

REPORT TO: AUDIT AND GOVERNANCE COMMITTEE

MEETING DATE: 26 September 2023

BY: Chief Executive

SUBJECT: Communities Risk Register

1 PURPOSE

- 1.1 To present to the Audit and Governance Committee the Communities Risk Register (Appendix 1) for discussion, comment and noting.
- 1.2 The Communities Risk Register is developed in keeping with the Council's Risk Management Strategy and is a live document, which is reviewed and refreshed on a regular basis, led by the Communities Local Risk Working Group (LRWG).

2 RECOMMENDATIONS

- 2.1 It is recommended that the Audit and Governance Committee notes the Communities Risk Register and in doing so, the Committee is asked to note that:
 - the relevant risks have been identified and that the significance of each risk is appropriate to the current nature of the risk.
 - the total profile of the Communities 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 Communities and are likely to be a feature of the risk register over a number of years.

3 BACKGROUND

- 3.1 The Risk Register has been compiled by the Communities LRWG. All risks have been evaluated using the standard (5x5) risk matrix (Appendix 2) producing an evaluation of risk as either 'low (1-4)', 'medium' (5-9), 'high' (10-19) or 'very high' (20-25).
- 3.2 The Council's response in relation to adverse risk or its risk appetite is such that:

- Very High risk is unacceptable and measures should be taken to reduce, transfer or treat the risk to a more tolerable position;
- High risk may be tolerable providing the Council is assured that adequate and effective control measures are in place;
- Medium risk is tolerable with control measures that are cost effective;
- Low risk is broadly acceptable without any further action to prevent or mitigate risk.

3.3 The current Communities Risk Register includes 1 Very High, 6 High, 17 Medium and 6 Low risks. As per the Council’s Risk Strategy, only the Very High and High risks are being reported to the Committee.

4 POLICY IMPLICATIONS

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

5 INTEGRATED IMPACT ASSESSMENT

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

6 RESOURCE IMPLICATIONS

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

6.2 Personnel - There are no immediate implications.

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

7 BACKGROUND PAPERS

7.1 Appendix 1 – Communities Risk Register 2023-24

7.2 Appendix 2 – Risk Matrix

AUTHOR’S NAME	Scott Kennedy	
DESIGNATION	Emergency Planning, Risk and Resilience Manager	
CONTACT INFO	skennedy@eastlothian.gov.uk	01620 827247
DATE	14 September 2023	

