Critical and High Risks

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Midlothian

Rows are sorted by Code

ACC01 Operational - Adult and Community Care

Risk Code & Title	Description	Latest Note	Internal Controls		Current Rating	Actions	Action Status	Due Date	Assigned To
ACC01-05 Meeting growing demands with constrained /reduced budgets, especially from external funders	Community Care: Risks from demographic pressures arising from increasing elderly population and increasing numbers of adults with disabilities and complex needs. Regeneration and SI services e.g. MTS heavily reliant on external funding (around 50% of total funding). Could fail in bids or funding landscape changes. Growing numbers of unemployed and young unemployed	**Q3 2013/14** The projected overspend is gradually being reduced.	•01 - Eligibility criteria etc •02 - Performance reporting •03 - Service transformation programme-older people •04 - Capacity planning and commissioning LD and complex needs •05 - Monitoring and reporting waiting times •06 - Developing performance indicators for reviewing policy •07 - Regeneration sourcing external funding •08 - Monitoring performance to meet contractual requirements •09 - Budget monitoring •10 - Shared services 11- Regeneration Service Review 12- Development of financial module on Frameworki	🛑	19				

Corp Corporate Risks

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
MC01 Corporate Risk Register	This risk register captures the main risks that are corporate in nature . However, it excludes community planning, sickness absence, duty of care to the public, financial management, customer care, data security, PR and communications and efficiencies which are in separate risk registers.	**12/13:** The CRR has again been updated by senior managers during the close down of Q4 and the register will be reported to a CMT in April and the Audit Committee on 7 Mat 2013.		🔴				
MC03 Project - Business Transformation Programme Risks	The BT programme risk register is the vehicle used to identify and address potential risks to the delivery of the transformation programme.	**Q3 13/14** BT Programme risk register reported in alignment with BTB/BTSG meeting schedule, and managed in accordance with the Business Transformation Programme Risk Management Strategy. There are currently 9 identified programme risks with 5 associated actions. Strategic Direction, Programme Resourcing, and Benefits Realisation evaluated as 'high' risks and are being closely monitored by the Business Transformation Steering Group in order to mitigate the potential impact on the overall programme.	Business Transformation Executive Officer and Transformation Manager Programme Management Office Business Transformation Risk Management Strategy Approved Terms of Reference Highlight Report Programme Health Check	🔴	Develop Quality Assurance checklist for Service Review Options appraisal	✅	31-Jul-2011	Sheona Chalmers
MC07 Business Transformation Project - Integrated Service Support	The ISS register is used to identify and address potential risks to the delivery of the ISS project/programme of works.	**Q3 13/14** ISS risk register monitored in accordance with the Councils Policy of Risk Management. There are 5 key risks being managed, 4 of which are evaluated as 'high'. Identified actions are being progressed to mitigate the potential impact. Due to the nature of the project the risk ratings are unlikely to reduce significantly.	Governance and Accountability in place Clear Strategic Direction Benefits Realisation and Projected Financial Savings identified and monitored Engagement and Communication Plan Identified Resource	🔴				

CR Corporate Resources Risks

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
CSE01 Operational - Customer Services Unit	This is a Head of Service operational risk register which should set a risk appetite for risks/threats within the services run. Some are 'generic' and may be found in all HOS's risk registers e.g. Fraud, Waste and Error. It has been agreed that the risk register should only list operational risks that are above a risk appetite (residual risk). Once risks are reduced to low risk they can be sidetracked. Emerging risks of any consequence should be registered immediately. This risk register should correlate with the 'Successes/Challenges' part of the Quarterly Performance Report. Each risk must have an original/inherent risk score, a current risk score, a target risk (appetite) score and a target date for low risk achievement. Each quarter a latest note should be placed against each risk, projecting the future. Internal Controls should also be reviewed as to their effectiveness. The Heat Map below gives an indication of the level of risk within the service.			🔴				
CSE05	Customer Connections			🔴				

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
Customer Connections risk register	Steering Group							
FHR01 Operational - Finance and Human Resources Risks	This is a Head of Service operational risk register which should set a risk appetite for risks/threats within the services run. Some are 'generic' and may be found in all HOS's risk registers e.g. Fraud, Waste and Error. It has been agreed that the risk register should only list operational risks that are above a risk appetite (residual risk). Once risks are reduced to low risk they can be sidetracked. Emerging risks of any consequence should be registered immediately. This risk register should correlate with the 'Successes/Challenges' part of the Quarterly Performance Report. Each risk must have an original/inherent risk score, a current risk score, a target risk (appetite) score and a target date for low risk achievement. Each quarter a latest note should be placed against each risk, projecting the future. Internal Controls should also be reviewed as to their effectiveness. The Heat Map below gives an indication of the	**12/13**: Discussed with HOS and he is satisfied with the risk control.		🛑				

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
	level of risk within the service.							

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
CSE01-01 Legal risks	The Legal section is required to provide advice and guidance to elected members and officers across all council services. There can often be significant financial implications for the council associated with this work. There are therefore risks in delivering this service.	**Q3 13/14:** This remains has been escalated to HIGH this quarter, as there are severe pressures on the internal legal team to meet the demand from services. A business case has been developed aimed at increasing internal team strength, by bringing more legal work back in-house rather than outsourcing under the current framework, thus making better use of available resources.	The main internal controls to mitigate the identified risks are:- 01 - recruiting and retaining professionaly qualified and competent staff 02 - staff maintaining CPD through membership of their professional body 03 - contract for external legal services regularly monitored/reviewed to ensure quality and financial efficiency. Regular re-tendering exercise as required.	🛑 18	Carry out review of internal and external legal services provision	✅	31-Oct-2013	Jim Clifford
CSE01-05 IT - limited staffing resources to meet the IT demands of the Council/inadequate forum for deciding which computer projects are a priority	There are two issues (a) constrained in expanding/sustaining staffing resource and (b) demands for projects are often not properly prioritised and there is no effective forum to decide which computer projects are to be prioritised. Additionally IT may not be involved in computer projects. There are day to day demands on the IT service as demand for computing increases.	**Q3 2013/14:** Current Project workload and day to day operational management activities continues to provide IT Services with significant demand and challenges with its limited resources with particulare reference to PSN. A number of short term contractors have been used as stop gap until replacement staff in situ. Replacement staff will require a number of months to acquire relevant skills and familiarity with Council systems. (Reference to CSE01-27 - Generic Staffing)	The main headline controls are that:- 01 - Generally Projects only commence when IT resource is available which may mean important computer projects are delayed 02- Occasionally an external project resource is commissioned eg Social Work MIS 03 - Balancing resources against competing demands 04 - Use of Agency staff where required, but this is currently subject to an embargo 05 - New Projects approved \ initiated via Digital Strategy Group \ CMT	🛑 19	Recruitment of replacement Senior Support Analyst	✅	31-Jul-2013	
					Recruitment of replacement Systems Officer	✅	30-Aug-2013	
					Recruitment of replacement Computer Technician	✅	27-Dec-2013	
					Digital Strategy Group to set strategic priorities & agree resources going forward	✅	19-Jun-2013	
					IT Service and Structure Review	✅	21-Jun-2013	
					Timely Selection & Recruitment of new IT staff	▶	16-Mar-2014	

