing training e.g. Digital training, Mental Health, Health and safety etc.</p> <p>Performance Indicators analysed informing service delivery and management and supporting external</p>	4	3	12	<p>Develop graduate intern/KickStart opportunities to meet service professional requirements.</p> <p>Roll-out of Customer Service platform improving linkages to other systems and enable access to self-serve for customers, and over time, reducing resource demand within services.</p> <p>Service Reviews in Customer Services, Connected Communities and Protective Services with inputs from HR and Finance to ensure appropriate role and grading definitions within the service and broader corporate context.</p> <p>Review Customer Services and Connected Communities Service physical assets in the context of the Corporate Asset Strategy as regards Asset Rationalisation and Place Making.</p> <p>Daily monitoring of staffing and resource capacity leading to interim operational arrangements regarding service provision and operating hours in response to staffing pressures.</p> <p>Phased reopening of Customer Services and Community Services community buildings and public access to enable resources to be deployed to meet priority Covid-19 response requirements.</p> <p>Review of Head of Establishment role and remit, including emergency Call Out arrangements to minimise demands on front line staff.</p>	2	3	6	<p>Service Manager – Customer Services</p> <p>Service manager – Connected Communities</p> <p>Service Manager – Protective Services</p> <p>Service Manager – Performance, Improvement and Partnerships</p>	<p>April 2022</p> <p>April 2022</p> <p>March 2022</p> <p>Ongoing</p> <p>Ongoing</p> <p>March 2022</p> <p>March 2022</p>	<p>November 2021 - Risk reviewed by Head of Service to encompass all service capacity/staffing risks within the Communities Group. No changes to assessment of scores.</p> <p>Risk register refreshed by Service Manager – September 2021 with no changes to assessment of scores.</p> <p>Risk refreshed by Head of Service October 2020 with residual score reduced to 6.</p> <p>Risk refreshed by Service Manager – Customer Services in the context of COVID-19 service response – 2.10.19 with current risk increased from 9 to 12.</p> <p>Risk refreshed by Head of Communities and Partnerships August 2018 with Current Score reduced from 12 to 9.</p>

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			Likelihood	Impact	Risk Rating		Likelihood	Impact	Residual Risk Rating						
			L	I	L x I		L	I	L x I						
	short term COVID-19 or Brexit related issue, set in the context of wider economic recovery and a buoyant recruitment market. Unsuccessful recruitment campaign may impact on the Council's reputation as an employer and may impact on service delivery and project deadlines.	<p>funding bids for service development/redesign.</p> <p>Promote alternate customer service options i.e. channel shift to increase online service delivery, and reduce face-to-face and cash handling service provision.</p> <p>Continue to Identify critical 'specialist' work and contingency measures such as cross training, shadowing, alternative 'backup' provision and support arrangements: staff encouraged to work jointly, where appropriate, with Project team approach to some areas of work.</p> <p>Cross team training on issues such as project management and good relations with partner organisations such as the Improvement Service which allows for secondment of staff with specialist skills.</p> <p>Support access to appropriate professional development/qualifications informed by PRDs.</p>													
Original date produced (Version 1)		06 May 2014										Overall Rating			
File Name		Policy and Partnerships Risk Register									20-25	Very High			
Original Author(s)		Scott Kennedy, Risk Officer									10-19	High			
Current Revision Author(s)		Scott Kennedy, Risk Officer									5-9	Medium			
Version		Date	Author(s)	Notes on Revisions									1-4	Low	
		15	October 2020	S Kennedy	Full Register reviewed by Head of Service										
		16	June 2021	S Kennedy	Communications Risks transferred to Corporate (Service) Risk Register										
		17	July 2021	S Kennedy	Policy Risks updated										
		18	August 2021	S Kennedy	Health & Safety and Protectives Services risks updated.										
		19	September 2021	S Kennedy	New staffing risks created by Connected Communities Manager and Connected Communities Risks reviewed.										
		20	October 2021	S Kennedy	All Customer Services Risk reviewed and updated.										
		21	November 2021	S Saunders	Full review and refresh completed by Head of Communities. Risks on Equality and Health & Safety removed as these are covered in the Corporate Risk Register.										