Communities Risk Register 2023-24 Date reviewed: 14th September 2023

Risk ID	Risk Category	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]			Planned Control Target Date	Evidence held of Regular Review
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				L	I	L x I		L	I	L x I		
C1	Service Objectives	<p>Failure of Customer Services / Contact Centre I.T. Systems or failure of external telephony 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 Services unable to meet customer expectations resulting in reputational damage, service level breach, poor publicity and failure to provide essential services. <p>Digital enabled telecare</p> <p>Risk of failure of ELC to provide digitally enabled 24/7/365 telecare alarms and periphery to vulnerable health and social care clients when client telephony systems are transferred from analogue to digital by 2025 could result in alarm failure or delay in connecting when vulnerable client needs assistance.</p> <p>As Telephony companies are now replacing fibre from analogue to digital in East Lothian "failed" calls continue to rise, causing delays in answering and helping clients.</p> <p>Digital community alarms are less stable than analogue resulting in the risk of more frequent service outages. This could result in alarm failure or delay in connecting when vulnerable clients need assistance.</p>	<p>Business continuity plan in place, tested annually and any 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.</p> <p>Customer Service Platform developed and services transferred over from CRM.</p> <p>ELC is participating in the national digital Office A2D scheme but progress slow. Awaiting costs from supplier to upgrade ARC platform to be able to accept Digital Alarms.</p> <p>Digital mobile alarms are in place but don't operate as they should so that there can be delay until it finds mobile signal to connect with.</p> <p>CCTV system upgrade and review of static and mobile camera use in progress.</p> <p>ELC has a Customer Services Systems Team available 24/7 to support during an outage. The team undertakes lessons learned after each outage in conjunction with suppliers and customers.</p> <p>Public Network refreshed. Funding identified by IT to upgrade/replace PN hardware and support.</p>	5	4	20	<p>Work ongoing to simplify and improve interfaces between systems to reduce technical failures.</p> <p>Replacement of analogue with digital enabled alarms (won't work with existing ARC system).</p> <p>Upgrade of Netcall Telephony Management System is underway, due for completion by October 2023. This will alleviate many of the internal risks.</p> <p>Complete planned upgrade of existing Digital system to cope with both analogue and digital alarms.</p> <p>The Local Govt Digital Office is setting up a group to work on this national issue and ELC will be part of that. ELC is also looking at technology solutions that may enable bulk communication to end users to advise them of a fault and help to prioritise support to those who need help urgently.</p> <p>Full replacement and upgrade of CCTV.</p>	4	4	16	<p>August 2023</p> <p>December 2025</p> <p>October 2023</p> <p>September 2023</p> <p>December 2025</p> <p>December 2023</p>	<p>Risk refreshed by Service Manager – Customer Services – July 2023 – no change to scores.</p> <p>Risk refreshed and scores increased by Service Manager – Customer Services due to ongoing technical challenges CR 22 Feb 2023</p>
C2	Business Continuity	<p>Loss or damage of assets</p> <p>Loss or damage or delayed repair of assets due to fire, explosion, storm, flood, malicious damage, theft, lack of repair/maintenance, lack of adequate security measures, loss of utility supply or lack of facility support could result in (using Brunton Hall as an example):</p> <ul style="list-style-type: none"> Inability to access office accommodation, equipment, data; 	<p>Business continuity planning in place and alternative operating premises identified; plans and training records reviewed annually.</p> <p>Key equipment and maintenance contracts are kept up to date and in good working order.</p> <p>Ensure Condition and other data is maintained up to date to inform the planned delivery of works required to ensure buildings comply</p>	4	4	16	<p>The Council's overarching Health & Safety Policy and Arrangements re Head of Establishment remit and Guidance are under review. An increased focus on the Audit and Inspection role of the H&S team will also be part of this review and an Audit Programme will be developed.</p> <p>Exploration of CCTV for Prestongrange site.</p>	3	3	9	<p>September 2023</p> <p>December 2023</p>	<p>Risk refreshed July 2023 by Service Manager Customer Services and then September 2023 by Head of Service with current score increased from 12 to 16 and residual score from 6 to 9.</p>

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		<ul style="list-style-type: none"> Damage to equipment including our irreplaceable heritage assets e.g. museum objects, paintings and/or all other assets held within these premises; Inability to retrieve data; Serious injury to staff/members of public; Long term absences. Loss of Income Damage to the public reputation of the BH as a professionally managed and safe high class public service centre and events/theatre venue Loss of income to Brunton Theatre Trust and to ELC if customers are discouraged from using facilities due to anti-social and inappropriate behaviour. <p>Prestongrange Museum at risk of vandalism/unauthorised encampment and antisocial behaviour due to openness and un-staffed nature of large areas of the site.</p>	<p>with statutory and legal requirements and are maintained in a good condition.</p> <p>Regular fire drills carried out, H&S workplace inspections and Risk Assessments, while staff are trained in aspects relating to good working practices and in relation to fire drills and security procedures.</p> <p>Emergency planning procedures in place and regularly tested e.g. service disaster plans for Museums.</p> <p>Inventory held of all Council paintings, recording values, locations and conservation needs in accordance with the Councils Museum Collections Policy. Although these are uninsured – see risk on Ineffective Insurance Cover.</p> <p>Prestongrange staff undertake regular patrols of the site during working hours with Community Wardens supporting.</p> <p>Alarm systems and CCTV systems in place for some Council buildings e.g. John Muir House, museums and libraries.</p> <p>Tri-annual accreditation governing the quality of care for collections and museum buildings received from the Museums Association.</p> <p>All Museums have had security surveys carried out by Police Scotland, which are be refreshed every five years.</p> <p>Regular reporting and investigation of incidents and remedial action taken and highlighted to management if necessary, while all incidents reported on Sphera.</p> <p>Authorised building access and egress routes operate securely and are monitored.</p> <p>Problem solving partnership operate in respect of key buildings/locations when necessary e.g. Brunton Hall.</p> <p>Parking enforcement now in place in the immediate vicinity of Brunton Hall, reducing the risk of fire/terrorism attack from a vehicle.</p> <p>'Trusted Keyholder Scheme', approved by ELC insurers, to enable controlled and limited community access to a limited number of named community buildings out of hours.</p> <p>Audit completed in relation to the Council's Artworks Catalogue and Museum Collection to scope potential insurance cover arrangements.</p> <p>User Groups meet regularly at Penston House, Brunton Hall, Library and Museum HQ, John Muir House, Bleachingfield and John Gray Centre.</p>				<p>Exploration of appropriate insurance cover and insurance quotations for ELC Arts and Museum collections.</p> <p>Fencing will be installed around a number of buildings at Prestongrange to further reduce the risk of unauthorised access, damage and loss.</p>				<p>September 2023</p> <p>December 2023</p>	<p>Risk updated by Service Manager – Customer Services, March 2022 with current score increased from 8 to 12.</p>

