Appendix B: Strategic Risk Profile

Midlothian

SRP.IR.02 The Change Programme

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.IR.02	**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. **Risk event** Delayed progress or non-achievement of outcomes and benefits. **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.	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	1. Strategic Boards in place reporting to the Business Transformation Board covering range of transformation strands: Capital Strategy; Carbon Neutral by 2030; Digital First; Economic Renewal; Education Recovery; HSCP Transformation; Hub & Spoke Place Based Solutions; Remote Working. 2. Deep Dive sessions commenced in December 2021 to support the work of the Boards and assess pace and scale of progress with aim of driving transformation 3. Secured financial balance for 2021/22 & 2022/23 via corporate solution. While this avoids the need for further service reductions in 2022/23 the underlying budget gap (the gap between recurring expenditure and income) highlights the very significant challenge for 2023/24 and beyond. 4."Mini Budgets" progressed in 2020/21 and in 2021/22 that removed non-deliverable legacy savings targets given focus on response to and recovery from pandemic. 5. Financial monitoring reports and work of the FM CMT evidence continued financial sustainability, in so far as services are delivered within the overall budget in year. 5. Development of Strategic Plan for next term of Council being progressed to support decisions about what services, beyond those which are statutory can be provided	5	5	🛑

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SPR.RA-02.08	Strategic Plan 2022 to 2027	**Q4 21/22:** Development of Strategic Plan for next term of Council being progressed to support decisions about what services, beyond those which are statutory can be provided. Will be presented to members after May election. The severity of the financial outlook demonstrated by the underlying budget gap points to the severity of the service cuts ahead		30-Jun-2022	▶

| SRP.RA.02.03 | Develop medium Term Financial Strategy with greater oversight, clearer responsibility and accountability. | **Q4 21/22:**
2022/23 Budget approved on 15 February 2022 together with Council Tax increase. Balancing the 2022/23 budget was predicated on the use of circa £12m of non-recurring funding. | Place Performance Officer; Chief Officer Corporate Solutions | 31-Aug-2022 | ✅ |

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 Increasing population of 0-15 age group and at a time when there are rising customer expectations. **Risk event** Transformation activity and the flexibility available to Councils as part of the grant settlement does not address future years projected budget gaps **Risk effect** Inadequate government funding makes securing balanced budgets challenging. It 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.	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	1. There is an approved Capital Strategy and Reserve Strategy in place 2. There is an approved budget for 2022/232 , services are being delivered within the totality of that budget and the 2022/23 budget has been approved albeit with heavy reliance on one of funding. 3. There are effective arrangements in place to monitor financial performance including quarterly reporting to Council with draft reports considered at a dedicated CMT session each quarter to bring greater focus. 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. 5. Strategic Boards in place and BTB focus and attention on driving transformation to support future years financial sustainability 6. Working through COSLA to influence government spending decisions to influence Scottish Government's budget allocation to Councils. 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. 8. Chief Executive continues to emphasise the need for effective financial control and underlined the benefit to the organisation of such an approach. Enhanced monitoring arrangements have been put in place for the Place Directorate.	5	5	🔴

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SPR.RA-02.09	Strategic Plan 2022 to 2027	**Q4 21/22:** Development of Strategic Plan for next term of Council being progressed to support decisions about what services, beyond those which are statutory can be provided. Will be presented to members after May election. The severity of the financial outlook demonstrated by the underlying budget gap points to the	Chief Executive	30-Jun-2022	▶

Risk Code	Risk Identification		Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
				severity of the service cuts ahead			
SRP.RA.02.03	Develop medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.			**Q4 21/22:** 2022/23 Budget approved on 15 February 2022 together with Council Tax increase. Balancing the 2022/23 budget was predicated on the use of circa £12m of non-recurring funding.	Place Performance Officer; Chief Officer Corporate Solutions	31-Aug-2022	✅

