Strategic Risk Profile

Midlothian

Strategic Issues

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; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place, Chief Officer Place, Chief Officer Corporate Solutions	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. Hybrid working has been adopted by the Council as well as a dedicated Hybrid Working Board as part of the Transformation Programme 3. COVID-19 guidance monitored and continually revised, with particular focus on Adult Services, Children's Services, Education and Communities and Lifelong Learning 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. School and workplace based COVID risk assessments continually reviewed to support the identification and control of risk (and personal risk assessments where required)	4	4	🔴

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
CODE TBC	Hybrid Working Project	**Q2 22/23:** Hybrid Working project is a key project contributing to the Council's transformation programme. Project Board regularly reports to Business Transformation Board and Business Transformation Steering Group. Key activity in Q2 was the issue of the hybrid working staff survey.	Executive Director Place	March 2023	▶

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.	Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place; Chief Officer Corporate Solutions, Chief Finance Officer	1. Strategic Boards established reporting to the Business Transformation Board covering the full 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. Report to Council on 23 August 2022 sets out scale of financial challenge ahead with recurring expenditure for current service delivery projected to exceed recurring income. 3. Cross Party Business Transformation Steering Group engaged in consideration of measures to secure balanced budgets alongside the development of a 5 year Strategic Plan to support decisions about what services, beyond those which are statutory can be provided 4. Financial monitoring reports and work of the Financial Management Corporate Management Team evidence continued financial sustainability, in so far as services are delivered within the overall budget in year.	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	**Q2 22/23:** Development of Strategic Plan and MTFS for next term of Council being progressed to support decisions about what services, beyond those which are statutory can be provided. This facilitates setting of the 2023/24 budget in February 2023	Executive Directors	February 2023	▶
SRP.RA.02.03	Develop Medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	**Q1 22/23:** 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. MTFS for 2023/24 to 2027/28 will support decisions on 2023/24 budget in February 2023.	Executive Directors, Chief Finance Officer	February 2023	▶

		Q2 22/23: An ongoing assessment of the projected gap for 2023/24 through to 2027/28 has been presented to BTSG alongside a series of officer savings proposals to bring recurring expenditure back in line with recurring income.			

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.	Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place; Chief Officer Corporate Solutions, Chief Finance Officer	1. There is an approved Capital Strategy and Reserve Strategy in place 2. There is an approved budget for 2022/23. Services are being delivered within the totality of that budget and the 2022/23 budget has been approved albeit with heavy reliance on one off 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. 8. Scottish Governments May 2022 Resource Spending Review	5	5	🛑

| | | | provided planning parameters for term of parliament, albeit these are challenging and present a real terms reduction in grant funding of circa 7% over the period
9.Report to Council 23 August 2022 sets out scale of financial challenge ahead with recurring expenditure for current service delivery projected to exceed recurring income.
10."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.
11. Cross Party Business Transformation Steering Group engaged in consideration of measures to secure balanced budgets alongside the development of a 5 year Strategic Plan to support decisions about what services, beyond those which are statutory can be provided | | | |

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SPR.RA-02.09	Strategic Plan 2022 to 2027	**Q2 22/23:** Development of Strategic Plan and MTFS for next term of Council being progressed to support decisions about what services, beyond those which are statutory can be provided. This facilitates setting of the 2023/24 budget in February 2023	Executive Directors	February 2023	▶
SRP.RA.02.03	Develop medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	**Q1 22/23:** 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. MTFS for 2023/24 to 2027/28 will support decisions on 2023/24 budget in February 2023. **Q2 22/23:** An ongoing assessment of the projected gap for 2023/24 through to 2027/28 has been presented to BTSG alongside a series of officer savings proposals to bring recurring expenditure back in line with recurring income.	Executive Directors, Chief Finance Officer	February 2023	▶

Emerging risks (new)

NEW RISK CODE TO BE ENTERED: Cost of Living Crisis

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
RISK CODE TO BE ALLOCATED	**Risk cause** The UK is currently facing an unprecedented storm of increasing prices, bills and tax. The 40 year high inflation rate of 9% is the main driver of the cost of living crisis which has outstripped wage and benefit increases. **Risk event** Rapid ongoing rise of energy prices (gas, electricity and fuel) as well as food and drink prices. **Risk effect** The impact on households is already being noted with 87% of adults in the UK reported an increase in their cost of living in April 2022 (Office for National Statistics; Francis-Devine et al, 2022). The price rises will impact low-income households the hardest as a larger proportion of their bills are on energy and food. The Resolution Foundation estimates an extra 1.3 million people will fall into absolute poverty in 2023, including 500,000 children.	Chief Executive; All Directors	1. Council Cost of Living Task Force to oversee the Council's response to the crisis 2. Allocation of LACER funding to support those most affected 3. Strategic Evaluation Partner appointed to create poverty profile 4. Community Planning Partnership has established a Midlothian Strategic Poverty Prevention Group co-chaired by Council Leader and Director of Public Health 5. New Child Poverty chair and lead appointed (Executive Director Children, Young People and Partnerships) 6. Child Poverty self-evaluation underway with Improvement Service	3	5	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
Action code to be allocated	Cost of Living Task Force	**Q2 22/23:** The Council agreed to establish a Cost of Living Crisis Task Force at its meeting on 28 June 2022 and is now meeting fortnightly. Membership is drawn across CMT, cross party member representation and NHS.	Chief Executive	June 2022	✅
Action code to be allocated	LACER funding	**Q2 22/23:** Identification of 15 trusted partners to distribute funding in communities for food and fuel, wash and dry provision and support to establish reheatable food initiatives.	Group Manager Communities; Lifelong Learning and Employability	June 2022	✅