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C3	Financial	<p>Appropriate Insurance Cover</p> <p>Failure to identify, source and secure effective insurance cover for the Council e.g. public liability and employers' liability, property and vehicle assets (both ELC owned and leased) insurance cover etc. would leave the Council vulnerable to significant risk in respect of claims received. This could lead to financial loss and reputational damage.</p> <p>Should the Council's Insurance Service fail to operate effectively, risks may increase regarding effective management of insurance claims handling, policy compliance and accurate information being provided to the insurers (as required under the Insurance Act 2015). This, in turn, could lead to fraudulent claims, uninsured financial loss and reputational damage.</p> <p>Failure to declare accurately the risks within the Council to our insurers could result in cover being withdrawn and / or additional premiums or deductibles being incurred (leaving the Council at greater financial risk)</p> <p>Failure to maintain and implement / audit policies and procedures, including appropriate insurance MIS and records management and safeguarding of insurance claims data, could lead to a deterioration in the Council's claims experience. This will increase the premiums that the Council will have to pay. This may impact on the value of the Corporate Insurance Fund held within the Council's Reserves.</p> <p>The Council has never held insurance for the Council's museum/art collection or for items exhibited in museums or libraries.</p> <p>Any damage to or loss of these items due to water/fire damage etc. may result in request for no compensation and / or cause reputational damage.</p> <p>This could mean the loss of items of local/national significance, which could not be replaced, impacting on the ability of the Museums Team to meet service objectives.</p>	<p>Documented procedures in place as well as Corporate Risk Assessment, Insurance Renewal Timetable and Insurance Administration.</p> <p>Insurance Policies renewed/replaced in a timely manner. New Shared Insurance Service has identified several areas where ELC has been exposed without insurance coverage – this is now being addressed.</p> <p>Documented procedures in place, Corporate Risk Assessment, Insurance Renewal Timetable and Insurance Administration all reviewed and updated during 2022.</p> <p>System set up to ensure that incidents are monitored and shared with Insurance.</p> <p>Linking Risks meetings also attended and issues raised / discussed and actioned as appropriate.</p> <p>Insurance Broker can assist with any queries in relation to existing policies and arrange for any new or changes in insurance cover</p> <p>External Claims Handlers handle all claims to ensure independence of process and consistency as service levels and scrutiny of claims internally prior to the Shared Insurance Service were not upheld.</p> <p>Robust claims handling process in place through the use of external claims handling agents.</p> <p>Procedure in place to check for possible fraudulent claims received by the council; all claims are checked rigorously by internal and external claims staff.</p> <p>A number of disclaimer forms for museum exhibitors are being collated into one T&C document, which will include a section on insurance. This is being done in collaboration with the Insurance team.</p> <p>Fleet Review undertaken in summer 2023.</p> <p>Insurance Fund in place within Council Reserves budget. External reviews undertaken every 3 years to ensure adequacy of fund – concluded August 23, this will now be presented to Finance and the wider implications reported on.</p> <p>Regular CMT and Members' annual performance reports submitted to update on service improvements, most recently in August 2023.</p> <p>Strategic Insurance Market context, ELC claims history and cover arrangements and</p>	4	4	16	<p>Focus on the Service Management Team (SMT) re lessons learned to be delivered directly and preventative measures to be shared in the form of insurers guidance via the proposed insurance pages to be published this financial year.</p> <p>Gallagher Bassett risk review days have been promoted internally to all service areas: following the Fleet grading in May 2023, potential for first use to be to promote improvements in this area. Further plans to be put in place as / when service risks require support from insurers.</p> <p>Development of Insurance e-learning for all staff including information about the policies in place, requirements for annual declarations and also emerging insurance risks.</p> <p>Working with IT security team to secure software provider to safeguard data held by the insurance team.</p> <p>Work is in progress to evaluate the worth of the museum/arts collection and identify any particular items of significant financial (over £1000.00) or heritage importance in order for a fine arts insurance policy to be scoped and procured.</p>	2	4	8	<p>March 2024</p> <p>March 2024</p> <p>March 2024</p> <p>December 2023</p> <p>March 2024</p>	<p>Risk further reviewed by Head of Service – September 2023 with no change to scores.</p> <p>Risk refreshed by Service Manager – Customer Services – June 2023 – no change to scores, library exhibits risk added.</p> <p>Risk fully reviewed by Ruth Kydd, Insurance April 2022 with current risk score increased from 8 to 16 and residual score from amended 3 to 8.</p>