SRP.IR.10 COVID 19

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.IR.10	**Risk cause:** COVID 19 Virus **Risk event:** Virus evident in all communities with rates of positive infection increasing. In a Sottish setting the focus on increase is within the central belt. **Risk effect:** Potential for widespread impacts with the risk of significant levels of community transmission leading to increased government restrictions aimed at reducing community transmission. Delivery of services making use of remote working solutions as far as possible. National lockdown measures to limit and control spread, impact on income generating services. Rapid pace of guidance change following government announcements and expectation of quick changes to service delivery in line with new controls.	Chief Executive; Chief Officer Place	1. CIMT established to take the strategic approach to managing the response to COVID 19 and stands ready to be re-initiated at any time. 2. Employees directed to work from home where possible, follow Scottish Government guidance and MC remote working by default policy. From 31 January as per the SG guidance the Council is transitioning staff teams to hybrid working. 3. COVID-19 guidance monitored and continually revised then issued to Adult Services, children's services, education and CLL around how they would continue to maintain contact with children and young people who were deemed to be at risk. 4. Keeping employees briefed and supported through the Chief Executive's weekly staff briefings; Communications weekly email and routine HR updates. (e-mailed to all employees through combination of work and personal e-mail addresses). Includes Wellbeing advice, guidance and support and signposting to PAM and EAP providers. 5. Promotion of digital tools to support employees and prevent employees becoming isolated. 6. Council website kept up-to date, providing details of which services were operating and any changes on how to access services. 7. A range of interventions, including digital equipment and tools such as MS Teams put in place to support remote and hybrid working 8. Following safe working guidance issued by Scottish Government relevant to sectors. 9. Economic Recovery Strategy 10. Support for Test and Protect 11. School and workplace based COVID risk assessments continually reviewed to support the identification and control of risk (and personal risk assessments where required) 12. Community Asymptomatic Testing Site operational and distribution of Lateral Flow and PCR testing devices undertaken by Protective Services	5	5	🔴

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.IA.10.17	Risk assessment/Guidance on protective measures	**Q1 21/22:** Gallagher Basset completed a review of all COVID Risk Assessments and procedures across the Council estate.	Chief Officer Place	30-Sep-2021	✅
SRP.IA.10.18	4,000 mobile devices issued to support home learning	**Q2 21/22:** 3,300 devices have now been returned and reorganised in preparation to be re-deployed as part of the Equipped for Learning. The Equipped for Learning programme will see these 3,300 plus new devices deployed to all Midlothian pupils (14,000 approx total). 700 devices remain with young people to support digital inclusion and remote learning. These devices will be swapped out on deployment day to ensure those young people have the exactly the same device model as their peers.	Chief Officer Corporate Solutions	31-Mar-2022	✅
SRP.IA.10.19	Community Testing and Lateral Flow Test Kits distribution	**Q4 21/22:** MTU delivered and in operation. Anticipated conclusion early Q1 22/23.	Chief Officer Place	30-Apr-2022	✅

SRP.OP.01 Shawfair

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.OP.01	The delivery of a new sustainable low carbon community at Shawfair.	Place Performance Officer; Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	1. Shawfair Landowners Group meets quarterly. 2. Legal agreement with developers to secure developer contributions (Section 75) towards infrastructure. 3. Approved masterplan and design guide for the entire community 4. Business and industrial provision, including small business incubator space. 5. Circa 4000 new homes 6. A school campus comprising Early Years, Nursery, Primary, Secondary & Life Long Learning provision 7. New Primary schools 8. Public Transport infrastructure including railway station. 9. Midlothian Energy Ltd (Joint Venture between MLC and Vattenfall)	5	4	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.OP.01.02	Energy Service Agreement	**Q4 21/22:** Energy Services Agreement progressing. Due to conclude in Q1 22/23		30-Jun-2022	▶

SRP.OP.03 Easter Bush - Penicuik

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.OP.03	One of Midlothian's largest and most significant employment areas. Fast Growing opportunities in Science Technology Engineering and Mathematics (STEM) with opportunities to link with education. Partnership links to schools and university sector at the 'Bush' to promote STEM. Need to secure long-term strategic road access to ensure continued growth.	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	1. Planning in place around creating Secondary Schools as centres for excellence linked to specialisms including Science Technology Engineering and Mathematics (STEM). 2. Land allocated for expansion. 3. Midlothian Science Zone. 4. City Deal funding to provide for growth and strategic road access.	5	4	🔶

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.OP.03.A2	A701/A702 Trunk Road Improvements	**Q4 22/23:** Escalating costs of this project has resulted in a significant funding gap which requires to be addressed in order for the project to proceed. MLC currently coordinating a submission to the Levelling Up Fund to address this funding gap. Progress report to Council on 28 June – STAG Appraisal (stage 2) complete. Report will highlight that cost inflation and increased project costs as outstanding areas of concern.		31-Dec-2021	❌

SRP.OP.04 City Deal

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.OP.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; Head of Children's Services; Director of Education; Chief Executive	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.	5	5	🔴