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Risk Code & Title	Description	Latest Note	Internal Controls		Current Rating	Actions	Action Status	Due Date	Assigned To
CSE01-07 IT - Compliance - Regulatory, Contractual and Legal	This is the risk of censure and includes DPA, FOI, RIPSA, Computer Misuse, Health and Safety,GSX, NHS, Police q	**Q3 2013\14:** This is currently still High risk due to PSN - Cabinet Office Zero Tolerance approach and the extremely tight timescales to achieve compliance. Briefing papers has been presented to CMT & Council (17/12) providing appropriate details and the wider implications on front line service users.	The main internal controls are:- 01 - Identify areas of poor practice 02 - Educate users with their Information Security responsibilities 03 - Undertake risk assessment of compliance responsibilities for GSX, ViSOR, PLDN and SCRO 04 - Policies and Guidelines exist to maintain compliance 05 - New Projects approved \ initiated via Digital Strategy Group \ CMT	🛑	18	PSN - Blackberry Deployment	❌	20-Jan-2014	
						PSN - Laptop - Mobile Users - deployment	▶️	01-Apr-2014	
						PSN - Extend Corporate Network into Schools	▶️	01-Apr-2014	
						PSN - Upgrade OLM Homecare System to Oracle 11G	✅	15-Nov-2013	Steve Currer; Phil Timoney
						PSN - Eplanning - EDRMS Upgrade	❌	05-Mar-2014	
						Upgrade to Radius Icon (PCI DSS)	✅	30-Sep-2013	
						PCI Compliance	▶️	21-Nov-2014	
						Ongoing review of compliance & legislation in line with best practice	✅	31-Mar-2013	Steve Currer; Phil Timoney
						Review current Contract arrangements with third party providers	✅	27-Sep-2013	Steve Currer; Phil Timoney
						PSN Compliance - Mandated by Cabinet Office	▶️	01-Apr-2014	Steve Currer; Phil Timoney
CSE01-08 IT - Computer Business Continuity Management	Computers play a major role in continuity of business and any major disruption would be crucial and jeopardise the Council's approach to the Civil Contingencies Act	**Q3 2013/14 :** This remains a HIGH risk for the Council but actions and updates are being provided to Business Contingency planning group & Director \ HOS. Grant Thornton (external auditors) report is pending final publication. Reference to CSE01-05 - IT staffing resource could potentially impact on the Councils ability to respond to Business Continuity incident.	The main internal controls are:- 01 - List of critical business systems contained with a generic IT BC Plan 02 - Routine of reporting IT BC into CMT and BCG 03 - Ongoing programme of resilience 04 - Corporate BC plan 05 - Back ups of data and systems on an incremental and full basis. 06 - Specific risk assessment adopted by the Audit Committee on 8 February 2011(attached)	🛑	18	Business Continuity	▶️	31-Mar-2014	
						Review Service Level Maintenance agreements for Business Critical	✅	29-Mar-2013	
CSE01-15 Communications and	The website has an increasing number of users accessing	**Q3, 13-14:** Website has remained stable for a month now following major work by our contractors Jadu	The main internal controls to mitigate the identified risks are:- 1 - Web Replacement	🛑	18	Conduct a rolling review of web content via Head of Service "Content MOT"	✅	31-Mar-2012	Stephen Fraser

Risk Code & Title	Description	Latest Note	Internal Controls		Current Rating	Actions	Action Status	Due Date	Assigned To
Marketing - Risk of website being unavailable and/or inaccurate	information about the council. As the site moves to a transactional service, the integrity, accuracy and availability of the site become even more crucial.	on the server environment to boost resilience. This has allowed a reduction of risk, though the staffing situation remains a risk factor due to the continuing vacancy for the web and intranet manager.	Programme progressing, to populate and launch new internet site with up to date data and interactive services 2 - Web and Internet Manager now appointed to oversee all internet activity 3 - New CMS system is hosted, providing improved resilience 4 - Network of Web Content Creators have been fully trained in "Writing for the Web" 5 - Web Programme Board to ensure governance during project and to then leave successor body to oversee on an ongoing basis.			Implement approvals layer in the web publishing process	✅	31-Mar-2011	Stephen Fraser
CSE01-19 Revenues - collection performance and collection levels across all income streams	This risk relates to the difficulties in maintaining or in fact improving collection rates in all aspects of revenues, despite the currently challenging economic position both externally and internally.	Q3 13/14: Collection will remain a HIGH risk for the foreseeable future due to welfare reform changes. Council Tax collection is down by 0.6% on same period last year. Rent arrears have increased by 2.69% over previous 9 months due to welfare reform cuts, including underoccupancy charge affecting over 800 Council tenants. Improved process for direct deductions being implemented and proactive collection and recovery initiatives with Sheriff Officer. Continued engagement with Council tenants regarding arrears and promotion of discretionary housing payments from increased budget from Scottish Government funding.	The main internal controls are:- 01 - Arrears Management section covers all income sources except AR. Focus on recommendations made in Internal Audit report of December 2009. 02 - AR debt recovery performance is a topic of focus as collection performance begins to rise; the AR system has been assessed in January 2011 and buy-in to internal control increased. 03 - Increased focus on ensuring that Sundry Debt invoices are accurate when issued 04 - More robust regime in AR over 'holds' 05 - Use of external Debt Managers and Sheriff Officers 06 - Collection PIs regularly monitored across all income streams 07 - Robust standard rent arrears procedure including reminders, notice of proceedings, pursuit through court for decree for	🔴	19	Consider extending collection methods, embracing modern and technological advances and opportunities	❌	31-Dec-2013	Kathleen Leddy; Ken Pike
						Management will undertake a review to determine the feasibility of introducing software to allow debtor balance consolidation. If benefits exceed costs the procurement policy will be followed to allow selection and appointment of an appropriate supplier.	✅	30-Apr-2011	Ken Pike
						Follow up -Data cleansing to be completed over the Rent, Council Tax and Sundry Debtor system (e.g. linking accounts etc) to allow software purchase (following the Council's procurement polices) - arrears management of this consolidated debt.	✅	31-Mar-2013	Ken Pike