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			<p>corporate risk management improvements arising.</p> <p>Service Level Agreement for outsourced Insurance Service to City of Edinburgh Council in place to increase resilience and capacity and ensure ELC has experienced and knowledgeable team operating the service.</p> <p>A data sharing protocol is operating between insurers with a contract in place for the claims handling agents.</p>									
C4	Service Objectives	<p>Service Capacity – Staffing</p> <p>Breadth of Community Services service delivery across East Lothian and ongoing staffing pressures, underpinned by budgetary constraint and enhanced recruitment controls, 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>Freezing of vacancies and / or unsuccessful recruitment campaigns may impact on the Council's reputation as an employer and may impact on service delivery and project deadlines.</p> <p>This risk is heightened by the workforce profile and demographic which may lead to increased vacancy rate, staff absence and staff turnover. Service continuity and succession planning may be challenged where services are delivered by single specialist post-holders.</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>Connected Communities and Customer Services staff and manage a large no. of buildings which means constant moving of staff to cover and large amount of supervisory/management time looking after the buildings reducing capacity in their own service.</p>	<p>Service Plans and Business Continuity Plans in place: service development staff sessions ensure staff understand business priorities.</p> <p>Customer Services partnership working with Midlothian and Scottish Borders Council expanding service provision and generating 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, increased use of technology, and staff management, policies and procedures.</p> <p>Provision of effective staff Induction and ongoing training and support e.g. Digital training, Mental Health, Health and safety etc. with access to appropriate professional development/qualifications informed by PRDs.</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 monitoring of staffing and resource capacity leading to interim operational arrangements regarding service provision and operating hours in response to staffing pressures.</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>Reviewing opening hours in some community buildings to manage within existing resources, to manage challenge of no budget uplift and rising staffing costs.</p> <p>Recruiting 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. This will enable reduced reliance on</p>	4	4	16	<p>Explore graduate intern/KickStart opportunities to meet service professional requirements.</p> <p>Roll-out of service offering within the Customer Platform improving linkages to other systems and enabling access to self-serve for customers, and over time, reducing resource demand within services – this is an ongoing process which will be regularly reviewed.</p> <p>Service Reviews in Customer Services 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 Project.</p> <p>Review of Head of Establishment role and remit and Guidance, including emergency Call Out arrangements to minimise demands on front line staff, within context of Asset Strategy.</p> <p>Attendance of senior management at Association of East Lothian Community Councils during 2023 to explain ELC's budget challenges placing additional pressure on frontline staff to manage public expectations.</p>	2	3	6	<p>December 2023</p> <p>December 2023</p> <p>December 2023</p> <p>March 2024</p> <p>October 2023</p> <p>September 2023</p>	<p>Risk refreshed by Service Manager – Customer Services – July 2023 and then September 2023 by Head of Service with current score reduced from 20 to 16.</p>