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			
Corp 1	<p>External IT Security Threats</p> <p>Council IT systems are compromised by criminal 3rd party (e.g. hacker, terrorism) - causing the loss of a system, virus/Trojan/ransomware infection or loss/disclosure of data. This potentially could have a serious impact on one or more Council services.</p> <p>The Council's increased participation in shared services escalates this risk as the council's network boundaries are being opened up to enable data sharing with other agencies.</p>	<p>Firewalls in place</p> <p>External facing systems are vulnerability tested at least once a year</p> <p>Security logs are reviewed daily</p> <p>Comprehensive change control and IT security measures also in place to ensure confidentiality, integrity and availability of systems.</p> <p>Information security awareness training of employees provided council wide and awareness sessions carried out in schools.</p> <p>Regular software and data backups are taken.</p> <p>Work with National Cyber Security Centre to keep up to date with new and emerging threats.</p> <p>Ensure purchase of secure systems and maintain security through system life cycle</p> <p>The Council complies with ISO27001 the International standard for Information Security</p> <p>Security systems under continuous review and patching to ensure they are still capable of controlling new and emerging threats.</p>	4	5	20	<p>Acceptable use policy for all ELC employees is to be refreshed by February 2022 and all employees will be expected to re-sign. This will include suitable rationale / guidance / training on the need for good practices and what they look like.</p> <p>Implement an Intrusion Detection System to provide earlier warning of potentially dangerous activity on the network by end of December 2021 subject to budget permitting.</p>	3	5	15	Team Manager – Infrastructure & Security	<p>February 2022</p> <p>December 2021</p>	<p>Risk reviewed and updated by IT management October 2021 with no change to scores.</p> <p>Risk refreshed December 2015 with Current score increased from 15 to 20 and residual from 12 to 15 due to recent breach.</p> <p>Risk refreshed November 2014. Current Risk Score increased from 10 to 15 and Residual Risk score increased from 5 to 12 due to heightened risk.</p>

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			Likelihood	Impact	Risk Rating		Likelihood	Impact	Residual Risk Rating			
			L	I	L x I		L	I	L x I			
Corp 2	<p>Internal IT Security Threats</p> <p>Council IT systems are compromised by the actions of an internal employee - causing the loss of a system, virus/trojan/ransomware infection or loss/disclosure of data. This potentially would have a serious impact on the business of the Council.</p> <p>HMG and UK Governments National Cyber Security Centre class the risk of cyber-attack in the UK as severe and threat from internal has risen due to ransomware attack increase.</p>	<p>Internal IT Systems are protected by antivirus, group policy etc.</p> <p>Security logs are reviewed daily</p> <p>Comprehensive change control and IT security measures also in place to ensure confidentiality, integrity and availability of systems.</p> <p>Information security awareness training of employees provided council wide and awareness sessions held in schools.</p> <p>Regular software and data backups.</p> <p>Work with National Cyber Security Centre to keep up to date with new and emerging threats.</p> <p>Ensure purchase of secure systems and maintain security through system life cycle</p> <p>The Council complies with ISO27001 the International standard for Information Security</p> <p>Continual vulnerability testing.</p> <p>Security systems under continuous review and patching to ensure they are capable of controlling new and emerging threats.</p>	4	4	16	<p>Acceptable use policy for all ELC employees is to be refreshed by February 2022 and all employees will be expected to re-sign. This will include suitable rationale / guidance / training on the need for good practices and what they look like.</p> <p>Implement an Intrusion Detection System to provide earlier warning of potentially dangerous activity on the network by end of December 2021 subject to budget permitting. This will include suitable rationale / guidance / training on the need for good practices and what they look like.</p>	3	4	12	Team Manager – Infrastructure & Security	<p>February 2022</p> <p>December 2021</p>	<p>Risk reviewed and updated by IT management October 2021 with no change to scores.</p> <p>Risk reviewed and updated by IT management August 2019 with current score reduced from 20 to 16.</p> <p>Risk reviewed and updated by IT management October 2016 and with Current Risk score raised from 16 to 20 and residual score from 9 to 12 due to increase in current attacks in the UK.</p>