Risk Code & Title	Description	Latest Note	Internal Controls		Current Rating	Actions	Action Status	Due Date	Assigned To
			repossession and recovery of arrears 08 - Robust legislative recovery process for Council Tax including reminder, final demand, Summary Warrant and diligence 09 - Range of payment methods available including DD, SO, ATP, bank giro, internet, cash/cheques 10 - Use of well established software, Civica OpenRevenues (IBS) and Academy Housing Rent system 11 - Sheriff Interface complete 12 - Secured best possible third party collection agents for Sheriff Officer services. 13 - Data matching exercise to identify large debtors						
CSE01-20 Revenues - Ensuring longer term arrangement for Non Domestic Rates	It is necessary to explore the options in relation to administration of non domestice rates and to secure the best option for Midlothian going forward as the current service is proving expensive.	**Q3 13/14:** City of Edinburgh Council (CEC) will continue to provide our NDR services in-house. New contract still to be finalised - Procurement team assisting with this. Risk score will be reduced from HIGH to MEDIUM/LOW once new agreement with CEC signed off.	The main internal controls are:- 01 - Consider options in light of strategy to exit City of Edinburgh arrangement 02 - Go through formal tender process to evaluate and assess best value of options 03 - Implement new detailed contract with successful tenderer, for a fixed period, with clear outline of our requirements and stipulations in relation to administration 04 - regularly review performance on an ongoing basis, addressing any issues that arise (operational and strategic)	🛑	18	Carry out internal costing exercise for delivery of NDR service	✅	31-Dec-2010	Ken Pike
						Implement suitable option for future NDR administration (in-house, shared service or third party)	❌	31-Mar-2013	Ken Pike
CSE01-21 Revenues - provide an effective benefits service, with improved	This risk relates to the requirement to continually improve benefits processing times, whilst introducing new technologies and preparing the service for	**Q3 13/14:** This has been escalated to HIGH risk as benefit processing is an area of risk, in view of significant increase in workload from legislative changes and new responsibilities for Scottish Welfare fund from April 2013. Also reduced number of staff	Headline internal controls centre include:- 01 - Use of well established software, Civica Income Management (RadiusIcon) 02 - well trained collections & enquiries staff	🛑	19	Implement Open Access for customer self-service	▶	31-Mar-2014	Jane Harvey; Kathleen Leddy

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processing times and fit for purpose in a modern environment	the major changes which will be introduced through Welfare Reform, the SFIS etc.	from maternity leave and unfilled vacancies, partly covered by additional agency staff. Value of LA error and Admin Delay currently significantly above upper threshold, meaning extreme likelihood of loss of potential additional subsidy for 2013/14 (currently £145k and threshold at Q3 is £106k).	03 - Electronic File Import Procedures 04 - documented cash office and back office procedures 05 - Income Returns received from Divisions and Centres 05 - Daily return prepared for the General Ledger 06 - Income Control Account 07 - Bank Reconciliation 08 - E-payments 09 - Implementation of ATLAS 10 - External audit of HB&CTB and follow up audit						
CSE01-22 Revenues - Legislative changes, inc Welfare Reform Act	This is the risk associated with the significant changes in legislation arising from the Welfare Reform Act and other major changes	**Q3 13/14:** This will remain HIGH risk for the foreseeable future. There continues to be a lot of uncertainty with the delays to the introduction of Universal Credit, however it is known that these will have a significant effect both on staff and customers, as well as the wider impact on the finances of the Council, through loss of Admin Grant, likely increase in arrears, more difficulty in collecting all revenue etc. The delays to the timetable for the introduction of Universal Credit continues to create difficulties in recruiting staff on fixed term contracts until future role in service delivery is determined by Department for Work and Pensions.	Whilst we have no overall control over the changes which will be imposed upon us, the controls available in relation to our handling of these include: 1 - good network of revenues professionals and contacts to provide direct feedback from DWP and government (through IRRV Scottish Revenues Forum and IRRV Scottish LA Investigators Group) 2 - regular liaison with software suppliers 3 - experienced and well qualified management team, keeping abreast of legislation as it progresses through the stages before implementation	🛑	19	Open dialogue with HR and Unions regarding impact of Welfare Reform on staffing and liaise throughout preparation and implementation period	▶	31-Mar-2014	Ken Pike
						Liaise with software suppliers re changes brought about by welfare reform and associated changes (CTB)	✅	01-Apr-2013	Kathleen Leddy
						Prepare for implementation of Single Fraud Investigation Service and implement necessary solution	▶	31-Mar-2014	Kathleen Leddy
						Keep abreast of government announcements and information regarding Welfare Reform, implementation of Universal Credits etc and prepare project plans as necessary to implement changes	✅	31-Mar-2013	Kathleen Leddy; Ken Pike
						Prepare for replacement of Council Tax Benefit and manage project through implementation	▶	31-Mar-2014	Kathleen Leddy; Ken Pike
						Prepare for implementation of Crisis Grants & Community Care Grants and implement necessary solution	✅	31-Mar-2013	Ken Pike

CSE05 Customer Connections risk register

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
CSE05-05 Technical difficulties	This is the risk of objectives not being met due to lack of skillset to deal with required technology, required technology being too expensive, bottlenecks blocking completion of work, failure to escalate difficulties to Jadu support timeously etc.	**Q1 13/14:** We have not yet addressed the ongoing resilience issues, experienced during the period of high volume activity in March 2013 and this is further compounded by a new technical problem, recurring on a weekly basis (short term disruption to service). In view of this, the risk is flagged as HIGH meantime. An options appraisal and costings have been prepared for presentation to CMT in relation to upgrade to provide more resilience for future high volume periods. Work also ongoing to identify source of recurring problem and suitable solution. Should be able to reduce to LOW again once solution chosen and implemented.	Internal controls include: 1. IT Development technical resource part of Customer Connections Steering Group Plan and monitor work. 2. Web Manager maintains regular contact with Jadu support team.	🛑 19	Resolve any technical problems which arise during whole period of website enhancement	✅	22-Jun-2012	

CSU01 Operational - Communities and Support Services

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
CSU01-30 Libraries - Business Continuity	Threat of loss of Business Continuity due to the age and performance of the Library Management system server	**Q3 13/14**. Digital Strategy Group approved the business case for the upgrade of the library management system. Report going to CMT for the appropriate funding.	01. IT are monitoring the server.	🛑 18				