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.OP.04.02	Realisation of outcomes of respective workstreams	**Q4 21/22:** For the 2022 calendar year Midlothian is the chair of the CRD programme (annual rotation across the six Local Authorities).		31-Mar-2023	▶️

SRP.OP.07 Creating a world Class Education System

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation

| SRP.OP.07 | The Centres of Excellence model is a core part of the Council's strategy to create a world-class education system in Midlothian. This is an ambitious project designed to deliver excellence and equity with a particular emphasis on interrupting the cycle of poverty. | Place Performance Officer; Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive | 1. Digital Centre of Excellence at Newbattle Community High School
2. Partnership agreement with the University of Edinburgh
3. Beeslack Replacement High School, pilot project for next round of SFT funding – funding model building in energy efficiency targets
4. Accelerating our ambition – Digital Strategy
5. Review of Digital team to support Digital Centre for Excellence | 4 | 5 | 🔺 |

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.OP.A.07.01	Research and development	**Q4 21/22** CIVTECH research project progressing well in partnership with University of Edinburgh and SFT. Ongoing dialogue with the University of Edinburgh and Edinburgh College in relation to the new centre of excellence.		31-Aug-2023	▶

SRP.RR.01 Financial Sustainability in future years

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.01	**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. **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.	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	1. Development of Strategic plan for term of new Council. 2. Maintaining a level of reserves to deal with unforeseen or one off cost pressures. 3. Capital and Reserves Strategies in place. 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 Route Map through and out of the Pandemic budget approved for 22/23 albeit with reliance on one off funding sources	5	5	⬢

	Uncertainty around service delivery models and income streams and prospects for public finances associated with COVID impact and recovery. **Risk effect:** Gap in Council budget between budget commitments / pressures and funding level and inadequate options presented to address this, resulting in a structural deficit					

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.	**Q4 21/22:** 2022/23 Budget approved on 15 February 2022 together with Council Tax increase. Balancing the 2022/23 budget was predicated on the use of circa £12m of non-recurring funding.	Place Performance Officer; Chief Officer Corporate Solutions	31-Aug-2022	✅
SRP.RA.02.04	Strategic Plan 2022 to 2027	**Q4 21/22:** Development of Strategic Plan for next term of Council being progressed to support decisions about what services, beyond those which are statutory can be provided. Will be presented to members after May election. The severity of the financial outlook demonstrated by the underlying budget gap points to the severity of the service cuts ahead	Chief Executive	30-Jun-2022	▶

SRP.RR.02 The Long Term Change Programme

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.02	**Risk cause** A MTFS that doesn't 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 **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	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	1. Preparation of budget projections for the term of the next Council and service options which identify what can /cannot be delivered within the resources available. This will need to be considered, and decisions made by members as soon as possible after the May 2022 elections Medium Term Financial Strategy and Route Map 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.	4	5	🔺

	Risk effect						
	Objectives of change not actually met						
	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						

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SPR.IA.02.06	Strategic Plan 2022 - 2027	**Q4 21/22:** Development of Strategic Plan for next term of Council being progressed to support decisions about what services, beyond those which are statutory can be provided. Will be presented to members after May election. The severity of the financial outlook demonstrated by the underlying budget gap points to the severity of the service cuts ahead	Chief Executive	30-Jun-2022	▶
SRP.RA.02.03	Develop medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	**Q4 21/22:** 2022/23 Budget approved on 15 February 2022 together with Council Tax increase. Balancing the 2022/23 budget was predicated on the use of circa £12m of non-recurring funding.	Place Performance Officer; Chief Officer Corporate Solutions	31-Aug-2022	✓

SRP.RR.03 Legal and Regulatory Compliance

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.03	**Risk cause** Current or new legislation applying to Midlothian Council **Risk event** Council and or Services not identifying all applicable legislation impacting Council activities and Service requirements. **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.	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	1. Directors and Heads of Service responsible for identifying applicable legislation and propose Council or Service responses to CMT and Cabinet/Council as required. 2. Annual Assurance Statement. 3. Internal Audit testing of internal controls as part of risk based audit plan. 4. External Audit. 5. Range of external inspection. 6. Local Scrutiny Plan 7. BTSG oversight of new legislation	3	3	⚠

