

STRATEGIC RISK PROFILE, Q2 July - September 2024





SRP STRATEGIC RISK PROFILE

SRP	This risk register captures the main strategic issues, risks and opportunities that are corporate in nature. It identifies the nature of the risks, measures required to control the risks and their evaluation. It also details what further actions are required to reduce the likelihood and impacts of those risks to more acceptable and manageable levels with timescales.
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Strategic Issues

SRP.IR.02 The Change Programme



Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.IR.02	<p>Risk cause The pace of transformation strands of activity, reporting to the Business Transformation Board, does not secure service transformation, delivery of outcomes or benefit realisation.</p> <p>Risk event Delayed progress or non-achievement of outcomes and benefits.</p> <p>Risk effect Slow or delayed financial benefits arising from service redesign, requiring the adoption of recovery plans or requiring short term service reductions which impact on the Council's ability to deliver against its priorities.</p>	<p>Head of *Adult and Social Care; Chief Operating Officer *Education; Chief *Executive; Director *Health and Social Care; Chief Officer *Place; Executive Director *Place; Chief Officer Corporate Solutions; Chief Finance Officer; Chief Officer Young People and Partnerships</p>	<p>1. Transformation Blueprint agreed at Council June 2023 which is a 5-year transformation plan. Revised governance for transformation agreed and revised Terms of Reference in place for the Business Transformation Board to oversee progress on change programme. 2. Regular reporting to Council setting out scale of financial challenge ahead with recurring expenditure for current service delivery projected to exceed recurring income. 3. Cross Party Business Transformation Steering Group are given updates on the progress of the Transformation programme. 4. Financial monitoring reports and work of the Financial Management Corporate Management Team evidence continued financial sustainability, in so far as services are delivered within the overall budget in year.</p>	5	5	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SPR.RA-02.08	Transformation Blueprint 2023-28 delivery	<p>Q2 24/25: Progress with sprints is reported to BTB at every meeting via the dashboard and also in detailed reports at some points. BTSG are provided with an updated dashboard every cycle and receive focused reports on individual sprints and also funding requests to release BT funds to support project work.</p> <p>Q1 24/25: As Q4 23/24.</p> <p>Q4 23/24: Work on sprints continues with some reporting to BTSG in the run up to June Council with the majority of others scheduled for August. BTB is now meeting fortnightly to encourage and closely monitor progress. To support monitoring of progress a dashboard has been developed and this is shared with CMT and BTSG as a standing item.</p> <p>Q3 23/24: Regular review and updates to the Business Transformation Board which meets monthly. Transformation Manager in post and sprints initiated.</p>	Chief *Executive; Chief Officer *Place; Chief Officer Corporate Solutions; Chief Finance Officer;	30-Jun-2028		20%
SPR.RA.02.03	Develop Medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	<p>Q2 24/25: Further update on the MTFs was presented to Council in October and a public consultation was launched on 9th October running to 20th November.</p> <p>Q1 24/25: An update on the MTFs was presented to Council in June 2024. This identifies immediate actions required, in addition to those in the Transformation Blueprint, to bridge the gap between recurring expenditure and recurring income and to allow the setting of a balanced budget for 2025/26.</p> <p>Q4 23/24: An update on the MTFs with refreshed projections and a clear plan to address financial sustainability will be presented to Council in June 2024.</p> <p>Q3 23/24: As Q1. Preparations for MTFs at February Council.</p>	Chief *Executive; Chief Finance Officer;	30-June-2024		100%

SRP.IR.07 Financial Sustainability

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.IR.07	Risk cause Scottish Government Grant settlements fall short of the resources needed to sustain core services. Core funding falling short of inflation pressures, pay awards and demographic pressures arising from an increasing ageing population of over 75's.	Head of *Adult and Social Care; Chief Operating Officer *Education; Chief *Executive; Director *Health	<ol style="list-style-type: none"> 1. There is an approved Capital Strategy and Reserves Strategy in place. The Capital Strategy is being updated in the context of ongoing and significant infrastructure pressures. 2. There is an approved budget for 2024/25. Services are delivered within the totality of that budget. 3. Enhanced monitoring arrangements have been agreed for service areas that are regularly showing overspends. 	5	5	

	<p>Increasing population of 0-15 age group and at a time when there are rising customer expectations.</p> <p>Risk event Transformation activity and the flexibility available to Councils as part of the grant settlement does not address future years projected budget gaps.</p> <p>Risk effect Inadequate government funding makes securing balanced budgets challenging. This in turn erodes the Council's ability to deliver services to the community and potentially means that resources available fall short of those the Council assess as required to meet its statutory obligations. Whilst transformation activity can help reshape services and ensure best value in the delivery of services it is not a solution to continued erosion of core funding.</p>	<p>and Social Care; Chief Officer *Place; Executive Director *Place; Chief Officer Corporate Solutions; Chief Finance Officer; Chief Officer Young People and Partnerships</p>	<p>4. Directorates have budget boards in place to monitor and agree actions for those items which are identified as needing specific attention or present a risk to the financial position of services.</p> <p>5. Strategic Boards in place and BTB focus and attention on driving transformation to support future year's financial sustainability.</p> <p>6. Working through COSLA to influence government spending decisions to influence Scottish Government's budget allocation to Councils.</p> <p>7. Capital Plan and Asset Management Board will scrutinise and challenge slippage on capital programmes recognising that slippage can have an adverse impact on financial sustainability and also the delivery on assets required to support capital growth.</p> <p>8. Chief Executive continues to emphasise the need for effective financial control and underlined the benefit to the organisation of such an approach.</p> <p>9. Scottish Governments May 2022 Resource Spending Review provided planning parameters for term of parliament, albeit these are challenging and present a real terms reduction in grant funding of circa 7% over the period.</p> <p>10. Report to Council February 2024 sets out scale of financial challenge ahead with recurring expenditure for current service delivery projected to exceed recurring income. Updated MTFs projections presented in June 2024.</p> <p>11. Cross Party Business Transformation Steering Group engaged in consideration of measures to secure balanced budgets alongside the development of a Strategic Plan to support decisions about what services, beyond those which are statutory can be provided.</p>			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA-02.09	Transformation Blueprint 2023 to 2028	<p>Q2 24/25: Refer to SRP.RA-02.08</p> <p>Q1 24/25: As Q4 23/24.</p> <p>Q4 23/24: Work on sprints continues with some reporting to BTSG in the run up to June Council with the majority of others scheduled for August. BTB is now meeting fortnightly to encourage and closely monitor progress. To support monitoring of progress a dashboard has been developed and this is shared with CMT and BTSG as a standing item.</p> <p>Q3 23/24: Regular review and updates to the Business Transformation Board which meets monthly. Transformation Manager in post and sprints initiated.</p>	Chief *Executive; Chief Finance Officer;	30-Jun-2024		20%
SRP.RA.02.03	Develop Medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	<p>Q2 24/25: Refer to SRP.RA-02.03</p> <p>Q1 24/25: An update on the MTFs was presented to Council in June 2024. This</p>	Chief *Executive; Chief Finance Officer;	30-June-2024		100%

		<p>identifies immediate actions required, in addition to those in the Transformation Blueprint, to bridge the gap between recurring expenditure and recurring income and to allow the setting of a balanced budget for 2025/26.</p> <p>Q4 23/24: An update on the MTFS with refreshed projections and a clear plan to address financial sustainability will be presented to Council in June 2024.</p> <p>Q3 23/24: As Q1. Preparations for MTFS at February Council.</p>				
SRP.RA-02.10	Capital Plan Prioritisation	<p>Q2 24/25: Work continues on Capital Plan prioritisation</p> <p>Q1 24/25: Work continues on Capital Plan prioritisation</p> <p>Q4 23/24: Work continues on Capital Plan prioritisation</p> <p>Q3 23/24: Work continues on Capital Plan prioritisation</p>	Chief Finance Officer; Executive Director – Place; Executive Director - Education	31-Oct-2024		0%