CWB Communities & Wellbeing Risks

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
ACC01	This is a Head of Service			🛑	Invite HR person to attend weekly	✅	01-Nov-2011	Matthew Dunn;

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Operational - Adult and Community Care	operational risk register which should set a risk appetite for risks/threats within the services run. Some are 'generic' and may be found in all HOS's risk registers e.g. Fraud, Waste and Error. It has been agreed that the risk register should only list operational risks that are above a risk appetite (residual risk). Once risks are reduced to low risk they can be sidetracked. Emerging risks of any consequence should be registered immediately. This risk register should correlate with the 'Successes/Challenges' part of the Quarterly Performance Report. Each risk must have an original/inherent risk score, a current risk score, a target risk (appetite) score and a target date for low risk achievement. Each quarter a latest note should be placed against each risk, projecting the future. Internal Controls should also be reviewed as to their effectiveness. The Heat Map below gives an indication of the level of risk within the service.					meetings in ACC			Rebecca Fairnie; Tom Welsh
HCS01 Operational -	This is a Head of Service operational risk register	**Q3 12/13:** HOS met Risk and Audit Manager and discussed risks.			🛑				

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Housing and Community Safety Unit	which should set a risk appetite for risks/threats within the services run. Some are 'generic' and may be found in all HOS's risk registers e.g. Fraud, Waste and Error. It has been agreed that the risk register should only list operational risks that are above a risk appetite (residual risk). Once risks are reduced to low risk they can be sidetracked. Emerging risks of any consequence should be registered immediately. This risk register should correlate with the 'Successes/Challenges' part of the Quarterly Performance Report. Each risk must have an original/inherent risk score, a current risk score, a target risk (appetite) score and a target date for low risk achievement. Each quarter a latest note should be placed against each risk, projecting the future. Internal Controls should also be reviewed as to their effectiveness. The Heat Map below gives an indication of the level of risk within the service.	Satisfied that the risk register mirrors current challenges and potential issues.						

ECS Education & Children's Services Risks

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
CSU01 Operational - Communities and Support Services	This is a Head of Service operational risk register which should set a risk appetite for risks/threats within the services run. Some are 'generic' and may be found in all HOS's risk registers e.g. Fraud, Waste and Error. It has been agreed that the risk register should only list operational risks that are above a risk appetite (residual risk). Once risks are reduced to low risk they can be sidetracked. Emerging risks of any consequence should be registered immediately. This risk register should correlate with the 'Successes/Challenges' part of the Quarterly Performance Report. Each risk must have an original/inherent risk score, a current risk score, a target risk (appetite) score and a target date for low risk achievement. Each quarter a latest note should be placed against each risk, projecting the future. Internal Controls should also be reviewed as to their effectiveness. The Heat Map below gives an indication of the level of risk within the service.			🔴				
ED02	This is a Head of Service			🔴				

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
Operational - Schools ICT section risks	operational risk register which should set a risk appetite for risks/threats within the services run. Some are 'generic' and may be found in all HOS's risk registers e.g. Fraud, Waste and Error. It has been agreed that the risk register should only list operational risks that are above a risk appetite (residual risk). Once risks are reduced to low risk they can be sidetracked. Emerging risks of any consequence should be registered immediately. This risk register should correlate with the 'Successes/Challenges' part of the Quarterly Performance Report. Each risk must have an original/inherent risk score, a current risk score, a target risk (appetite) score and a target date for low risk achievement. Each quarter a latest note should be placed against each risk, projecting the future. Internal Controls should also be reviewed as to their effectiveness. The Heat Map below gives an indication of the level of risk within the service.							

ED02 Operational - Schools ICT section risks

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
ED02-12 Recovery of Service after Major Incident	The main risks are (1) data back up and recovery (2) application failure affecting school and central operations (3) outbreak of fire in comms room (4) cabling difficulties in schools (5) loss of major hub sites (6) failure to support online services (7) smartcard application failure affecting school operations (8) infrastructure failure (INTERCONNECT) (9) loss of minor hub sites (10) power failure in major/minor sites (11) infrastructure failure (WAN) (12) email failure (13) infrastructure failure (LAN) (14) major component failure (15) other major service failure (16) failed environmental controls (17) incompatibility between corporate and schools ICT systems and (18) hostile environment in comms room.	**Q3 13/14:** Risks 1, 2, 3, 4, 5, 7, 9, 12, 13, 14, 15, 17, 18 risk reduced to acceptable level Rest are as follows, which retains the risk score at high. 6 - Glow interim service still to be delivered as fully working model. 8 - Glow Interconnect settled down, very few problems over past 3 months. 10 - UPS in place but no power backup in major hub sites. Major problem for power outage of more than a couple of hours. 11 - All possible routes in place. Introduction of Lasswade Centre has increased some risks but decreased others. Still looking at resilience issues and possible contingencies. 16 - Monitoring in place and working well. Out of hours still adhoc, cover by senior officers.	***Data back up/recovery*** 01 - procedure 02 - information shared with staff back up security 03 - Generic IT Business Continuity Plan ***Application failure*** 01 - local support in place 02 - external support contract in place 03 - liaison with other education authorities ***Fire in Comms Room*** 01 - fire safety policy//guidance from H&S 02 - fire risk assessment 03 - fire detection equipment 04 - envoironmental monitoring equipment in place ***Cabling difficulties in schools*** 01 - TSO route planning with contractor 02 - Asbestos register alert on all appropriate orders 03 - partner working with Commercial ***Loss of Major Hub Sites*** 01 - Greenhall, Dalkeith Campus BC plans 02 - WAN disaster recovery plan 03 - Resilience reviews ***Online Services*** 01 - Quality of on-line services monitored by EO ***Smartcard*** 01 - System monitored by Education and Commercial Services 02 - Support contract in place ***InterConnect*** 01 - National SSDN contract in place 02 - 24x7 monitoring 03 - resilience	18	Conduct an internal review of resilience and recovery capabilities		30-Jun-2014	Tom Lawson

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
			Minor Hub sites 01 - WAN disaster recovery 02 - resilience **Power failure - major/minor sites** 01 - power supply recovery plan 02 - UPS on critical services **WAN** 01 - contracts with suppliers 02 - 24 x 7 monitoring 03 - resilience **E-mail** 01 - daily system testing, 24x7 monitoring 02 - external support contract 03 - external consultancy on best solution **LAN** 01 - 10x5 monitoring 02 - swap out procedure 03 - resilience **Major Components** 01 - support contracts 02 - staff training 03 - resilience **Other Major Service Failure** 01 - daily system test, 24x7 monitoring 02 - external support contract 03 - external consultancy on best solution **Environmental Controls** 01 - Financial directive 02 - IT intranet guidance 03 - knowledge of procedures, staff and training **Corporate and Education ICT** 01 - regular contact 02 - standards compliance 03 - Head of It/EO monitoring **Hostile environment in Comms Room** 01 - environ monitoring equipment					