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.03.01	Legal & Regulatory Compliance	**Q4 21/22:** Chief Officers and Heads of Service ensuring compliance with statutory obligations and making CMT, Cabinet/Council aware as required.	Place Performance Officer; Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	31-Mar-2022	✅
SRP.RA.03.02	Rights of the Child Bill	**Q4 21/22:** Scotland is set to become the first country in the UK to directly incorporate the UN Convention on the Rights of the Child into domestic law.The Scottish Government's new bill on the rights of the child is expected to have far reaching implications for public bodies. With guidance beginning to be disseminated from the Scottish Government, the Council is continuing to monitor and plan.	Place Performance Officer; Director of Education; Executive Director Place	30-Jun-2022	❌
SRP.RA.03.03	National Care Service	**Q2 21/22:** Response to SG consultation on the creation of a National Care Service for Scotland.		31-Mar-2022	✅
SRP.RA.03.04	The Health Protection (Coronavirus) (Requirements) (Scotland) Regulations 2021 (as amended)	**Q4 21/22:** Coronavirus restrictions further reduced. Guidance introduced on minimising exposure to and requirement to take measures to minimise incidence and spread of Coronavirus imposed on a person carrying on a business or providing a service.		31-Mar-2022	✅
SRP.RA.03.05	Standing Orders	**Q4 21/22:** Structural reviews within the Midlothian Council resulting in the Standing Orders being outdated. Authorised Officers within Regulatory Services may be open to challenge in relation to statutory enforcement work on grounds of delegated authority. Statutory enforcement work including the service of Statutory Notices, Fixed Penalties and Court proceedings may require to be withdrawn resulting in reputational damage and or financial penalty (e.g. case costs awarded against the LA) There is a Standing Orders Working Group reviewing SOs in advance of the new administration. Work to continue to ensure that these issues are included within this work programme.		30-Jun-2022	▶

SRP.RR.04 Employee performance

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.04	**Risk cause** Employees not suitably trained/developed for the roles required of them.	Head of Adult and Social Care; Head of	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.	3	4	⚠

	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 significantly lower in social work area in comparison to other LA's resulting in recruitment issues particularly with trying to recruit experienced staff **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 **Risk effect** Difficulties recruiting the right staff 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	Children's Services; Director of Education; Chief Executive	**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. **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. **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. **Conduct** 1. Resolution Policy encourages early intervention of workplace issues. 2. Professional standards and values build into the induction process and management development programme. **Communication** 1. A range of initiatives to keep staff informed of change (Chief Executive's weekly email, Connect, All staff emails, tailored team briefings etc.			

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status

SRP.RA.02.04	Revisions to Service Workforce Plans	**Q4 21/22**: Directorate Leadership and range of Service Reviews underway, with implementation continuing across Q4.	Place Performance Officer	30-Jun-2022	▶
SRP.RA.02.06	Workforce wellbeing	**Q4 21/22:** New EAP provider now in place and delivering to ensure highest level of service provided to staff. Embedding of the new Employee Health and Wellbeing Strategy. Partnership status obtained with See Me mental health charity. Roll out of mental health awareness training**.**		30-Jun-2022	▶
WFPLAN.02	Revision to Service Workforce Plans and Action Plans are also required for reasons set out in recommendation 5.1 including analysis of future workforce requirements, gap analysis and gap closing strategies, and performance measures and target setting.			31-Dec-2022	▶

SRP.RR.06 Information Security

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.06	**Risk cause** General Data Protection Regulation formulated by the European Commission. **Risk event** The Regulation implemented on 25 May 2018. **Risk effect** The Regulations will bring about a number of requirements on the Council including mandatory reporting of all data breaches, appointment of a Data Protection Officer and the potential for fines ranging to 4% of turnover or 20million Euros whichever is greater.	Ian Wragg	1. Information Management Group 2. Public Sector Network Compliance. 3. Meta Compliance 4. Information Management, awareness raising program (Private-i) 5. General Data Protection Regulation Project plan implemented with close report. 6. Public sector cyber security compliance 7. Implementing Scottish Government Cyber Security Action Plan 8. Mandatory e-learning for all employees and elected members. 9. Data sharing arrangements on contracts being reviewed to ensure consistency in terms of health and social care contracts.	3	5	⚠

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.06.02	Cyber Security	**Q4 21/22:** Midlothian Council cyber security independently validated in 2022 by achieving Cyber Essentials Plus certification in March and continued PSN compliance certification. The Council has adopted the NCSC (National Cyber Security Centre) Active Cyber Defence programme and fully complies with the Scottish Governments Cyber Security PSAP (Public Sector Action Plan). In addition there was internal audit of IT security that was rated as substantial assurance in January 2022.	Chief Officer Corporate Solutions	30-Jun-2022	▶