SRP.IR.11 National Care Service


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.IR.11	<p>Risk cause In August 2022 the Scottish Government launched a 12-week consultation on the way in which social care is delivered in Scotland. The consultation followed recommendations made in the Independent Review of Adult Social care. The independent analysis of responses was published in February 2022. On 20 June 2022 the Scottish Parliament published the National Care Service (NCS) Bill which will provide the foundation for the NCS.</p> <p>Risk event A Bill passes through various Parliamentary stages. The Bill is currently in Stage 1 of the process. The most significant part of the legislation which poses the most risk is the intention to transfer social care responsibility from local authorities to a new, national service.</p>	Head of *Adult and Social Care; Chief *Executive; Director *Health and Social Care; Executive Director *Place; Chief Officer Young People and Partnerships	As of 14 November 2024, a pause has been placed on the delivery of NCS legislation by the Scottish Government.	3	5	




	<p>Risk effect The details of the logistics of any transfer are not yet provided within the Bill. It is not clear the extent to which powers will be removed from local authorities or what the provision or delivery of services will or will not be.</p> <p>At this stage, the risk effect is anticipated to be significant financial impact to local authorities and IJBs, as well as the potential for impacts on staffing, transfer of property and facilities and the reshaping of the delivery of care.</p> <p>It should be noted that the initial impact on the Council is staff time to contribute to the ongoing discussions and understanding of the impact of the Bill.</p>					
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.11.1	Officer Working Group	<p>Q2 24/25: As of 14 November 2024, the Scottish Government has paused legislation on the creation of a NCS.</p> <p>Q1 24/25: The Bill is at Stage 2</p> <p>Q4 23/24: The Bill is at Stage 2.</p> <p>Q3 23/24: Further information now expected late March 2024.</p>	Chief *Executive;	31-Dec-2024		100%


Strategic Risks


SRP.RR.01 Financial Sustainability in future years


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.01	<p>Risk cause: Scottish Government Grant settlements fall short of the resources needed to sustain core services. Core funding falling short of inflation pressures, pay awards and demographic pressures arising from an Increasing ageing population of over 75's. Increasing population of 0-15 age group and at a time when there are rising customer expectations. Policy decisions by UK & Scottish Governments which are not fully funded. Changes to the responsibilities of Local Government and the funding implication that arise from that, particularly in respect of the creation of a National Care Service. Future year pay award settlements.</p> <p>Risk event: Real terms reduction in core grant settlements. Policies decisions at Government level not fully funded to Council's. Implementation of a National Care Service and impact on grant settlements. Securing the extent of change required in order to deliver financial sustainability and a change program that recognises the size of the challenge. Cost pressures exceeding budget estimates. Risk to not achieving financial sustainability is a failure to deliver cost reductions / service change embedded in the blueprint and also supplementing the blueprint.</p>	<p>Head of *Adult and Social Care; Chief Operating Officer *Education; Chief *Executive; Director *Health and Social Care; Chief Officer *Place; Executive Director *Place; Chief Officer Corporate Solutions; Chief Finance Officer; Chief Officer Young People and Partnerships</p>	<ol style="list-style-type: none"> 1. Development of Strategic Plan, Transformation Blueprint and MTFS projections which come together to provide a framework to effect change and to move the Council to a position of financial sustainability. 2. Maintaining a level of reserves to deal with unforeseen or one-off cost pressures. 3. Capital and Reserves Strategies in place. The Capital Strategy is being updated in the context of ongoing and significant infrastructure pressures. 4. Working through COSLA to influence government spending decisions to influence Scottish Government's budget allocation to Councils. 5. Implement a lobbying strategy with government to recognise the unique position Midlothian Council is in. 6. Best Value Audit report actions. 7. Strategic Boards in place to drive transformation in line with the Transformation Blueprint. 8. Dedicating capacity to understand impact of NCS Bill, but limited details mean this is challenging and many unanswered questions (refer to specific risk on NCS for further detail) 	5	5	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.02.03	Develop Medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	<p>Q2 24/25: Refer to SRP.RA-02.03</p> <p>Q1 24/25: An update on the MTFS was presented to Council in June 2024. This identifies immediate actions required, in addition to those in the Transformation Blueprint, to bridge the gap between recurring expenditure and recurring income and to allow the setting of a balanced budget for 2025/26.</p> <p>Q4 23/24: An update on the MTFS with refreshed projections and a clear plan to address financial sustainability will be presented to Council in June 2024.</p> <p>Q3 23/24: As Q1. Preparations for MTFS at February Council.</p>	Chief *Executive; Chief Finance Officer;	30-June-2024		100%
SRP.RA.02.04	Transformation Blueprint 2023 to 2028	<p>Q2 24/25: Refer to SRP.RA-02.08</p> <p>Q1 24/25: As Q4 23/24.</p> <p>Q4 23/24: Work on sprints continues with some reporting to BTSG in the run up to June Council with the majority of others scheduled for August. BTB is now meeting fortnightly to encourage and closely monitor progress. To support monitoring of progress a dashboard has been developed and this is shared with CMT and BTSG as a standing item.</p> <p>Q3 23/24: Regular review and updates to the Business Transformation Board which meets monthly. Transformation Manager in post and sprints initiated.</p>	Chief *Executive; Chief Finance Officer;	30-Jun-2028		20%
SRP.RA.02.06	Capital Plan prioritisation	<p>Q2 24/25: Work continues on Capital Plan prioritisation</p> <p>Q1 24/25: Work continues on Capital Plan prioritisation</p> <p>Q4 23/24: Work continues on Capital Plan prioritisation.</p> <p>Q3 23/24: Work continues on Capital Plan prioritisation.</p>	Head of *Development; Executive Director *Place; Chief Finance Officer;	31-Oct-2024		0%


SRP.RR.02 The Long-Term Change Programme






Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.02	<p>Risk cause: A MTFS that does not address the projected budget shortfall or contextual factors relating to the Midlothian area. Reduced resources Leadership fit for the future. Lack of clarity or clear compelling vision for the future Delay or shortfall in securing savings Lack of or not securing transformational change in service provision</p> <p>Risk event: Delayed progress in applying various strands of the Change Programme including Delivering Excellence Framework Slow benefits realisation and budget savings. Cuts in service provision rather than service transformation</p> <p>Risk effect: Objectives of change not actually met or progress too slow. Adverse impact on services Slow or delayed proposals/savings arising from service redesign. Potentially further eroding reserves or requiring short term service reductions which impact on Council's ability to deliver against its priorities. Staff morale negatively affected, Government step-in short term savings instead of transformation</p>	<p>Head of *Adult and Social Care; Chief Operating Officer *Education; Chief *Executive; Director *Health and Social Care; Chief Officer *Place; Executive Director *Place; Chief Officer Corporate Solutions; Chief Finance Officer; Chief Officer Young People and Partnerships</p>	<ol style="list-style-type: none"> 1. Development of Strategic Plan, Transformation Blueprint and MTFS projections which come together to provide a framework to effect change and to move the Council to a position of financial sustainability. 2. Leadership from all Elected Members, Executive Team and Senior Leadership Group. 3. Appropriate governance in place across the BTB Strategic Boards 4. Resilience planning. 5. Capacity to deliver change. 6. Dedicating capacity to understand impact of NCS Bill, but limited details mean this is challenging and many unanswered questions (refer to specific risk for NCS Bill). 7. High level priority is given to blueprint work. 	5	5	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.02.03	Develop Medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	<p>Q2 24/25: Refer to SPR.RA-02.03</p> <p>Q1 24/25: An update on the MTFS was presented to Council in June 2024. This identifies immediate actions required, in addition to those in the Transformation Blueprint, to bridge the gap between recurring expenditure and recurring income</p>	Chief *Executive; Chief Finance Officer;	30-June-2024	 100%

		and to allow the setting of a balanced budget for 2025/26. Q4 23/24: An update on the MTFS with refreshed projections and a clear plan to address financial sustainability will be presented to Council in June 2024. Q3 23/24: As Q1. Preparations for MTFS at February Council.				
SRP.RA.02.04	Transformation Blueprint 2023 to 2028	Q2 24/25: Refer to SRP.RA-02.08 Q1 24/25: As Q4 23/24 Q4 23/24: Work on sprints continues with some reporting to BTSG in the run up to June Council with the majority of others scheduled for August. BTB is now meeting fortnightly to encourage and closely monitor progress. To support monitoring of progress a dashboard has been developed and this is shared with CMT and BTSG as a standing item. Q3 23/24: Regular review and updates to the Business Transformation Board which meets monthly. Transformation Manager in post and sprints initiated.	Chief *Executive; Chief Finance Officer;	30-Jun-2028		20%