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
			02 - Duty Officer					

FHR01 Operational - Finance and Human Resources Risks

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
FHR01-03 FINANCIAL- Not achieving balanced and sustainable budget	Main risk is not achieving efficiency savings at required rate to meet the threat of budget deficits. Autumn 2012: Business Transformation delays in realising savings, requiring budget pressures into 2013/14 budget.	**12/13:** Budgets are balanced for 13/14 but there are challenges thereafter. Leave as high risk because it is possible that further budget cuts will be possible if there are delays with the BTP realising savings.	The main internal controls are:- 01 - Subsumed within the Business Transformation Programme and risk managed through it. 02 - Regular reporting to Full Council on financial strategy 03 - While the BTP has an agreed programme and reserves are at sustainable levels, it is recognised that the BTP will need to remain flexible and be adapted as the financial position is clarified over the coming months. 04 - Work of the Strategic Leadership Group in reviewing budget pressures and cuts 05 - Financial discipline across all services	🔴 18	Internal Audit review of efficiencies realised to date	🟧	31-Mar-2011	Internal Audit; Elaine Greaves; Chris Lawson

HCS01 Operational - Housing and Community Safety Unit

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
HCS01-10 Environmental Health - Caravan sites that are unsafe and in contravention of national	There are 5 residential caravan sites in Midlothian accommodating around 180 caravans. Risk of non- adherence against national standards on condition of	**Q3. 2013/14 : On Targe**t. Risk Assessment reviewed in Q3. An Emergency Planning Exercise carried out in June 2012 for the high risk site at Straiton Park. The land use and stability issue at Straiton Caravan Park is under review at MC Planning Committee.	01 - Local knowledge or public reporting - such a situation would receive appropriate enforcement 02 - Where a change is notified, ensure that new licence procedures followed (eg in ownership etc) 03 - Regular inspections with	🔴 22				

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
standards	caravans and sites. Fire risk increased in restricted spaces. All sites licensed - licences compliant with national model standards. Scottish Government legislation review in 2013. 3 touring sites all considered low risk. Straiton Park has considerable risk of instability.		appropriate action taken 04 - Experienced staff; training by senior management 05 - Action within 3 month period or agree extension with applicant 06 - Ensure during inspection of sites that gas safety records are being maintained. 07 - No H&S legislative powers 08 - Licensing conditions monitored against the model standards 09- Straiton Park Emergency Plan developed Oct 2008 and desk top exercise completed Nov 2008 - 3 yr review and 2012 More recent controls:- 01 - Report on Straiton to Council January 2013 02 - Straiton issues being addressed through the courts					
HCS01-20 Generic - Information Management and Data Protection	Heads of Service consider control of information and data. H&CS services have constant use of personal and sensitive data	**Q3 2013/14 : On Target.** Risk reviewed in Q3.	01 - Part of Corporate IMG 02 - Divisional IMG 03 - Staff awareness and training 04 - Computer systems; Permission levels e.g. community safety access to the Police database 05 - Control built into competency appraisals	🛑 18				

MC01 Corporate Risk Register

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
MC01-05 Balancing Budgets in future years/Impact	Potential sub risks include:- 01 - Slow realisation of savings 02 - Improvements to	**Q3 13/14:** The Budget strategy was agreed by Council in May 2013 and latest report to Council in December 2013 addressed the gap. The report also provided an outline of plans to	01 - Finances and efficiencies are enveloped within the BT Programme and are reported regularly to Full Council. BTP is expected to heavily impact on	🛑 18	Budget projections	✅	14-May-2013	

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of Budget Cuts/Financial Strength of Council	services cannot be financed as a result of budget cuts 03 - Missing external grant opportunities 04 - Poor collection performance in income streams 05 - Fees and charges out of date 06 - Unforseen commitments	address future year's budget shortfalls. This remains a high priority for Corporate Management Team	efficiencies. 02 - Financial Planning and Discipline 03 - Development of Service Review Programme and engagement of all stakeholders in finding efficiencies 04 - Other BT workstreams 05 - External grant-finder database 06 - Income streams subject to review, debt recovery and performance indicators						
MC01-08 Corporate Change and Transition	Potential sub risks include:- 01 - Delays 02 - Cost creep 03 - Slow benefits realisation and budget savings 04 - Objectives of changes not actually met 05 - Adverse impact on services 06 - Staff morale affected 07 - Government step-in	**Q3 13/14:** September Council agreed a 3 year plan of future transformation activity to help close the 2014/15 budget gap and deliver 2015/16 and 2016/17 savings. The sequential programming of the seven projects will be considered by February Council on conclusion of an exercise being carried out to validate the initial scope of the projects and the feasibility of achieving the saving targets set by the Strategic Leadership Group. The Business Transformation Programme Risk Register is managed in accordance with the Business Transformation Programme Risk Management Strategy. The risks evaluated as high probability continue to be addressed to mitigate the likelihood and potential impact on the programme. Strategic Direction, Programme Resourcing, and Benefits Realisation are currently evaluated as 'high' risks and are being monitored by the Business Transformation Steering Group.	General:- 01 - Corporate Improvement Programme and BT Programme supported by Governance Framework and a Strategy 02 - Business Transformation Board 03 - Approved BT Governance Model 04 - Risk assessments at appropriate levels within the BT Programme 05 - BT maintained at a high profile through various initiatives including Leadership Forum, agendas and minutes available to staff and In brief. 06 - PC Replacement Programme investment, in support of change, approved by CMT on 18.6.12	🔴	19	Once the Corporate Strategy refresh for 2011-13 has been undertaken, carry out a risk assessment and present to CMT	🟥	30-Apr-2011	Internal Audit; Zoe Graham; Elaine Greaves; Chris Lawson
						Conduct an Internal Audit into the governance of the Corporate Improvement Programme	✅	31-Oct-2010	Internal Audit; Elaine Greaves; Chris Lawson
						Ensure risk registers and risk reporting is in place for all BT work streams (in liaison with other managers)	✅	31-Jul-2012	Nancy Brown; Zoe Graham