Corp 3	<p>Data Breach</p> <p>Breach of Data Protection or other confidentiality requirements through the loss or wrongful transmission of information through for example:</p> <ul style="list-style-type: none"> - private committee reports, minutes or correspondence being stored or disposed of inappropriately; - loss or misdirection of material during transit; - staff being unaware of their responsibilities in respect of confidential material and/or personal data; - intentional or malicious misuse of personal data; - lack of appropriate facilities for storage or disposal of material; <p>Risks include:</p> <ul style="list-style-type: none"> - breach of relevant laws; - breach of duty of care; - harm to individuals; - legal action and fines; - requirement to pay compensation; - adverse publicity; - damage to the Council's reputation. <p>The shift to remote and home working in response to the COVID-19 crisis has</p>	<p>Secure filing and storage of confidential papers and disposal of confidential waste separately from other papers.</p> <p>Internal mail and/or Council Contractor used to transport Private & Confidential materials.</p> <p>Council PCs and laptops do not accept unencrypted external storage devices.</p> <p>Checks on documents are made by a second clerk when relevant documents are uploaded to internet.</p> <p>Data Protection Policy</p> <p>Maintaining staff awareness through team meetings, briefing sessions and health checks</p> <p>Online Data Protection Training rolled out to all employees and repeated every 2 years.</p> <p>A record of all breaches and near misses is being maintained to inform learning and identify areas of concern</p>	4	4	16	<p>Acceptable use policy for all ELC employees is to be refreshed by February 2022 and all employees will be expected to re-sign. This will include suitable rationale / guidance / training on the need for good practices and what they look like.</p> <p>Monitoring of take up of compulsory Data Protection training with service managers being alerted to those members of staff who have not completed up to date training.</p> <p>Information Asset Register to be developed that links all Data Protection Impact Assessments, Data Sharing Agreements and Data Processing Agreements templates to be revised to make them more flexible and user-friendly.</p> <p>Re-assessment of records management arrangements to be completed in line with the requirements of the Public Records (Scotland) Act 2011, including assessment and recommendations for Dunbar Road records store.</p>	3	3	9	<p>Team Manager – Information Governance</p> <p>Team Manager – Infrastructure and Security</p>	<p>February 2022</p> <p>January 2022</p> <p>January 2022</p> <p>January 2022</p>	<p>Risk refreshed October 2021 by Team Manager-Information Governance with increase in Current Score from 12 to 16 based on COVID-19 impact.</p> <p>Risk refreshed October 2017 by Service Manager with no change to assessment of score.</p> <p>Risk refreshed December 2015 with current score increased from 9 to 12 due to recent breach and involvement of Information Commissioner.</p>

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			L	I	L x I		L	I	L x I			
	<p>increased the risk of data breaches due to rapid deployment of new procedures, changing existing paper-based processes to digital ones, and shifting almost entirely to digital communications. This fundamentally increases the amount of personal information being captured in recorded form and the risk that personal data may be lost or misdirected and the Council's reliance on digital information security measures to protect data.</p> <p>The COVID-19 crisis itself has increased the risk of data breaches, as staff must respond rapidly to continuously changing circumstances and they have less time and capacity to perform routine checks e.g. when sending personal data externally.</p> <p>Since March 2020, the Council has recorded a marked increase of data breaches of varying level of severity, the majority of which have involved the misdirection of personal data under new processes/procedures. Some of these have involved delays to reporting incidents internally to the DPO/Data Breach Team.</p> <p>The Council's increased participation in shared services poses a risk for information security/data protection, as the council's network boundaries are opened up to enable data sharing with agencies.</p> <p>Paper records storage facilities (excluding the Council Archives) do not currently have sufficient access, file tracking or disaster management controls to prevent unauthorised access or accidental loss of personal data. Paper records storage procedures are not consistently applied across the Council.</p> <p>Any breaches could result in loss of PSN connection or fines from the Information Commissioner.