SRP.RR.03 Legal and Regulatory Compliance

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.03	<p>Risk cause Current or new legislation applying to Midlothian Council. Lack of capacity to resource statutory obligations around GDPR, data protection, records management, information requests and statutory regulatory functions.</p> <p>Risk event Council and or Services not identifying all applicable legislation impacting Council activities and Service requirements.</p> <p>Risk effect Council failing to meet its statutory obligations resulting in a potential negative impact for service users or employees. Reputational impact of not meeting statutory obligations.</p>	Head of *Adult and Social Care; Legal *and Governance Manager; Chief Operating Officer *Education; Chief *Executive; Director *Health and Social Care; Chief Officer *Place; Executive Director *Place; Chief Officer Corporate Solutions; Chief Finance Officer; Chief Officer Young People and Partnerships	<ol style="list-style-type: none"> Executive Directors, Chief Officer(s) and Head(s) of Service responsible for identifying applicable legislation and propose Council or Service responses to CMT and Cabinet/Council as required. Annual Assurance Statement. Internal Audit testing of internal controls as part of risk-based audit plan. External Audit. Range of external inspection. BTSG oversight of new legislation Central repository of applicable legislation. 	5	5	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.03.02	Rights of the Child Bill	<p>Q4 23/24: Q4 Council wide group established and developing a plan that ensures we are all aware and adhering to UNCRC.</p> <p>Q3 23/24: Bill now adopted. Policy to be presented to Council May/June 2024.</p>	Chief *Social Work Officer;	31-Dec-2024		0%
SRP.RA.03.03	National Care Service	<p>Q2 24/25: As of 14 November 2024, the Scottish Government has paused legislation on the creation of a NCS.</p> <p>Q1 24/25: The Bill is at Stage 2.</p> <p>Q4 23/24: Q4 National Care Service is at stage 2 and we await decisions around what next.</p> <p>Q3 23/24: National Care Service Bill has been delayed for any further decision until the 1st March 2024.</p>	Chief *Executive;	31-Dec-2024		0%
SRP.RA.03.05	Review of Standing Orders, Scheme of Administration and Scheme of Delegation	<p>Q4 23/24: Workplan presented and agreed by SOWG in April 2024. Some changes to SOs and Scheme of Administration presented and approved by Council in May 2024 (this is technically Q1 2024/25 update).</p>	Legal & Governance Manager; Executive Director *Place; Chief Officer Corporate Solutions;	31-Dec-2024		40%
SRP.RA.03.07	Review of policy and creation of a policy register	<p>Q4 23/24: work to develop policy register ongoing.</p> <p>Q3 23/24: Corporate Solutions has initiated a review of policies in the Council, aligned to legislation changes and statutory requirements for the Local Authority. Work is ongoing to gather information across the Council to inform an action plan and a refreshed policy register. It is estimated that this work will take until end 2024 to be completed.</p>	Chief Officer Corporate Solutions	31-Dec-2024		10%
NEW	Compliance with statutory duties	<p>Q1 24/25: Records Management Officer in post and reviewing the Records Management Plan, Corporate Retention Policy and Schedule and supporting the development of retention framework for M365 rollout.</p> <p>Q4 23/24: Work is ongoing with the Scottish Information Commissioner and National Records of Scotland to develop and deliver improvement plans. Ongoing recruitment for Records Manager. Rationale report for resourcing in development. Significant resourcing pressures contribute to the increase in</p>	Chief Officer Corporate Solutions, Legal and Governance Manager	31-Dec-2024		10%

scoring for Q4.


SRP.RR.04 Employee performance

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.R R.04	<p>Risk cause Employees not suitably trained/developed for the roles required of them. Limited availability of qualified practitioners in certain sectors. Change program not informed by all key stakeholders. Ageing work force. Employees unclear on expected behaviours. Employees constrained to innovate as a result of management practice. Employee productivity rate below the required level because of ineffective use of the People Policies particularly Maximising Attendance. Salaries in some functional areas lower compared to other LA's resulting in recruitment issues particularly with trying to recruit experienced staff.</p> <p>Risk event Employees not engaged/consulted as part of organisational transformation. Experienced employees leaving the organisation. Inability to recruit suitably qualified / trained staff to fill vacancies negatively impacting on remaining workforce. Unacceptable behaviours demonstrated by employees. Stated organisational culture not consistently reinforced by managers. Poor employee performance will stifle transformational change.</p> <p>Risk effect Difficulties recruiting the right staff.</p>	<p>Head of *Adult and Social Care; Chief Operating Officer *Education; Chief *Executive; Director *Health and Social Care; Chief Officer *Place; Executive Director *Place; Chief Officer Corporate Solutions; Chief Finance Officer; HR Strategic Lead; Chief Officer Young People and Partnerships</p>	<p>Over-riding risk control measure = Focus on having the right people, here, healthy, performing, behaving and well led via effective utilisation of the workforce strategy and accompanying action plan.</p> <p>Attendance / Wellbeing 1. Continuing implementation of the Wellness@Midlothian agenda. 2. Creation of an Employee Health and Wellbeing Strategy and supporting policy. 3. Maintaining the Healthy Working Lives Gold Award. 4. Proactive use of Occupational Health, Midlothian Physiotherapy, Employee Assistance Programme and the Workplace Chaplaincy Service. 5. Change of EAP supplier to ensure provision of best possible service. 6. Development of progressive People Policies. 7. Roll-out of mental health training for staff and managers.</p> <p>Performance 1. Service-level workforce plans. 2. Structured, robust, well established 'Making Performance Matter' Framework where expected standards of behaviour and Council values are re-enforced. 3. Continued re-enforcement of all People Policies involving various communication methods. 4. Development of a suite of management information to ensure Service Managers are informed e.g., turnover, absence levels/reasons etc.</p> <p>Organisational Change 1. Policy for Organisational Change includes strong emphasis on early engagement of employees. 2. Redeployment Procedure to ensure maximum chance of successful redeployment.</p> <p>Conduct 1. Resolution Policy encourages early intervention of workplace issues. 2. Professional standards and values build into the induction process and management development programme.</p> <p>Communication 1. A range of initiatives to keep staff informed of change (Chief</p>	3	4	


	Challenges retaining quality staff. Low skill levels. Low morale, especially during change. High absence rates, loss of experience in service areas. 'A Great Place to Grow' our values including respect, collaboration, pride and ownership not realised, potentially resulting in missing the opportunity to capitalise on the abilities, experience and ideas of team members. Poor employee performance will Exacerbate the financial challenge.		Executive's weekly email, Connect, All staff emails, tailored team briefings etc.			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.02.04	Development and Delivery of the Council's Workforce Strategy 2024-29 including analysis of future workforce requirements, gap analysis and gap closing strategies, and performance measures and target setting.	<p>Q1 24/25: Workforce Strategy in development and expected to be presented to December Council with Action Plan for approval. Audit Scotland external audit on workforce and digital to be presented to Audit Committee September 2024.</p> <p>Q4 23/24: Ongoing work nationally to review workforce planning which Midlothian is contributing to. Best Value focus this year is on workforce planning – awaiting outcome of external audit to identify improvement plan for 24/25.</p> <p>Q3 23/24: Service plans were presented to June 2023 council. Supporting workforce plans are due to be fully in place for June 2024. The workforce planning process, guidance and documentation has been developed and approved for use by managers across the council. The HR team is available to support managers who wish help and guidance in the development of these workforce plans.</p>	Chief Officer Corporate Solutions	31 Dec 2024		25%


SRP.RR.07 Care at Home

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.07	Risk cause Internal and External providers of Care at Home services unable to meet service and quality requirements as a result of a lack of capacity.	Head of *Adult and Social Care; Director *Health and Social Care	1. Care at Home winter assurance plan and business continuity plan complete 2. Development of Care at Home Service Improvement action plan near completion 3. External commissioning complete and ongoing contract monitoring in place	3	4	