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
MC01-09 Legal and Regulatory Compliance	The potential sub risks include:- 1. A local authority is bound by a plethora of legislation and government regulation: and 2. Ultra vires actions could transpire	**Q3 13/14**: This remains a HIGH risk meantime, as significant assurance is required at present in relation to protecting data. The current challenge facing us, to maintain our Code of Connection with the Public Sector Network (PSN, formerly GSX), is proving a huge issue nationally and we are still working to ensure that we can meet the new "zero tolerance" approach imposed by the Cabinet Office. This is placing significant resource pressures upon us, as well as severe additional financial pressures and a direct impact on working practices. Separately, there still remains some concern that not all significant pieces of new legislation are adequately risk assessed, due to lack of available legal resources. A report has been prepared to propose a change to delivery of legal services which should assist in this regard.	General:- 01 - New legislation is accepted and resources allocated accordingly 02 - Occasionally the Council is consulted on secondary legislation 03 - Changes to regulation can result in training of staff e.g. Revenues section 04 - Role of the Monitoring Officer (Head of Customer Services) 05 - Legal Services section advice 06 - Projects are often supported by external legal consultancy 07 - Equalities Impact Assessments 08 - External inspection pre-assessments focus on compliance 09 - Each piece of major legislation is risk assessed e.g. Bribery Act and Welfare Reform Bill 10 - Significant investment and time devoted to IT Data Security 11- Strategic Environmental Assessments 12 - Acute focus on Data Protection and Health and Safety legislation	🛑 18	Convene and facilitate risk workshops for all 11 Heads of Service and Middle Managers	✅	18-Nov-2010	Internal Audit; Elaine Greaves; Chris Lawson
					Carry out a risk assessment into the threat of not addressing the Bribery Act 2010	✅	31-Aug-2011	Internal Audit; Elaine Greaves; Chris Lawson
					Remind management that risk assessing new legislation is useful and provide the risk assessment facility.	✅	29-Feb-2012	Internal Audit; Elaine Greaves; Chris Lawson
					Develop better corporate approach to Strategic Environmental Assessment (SEA)	❌	30-Jun-2012	Brian Forsyth; Janice Long
					Expand the Fraud & Corruption Policy to include more detail on the Bribery Act 2010	✅	30-Jun-2012	Internal Audit; Elaine Greaves; Chris Lawson
					Carry out an Internal Audit of compliance with Equalities legislation	🟧	31-Aug-2012	Internal Audit; Elaine Greaves; Chris Lawson
					Invite Information Commissioner to audit the Council's data protection arrangements	✅	31-Mar-2013	Phil Timoney
					Invest in Info Management/Encryption (e-mails)	✅	31-Oct-2012	Steve Currer; Phil Timoney
					Invest in ongoing improvements in information management and data encryption (e-mail)	✅	31-Oct-2012	Steve Currer; Phil Timoney
					Invest in Payment Card Industry (PCI) compliance.	✅	31-Oct-2012	Steve Currer; Phil Timoney
MC01-12 Welfare Reform Act	This is deemed to be a severe challenge for the Council and its citizens with specific risks identified in a report to CMT on 18.6.12 as follows: Insufficient Service Capacity, Reduced Revenues for	**Q2 13/14:** This will remain HIGH risk for the foreseeable future. Several legislative changes have now been implemented, e.g. the under-occupancy charge (bedroom tax), and the Scottish Welfare Fund has gone live, with administration of Crisis Grants and Community Care Grants now being carried out by the	01 - Working Group chaired by Acting Director, CWB and involving 3 divisions 02 - Risk Assessment within project - WF risks as well as project risks 03 - Summarising reports to CMT 04 - Project management set up; adopting project management	🛑 19	Open dialogue with HR and Unions regarding impact of Welfare Reform on staffing and liaise throughout preparation and implementation period	▶️	31-Mar-2014	Ken Pike
					Liaise with software suppliers re changes brought about by welfare reform and associated changes (CTB)	✅	01-Apr-2013	Kathleen Leddy

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
	Council and Organisational Change. There are sub-risks as well, all to be developed in the Project Risk Management Plan. Normally, this risk would sit under risk MC01-09 but because of its high impact, it has been separated out.	council. Close monitoring of this service is showing that we may need to increase the resources in this area, as early indications are that it is impacting negatively on other parts of the Revenues and Contact Centre services. There continues to be uncertainty around other aspects of the Welfare Reform changes e.g. the introduction of Universal Credit, but it is acknowledged that these will have further significant impact, both of staff and customers. There will also be wider impact on the finances of the Council, through loss of Admin Grant, inevitable further increase in arrears and more difficulty in collecting all revenue, as well as the increased demand for advice, guidance and assistance.	principles and creating work streams and project deliverables 05 - Work streams are - targeted advice programme, advice and support services, interagency training and development, housing, revenues and communications 06 - Appropriate project and training resource identified 07 - One report already submitted to Council after New Year 2012; another planned for Summer 2012 08 - First phase of impact analysis 09 - PDD is planned to bring clarity 10 - Attempting to influence external risks which could be uncontrollable 11 - CoSLA attendance and other elements of consultation e.g. with community planning partners		Prepare for implementation of Single Fraud Investigation Service and implement necessary solution	▶	31-Mar-2014	Kathleen Leddy
					Keep abreast of government announcements and information regarding Welfare Reform, implementation of Universal Credits etc and prepare project plans as necessary to implement changes	✓	31-Mar-2013	Kathleen Leddy; Ken Pike
					Prepare for replacement of Council Tax Benefit and manage project through implementation	▶	31-Mar-2014	Kathleen Leddy; Ken Pike
					Prepare for implementation of Crisis Grants & Community Care Grants and implement necessary solution	✓	31-Mar-2013	Ken Pike
					Develop a Welfare Reform project risk register and allocate service-specific risks into HOS risk registers	✓	31-Aug-2012	Clare Ireland; Graham Kilpatrick; Alasdair Mathers

MC03 Project - Business Transformation Programme Risks

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
MC03-04 Programme Resources - Staff	- Risk that insufficient skilled resource is made available from the business to support transformation projects. - Risk that conflicting priorities direct key staff from programmed activity. - Risk that Transformation staff resource is insufficient to	**Q3 13/14** risk evaluated as 'high' due to lack of clarity on the future structure of the Corporate Improvement and Business Transformation Team under ISS. This risk is being addressed with the progression of phase 1 of ISS and is being monitored by the Business Transformation Steering Group.	Clearly defined roles and responsibilities of core team managed by Business Transformation Manager Skill transfer and knowledge arrangements People skills developed to ensure staff are equipped to deliver transformational change Business Transformation Manager assesses staff resource and address concerns, escalating	⬣ 18	Clarity of roles and responsibilities clearly defined within core team to ensure resource is effectively utilised.	✓	30-Jun-2012	Sheona Chalmers
					Embed systems thinking skills and techniques across core team during first intervention phase	✓	31-Aug-2012	Sheona Chalmers
					Engage divisional resource during systems thinking activity	✓	31-Mar-2013	Sheona Chalmers
					Identify staff resource requirements	✓	30-Sep-2012	Sheona