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			<p>FM staff; in some cases FM staff shortages have affected our ability to open, operate buildings safely and deliver our services.</p> <p>Active monitoring of staffing budgets with Finance to move staffing resource to where it is needed</p> <p>Close monitoring of Sphera (H&S MIS) in relation to staff incidents/accidents/stress and risk assessments completed.</p> <p>Performance Indicators analysed informing service delivery and management and supporting external 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>									
C5	Financial and Reputational	<p>Arm's Length External Organisation (ALEO) – Brunton Theatre Trust (BTT)</p> <p>BTT the Council's ALEO partner delivering theatre, culture and arts services on behalf of the Council.</p> <p>The Council is required to ensure appropriate governance controls are in place to monitor the partnership arrangements and delivery, including lease and service level agreements. If this were not carried out or monitored the Council would be failing in its duty as identified by previous national Audit Scotland reports in respect of ALEOs.</p> <p>Lack of progress on negotiations with the Board of BTT to renew outdated lease terms and establish service level terms could undermine ELC's ability to reach an agreed operating model and financial relationship with BTT.</p> <p>Current RAAC structural issues with Brunton Hall requiring immediate decanting of BTT to alternative venues with loss of income and costs incurred to BTT potentially impacting on business viability for the Trust.</p>	<p>BTT hold their own Risk Register which is developed and signed off by their board of Trustees. Project underway to develop new Lease and Memorandum of Understanding between BTT and ELC to inform onward financial arrangements between BTT and ELC.</p> <p>BTT present an Annual Report to the Council's Audit and Governance Committee.</p> <p>The Council provided BTT a letter of support in principle and without prejudice to assist BTT with its financial challenges as a result of the Pandemic.</p> <p>The BTT is recharged for the services of the Council staff involved in the day to day management of BTT's business activities.</p> <p>The Council is represented at the BTT board through two elected members as Trustees and two senior Council officials as board observers.</p> <p>The BTT Board meets monthly, with alternate monthly meetings being held in Private i.e. with no Council observers in attendance.</p> <p>Revised Lease and Minute of Agreement developed, issued to BTT in March 2022 for</p>	4	3	12	<p>Internal Audit are conducting a scrutiny exercise over the operational, financial and governance arrangement operating between the Brunton Theatre Trust and ELC: report and recommendations will be presented to Audit & Governance Committee on 25 September 2023. Project Team will re-establish following Audit & Governance Committee decisions.</p> <p>Arts Team rearranging bookings and developing dispersed arts programme aiming to maintain BTT service and preserve income.</p> <p>Options appraisal for Brunton Hall relating to RAAC, in progress.</p>	3	3	9	<p>March 2024</p> <p>Ongoing</p> <p>Ongoing</p>	<p>New risk created April 2023 by Service Manager – Connected Communities and further reviewed August 2023 and then finalised September 2023 by Head of Service.</p>

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			<p>consideration; still not finally agreed, paused due to need for emergency Brunton decant.</p> <p>Internal Audit scrutiny of the BTT/ELC operating and financial arrangements and governance will be reported to Audit and Governance Committee on 26 September 2023.</p> <p>Insurance position for BT and the Trust from a Council perspective has been clarified for the Trust, with the Council being responsible for the insurance of the building only. The Trust has been encourage to engage with their insurance providers around any losses arising from the closure of BT.</p> <p>BTT operating a dispersed Arts Programme across a number of venues, including pilot theatre offer in Haddington Corn Exchange wef 25 September 2023 until 31 March 2024.</p>									
C6	Physical and/or Psychological Impact on People	<p>Fatality / Major Injury / Serious Incident in ELC enforced Workplace</p> <p>Under the Health & Safety at Work Act 1974, ELC is the enforcing authority for a significant number of workplaces in East Lothian. In the event of a fatality, major injury or serious incident, officers from Protective Services will be required to investigate and identify any legislative breaches which may result in prosecution. Officers may also be required to give evidence at a Fatal Accident Enquiry. Failure to meet these obligations could lead to significant reputational damage for ELC.</p> <p><u>Risk Factors:</u></p> <ul style="list-style-type: none"> In 2010, UK Gov significantly reduced pro-active inspections of workplaces. This has reduced experience of officers and therefore competency levels. Investigations are time consuming and resource intensive adding pressure to existing team to deliver other statutory duties. There is currently a national shortage of qualified Environmental Health Officers which may have future implications for resourcing levels. Investigation processes and procedures need to be as most prosecutions are taken on summary indictment. Increased media attention / Information requests Third party insurance claims made against the Council. Depending upon the nature of the incident, the area may require evacuation and/or decontamination. 	<p>Business Continuity Plans may have to be enacted should a serious incident occur that requires a council response.</p> <p>Appointment, development and retention of sufficient authorised staff, designated inspectors to investigate incidents. Enforcement is conducted by trained and competent Environmental Health Officers. As part of the membership of the Professional Institute (REHIS), each individual officer is required to complete a required amount of CPD every year.</p> <p>Whilst there is currently a national shortage of qualified EHO's the service continues to engage in national professional networks, promoting investment in professional capacity.</p> <p>Specialist knowledge/expertise sought from partners (HSE) if and when appropriate. Regular liaison with the Health and Safety Executive.</p> <p>Environmental Health disseminates information to the general public through Face to Face engagement and the ELC website to advise them of the risks and any appropriate precautions they should take to mitigate any risks.</p> <p>Of prime importance in an incident is the communication of the message, whether this message is primarily the responsibility of East Lothian Council, National Health Service, Scottish Government, Scottish Water, and Food Standards Scotland. Therefore, the ELC Corporate Comms team has a vital role.</p>	3	4	12	<p>Business Continuity Plan to be reviewed to include actions where resource is deployed into a major investigation.</p> <p>Annual Service Plan to include initiatives that will increase pro-active activities e.g. topic visits, table-top scenarios, consistency exercises etc.</p> <p>Competency Framework and Matrix to be developed to ensure required skills and knowledge are gained and maintained.</p> <p>Any competency gaps to be identified and addressed vis PRD process.</p> <p>Out of hours provision requires review.</p>	2	4	8	<p>December 2023</p> <p>March 2024</p> <p>March 2024</p> <p>March 2024</p> <p>December 2023</p>	<p>Risk refreshed August 2023 by Service Manager with current risk score increased from 8 to 12.</p>