	<p>Risk event Capacity of Community Support outstripped by demand.</p> <p>Risk effect There is a risk that patients will have their discharge delayed because there is insufficient community supports to enable timely discharge leading to deterioration in their health, beds being blocked and elective operations potentially being cancelled.</p>		<p>4. External provider audits complete</p> <p>5. Re-established Multi-Agency Quality in Care at Home quarterly review meetings jointly with East Lothian</p> <p>6. Weekly provider meetings in place</p> <p>7. Additional locum team members and contracts with agency staff in place</p> <p>8. Daily discharge meeting with Multidisciplinary and Multi-agency team planning to plan and coordinate discharge to ensure care at home support in place</p>			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.07.01	Independent review of adult and social care	<p>Q2 24/25: The Scottish Government has initiated a pause on the development of the NCS.</p> <p>Q1 23/24: Pause remains in place.</p>	Head of *Adult and Social Care; Chief *Executive;	31-Jan-2024	 100%


SRP.RR.08 Asset Management – buildings, vehicles, roads and Digital assets/networks


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.08	<p>Risk cause Many of the assets the Council own by their nature are in a position of ongoing deterioration through their normal use, e.g., roads - normal wear and tear, streetlights and vehicles & buildings used to deliver services.</p> <p>Risk event Many assets will deteriorate under normal conditions although buildings, roads and streetlights as an example can be damaged during more extreme weather events or as a result of a lack of maintenance.</p> <p>Risk effect</p>	Head of *Adult and Social Care; Head of *Development; Chief Operating Officer *Education; Chief *Executive; Director *Health and Social Care; Chief Officer *Place; Executive Director *Place; Chief Officer Corporate Solutions; Chief Finance Officer; Chief Officer	<p>1. There is provision in place within the capital plan for investment in the asset base.</p> <p>2. Asset register</p> <p>3. Condition Survey</p> <p>4. Understanding of future asset needs</p> <p>5. Asset Strategy:</p> <ul style="list-style-type: none"> . Roads . Land . Fleet . Digital Service Network . Digital Service hardware <p>6. Capital programme - investment in estate.</p> <p>7. Ongoing monitoring of properties by: Maintenance Surveyors, Facilities Management and Property Users.</p> <p>8. Established Capital Plan and Asset Management Board and dedicated Asset Management Board</p> <p>9. Establishment of 7 thematic Estate Safety and Management Groups chaired by Chief Officer Place</p> <p>10. Building Accessibility Strategy</p>	3	5	

	In the case of Roads Services there is a real risk of increased potholes and insurance claims, reduced skid resistance leading to higher accident potential and building up of higher costs in the future. In respect of vehicles, increased breakdowns, service failures, greater maintenance inevitable, higher short-term hire costs. In terms of property, health and safety issues arise, failure to meet current standards and higher running costs. There is also the risk of two-tier accommodation, some high quality, some low.	Young People and Partnerships				
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.08.02	Plan for appropriate investment in capital works and remedial maintenance over the lifespan of each property asset.	<p>Q1 24/25: Condition Surveys continue, with Learning Estate (excl PPP) expected to be concluded by end December 2024 to inform capital investment proposal.</p> <p>Q4 23/24: Backlog maintenance repairs being undertaken across the estate on a prioritised basis.</p> <p>Q3 23/24: Surveyors have now completed the first phase of surveys that were due to have been completed by March 2024. A further phase will begin in April and run through until April 2025.</p>	Chief Officer *Place;	30-Apr-2025		33%
SRP.RA.08.05	Learning Estate Strategy	<p>Q4 23/24: All Priority 1 and 2 projects are progressing. In terms of all of the capacity breaches that were detailed in Priority 2 of the LES, investment was made to provide a solution.</p> <p>Q3 23/24: All Priority 1 projects as detailed in the Learning Estate Strategy have been approved by Council in June 2023, this includes Beeslack HS replacement and Penicuik HS refurbishment & extension. A number of Projects in the priority 2 tranche have been progressed to ensure schools do not experience capacity breaches.</p>	Head of *Development;	30-Apr-2025		50%
SRP.RA.08.06	Asset Management systems	<p>Q4 23/24: As Q3.</p> <p>Q3 23/24: Identified for implementation through Transformation Blueprint and The Change Programme.</p>	Chief Officer *Place;	31-Mar-2025		0%

SRP.RR.09 Emergency Planning and Business Continuity Management

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.09	<p>Risk cause The Council not preparing or timeously reviewing Emergency Plans and testing arrangements to respond to Civil Contingencies Incidents</p> <p>Risk event There are a wide range of potential events the Council may be expected to respond to e.g., Severe weather incident, Pandemic, Utility disruption etc.</p> <p>Risk effect Censure through non-compliance with the Civil Contingencies Act Not adequately recovering from the loss of major accommodation (e.g., secondary school, main offices), computer systems and staff Not able to respond to a major emergency in the community Fatal Accident Inquiries</p>	Head of *Adult and Social Care; Head of *Development; Chief Operating Officer *Education; Chief *Executive; Director *Health and Social Care; Chief Officer *Place; Executive Director *Place; Chief Officer Corporate Solutions; Chief Finance Officer; David Robertson; Chief Officer Young People and Partnerships	<ol style="list-style-type: none"> Civil Contingencies Risk Register used to highlight key risks and record response, - Council's plans developed and maintained in response to identified risks, - Risk and Resilience Group support development, peer review and roll out of plans. Establishment based incident response plans in place and maintained locally. Emergency response plan setting out general approach to respond to a major emergency in-line with key partner organisations. As part of the Council's Emergency response the importance of recording decisions made and information available at the time is highlighted as this would be scrutinised in the event of an FAI. <p>05 – Care for People Group: Afghan, Ukrainian and UASC support programmes</p>	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.09.02	Development of Emergency Plans	<p>Q2 24/25: Service review for the Health, Safety and Resilience Team Service, which includes Contingency Planning, is still in progress.</p> <p>Plans/plan updates include:</p> <ul style="list-style-type: none"> Midlothian Pipelines Emergency Plan (required under the Pipelines Safety Regulations 1996). Emergency Contacts Directory (reflecting staff changes) Provision of Business Continuity guidance notes to service managers. <p>Plan updates/procedures in progress:</p> <ul style="list-style-type: none"> Midlothian Council Emergency Plan (generic). This document outlines 	Chief Officer *Place; Senior Manager Protective Services; David Robertson	31-Dec-2024	 75%



		<p>internal emergency management arrangements and multi-agency partnership relationships.</p> <ul style="list-style-type: none"> • Operation UNICORN (and associated arrangements). Scottish Government have advised that national planning arrangements are underway, and we will tie in with those. Meantime, we have the basics in place, based on previous experience. • Corporate Business Continuity (BC) Plan. An update to the Corporate Business Continuity Policy was provided to Corporate Management Team members in Q4 23/24. However, learning from a Cyber Security event facilitated by Scottish Government in June 2024 and September 2024 and the experiences of other organisations will be incorporated into an expanded document, which will also link in with the work being done by Digital Services on the technical response to a cyber-attack. • Draft action plan in relation to the revised Prevent Duty Guidance to measure our compliance. (In support of the Prevent SPOC.) • Support to the Executive PA Place with the Festive Period Service Arrangements document. <p>Multi-agency Exercises, Training, Presentations, Work streams:</p> <ul style="list-style-type: none"> • Debrief for the multi-agency Exercise Puma (Torness related exercise) held in June 2024. • Supporting School Business Managers in the development of their School Incident Plans, in collaboration with Police Scotland colleagues. • Familiarisation training exercise using Airwave handsets (held by Police Scotland for partner use in emergencies). These short sessions are organised by the Scottish resilience community on a regular basis throughout the year. • A number of national presentations relating to Prevent (extremism) <p>Q1 24/25: Exercise (simulated cyber attack) took place at the Leadership Forum June 2024 with the session facilitated by Scottish Government and LRP Colleagues. The session was designed to remind services managers of the importance of having , maintaining and exercising their Business Continuity Planning arrangements.</p> <p>Plans/plan updates include:</p> <ul style="list-style-type: none"> • Midlothian Council generic Emergency Plan. This document outlines internal emergency management arrangements and multi-agency partnership relationships. • Operation UNICORN (and associated arrangements). Scottish Government have advised that national planning arrangements are underway. Meantime, we have the basics in place, based on previous experience. 			
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		<ul style="list-style-type: none"> Corporate Business Continuity (BC) Plan. An update to the Corporate Business Continuity Policy was provided to Corporate Management Team members in Q4 23/24. However, learning from a Cyber Security event facilitated by Scottish Government in June 2024 and the experiences of other organisations will now be incorporated into an expanded document, which will also link in with the work being done by Digital Services on the technical response to a cyber attack. <p>Multi-agency Exercises, Training, Presentations, Work streams: Team Members also participated in the following where appropriate to their areas of work, invitations were extended to colleagues in other services and partners:</p> <ul style="list-style-type: none"> Planning for and participation in a Torness related exercise in June 2024. Lothian and Borders Local Resilience Partnership non-routine inputs including Met Office Extreme Heat Awareness <p>Q4 23/24: Work on flooding across the county and its risks has commenced, with a report to Council scheduled for post-recess. CMT desktop exercise undertaken.</p> <p>Q3 23/24: A service review of the Health, Safety & Resilience team has commenced.</p>				
SRP.RA.09.03	Business Continuity Software System	<p>Q1 24/25: The Health, Safety & Resilience Service review is progressing and has identified staffing shortages to meet obligations.</p> <p>Q4 23/24: Report in early draft, to be completed once Health, Safety & Resilience service review completed (SRPO.RA.09.02). BCPs in the event of power outage to be incorporated.</p> <p>Q3 23/24: System review/upgrade has been considered and it is planned to present a report to CMT in Q4.</p>	Chief Officer *Place; Senior Manager Protective Services; David Robertson	31-Dec-2024		25%