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
	meet the needs of the programme. - Risk that key staff leave, during the programmed activity, or take unexpected long term absence. *Failure to address these staffing risks could impede programme and impact on delivery of target savings.*		to BTB if appropriate Transfer of systems thinking approach		to support the third intervention.			Chalmers
					Identify & Resource the longer term position of the Complaints Coordinator Post	✅	30-Apr-2013	Zoe Graham
					Highlight the risk to the organisation of progressing priority transformation projects with transformation staff on fixed term contracts, and seek clarity on the future structure of Corporate Improvement and Business Transformation under ISS.	❌	30-Sep-2013	Zoe Graham
MC03-09 Benefits Realisation & Projected Budget Shortfall	Risk that programme does not deliver the efficiency savings target and service delivery improvements. Failure to align future transformation activity to help bridge the projected budget shortfall.	**Q3 13/14** risk evaluated as 'high' due to lower than expected transformation savings and clarification on future transformation activity. Business Transformation Officers working with Project Sponsors to validate the identified target savings, as set by the Strategic Leadership Group, and scope of the identified projects. The findings of this exercise will be presented to February Council and will inform the prioritisation of the transformation programme.	Measureable benefits detailed in project definition documentation and scope Progress against targets reported to Project and Programme Board in normal reporting cycle Post implementation/benefits realisation review conducted for every BT Project and reported to BTB Programme in place to deliver savings and regular monitoring in place with Section 95 Officer Regular BTB review of BT Fund utilisation Project Highlight reports Programme Health Check	🔴 18	Transformation Manager to establish system for tracking benefits.	✅	31-Aug-2012	Sheona Chalmers
					Identify central stages of budget.	✅	31-Aug-2012	Sheona Chalmers
					Revise and adopts Highlight Report to capture financial data.	✅	30-Apr-2013	Zoe Graham
					Financial Programme Health Check	✅	31-May-2013	Zoe Graham
					Develop a systems review storyboard to illustrate the journey of review and delivered benefits.	✅	31-Jul-2013	Zoe Graham
					Strategic Leadership Group to develop a 3 year outline plan of future transformation activity for endorsement by Autumn Council.	❌	01-Oct-2013	Zoe Graham

MC07 Business Transformation Project - Integrated Service Support

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
MC07-02 Strategic Direction	Project fails to have a clear strategic direction and clarity of purpose. - Lack of clarity as to what areas are in/out of scope	**Q3 13/14** Population 'locked' down with exception of Planning and Performance which requires ISS Board approval. ISS informal working group continues to review 3rd/4th tier structure. Head of Finance and ISS	ISS PDD Governance Structure Project Sponsors Project Manager Terms of Reference Regular meetings scheduled with	🔴 18	Scenario planning exercise	✅	27-Aug-2013	Zoe Graham
					Scenario Planning Workshop	✅	20-Aug-2013	Zoe Graham
					Conduct 1:1 sessions with Strand	✅	16-Aug-2013	Zoe Graham

Risk Code & Title	Description	Latest Note	Internal Controls		Current Rating	Actions	Action Status	Due Date	Assigned To
	- Duplication with other projects - Lack of political steer has potential to impact significantly on project	appointed.	Integra upgrade			Leads			
						Meet with P2P project managers	✅	25-Jul-2013	Zoe Graham
						Information/Seek Guidance from Elected Members	✅	30-Sep-2013	Zoe Graham
						ISS future models created and shared with ISS Board	✅	03-Sep-2013	
						Populated Data and Scope locked down by ISS Board & ratified by Finance	✅	01-Oct-2013	Zoe Graham
						Appointment of Heads of Service/Clarity of Portfolios	✅	20-Dec-2013	Zoe Graham
						ISS informal working group complete review 3rd/4th tier structure	✅	31-Dec-2013	Myra Forsyth; Zoe Graham; Corporate Improvement Section
						Implement new Finance and ISS structure	▶	30-Jun-2014	Gary Fairley
MC07-03 Benefits realisation and projected financial savings	Project fails to deliver the efficiency savings targets and service delivery improvements.	**Q3 13/14** Delay in appointing Head of Finance and ISS has impacted on the projected year one savings. Savings target to be reviewed. David Gladwin continues to capture financial movement in ISS. The requirement to justify process for delayering management tiers and subsequent financial savings recognised.	Measureable benefits detailed in PDD Reporting of progress against milestones Project Sponsors Project Manager Collaboration with Financial Business Partner Quantification of financial data by Strand Leads	🛑	18	Process agreed with David Gladwin/Lynn Ramsay for capturing financial movement in ISS	✅	30-Sep-2013	Zoe Graham
						Quantification process on vacant posts.	✅	03-Sep-2013	Zoe Graham
						Year 1 £750k (14/15) savings target reviewed	✅	31-Mar-2014	Zoe Graham
						Justify process for delayering management tiers and subsquent financial savings	✅	20-Dec-2013	Zoe Graham
						On target to achieve Year 1 (14/15) savings target (£750k)	▶	31-Mar-2015	Gary Fairley
						Quantify savings from intial phase of management review	▶	30-Apr-2014	Gary Fairley
MC07-04 Engagement	Failure to engage and communicate with staff	**Q3 13/14** Trade Union Consultation Forum continues; Next phase of	ISS Communication Plan Project Sponsors	🛑	18	Clarify role of Communications Team.	✅	19-Jun-2013	Zoe Graham