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				Likelihood	Impact	Risk Rating		Likelihood	Impact	Residual Risk Rating		
				L	I	L x I		L	I	L x I		
C7		<p>Outbreak of Animal Disease</p> <p>Any major animal health and welfare incident or disease e.g. avian influenza, foot and mouth, rabies, could have significant impact on local farms and business and on East Lothian as a whole (transport, rural schools, tourism etc.).</p> <p>An incident has the potential to close down parts/all of the county and restrict movement of animals or the public.</p> <p><u>Risk Factors:</u></p> <ul style="list-style-type: none"> The trend of Avian Flu outbreaks nationally since October 2022 is higher than previous years with six outbreaks confirmed including significant outbreak in cases of Avian Flu around the North Berwick area managed by various Council teams. An Avian Influenza Prevention Zone (AIPZ) in place since 17 October 2022 was lifted on 4 July 2023. There is an ongoing lack of import checks at borders e.g. increasing numbers of trafficked puppies which then require quarantine. Increased risk of pets being introduced to the country via Ukrainians moving to the UK due to ongoing conflict with Russia. UK and Scottish Government are aware of the issue and putting in place additional quarantine facilities, however, lack of import checks could see animals missing quarantine requirements. Lack of quarantine facilities in Scotland. This matter has been raised with Scottish Government. 	<p>The Council has a major incident plan in place to activate if an incident occurs.</p> <p>Trading Standards employees are trained and deploy enforcement responsibilities under animal health and welfare legislation. Added Resilience from the Safer Communities Team (Dog Warden) where deemed necessary.</p> <p>Ongoing monitoring of Avian Flu outbreaks nationwide as they occur. National Group set up and Scottish RRP have devised a Local Authority Avian Influenza Response Guide which is to be approved.</p> <p>Attendance at the East of Scotland Animal Health & Welfare panel.</p> <p>Regular contact between EL Countryside Rangers and Trading Standards teams with fortnightly Avian Influenza monitoring patrols reported to Nature Scot.</p> <p>Established liaison/incident response arrangements with the Animal and Plant Health Agency (APHA).</p> <p>As part of the Animal Health & Welfare Framework with APHA, risk assessed visits carried out annually to certain high risk premises. APHA also conduct their own visits.</p> <p>Public and industry information and advice placed promptly on website, social media.</p> <p>Pets and animals are checked as part of the property checks carried out on Ukrainians moving to East Lothian.</p>	3	4	12	<p>Protective Services Service Review may lead to an increase in staffing levels, providing increased capacity in respect of inspections and animal welfare checks and compliance.</p> <p>Contribution to national Trading Standards review of professional pathways and efforts to address national shortage of qualified officers.</p> <p>Business Continuity Plan to be reviewed to include actions where resource is not available or unable to provide service.</p> <p>Competency Framework and Matrix to be developed to ensure required skills and knowledge are gained and</p> <p>Out of hours provision requires review.</p>	2	3	6	<p>September 2023</p> <p>December 2023</p> <p>December 2023</p> <p>March 2024</p> <p>December 2023</p>	<p>Risk refreshed August 2023 by Service Manager, Protective Services with no change to scores.</p> <p>Risk refreshed by Service Manager, Protective Services, April 2022 due to heightened risks with likelihood increased from 2 to 3.</p>