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. **Risk event** Capacity of Community Support outstripped by demand **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.	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	1. Care at Home improvement action plan in place and near compaction 2. Appointment to Team Lead posts to support Complex care to enhance local leadership at operational level 3. New Framework agreement in place with significant improvement in quality from Providers 4. Flow management planning in development to maximise Care at Home capacity going forward 5. Weekly provider meetings in place 6. Additional locum team members recruited to for contingency cover 7. New Leadership model in place 8. Daily discharge meeting with Multidisciplinary and Multi-agency team planning to plan and coordinate discharge to ensure care at hone support in place	3	4	⚠

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	**Q4 21/22:** The NCS consultation has happened and currently the results are being analysed by an independent company. Once this piece of work is concluded SG will advise us of the next steps. There were 1300 responses from a wide range of individuals and organisations.		31-Aug-2022	⚠

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	**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, street lights and vehicles & buildings used to deliver services. **Risk event** Many assets will deteriorate under normal conditions although buildings, roads and street lights as an example can be damaged during more extreme weather events or as a result of a lack of maintenance. **Risk effect** In the case of Roads Services there is a real risk of increased potholes and insurance claims, reduced	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	1. There is provision in place within the capital plan for investment in the asset base. 2. Asset register 3. Conditional Survey 4. Understanding of future asset needs 5. Asset Strategy: . Roads . Land . Fleet . Digital Service Network . Digital Service hardware 6. Capital program - investment in estate. 7. Ongoing monitoring of properties by: Maintenance Surveyors, Facilities Management and Property Users.	3	5	⚠

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.		8. Established Capital Plan and Asset Management Board

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.	**Q4 21/22:** Programme of work agreed to progress for building condition surveys on a phased approach, over a three year period. Move to implementation into 22/23.	Place Performance Officer; Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	31-Mar-2022	✅
SRP.RA.08.05	School Estate Strategy	**Q4 21/22** Potential risk to delivery of Learning Estate projects due to inflated costs from a number of factors. Factoring the commitment to net zero into our project has added another cost pressure and may affect the affordability and viability of some projects.		30-Jun-2022	▶

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	**Risk cause** The Council not preparing or timeously reviewing Emergency Plans and testing arrangements to respond to Civil Contingencies Incidents **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. **Risk effect** Censure through non-compliance with the Civil	Mark Hinchliffe; ~~Chris Lawson~~; Edel Ryan; Jane Young	Potential sub risks include:- 01 – 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. 02 – Establishment based incident response plans in place and maintained locally. 03 – Emergency response plan setting out general approach to respond to a major emergency in-line with key partner organisations. 04 – As part of the Council's Emergency response the importance of	3	4	⚠

| | 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 | | recording decisions made and information available at the time is highlighted as this would be scrutinised in the event of an FAI.
05 – Care for People Group meeting 6 weekly to continue support for Communities in response to COVID – 19 to establish and co-ordinate support for people on a multi-agency basis.
06 – Care for People Group: Afghan Resettlement support programme | | | |

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.09.02	Development of Emergency Planning Improvement Plan	**Q4 21/22:** CMT approved the recruitment of 1FTE Contingency Planning Officer PO (Fixed term) to add resilience and capacity to the current team. Recruitment concluded and appointment made (0.6FTE). Move to devise and implement Improvement Plan.	Place Performance Officer; Mark Hinchliffe; ~~Chris Lawson~~; Edel Ryan; Jane Young	30-Jun-2022	▶
SRP.RA.09.03	Business Continuity System	**Q4 21/22:** System currently being populated ahead of roll out to all services. A small number of Council services engaged to test and validate operational functionality Project governance to be reviewed prior to full rollout (to be overseen through the Customer Service Platform Board) Q4 21/22: Embedded into Customer Service Platform. Appointment of a part time fixed term Contingency Planning Officer to lead the rollout	Executive Director Place	31-Mar-2023	▶

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 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	Alan Turpie	Potential sub risks include:- 01 Macro governance at the top – failure in openness, accountability, clarity; 02 Micro governance in services, partnerships and projects and outcomes not achieved 03 Non-compliance with codes of conduct and reduction in standards in public life 04 Annual Assurance Statement. 05 Standing Orders 06 Scheme of Administration 07 Scheme of Delegation	3	4	⚠