</p> <p>Failure to improve records management arrangements could result in non-compliance with the Public Records (Scotland) Act 2011.</p>	<p>Data Protection Impact Assessments being completed for all business processes that involve personal information.</p> <p>Data Sharing Agreements being put in place for all personal information being shared.</p> <p>Data Processing Agreements being put in place with bodies that are processing personal information on ELC behalf.</p> <p>Data Protection/Information Security awareness campaign under development jointly by Information Governance, Information Security and Communications teams.</p> <p>All known proposals to share information are scrutinised by the IT Team Manager – Infrastructure and Security and Team Manager-Information Governance.</p> <p>Procurement Initiation documents check whether IT issues have been considered by new procurements.</p> <p>Report under draft addressing risks at Dunbar Road records store and identifying options for improvements.</p>				<p>Revise our disciplinary policy and procedures to ensure that a deliberate data breach is a clear disciplinary matter attracting major sanctions as gross misconduct.</p> <p>Data Protection Impact Assessment template to be revised to make it more flexible and user-friendly and encourage increased use by staff.</p>					<p>January 2022</p> <p>January 2022</p>	
Corp 4	<p>Loss of Internet Connectivity</p> <p>Complete loss of ELC's circuit to the Internet, resulting in no access to external systems, which include but not limited to Pecos, SEEMIS (schools management system) external email, home working access etc. This would have a serious impact on the business of the Council.</p>	<p>SLA's in place with supplier who has resilient backbone in place.</p> <p>2nd Internet Connection installed and Corporate and Schools Traffic now separated since June 2021.</p>	3	5	15	<p>Introduce a third link to Internet from network outwith Haddington subject to budget provision.</p>	1	5	5	Team Manager – Infrastructure & Security	March 2022	Risk reviewed and updated by IT management October 2021 with no change to scores.

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			Likelihood	Impact	Risk Rating		Likelihood	Impact	Residual Risk Rating				
			L	I	L x I		L	I	L x I				
	Although two circuits are in place from different suppliers they are both fed from the same telephone exchange.												
Corp 5	Loss of PSN Accreditation Risk of losing PSN accreditation which gives us connection to systems such as Blue Badge, Registrars of Scotland, DWP, Police etc. which could be caused by failure to comply with PSN Code of Connection and would seriously impact upon the business of the Council.	Continual monitoring of code of connection. Complying with mandatory controls set by HMG. Patching regime in place.	2	5	10	Successful completion of Online Customer Platform to replace CRM system.	1	5	5	Team Manager – Infrastructure & Security	December 2021	Risk reviewed and updated by IT management October 2021 with no change to scores. Risk reviewed and updated Sept'19 - current score reduced from 15 to 10.	
Corp 6	Catastrophic failure of central IT systems Council wide Catastrophic failure of central IT systems (incl. Telephony) which could be caused by a fire/flood event, terrorist attack or a major virus. This would have a serious impact on the business of the Council. The Council's increased participation in shared services escalates this risk as the council's network boundaries are being opened up to enable data sharing with other agencies.	Disaster Recovery Plan in place for major systems. Business Continuity plan in place - backup site for systems identified and core system backup plan created. All known proposals to share information are scrutinised by the IT Security Officer and Information Governance Compliance Officer.	2	5	10	Review of IT disaster recovery plan based on lessons learned from regular testing of existing plan and response to COVID pandemic.	1	4	4	Team Manager – Infrastructure & Security	March 2022	Risk reviewed and updated by IT management October 2021 with no change to scores. Risk refreshed by Team Manager August 2019 with no change to assessment of current scores.	
Original date produced (Version 1)		29th April 2021									Risk Score	Overall Rating	
File Name		Corporate (Service) Risk Register									20-25	Very High	
Original Author(s)		Scott Kennedy, Risk Officer									10-19	High	
Current Revision Author(s)		Scott Kennedy, Risk Officer									5-9	Medium	
Version		Date	Author	Notes on Revisions								1-4	Low
1		29/04/21	S Kennedy	Original Version created following Executive restructure. Previous Council Resources Risk Register split to create a Finance and a Corporate service Risk Registers.									