SRP.RR.10 Governance and Standards in Public Life

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.10	Risk cause Code of conduct for Members and employees' actions falling short of	Legal *and Governance Manager; Chief	01 Annual Assurance Statement. 02 Standing Orders 03 Scheme of Administration	2	4	




	International Standards. Risk event Failure in openness, accountability, clarity. Risk effect Service, partnerships and project outcomes not achieved. Non-compliance with conduct standards and reduction in standards in public life.	*Executive; Chief Officer *Place; Executive Director *Place; Chief Officer Corporate Solutions	04 Scheme of Delegation 05 Elected Member Code of Conduct 06 Induction programme for new members and ongoing learning and development programme 07 Employee Code of Conduct			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.03.05	Review of Standing Orders, Scheme of Administration and Scheme of Delegation	Q1 24/25: Workplan presented and agreed by SOWG in April 2024. Some changes to SOs and Scheme of Administration presented and approved by Council in May 2024. Q3 23/24: Workplan being developed by officer working group and will be presented to SOWG in March 2024 for approval.	Legal *and Governance Manager; Chief Officer Corporate Solutions;	31-Dec-2024		20%
SRP.RA.10.03	Review of the employee onboarding and induction programme	Q3 2023/24: CMT agreed to a refresh of the staff induction programme which include a compliance section. It is anticipated that the new programme will be fully completed by end Dec 2024, with a phasing of improvement actions being delivered throughout 2024.	HR Strategic Lead	31-Dec-2024		5%

SRP.RR.11 Corporate Policies and Strategies


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.11	Risk cause Policies may not match the aspirations of the Council's Strategic priorities or cultural perspective. Risk event Policies not monitored may become out of date. Policies not reviewed to ensure alignment with strategic priorities. Risk effect Policies not monitored could	Head of *Adult and Social Care; Chief Operating Officer *Education; Chief *Executive; Director *Health and Social Care; Chief Officer *Place; Executive Director *Place; Chief Officer	1. Single Midlothian Plan providing overarching direction 2. Service plans aligned to Single Midlothian Plan. 3. Leadership team to ensure correct approaches are adopted to get the right results. 4. Strategic housing investment plan, submitted to Scottish Government. 5. Capital Strategy 6. Integrated Joint Board (IJB) Plan 7. IJB Strategic needs assessment 8. Midlothian Local Development Plan 2017 – the Council's corporate spatial strategy.	2	3	


	result in non-compliance with legislation Policies not aligned to strategic priorities will inhibit rather than support implementation of strategic priorities.	Corporate Solutions; Chief Finance Officer; Chief Officer Young People and Partnerships				
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.02.04	Transformation Blueprint 2023 to 2028	<p>Q2 24/25: Refer to SRP.RA-02.08</p> <p>Q1 24/25: As Q4 23/24.</p> <p>Q4 23/24: Work on sprints continues with some reporting to BTSG in the run up to June Council with the majority of others scheduled for August. BTB is now meeting fortnightly to encourage and closely monitor progress. To support monitoring of progress a dashboard has been developed and this is shared with CMT and BTSG as a standing item.</p> <p>Q3 23/24: Regular review and updates to the Business Transformation Board which meets monthly. Transformation Manager in post and sprints initiated.</p>	Chief *Executive; Chief Finance Officer;	30-Jun-2028		20%
SRP.RA.03.07	Review of policy and creation of a policy register	<p>Q4 23/24: work to develop policy register ongoing.</p> <p>Q3 23/24: Corporate Solutions has initiated a review of policies in the Council, aligned to legislation changes and statutory requirements for the Local Authority. Work is ongoing to gather information across the Council to inform an action plan and a refreshed policy register. It is estimated that this work will take until end 2024 to be completed.</p>	Chief Officer Corporate Solutions	31-Dec-2024		10%
SRP.RA.11.05	Antisocial Behaviour Policy	<p>Q1 24/25: Member Briefing on Housing and Antisocial Behaviour to be prepared and presented during Q2, with report to Council to follow.</p> <p>Q4 23/24: Midlothian Community Action Team SLA 2024-25 contains tackling ASB as a strategic objective.</p>	Chief Officer *Place;	31-Dec-2024		0%

SRP.RR.12 Internal Control Environment


Risk	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
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Code						
SRP.R R.12	<p>Risk cause Work procedures/process inadvertently create the capacity for fraud and waste to occur. Internal Controls requiring more time, effort or cost than the risk being managed. Mangers failing to follow procedures and keep systems updated with accurate information.</p> <p>Risk event Persons exploiting opportunities to commit fraud. Waste and errors Changing risk landscape associated with remote working solutions.</p> <p>Risk effect Waste and loss Risks over managed with risk controls costing more than the potential loss being managed. Increased opportunity for fraud or financial loss has direct impact on management information. Has adverse effect on service performance.</p>	Head of *Adult and Social Care; Chief Operating Officer *Education; Chief *Executive; Director *Health and Social Care; Chief Officer *Place; Executive Director *Place; Chief Officer Corporate Solutions; Chief Finance Officer; Chief Officer Young People and Partnerships	<ol style="list-style-type: none"> Services have been prompted to consider fraud and waste within Service Risk Registers. Risk Management Guide provides direction on the need to balance time, effort and cost against benefit of risk controls. Internal Audit examine internal control arrangements based largely on the risk registers. Corporate Fraud team in place who assist managers to undertake fraud risk assessments in their areas (focused on priority areas) and provide advice and guidance on fraud related matters. Active participation in the National Fraud Initiative to investigate matches. Whistleblowing Policy and Counter Fraud Policy in place (subject to review) with whistleblowing channels available to report concerns (anonymously if required). Internal and external assurance. Annual Governance Statement which involves obtaining assurance from Management over controls in their Service. E-learning for staff to complete mandatory training for fraud awareness. Regular updates to Audit committee on progress with recommendations made by Internal Audit. Remind staff to declare secondary employment/outside interests and gifts & hospitality Induction for all new employees (with service exceptions), including legal, HR, procurement, health and safety. Control at entry to organisation. The Integrity Group continues to meet to improve the Council's resilience to fraud, corruption, theft and crime (including cybercrime), maintaining proper risk management, governance and internal control processes and systems to ensure probity in systems and operations, and mitigation of risks, including the prevention, detection and resolution of fraud and irregularities. Management is also responsible for checking that the arrangements and controls are operating effectively and obtaining assurances from internal compliance, risk, inspection, quality, and control functions. 	2	3	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA .12.04	Review of Serious Organised Crime (SOC) group	<p>Q1 24/25: Initial meeting with Police is planned to discuss strategy.</p> <p>Q4 23/24: Chief Officer Place on national SOC working groups and utilising forums to inform strategy.</p> <p>Q3 23/24: Work underway to refresh SOC Strategy, working with Police</p>	Chief Officer *Place; Health, Safety & Resilience Manager	31-Mar-2025		50%