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status

| SRP.RR.10.0 1 | Corporate Governance | **Q4 21/22:** Annual Assurance Statement**;** People Policies; and Standing Orders subject to review process | | 30-Jun-2022 | ▶ |

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 result in non-compliance with legislation Policies not align to strategic priorities will inhibit the rather than support implementation of strategic priorities.	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	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 in December 2018, positive feedback with allocated funding. 5. Community Safety Strategic assessment completed. 6. Procurement Strategy 2018 7. Capital Strategy 8. Integrated Joint Board (IJB) Plan 9. IJB Strategic needs assessment 10. Midlothian Local Development Plan 2017 – the Council's corporate spatial strategy.	2	3	✅

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.11.0 2	Accessibility Strategy	**Q4 21/22:** Education working with Property colleagues to refresh building data including information on building accessibility. Once work is complete, a work stream will be progressed to ensure Council compliance.	Childrens Services, Partnership and Communities; Chief Officer Place	30-Jun-2022	▶
SRP.RA.11.0 3	Neighbourhood Services	**Q4 21/22:** Neighbourhood Services Strategic Framework established. Neighbourhood Services Cross Party Working Group meets regularly. Progress reported regularly through BTB Hub and Spoke programme.	Chief Officer Place	30-Jun-2022	▶
SRP.RA.11.0 4	Remote Working	**Q4 21/22:** Transition to Hybrid working approach at implementation with completion of transition by April 2022.	Chief Officer Corporate Solutions	30-Apr-2022	✅
SRP.RA.11.0 5	Antisocial Behaviour Policy	**Q4 21/22:** Work continues following appointment of new Senior Manager in Housing & Wellbeing.	Chief Officer Place	30-Sep-2022	▶
SRP.RR.11.0 1	Parental Engagement Strategy	**Q4 21/22:** Parental Learner Liaison Officer has produced a draft Parental Engagement Strategy looking at examples throughout Scotland and a	Childrens Services	30-Jun-2022	▶

consultation with all stakeholders is underway. Following a review with Parent Council Chairs, a Parental Engagement calendar has been created for next session to support PC Chairs with the information and structure they need. The National Parental Involvement & Engagement survey has been rolled out to all Primary, Secondary & Special School parents with data to be evaluated in July. Parent Working Groups have been created to support specific interests and priorities – Consultation, Equity, Digital Learning, ASN & DWY/Positive Destinations. A Parent Council 'Toolkit' has been created to inform Parents of the functions of a Parent Council, provide support, signposting and remits. This will provide a more consistent structure within Midlothian of all Parent Councils and potentially boost numbers. Social Media has been created for Parental Engagement and the design of a webpage to add to the Council Website is underway. Draft plans for our first Parent Conference in Q1 of next session is underway. The same is to be said for a Pupil Conference. The PLLO is now an active member in the SEIC Young Persons Involvement Group and regularly meets the Education Scotland's Attainment Advisor. | Management Team; Childrens Services, Partnership and Communities | | |

SRP.RR.12 Internal Control Environment

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.12	**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 **Risk event** Persons exploiting opportunities to commit fraud Waste and errors Changing risk landscape associated with remote working solutions. **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	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	1. Services have been prompted to consider fraud and waste within Service Risk Registers. 2. Risk Management Guide, provides direction on the need to balance time, effort and cost against benefit of risk controls. 3. Internal Audit examine internal control arrangements based largely on the risk registers. 4. Whistleblowing Policy (subject to review) 5. Internal and external assurance. 6. E-learning for staff to complete mandatory training for fraud awareness. 7. Implemented changes to business processes and procedures to maintain and enhance internal control. 8. Bi-annual updates to Audit committee on progress with recommendations noted in the annual governance statement. 9. Continue remind staff of secondary employment/outside interests and gifts & hospitality 10. Digital induction for all new employees (with service exceptions), including legal, HR, procurement, health and safety. Control at entry to organisation. 11. Management Development Programme, delivered in partnership with Edinburgh College, provides reinforcement of organisational regulatory obligations.	3	3	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.12.02	Risk Management Policy and Strategy	**Q4 21/22:** Risk management approach presented to Audit Committee. Refresh of the Risk and Resilience Chief Officer's group to oversee corporate risk.		31-Mar-2022	✅
SRP.RA.12.03	Corporate Integrity	**Q4 21/22:** 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.		30-Jun-2022	▶