2		06/08/21	S Kennedy	Full Register reviewed and refreshed by Head of Service and Service Managers									
3		30/08/21	S Kennedy	Full Register further reviewed and refreshed by Head of Service and Service Managers									
4		26/10/21	S Kennedy	Full Register further reviewed and refreshed by Head of Service and Service Managers									

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			L	I	L x I		L	I	L x I			
F1	<p>Key Financial Controls</p> <p>Lack of key financial controls which may cause an instance of serious financial fraud or corruption resulting in financial loss and wider reputational loss to the authority.</p> <p>There is an increased risk of fraud as a result of COVID through changes in processes linked to new ways of working and potential for increased fraud opportunities as a result of rapidly changing control processes.</p>	<p>The whole system of financial controls across the Council.</p> <p>Annual assurance and testing of internal financial controls through annual Governance statement.</p> <p>System of Internal Audit & statutory reporting framework.</p> <p>CMT undertake a self-evaluation framework of Corporate Governance including preparing an annual assurance statement which confirms how internal financial controls are operating within their respective service areas.</p> <p>Financial authorised signatories' scheme is in place with appropriate level of financial authorisation delegated to respective managers.</p> <p>Financial "risk rating" of services through quarterly reports with the ability to exercise enhanced financial controls.</p> <p>Additional COVID controls have been tested by Internal Audit and reported to A&G Committee on key areas such as creditors, payment of business support grants.</p> <p>Internal Audit plan is being regularly reviewed to ensure appropriate coverage of risks continue to be prioritised on an appropriate basis.</p>	3	4	12	<p>Processes continue to be explored as we continue to support a new way of working.</p> <p>Work will continue with internal audit to ensure any significant change in process has appropriate key controls in place. Assurance statement process to review areas of process change that have been introduced quickly.</p>	2	3	6	<p>Executive Director Council Resources</p> <p>Head of Finance</p> <p>Internal Audit Manager</p>	<p>March 2022</p> <p>March 2022</p>	<p>Risk Register reviewed by Executive Director and risk score increased from 8 to 6.</p> <p>Risk refreshed August 2021 by Service Manager - Internal Audit, and again in November 2021.</p> <p>Increased assessment scores (Current from 5 to 12 and Residual from 5 to 8) reflect the increased risk of fraud as a result of COVID reductions in direct supervision and potential for increased fraud opportunities as a result of rapidly changing control processes.</p>
F2	<p>Key Financial Systems</p> <p>A failure of key financial systems e.g. Pecos and Great Plains due to technical problems and/or supplier failure or loss of key staff could lead to service failure and incomplete management information.</p> <p>COVID has increased the reliance on systems to provide necessary and timely information to enable effective decision making.</p>	<p>Contract management arrangements in place with Great Plains supplier, working closely with IT colleagues.</p> <p>Great Plains will be reviewed every three years in line with major upgrades.</p> <p>Current robust contract in place for Pecos which is a government selected supplier.</p> <p>Both systems are regularly backed up as part of ELC IT processes, including a daily download from the financial system.</p> <p>Sharing of knowledge and documentation of procedures within ELC, and clear procedural notes in place.</p> <p>Key system controls reviewed and tested regularly to support audit requirements.</p> <p>Initial phase of Finance service review has secured additional administrative support within the Finance systems team.</p>	3	4	12	<p>Further resource requirements to support the systems team is being considered through the Finance Service Review.</p> <p>Purchase 2 Pay review is currently being developed which will review our strategic approach to procuring and paying goods and services.</p>	2	3	6	<p>Service Manager – Corporate Accounting</p>	<p>March 2022</p> <p>March 2022</p>	<p>Risk Register reviewed by Executive Director and risk score increased from 4 to 6.</p> <p>Risk reviewed and refreshed by Finance Managers October 2021 with current score increased from 8 to 12.</p>

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			L	I	L x I		L	I	L x I			