		Scotland and neighbouring authorities. Draft report expected Q4.			
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SRP.RR.13 Climate Change

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.13	<p>Risk cause Council Services not adequately engaged, resourced or directed to fulfil the requirements of the Climate Change Act.</p> <p>Risk event Council Services not responding to the Climate Change Act with sufficient pace.</p> <p>Risk effect Council failing to meet its obligation under the Climate Change (Scotland) Act 2009 and incurring the associated reputational damage.</p>	Head of *Adult and Social Care; Chief Operating Officer *Education; Chief *Executive; Director *Health and Social Care; Planning, Sustainable Growth and Investment *Manager; Chief Officer *Place; Executive Director *Place; Chief Officer Corporate Solutions; Chief Finance Officer; Chief Officer Young People and Partnerships	<ol style="list-style-type: none"> 1. Statutory requirement to report on compliance with climate change duties. 2. Council Carbon Management Plan 3. Approval of a Corporate Climate Change Strategy and action plan 4. CPP Board for Climate Change to bring strategic focus and oversight of plans and progress. 5. Resilience Seminars 	5	5	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.13.04	Delivery of the BTB Board Carbon Neutral by 2030	<p>Q1 24/25: Member Briefing on Climate Action Plan being prepared for presentation in Q2/3.</p> <p>Q4 23/24: Climate Action Plan finalised and will be presented to Council in 2024/25.</p>	Planning, Sustainable Growth and Investment *Manager; Chief Officer *Place;	31-Mar-2030		0%
SRP.RA.13.05	Development of the Strategic Plan 2023-27	Q4 23/24: Climate Action Plan finalised and will be presented to Council in 2024/25.	Planning, Sustainable	31-Mar-2025		50%

		Q4 22/23: Carbon Neutral by 2030 is a strategic priority.	Growth and Investment *Manager; Chief Officer *Place;			
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SRP.RR.14.1 Scottish Child Abuse Inquiry

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.14.1	<p>Risk Cause: Midlothian Council and its legacy organisations, predating the creation of Midlothian Council in 1996, have been involved in the provision of care of children going back to living memory. During this time there is the likelihood that the care children received fell below standards of care now in place. There is the further potential that some people in the care of Midlothian Council and its legacy organisations were subject to abuse by those who were employed to care for them.</p> <p>Risk Event: The Scottish Government began an Inquiry into cases of Child Abuse occurring prior to 17 December 2014, the intention of this enquiry is to identify historic case of abuse which have to date gone unreported. The most recent Section 21 notice around the Foster Care Case Study is a significant piece of work. The request for information from 1930 to date is very challenging given the volume of files that require to be read and analysed.</p> <p>Risk Effect: If the inquiry finds historic cases of abuse in Midlothian this could damage the reputation of the Council and could place doubt in the eyes of the public as to the safety of these currently in care. There is significant scope for a substantial financial impact arising from claims of historic abuse. Some existing employees may be affected by the inquiry and</p>	Chief *Executive; Chief *Social Work Officer	<p>The Council initially set up an Inquiry Project Team, however this is no longer required as we have an experienced worker overseeing all requests for the Scottish Child Abuse Inquiry Team.</p> <p>Work is ongoing and we have the additional tasks of supporting and responding to enquiries from the redress team.</p> <p>The Inquiry Team have established a Project Plan covering:</p> <ol style="list-style-type: none"> 1. Residential establishments, List D Schools and Foster Carers: identifying Children’s homes, Foster Carers and any List D Schools in Midlothian over the last 100 years and researching historic records. 2. Record Audit: reviewing the Council’s existing paper and electronic recordkeeping systems to identify relevant records and map them to residential establishments. This also includes, where possible, noting the Council’s historic recordkeeping policies, such as retention schedules. 3. Cataloguing/Indexing: checking and updating existing recordkeeping systems for accuracy and consistency, enabling effective information retrieval when requested by the Inquiry. <p>The Project Team have established a Project Plan covering:</p> <ol style="list-style-type: none"> 4. Ascertaining the succession and insurance position in relation to potential historic child abuse claims. 5. Ascertaining and agreeing Midlothian Council’s legal position/ approach in dealing with the potential historic child abuse claims. 6. Identifying the need for guidance, protocol, templates etc. should/if any claims be made against the council. 7. Consideration to identifying if additional staffing will be required as expected deluge of FOI’s SARs in 2018 from solicitors of potential claimants. 8. Project team is in place with project plan with a range of identified actions which are being progressed. Monthly meetings to progress project plan. 9. The SCAI Social Worker is very competent and experienced in this area of work and provides quarterly updates on their findings from the file read. This is a real strength within this area of work. The CSWO and Principal Solicitor meet regularly with the social worker to discuss findings 	4	4	

	subsequent claims of abuse. We have requested an extension for Parts B, C & D of the last Section 21 to April 2020, which has been granted. To date there has been no evidence from the extensive file read to suggest there has been systemic abuse within our foster care system.		from the file read.			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.14.03	Foster Care and Residential Care File Review	Q4 23/24: Foster care enquiry completed. Q3 23/24: Inquiry has heard all the evidence for the Sect 21.	Childrens Services Management Team; Chief *Social Work Officer; Chief Officer Young People and Partnerships	31-Mar-2024		100%


SRP.RR.16 Growing Council

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.16	<p>Risk cause Population growth in Midlothian over the next 10 to 15 years will see Midlothian become the fastest growing Council in Scotland. Between 2014 and 2039, ages 0-15yrs, population is projected to increase by 20% and for ages 75+ population projected to increase by 100%.</p> <p>Risk event Failure to resource and plan for these rises will significantly impact the Councils ability to fulfil its statutory obligations in relation to these groups.</p> <p>Risk effect Inadequate capacity within the</p>	Head of *Adult and Social Care; Chief *Executive; Executive Director *Place; Fiona *Robertson; Chief Officer Young People and Partnerships	<ol style="list-style-type: none"> 1. Local development plan and supplementary guidance on developer contributions. 2. Services planning future service provision on the basis of anticipated service demands 3. The change programme 4. Learning Estate Strategy 5. Capital Plan Prioritisation 6. Strategic Housing Investment Strategy 7. Rent Review Strategy 8. Joint needs assessment used to develop - IJB Strategic Plan 9. Capital Plan and Asset Management Board will scrutinise and challenge slippage on capital programmes recognising that slippage can have an adverse impact on financial sustainability and also the delivery on assets required to support capital growth. 10. City Deal provides the opportunity to support inclusive growth. 	4	4	

	school estate to cope with the projected increase in pupil numbers. In sufficient provision to support an aging population placing costly inefficiencies on other parts of the care sector. General population increase placing additional demand on infrastructure including GP services. Increased pressure on infrastructure, services e.g., waste collection and growth of road network as new development roads are adopted.					
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.02.06	Capital Plan prioritisation	<p>Q2 24/25: Work continues on Capital Plan prioritisation.</p> <p>Q1 24/25: Work continues on Capital Plan prioritisation.</p> <p>Q4 23/24: Work continues on Capital Plan prioritisation.</p> <p>Q3 23/24: Work continues on Capital Plan prioritisation.</p>	Head of *Development; Executive Director *Place; Chief Finance Officer;	31-Oct-2024		75%