SRP.RR.13 Climate Change

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.13	**Risk cause** Council Services not adequately engaged, resourced or directed to fulfil the requirements of the Climate Change Act. **Risk event** Council Services not responding to the Climate Change Act with sufficient pace. **Risk effect** Council failing to meet its obligation under the Climate Change (Scotland) Act 2009 and incurring the associated reputational damage.	Place Performance Officer; Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	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.13.03	Recruitment of Climate Change Officer	**Q4 21/22:** Service Review continues.	Chief Officer Place	30-Sep-2022	▶
SRP.RA.13.04	Delivery of the BTB Board Carbon Neutral by 2030	**Q4 21/22:** Carbon Management Plan requires to be reviewed and resourced adequately. There is a requirement for a cross Council approach to achieve carbon neutral by 2030. Work is underway in discrete areas to contribute to achievement of the ambition, but financial resource and staffing is required to develop an overarching engagement and action plan.	Chief Officer Place	31-Mar-2030	▶

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	**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 the 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. **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. **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 subsequent claims of abuse. We have request 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.	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	The Council have set up an Abuse Inquiry Project Team to support the Council to prepare for information requests to support the Inquiry. In addition we have a Claims Project Team who have mapped out how we shall manage any future claims reported against the Local Authority. The Inquiry Team have established a Project Plan covering: 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. The Project Team have established a Project Plan covering: 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 SAR's 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. Processes and 2 experienced staff in place and to date have been able to respond to every request from the SCAI team.	4	5	🔴

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	**Q1 20/21**: File reading continues around foster care and residential care.	Childrens Services Management Team; Head of Children's Services	31-Mar-2022	✅

SRP.RR.14.2 Scottish Child Abuse Claims Project

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.14.2	**Risk Cause:** Midlothian Council may receive claims as a result of the Limitation (Childhood Abuse) (Scotland) Act 2017 coming into force on 4th October 2017. The Limitation (Childhood Abuse) (Scotland) Act 2017 means survivors of child abuse no longer face the time-bar that requires person injury actions for civil damages to be made within three years of the related incident. The new limitation regime will have retrospective effect (up to including 1964) **Risk Event:** Midlothian Council has established a Claims Working Group to prepare for the management of any claim that is received (including support for victims). The Claims Working Group has established a process ('Claims Procedure') for dealing with the claims. **Risk Effect:** There is potential risk of reputational damage to the Council should any claims be made. In addition there is a financial risk should we have to either defend or pay out for any claims	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	1. Agreed further update to Council to keep them abreast of the current situation and potential implications around staffing and future financial costs. 2. The Qualified One Way Costs Shifting (QOCS) is a change in legislation that will mean we cannot recover costs unless the pursuer has made a fraudulent claim or has been ;manifestly unreasonable' This basically takes away all risk for pursuers so if the they lose they won't have to worry about paying the Councils costs. At the time of writing there remains no date for implementation of this piece of legislation. SOLAR and COSLA have been in discussion with CELCIS who undertook consultation and engagement with victims/survivors of abuse. The outcome of which has resulted in a recommendation being made to Scottish Government to commit to establishing a financial compensation/redress schemes for victims/survivors. 3. Scottish Governments Redress Scheme – awaiting the scheme to come into force. Legislation to establish the Redress Scheme has	3	5	⚠️

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
		been passed by Parliament.			

SRP.RR.16 Growing Council

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.16	**Risk cause** Population growth in Midlothian over the next 10 - 15 years will see Midlothian become the fastest growing Council in Scotland. . 0-15 population increase, projected at 20% and 75+ population increase projected to increased by 100% between 2014 and 2039. **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. **Risk effect** Inadequate capacity within the 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.	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	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 Strategy Strategy 6. Housing Strategy 7. Joint needs assessment used to develop - IJB Strategic Plan 8. 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. 9. City deal provides the opportunity to support inclusive growth.	3	4	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.16.01	Capital Programme	**Q4 21/22:** Employee consultation complete – outcome to be reported to CMT in Q1 22/23	Executive Director Place	31-Oct-2022	▶

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	**Risk cause**	Head of Adult and	01 – Risk and Resilience Group	4	5	🔴

| | UK vote to leave the European Union

Risk event
UK leaving the European Union

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 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. | Social Care; Head of Children's Services; Director of Education; Chief Executive | 02 – Taking a risk management approach to identifying and assessing anticipated impacts
03 – Working with a range of national and local bodies to inform preparatory arrangements.
04 – EU Settlement scheme promoted on Council Internet to support those living and working in Midlothian to access the Home Office scheme. | | | |