F3	<p>Finance Staffing Issues</p> <p>Loss of key finance staff, external recruitment pressures, and on-going complexity and continuing financial challenges and complexity of finances may result in the Finance service not being able to provide an appropriate level of financial support to the Council and wider services, may not have the appropriate skills, and due to the increasing obligations may not be able to meet statutory financial accounting requirements such as completion of statutory annual accounts.</p> <p>There has also been an increasing number of staff turnover including ill health and retirements of experienced staff members.</p>	<p>On-going development of skills across the team to enhance knowledge and ensure the workforce have the appropriate financial skills to meet on-going requirements.</p> <p>Generic Finance posts have been established to ensure Business Continuity across the team and ensure that there maintains flexibility and transfer of knowledge within the team to support service provision.</p> <p>Work has and will continue to be progressed to review the ongoing support which can be provided to service areas, introducing standardised procedures to financial management provision where possible and provide training and support to services to allow them to manage their budgets as effectively as possible.</p> <p>Support on-going training for Finance staff ensuring the team have the appropriate skills to support the Council and financial accounting requirements.</p> <p>Finance Service review currently in progress, designed to increase capacity and resilience across the workforce.</p>	4	4	12	<p>The Finance Service review is progressing, which will ensure the team has the necessary skills to meet our on-going obligations and enhanced support and resilience across the Finance team.</p> <p>Enhance the number of relevant qualified accountancy staff to meet statutory accounting requirements.</p>	2	3	6	<p>Service Manager – Service Accounting</p> <p>Service Manager – Corporate Accounting</p>	<p>March 2022</p> <p>March 2022</p>	<p>Risk Register reviewed by Executive Director and current risk score increased from 9 to 12.</p> <p>Risk reviewed and refreshed by Service Manager – Service Accounting October 2021.</p>
F4	<p>Client services & procurement processes</p> <p>Failure of client services to comply with our procurement processes through lack of knowledge/experience and/or also business failure of key suppliers leads to service failure, poor value for money, fraud, loss of reputation and/or legal action.</p> <p>Loss of further functionality to contract register due to upgrades to the main platform would lead to non-compliance and disproportionately increased administrative workload as well as failure to provide efficient procurement services.</p>	<p>Corporate Procurement Strategy for period 2017-22 adopted and in place along with associated procedures, reviewed on an annual basis and updated as required.</p> <p>Purchase Card Procedures and Procurement Improvement Panel (PIP) in place.</p> <p>Regular reporting to PIP and CMT to ensure on-going compliance and monitoring of contracts.</p> <p>Procurement Skills Training carried out.</p> <p>Controls in place over creation of new suppliers and Supplier Finder on Intranet.</p> <p>Additional approval within procurement for single source applications is in place.</p> <p>Close working with internal audit and departments (Audited regularly).</p> <p>Enhanced escalation of tender sign off by Heads of Service in the event the tender price exceeding cost by more than 10%.</p> <p>Contracts Register is manually managed and distribution of up to date contract list is updated quarterly.</p>	3	4	12	<p>Exploring options to link Purchase orders and payments to contract reference number to allow traceability, transparency and benefit tracking. This will also reduce risk maverick spend.</p> <p>Procure and implementation of a suitable contract register.</p> <p>Procurement skills training to be rolled out to wider services.</p> <p>Purchase to Pay review due to commence across the Council which will enhance procurement processes and service compliance.</p>	2	3	6	<p>Service Manager - Procurement</p> <p>Head of Finance</p>	<p>October 2022</p> <p>March 2022</p> <p>March 2022</p> <p>October 2022</p>	<p>Risk Register reviewed by Executive Director and residual risk score reduced from 9 to 6.</p> <p>Risk Refreshed November 2021 by Commercial Programme Manager</p>

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			L	I	L x I		L	I	L x I			
		<p>Measures are adopted to ensure appropriate budget is in place for procurement project initiated by Services through Finance budget approval of PID documents before the initiation of a project</p> <p>The contracting Service will report back to Procurement following the awarding of a contract to ensure further checks that the terms of the contract continue to be followed and best value is achieved.</p>										
Original date produced (Version 1)		29th April 2021								Risk Score	Overall Rating	
File Name		Finance Risk Register								20-25	Very High	
Original Author(s)		Scott Kennedy, Risk Officer								10-19	High	
Current Revision Author(s)		Scott Kennedy, Risk Officer								5-9	Medium	
Version		Date	Author	Notes on Revisions				1-4	Low			
1		29/04/2021	S Kennedy	Original Version created following Executive restructure. Previous Council Resources Risk Register split to create a Finance and a Corporate service Risk Registers.								
2		30/08/21	S Kennedy	Financial, Revenues, Procurement and Internal Audit Managers reviewed and refreshed their own risks.								
3		06/10/21	S Kennedy	Register further refreshed following session with all Managers.								
4		15/11/21	S Fortune	Risk Register fully reviewed and updated by Executive Director.								

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 fulfill 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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