East Lothian Council Risk Matrix

Likelihood Description

Likelihood of Occurrence	Score	Description
Almost Certain	5	>90% chance of occurring
Probable	4	70%-90% chance of occurrence
Possible	3	30-70% chance of occurring
Unlikely	2	10-30% chance of occurring
Rare	1	<10% chance of occurring

Impact Description

Impact of Occurrence	Score	Description							
		Impact on Service Objectives	Financial Impact	Physical and/or Psychological Impact on People	Impact on Time	Impact on Reputation	Impact on Assets	Business Continuity	Legal & Regulatory
Catastrophic	5	Catastrophic failure in service delivery and key service standards are not met, long-term catastrophic interruption to operations, several major partnerships are affected	Severe impacts on budgets (emergency Corporate measures to be taken to stabilise Council Finances. Consideration should be given as to whether this is an insured or uninsured risk and whether there may be reliance on reserves. The Council is expected to hold a reserve to budget ratio of 2%.	Single or Multiple fatality and or psychological impact, within council control, leading to 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. Prolonged regional and national condemnation.	Significant disruption to building, facilities, vehicles or equipment (Loss of building, vehicles, rebuilding required, temporary accommodation required, vital equipment lost without replacement capability available resulting in services being unable to be delivered).	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, including substantial involvement from regulators.
Major	4	Major impact to service quality, multiple service standards are not met, long-term disruption to operations, multiple partnerships affected.	Major impact on budgets (need for Corporate solution to be identified to resolve funding difficulty). Consideration should be given as to whether this is an insured or uninsured risk and whether there may be reliance on reserves.	Number of extensive injuries (major permanent harm) or major psychological impact to employees, service users or public.	Major - between 1 & 2 years to recover pre-event position.	Serious negative national or regional criticism and publicity.	Major disruption to building, facilities, vehicles or equipment (Significant part of building unusable for prolonged period of time, alternative accommodation required, equipment or vehicles unavailable to provide significant elements of service delivery and no appropriate contingency arrangements in place).	Significant impact on service provision or loss of service.	Legal, regulatory, or contractual breach, severe impact to Council, fines and regulatory action publicly enforced.
Moderate	3	Significant fall in service quality, major partnership relationships strained, serious disruption in service standards.	Moderate impact on budgets (can be contained within overall directorate budget).	Serious injury requiring medical treatment or moderate psychological impact 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.	Adverse national media public attention with elected members becoming involved.	Moderate disruption to building, facilities, vehicles or equipment (loss of use of building for medium period, loss of equipment or vehicles requires contingency arrangements to be employed and has moderate impact on overall service delivery).	Security support and performance of service/system borderline.	Legal, regulatory, or contractual breach, moderate impact to Council, regulator action and or improvement required of the Council .
Minor	2	Minor impact to service quality, minor service standards are not met, short-term disruption to operations, minor impact on a partnerships	Minor impact on budgets (can be contained within service head's budget).	Non life changing injury or psychological impact to staff or member of the public requiring treatment.	Some - between 2 and 6 months to recover.	Minor adverse local, public or media attention and complaints.	Minor disruption to building, facilities, vehicles or equipment (alternative arrangements in place and covered by insurance, equipment or vehicles unavailable for small period of time minor impact on service).	Reasonable back-up arrangements, minor downtime of service/system.	Legal, regulatory, or contractual breach, minor impact to Council, regulator advice and improvement requested of the Council.
Minimal	1	No impact to service quality, limited disruption to operations.	Minimal impact on budgets (can be contained within unit's budget).	Minor injury or minor psychological impact to employee, service user or public.	Minimal - Up to 2 months to recover.	Public concern restricted to local complaints and of no interest to the media.	Minimal disruption to building, facilities, vehicles or equipment (alternative arrangements in place, equipment or vehicles alternative quickly available to replace or substitute).	No operational difficulties, back-up support in place and security level acceptable.	Legal, regulatory, or contractual breach, negligible impact to Council, regulator suggested improvements requested.

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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