SRP.RR.17 UK Decision to leave the EU

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.17	<p>Risk cause UK vote to leave the European Union</p> <p>Risk event UK leaving the European Union</p> <p>Risk effect The impacts associated with the UK's decision to leave the UK have yet to be realised and will only become clear once the final terms of the UK's departure are finalised. There are some direct potential impacts such as an end to EU funding of Council co-ordinated projects and indirect impacts on industries</p>	Head of *Adult and Social Care; Chief Operating Officer *Education; Chief *Executive; Director *Health and Social Care; Chief Officer *Place; Executive Director *Place; Chief Officer Corporate Solutions; Chief	<ol style="list-style-type: none"> 1. Risk and Resilience Group 2. Taking a risk management approach to identifying and assessing anticipated impacts 3. Working with a range of national and local bodies to inform preparatory arrangements. 4. EU Settlement scheme promoted on Council Internet to support those living and working in Midlothian to access the Home Office scheme. 	4	5	




	undertaken within the geographical area which have relied on EU funding, such as agriculture. There are wider potential implications arising from uncertainty regarding the resident status of EU nationals, post any exit agreement, and the availability of workers from outside the UK accessing the job market here in the future. These factors have the potential to impact on the availability of the right people with the right skills being available to help grow the economy here in Midlothian. One area this could affect the Council could be in the delivery of future building projects within Midlothian which could curtail further economic growth.	Finance Officer; Chief Officer Young People and Partnerships				
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.17.01	Refresh of Economic Strategy	<p>Q2 24/25: Member Briefing delivered on Midlothian Strategy for Inclusive Economic Growth, with report prepared for Council in November.</p> <p>Q1 24/25: Member Briefing scheduled for 3rd October 2024.</p> <p>Q3 23/24: Draft Economic Strategy prepared; to be presented to Council in Q1 24/25.</p>	Chief Officer *Place;	30-Jun-2024		60%

SRP.RR.19 Health & Safety


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.19	<p>Risk cause Failing to identify and rectify non-compliance with Health and Safety regulations.</p> <p>Risk event Employees required to undertake tasks they are not competent to. Statutorily driven health and safety protective arrangements for service users</p>	Head of *Adult and Social Care; Chief Operating Officer *Education; Chief *Executive; Director *Health and Social Care; Chief Officer *Place; Executive	<p>1. Health Safety and Wellbeing Strategy & Service Plan</p> <p>2. Suite of Health and Safety Management Arrangements developed setting out council response to statutory obligations</p> <p>3. Comprehensive range of Health & Safety Management & Assessment based development opportunities for line managers</p> <p>4. Use of Health & Safety Management Information System (SPHERA) to enhance information transfer and organisational efficiency</p> <p>5. Comprehensive training programme in place to support those with responsibility for managing health and safety.</p> <p>6. Use of comprehensive audit programme to confirm the application of</p>	3	5	

and employees not implemented correctly. Non-compliance with policy and procedure Not undertaking audits and inspections to confirm adherence to policy and legislative requirements. Risk effect Serious injury of ill health impact on employees and or service users. Negative impact on outcomes for customers/service users. Service users and employees exposed to hazards where statutory requirements exist. Statutory health and safety - duty of care over services users and employees not met. Criminal prosecution of the Corporate body and or individuals through Corporate Homicide (Corporate Manslaughter) Significant financial penalties from Criminal Prosecution.	Director *Place; Chief Officer Corporate Solutions; Chief Finance Officer; David Robertson; Chief Officer Young People and Partnerships	agreed management Arrangements and Council Policy.			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
NEW	Health, Safety & Resilience Service Review	<p>Q2 24/25: Service Review progressing and developing.</p> <p>Q1 24/25: The Health, Safety & Resilience Service review is progressing and has identified staffing shortages to meet obligations. The report will be submitted in Q2 for consideration.</p> <p>Q4 23/24: Service review in progress.</p>	Chief Officer *Place; Senior Manager Protective Services; David Robertson	31/07/2024	 100%
SRP.RA.19.01	Delivery of Health, Safety and Wellbeing Service Plan	<p>Q2 24/25: Awaiting outcome of service review before reviewing service plan.</p> <p>Q1 24/25: Implementation of the Protective Services Health, Safety & Resilience Service Plan continues. The plan will be reviewed at conclusion of the service review.</p> <p>Q3 23/23: Implementation of the Protective Services Health, Safety & Resilience Service Plan continues.</p>	Chief Officer *Place; Senior Manager Protective Services; David Robertson	31-Mar-2025	 50%
SRP.RA.19.07	H&S audit across all Council estate	<p>Q2 25/25: As Q1 24/25.</p>	Chief Officer *Place; Senior	31-Mar-2025	 33%

		<p>Q1 24/25: Fire Risk Assessments/Audits progressing. A number of Zurich Insurance audits have also taken place.</p> <p>Q4 23/24: Fire Risk Assessments/Audits are currently priority.</p> <p>Q3 23/24: Work on audit report continues. Change to SFRS response incorporated into Fire Action Plans and Management Arrangements.</p>	Manager Protective Services; David Robertson			
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SRP.RR.21 Cyber Security

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.R R.21	<p>Risk Cause Malicious attempts to damage, disrupt or gain unauthorised access to Council computer systems, networks or devices.</p> <p>Risk Event The Council is at significant risk of cyber-attack from Ransomware Phishing Emails, Advanced Persistent Threats (APT) and Distributed Denial of Service Attacks (DDOS) attacks. Hacking and Social Engineering.</p> <p>Risk Effect Access to Council systems by cyber criminals and foreign intelligence agencies for financial, commercial or information gathering reasons. This could lead to significant financial losses, data compromise and subsequent regulatory sanction if our technical and organisational measures are deemed insufficient. Severe business disruption including the almost total loss of critical IT systems and networks leading to significant service delivery challenges.</p>	Head of *Adult and Social Care; Cyber Security Information Governance and *Compliance Manager; Head of *Development; Chief Operating Officer *Education; Chief *Executive; Director *Health and Social Care; Chief Officer *Place; Executive Director *Place; Chief Officer Corporate Solutions; Chief Finance Officer; David Robertson; Chief Officer Young People and Partnerships	<ol style="list-style-type: none"> 1. Implementation of and compliance with the Scottish Government Cyber Resiliency Public Sector Action Plan 2. Cyber Essentials Plus Certification 3. Public Sector Network Certification 4. Appropriate technical and organisational measures deployed to reduce the likelihood and impact of an attack 5. Having adequate skills and knowledge in the organisation 6. Implementing Scottish Government Cyber Security Action Plan 7. Creating a Midlothian Cyber Defence Action Plan. 8. Adoption of the NCSC (National Cyber Security Centre) Active Cyber Defence programme 	3	5	



Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA	Appropriate Technical and Organisational	Q1 24/25 - Action/mitigation includes: -	Cyber Security	31-Mar-2025	 75%

.21.1	Measures	<ol style="list-style-type: none"> 1. Achieved Cyber Essentials Plus Certification 2. Achieved PSN Certification from the Cabinet Office 3. Organised and facilitated a leadership forum exercise on cyber resilience 4. Successfully responded to 15 significant cyber security events 5. Provided significant Information Governance and Security advice for the continued deployment of M365 and Google Workspace <p>Q4 23/24: Ongoing review of cyber incident response plans. Information Governance and Security processes for M365 deployment ongoing and a number of milestones achieved to progress further rollout of applications within M365 environment. Leadership Forum tabletop session scheduled June 2024.</p> <p>Q3 23/24: Action/mitigation includes: -</p> <ol style="list-style-type: none"> 1. Updated cyber incident response plans. 2. Cyber security presentations to Elected Members and Place directorate. 3. Conducted phishing exercises. 4. Successfully responded to 13 cyber security events. <p>Provided significant Information Governance and Security advice for the deployment of M365 and Google Workspace</p> <p>Q1 23/24: Action/mitigation includes:-</p> <ol style="list-style-type: none"> 1. Achieved Cyber Essentials Plus Certification 2. Preparations completed for Q2 2023/2024 PSN Certification, including submission to Cabinet Office. 3. Provided significant Information Governance and Security advice for the deployment of M365 and Google Workspace 4. Responded to numerous threat alerts to ensure the security of the Council's network 5. Engaged with Cyber Incident Response company to review the Council's Cyber Incident response capability in Q2 	Information Governance and *Compliance Manager; Chief *Digital Officer;			
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SRP.RR.22 Cost of Living Crisis

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.R R.22	Risk cause The UK is currently facing an unprecedented storm of increasing prices, bills and tax. The 40-year high inflation	Chief *Executive; Director *Health and Social Care; Executive	<ol style="list-style-type: none"> 1. Council Cost of Living Task Force to oversee the Council's response to the crisis 2. Allocation of LACER funding to support those most affected 3. Strategic Evaluation Partner appointed to create poverty profile 	3	5	