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.17.1-1	EU Exit Working Group	**Q4 21/22:** Commissioned report expected 31st May 2022. We are realising the impact on supply chain with increased costs due to inflation. This has an impact on the construction sector, which directly affects the Council's Capital Investment Programme, including housebuilding and the learning estate.	Place Performance Officer	31-May-2022	✅

SRP.RR.19 Health & Safety

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.19	**Risk cause** Failing to identify and rectify non-compliance with Health and Safety regulations. **Risk event** Employees required to undertake tasks they are not competent to. Statutorily driven health and safety protective arrangements for service users and employees not	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	1 – Health Safety and Wellbeing Strategy 2 -Suite of Health and Safety Management Arrangements developed setting out council response to statutory obligations (Revised 2021) 3 - Comprehensive range of Health & Safety Management & Assessment based development opportunities for line managers 4 - Use of Health & Safety Management Information System to enhance information transfer and organisational efficiency 5 – Comprehensive training programme in place to support those with responsibility for managing health and safety.	3	5	⚠️

| | 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. | | 6 - Guidance and Risk assessment templates to support COVID 19 response.
7 – Use of comprehensive audit programme to confirm the application of agreed management Arrangements and Council Policy.
8 - New risk assessment guidance and support for managers rapidly deployed in response to COVID 19 in line with associated Scottish Government guidance. | | | |

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.19.01	Delivery of Health, Safety and Wellbeing Strategy	**Q4 21/22:** Review of Strategy to commence	Chief Officer Place	30-Sep-2022	▶
SRP.RA.19.07	H&S audit across all Council estate	**Q4 21/22:** Protective Services and Property Service are progressing a Health and Safety building audit across the full Council estate. This is expected to be delivered in Q1 22/23 and then a risk based assessment of the findings and associated action plan will be developed.	Chief Officer Place	30-Jun-2022	▶

SRP.RR.20 Early Years Expansion (1140 Hours)

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.20	**Risk cause** Population growth in Midlothian over the next 10 - 15 years will see Midlothian become the fastest growing Council in Scotland. . 0-15 population increase, projected at 20% in addition the Scottish Government has made a commitment to increase the current provision of free early years care from 600 to 1140 hours. **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.	Head of Adult and Social Care; Director of Education; Chief Executive	1. Learning Estate Strategy 2. Early Years Expansion to 1140 hours updates 3. Capital Strategy 4. School Roll Projections will be reviewed and updated	4	5	🔺

	Risk effect					
	Inadequate capacity within the school estate and/or Early Years to cope with the projected increase in numbers. Lack of staffing and/or financial support to build new schools Potential for additional unfunded request to place 4 year olds with August to December birthdays requesting additional year of 1140 hours, not currently funded by Scottish Government.					

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RR.20.01	1140 future years funding	**Q4 21/22:** Continuation of current distribution for 2022/23 though nationally the quantum was reduced by £23.9m of which £8.9m was earmarked for deferral pilots. This reduction and the shift to a distribution formula in 2022/23 resulted in a reduction for funding for the Council if £882k. This has required revision to ELC budget. Work is ongoing, though the ELC Finance working group to collect spend information to support the assessment of the quantum for 2023/24 onwards. Associated risk due to possible increase in the sustainable rate to be paid to partner providers.	Chief Officer Corporate Solutions	30-Jun-2022	▶

SRP.RR.21 Cyber Security

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.21	R**isk Cause:** Malicious attempts to damage, disrupt or gain unauthorised access to Council computer systems, networks or devices **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. **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.	Head of Adult and Social Care; Head of Children's Services; Director of Education; Chief Executive	1. Implementation of 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. Employing an Information Governance and Security Lead 6. Implementing Scottish Government Cyber Security Action Plan 7. Creating a Midlothian Cyber Defence Action Plan.	3	5	⚠

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.06.02	Cyber Security	**Q4 21/22:** Midlothian Council cyber security independently validated in 2022 by achieving Cyber Essentials Plus certification in March and continued PSN compliance certification. The Council has adopted the NCSC (National Cyber Security Centre) Active Cyber Defence programme and fully complies with the Scottish Governments Cyber Security PSAP (Public Sector Action Plan). In addition there was internal audit of IT security that was rated as substantial assurance in January 2022.	Chief Officer Corporate Solutions	30-Jun-2022	▶