Risk Code & Title	Description	Latest Note	Internal Controls		Current Rating	Actions	Action Status	Due Date	Assigned To
and Communication	and identified stakeholders will impact negatively on staff morale and the organisations reputation. - Lack of progress due to opposition from service areas - Empowerment issues created by poor communication across all levels - Trade union opposition/delays	communication with ISS population, including presentations, to be reviewed following the appointment of Head of Finance and ISS.	Project Manager Strand Leads Trade Union discussions Regular reporting Consultation Forum Business Transformation Steering Group Strategic Leadership Group Networking with Community Planning Partnership ISS Communication Working Group			Establish an ISS Communications Team	✅	09-Aug-2013	Zoe Graham
						Establish a Comms narrative	✅	09-Aug-2013	Zoe Graham
						Draft informal communications letter/FAQ	✅	09-Aug-2013	Zoe Graham
						Create a presentation for sharing with all staff.	✅	09-Aug-2013	Zoe Graham
						Trade Union consultation Forum	✅	09-Aug-2013	Zoe Graham
						Engage with Heads of Service	✅	12-Sep-2013	Zoe Graham
						Create ISS information share booklet	✅	20-Sep-2013	Zoe Graham
						Sept In Brief ISS update	✅	20-Sep-2013	Zoe Graham
						Issue ISS In Brief (November)	✅	30-Nov-2013	Zoe Graham
						Issue Information Share to Leadership Forum and Identified ISS Managers	✅	29-Nov-2013	Zoe Graham
						Informal letter issued to ISS population	✅	13-Nov-2013	Zoe Graham
						Carry out Face to Face Group Sessions (presentations)	❌	20-Dec-2013	Zoe Graham
						Carry out lessons learned exercise following ISS letter circulation	✅	08-Nov-2013	Zoe Graham
						ISS FAQs uploaded to Intranet	✅	14-Feb-2014	Zoe Graham
						Agree format for sharing communications mediums	✅	31-Oct-2013	Zoe Graham
MC07-05 Resourcing the Project	Failure to address adequately the resourcing of the ISS Project. - Project Team members	**Q3 13/14** interimProject Manager arrangements in place for the remainder of phase 1, following the resignation of Gary Cockburn. Phase 2 resourcing arrangements requires	Skill/Knowledge transfer Allocated time in Strand Lead work schedules MS Project Plan	🛑	22	PM to meet with Transformation Team re resourcing second phase of ISS	✅	02-Aug-2013	Zoe Graham
						Resource second phase of ISS	❌	20-Sep-2013	Zoe Graham

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
	unable to commit their time to the project - Insufficient BT support to meet the needs of project activity	direction and clarity from the ISS Project Board.			Offer Transformation support to Strand Leads	✅	02-Aug-2013	Zoe Graham
					Appoint Project Manager/Agree interim arrangements	✅	17-Jan-2014	Zoe Graham

MC Midlothian Council

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
Corp Corporate Risks	In this section are corporate risks that impact on just about everything in the Council. This is the Corporate Risk Register (CRR), managed and reviewed by CMT every quarter.	**18.2.13** - Senior Managers have updated their parts of the risk register and a report was presented today, to CMT. The report was approved, subject to the following changes:- 1. Do not relegate 'Condition of Assets' as there are remaining challenges e.g. IT and elected members may have to constrain capital spending in the future if revenue budgets have to be reduced. 2. Insert in the Q3 latest note under MC01-01 People Risk about improvements required in working practices, shaping the workforce and changing the culture amongst employees 3. Bring forward audits of MC01-05, MC01-07 and MC01-12 from 2014/15 Audit Plan into 2013/14.		🔴				
CR Corporate Resources Risks	This is the section covering the CR division. In here are 5 operational service risk registers, the Information Security risk register, one BTP project and specific project risk registers. Any risk	**Q3 12/13**: Risk and Audit Manager has met Heads of Service re the existing risk exposure and some alterations have been made. The Property Services Manager has created a new SHQS project risk register for the £5M project over the next 3 years. Managers have been		🔴				

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	causing serious problems can at any time be elevated to the Corporate Risk Register (CRR).	reminded to update their risks, sidetracking any risks not now troublesome, checking risk scores, looking for any residual risk above a certain acceptable tolerance (risk appetite), scanning the horizon for new risks emerging, checking that internal controls and actions are effectively controlling risk and generally being comfortable with their risk management. It is accepted in these challenging times for the Council that we have a first-class risk management system.						
CWB Communities & Wellbeing Risks	In this section are two operational risk registers - ACC and HCS - and a Neighbourhood Planning risk register which is a project. Both Heads of Service are proactive in evaluating their risks. It was recognised that the integration of Health and Social Care is to be a major challenge, it is new regulation which could have warranted a separate, legislation risk register. It also could have warranted a separate project risk register but it has been agreed that the risk is to be accommodated in the Adult and Community Care risk register.	**Q3 12/13**: In this period of challenge for the Council, and a sharper focus on risk that could impede services, both Heads of Service have been reminded to review, along with their managers, their current risk exposures, look where residual risk is above an acceptable level (risk appetite), sidetrack risks that are not now problematic, scan the horizon for new risks emerging, check that internal controls and actions are working to control risk and each risks future is projected. The Risk and Audit Manager is on hand at any time to advise.		🔴				
ECS Education & Children's Services Risks	In this section, there are 3 operational risk registers - Education, Children and Families and Communities and Support Services, each	**Q3 12/13:** The three Heads of Service and Education Officer, ICT have been advised to review and update, along with their managers, their risk registers, checking the accuracy of risk scores, highlighting		🔴				

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
	managed by a Head of Service. There is also an ICT Schools risk register managed by the Education Officer, ICT.	residual risk about an acceptable tolerance (risk appetite), scanning the horizon for new risks, sidetracking risks that are not now problematic, checking that internal controls and actions are controlling risk and generally being comfortable with the management of risk. It is important during this challenging time for the Council that the Council's risk management is first-class.						

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MC Midlothian Council	This report shows in headline terms the risk profile of the Council, at any given time. Those scored red and yellow demonstrate a level of residual risk above a certain appetite, or the residual risk cannot be lowered any further (these are a minority. Those scored green and blue are reported as achieved the risk appetite, an acceptable tolerance level.	**Q3 12/13 Review and Update:** 01 - Corporate Risk Register improved and being prepared for a CMT at the end of January 2013; 02 - Concerted effort to get Heads of Service to review all their risks, check the current scores, sidetrack any risks that are not now troublesome, scan the horizon for new risks, try and control risks towards an acceptable level (risk appetite), check that internal controls and actions are effectively controlling risk and generally being comfortable that their risk management is first-class, within the resources at their disposal; 03 - Reminded all managers that the Council is passing through challenging and risks have to be controlled well; 04 - Managed to remove some 8 risks from medium scores into low risk scores and this process is ongoing;		🛑				

Risk Code & Title	Description	Latest Note	Internal Controls	Current Rating	Actions	Action Status	Due Date	Assigned To
		05 - High risks (20 in number) are being reported and reviewed through Januarys quarterly performance reporting; Heads of Service reminded that their risk exposure generally should mirror their 'Challenges'; high risks to be presented to the Audit Committee on 29.1.13; 06 - Despite low risks being scored as such, they are still monitored; 07 - Updated the Risk Management Guide for Elected Members; 08 - Updated the Quick Guide to Project Risk Management; and 09 - Maintained the focus of the Risk Management Group.						