<p>rate of 9% is the main driver of the cost of living crisis which has outstripped wage and benefit increases.</p> <p>Risk event Rapid ongoing rise of energy prices as well as food and drink prices.</p> <p>Risk effect The impact on households is already being noted with 87% of adults in the UK reported an increase in their cost of living in April 2022 (<u>Office for National Statistics; Francis-Devine et al, 2022</u>). The price rises will impact low-income households the hardest as a larger proportion of their bills are on energy and food. The Resolution Foundation estimates an extra 1.3 million people will fall into absolute poverty in 2023, including 500,000 children.</p>	Director *Place	<p>4. Community Planning Partnership has established a Midlothian Strategic Poverty Prevention Group co-chaired by Council Leader and Director of Public Health</p> <p>5. New Child Poverty chair and lead appointed (Executive Director Children, Young People and Partnerships)</p> <p>6. Child Poverty self-evaluation underway with Improvement Service</p>			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.22.1	Cost of Living Task Force	Q1 23/24: Meetings continuing.	Chief *Executive;	31-Mar-2024		100%
SRP.RA.22.2	LACER funding	Q2 22/23: Identification of 15 trusted partners to distribute funding in communities for food and fuel, wash and dry provision and support to establish reheatable food initiatives.	Lifelong Learning and Employability;	31-Mar-2023		100%

Strategic Opportunities

SRP.OP.08 Capital Projects - Housing

Risk Code	Risk Identification	Managed by	Risk Commentary	Risk Evaluation			
				Timeline	Budget	Risk	Resource
SRP.O P.08	26% reduction in Affordable Housing Supply Programme grant to Midlothian and continued high build costs will affect ability to deliver housing programme. Projects progressing, with Timeline, Budget, Risk and Resource categorised as parameters on a RAG status, with any Red classifications identified and reported.	Executive Director *Place; Head of Development	<p>1. Newbyres, Gorebridge: Timeline impacted with potential ground conditions and delay with peer review process. This has since been addressed and now on site.</p> <p>2. Edmonstone Road, Shawfair – Timeline, Budget and Risk impacted with Stewart Milne entering administration. Developer now in process of being appointed to take this forward.</p> <p>3. Newton Church Road, Danderhall – Timeline impacted with delays to tender process as contractors requested extensions and in delivering tender report. Tender report now approved and works to start before end of 2024.</p> <p>Phase 5 housing programme has been reviewed to ensure affordability within the Housing Revenue Account, allowing for reduced levels of grant.</p>	R	G	G	G
				R	A	A	G
				R	A	A	G

SRP.OP.09 Capital Projects – Transport, Net Zero & Infrastructure

Risk Code	Risk Identification	Managed by	Risk Commentary	Risk Evaluation			
				Timeline	Budget	Risk	Resource
SRP.O P.09	<p>Cost of delivering enabling infrastructure projects has risen, resulting in significant funding gap emerging.</p> <p>Projects progressing, with Timeline, Budget, Risk and Resource categorised as parameters on a RAG status, with any Red classifications identified and reported.</p>	Executive Director *Place; Head of Development	<p>1. A701 Relief Road</p> <p>2. A701 Sustainable Transport Corridor</p> <p>3. A701 Straiton Junction Improvements</p> <p>For all highlighted projects, estimated cost significantly exceeds budget available to deliver project.</p> <p>For all highlighted projects, addressing requirement for investment in A701 corridor in phases with prioritisation applied. Bush Loan Junction progressing ahead of remaining programme fully funded by ESESCRD funding.</p>	A	R	R	G
				A	R	R	G
				A	R	R	G

SRP.OP.10 Capital Projects – Children, Young People & Partnerships Estates Programme: Primary

Risk Code	Risk Identification	Managed by	Risk Commentary	Risk Evaluation			
				Timeline	Budget	Risk	Resource
SRP.O P.10	Projects progressing, with Timeline, Budget, Risk and Resource categorised as parameters on a RAG status, with any Red classifications identified and reported.	Executive Director *Place; Executive Director CYPP; Head of Development	<ol style="list-style-type: none"> Mayfield/St Lukes PS New Build: Tender return from Stage 1 exceeds available budget. Programme delayed for project revision. Existing school remains safe while operational. Mauricewood PS Extension & Refurbishment: Rising roll and catchment review requires investment in school to address capacity and suitability. Limited budget available. Design team appointed to develop investment in school that aligns with budget available from Developer Contributions. Bilston PS Extension: Rising roll and catchment review requires investment in school to address capacity and suitability. Limited budget available. Design team appointed to develop investment in school that aligns with budget available from Developer Contributions. Relocation of Mount Esk Nursery / Hawthorden Extension: Rising roll and catchment review requires investment in school to address capacity and suitability. Limited budget available. Design team appointed to develop investment in school that aligns with budget available from Developer Contributions. 	R	R	R	A
				R	A	A	A
				R	A	A	A
				A	A	A	A

SRP.OP.09 Capital Projects – Children, Young People & Partnerships Estates Programme: Secondary

Risk Code	Risk Identification	Managed by	Risk Commentary	Risk Evaluation			
				Timeline	Budget	Risk	Resource
SRP.O P.09	Projects progressing, with Timeline, Budget, Risk and Resource categorised as parameters on a RAG status, with any Red classifications identified and reported.	Executive Director *Place; Executive Director CYPP; Head of Development	<ol style="list-style-type: none"> Beeslack HS Replacement: Site acquisition being progressed, however dependent on planning being achieved (expected Dec 24). Contractor appointment delayed. Programme behind due to changes in scope / design. Shawfair All Through: Site acquisition complete. School location fixed with design team. Remediation programme being revised. School target date of 2027 likely to be missed. Outcome of design process to determine cost of project and budget position. Design outcome to be to adhere to available budget. Smaller school will reduce build programme. Seeking to make efficiencies in remediation programme. Penicuik HS New Build: LEIP target for delivery is Dec 2026, 	A	A	A	G
				R	A	A	A
				A	A	A	G

			however programme for occupation is July 2027. Cost reports tracking higher and risks identified in refurbishment works. Removing requirement for modular units and minimising enabling works will assist minimising impact on GSCP. Design review can bring project into budget. SFT advising if additional LEIP funding available to address abnormal costs.	
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SRP.OP.09 Capital Projects – Regeneration

Risk Code	Risk Identification	Managed by	Risk Commentary	Risk Evaluation			
				Timeline	Budget	Risk	Resource
SRP.O P.10	Projects progressing, with Timeline, Budget, Risk and Resource categorised as parameters on a RAG status, with any Red classifications identified and reported.	Executive Director *Place; Head of Development	<ol style="list-style-type: none"> 1. Vogrie Changing Places: issues with contractor. 2. Destination Hillend: Alpine Coaster delivered with access and parking infrastructure. Project absorbed risk and contingency. Delays to delivery resulting from issues with access / water mains. Main Building tender return exceeded budget. Next Phase to be recast. Interim works on water supply and drainage required. 3. Hopefield Industrial Estate: Updated financial model required. 4. Extension to Waste Transfer Shed – Stobhill Depot 5. Dalkeith Asset Rationalisation Programme: Budget now approved by Council. Appointments/procurement strategy being updated and stakeholder consultation to commence. 	R	A	R	A
				R	R	R	A
				R	A	A	G
				G	A	A	G
				A	G	A	G

SRP.OP.04 City Deal

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.O P.04	South East Scotland Region City Deal - a bid for funding to Scottish and UK Governments to accelerate economic growth through investment in infrastructure/ housing/ skills and innovation. 200 Council Houses linked to the City Deal.	Head of *Adult and Social Care; Chief Operating Officer *Education; Chief *Executive; Director *Health and Social Care; Chief Officer	<ol style="list-style-type: none"> 1. City Deal signed in August 2018. 2. Maintain strong Midlothian involvement through the City Deal governance structure. 3. Midlothian City Deal Key Officer (Internal) Group. 4. Securing best arrangements for Midlothian through close liaison with partners and conclusion of business cases. 	4	5	

		*Place; Executive Director *Place; Chief Officer Corporate Solutions; Chief Finance Officer; Chief Officer Young People and Partnerships				
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.O P.04.02	Realisation of outcomes of respective workstreams	Q1 24/25: Work continues on the relevant programmes.	Executive Director *Place	31-Mar-2025		10%