Current risks (existing)

SRP.IR.11 National Care Service

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
RISK CODE TO BE ALLOCATED	**Risk cause** In August 2022 the Scottish Government launched a 12 week consultation on the way in which social care is delivered in Scotland. The consultation followed recommendations made in the Independent Review of Adult Social care. The independent analysis of responses was published in February 2022. On 20 June 2022 the Scottish Parliament published the National Care Service (NCS) Bill which will provide the foundation for the NCS. **Risk event** A Bill passes through various Parliamentary stages. The Bill is currently in Stage 1 of the process. The most significant part of the legislation which poses the most risk is the intention to transfer social care responsibility from local authorities to a new, national service. **Risk effect** The details of the logistics of any transfer are not yet provided within the Bill. It is not clear the extent to which powers will be removed from local authorities or what the provision or delivery of services will or will not be. At this stage, the risk effect is anticipated to be significant financial impact to local authorities and IJBs, as well as the potential for impacts on staffing, transfer of property and facilities and the reshaping of the delivery of care. It should be noted that the initial impact on the Council is staff time to contribute to the ongoing discussions and understanding of the impact of the Bill.	Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place	7. The Bill is under consultation and it is anticipated that additional information will be released by April 2023. 8. Officer Working Group established to engage with the NCS Design School and to continue the existing work with COSLA, SOLACE, SOLAR and other relevant bodies 9. Ongoing briefings with elected members 10. Continued dialogue and engagement with Scottish Government and IJB/H&SCP/Children's Services	3	5	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
Action code to be allocated	Elected member briefing sessions to be organised	**Q1 22/23:** Scheduled for Q2 in diaries **Q2 22/23:** Briefing took place on 15 August 2022	Legal & Governance	August 2022	✅

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. Uncertainty around service delivery models and income streams and prospects for public finances associated with COVID impact and recovery.	Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place; Chief Officer Corporate Solutions	1. Development of Strategic plan and MTFS 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 8. Dedicating capacity to understand impact of NCS Bill, but limited details mean this is challenging and many unanswered questions (refer to specific risk on NCS for further detail)	5	5	🛑

	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. The pace of growth coupled with the shortfall in grant settlements adds pressure to Council budgets which will be unable to deliver capital and revenue work programmes.					

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.	**Q1 22/23:** 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. MTFS for 2023/24 to 2027/28 will support decisions on 2023/24 budget in February 2023. **Q2 22/23** An ongoing assessment of the projected gap for 2023/24 through to 2027/28 has been presented to BTSG alongside a series of officer savings proposals to bring recurring expenditure back in line with recurring income.	Executive Directors, Chief Finance Officer	February 2023	▶
SRP.RA.02.04	Strategic Plan 2022 to 2027	**Q2 22/23:** Development of Strategic Plan and MTFS for next term of Council being progressed to support decisions about what services, beyond those which are statutory can be provided. This facilitates setting of the 2023/24 budget in February 2023	Executive Directors	February 2023	▶

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	Chief Executive; Head of Adult and Social Care; Head of Children's	1. Development of Strategic plan and MTFS for term of new Council and service options which identify what can /cannot be delivered within the resources available. 2. Leadership from all Elected Members, Executive Team and Senior Leadership Group.	5	5	

| | 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

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 | Services; Executive Director of Education; Executive Director Place; Chief Officer Corporate Solutions | 3. Appropriate governance in place across the BTB Strategic Boards
4. Resilience planning.
5. Capacity to deliver change.
6. Dedicating capacity to understand impact of NCS Bill, but limited details mean this is challenging and many unanswered questions (refer to new risk on NCS for further detail) | | | 🔴 |

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SPR.IA.02.06	Strategic Plan 2022 - 2027	**Q2 22/23:** Development of Strategic Plan and MTFS for next term of Council being progressed to support decisions about what services, beyond those which are statutory can be provided. This facilitates setting of the 2023/24 budget in February 2023	Executive Directors	February 2023	▶
SRP.RA.02.03	Develop Medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	**Q1 22/23:** 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. MTFS for 2023/24 to 2027/28 will support decisions on 2023/24 budget in February 2023. Q2 22/23: An ongoing assessment of the projected gap for 2023/24 through to 2027/28 has been presented to BTSG alongside a series of officer savings proposals to bring recurring expenditure back in line with recurring income.	Executive Directors, Chief-Finance Officer	February 2023	▶

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. | Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place; Chief Officer(s), Legal and Governance Manager | 1. Executive Directors, Chief Officer(s) and Head(s) of Service responsible for identifying applicable legislation and propose Council or Service responses to CMT and Cabinet/Council as required.
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.03.02	Rights of the Child Bill	**Q1 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.	Chief Executive, Executive Director Education, Head of Children's Services	31 March - 2023	▶
SRP.RA.03.05	Standing Orders	**Q2 22/23:** 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). Structural reviews approved by Council have been incorporated into Standing Orders. There is a Standing Orders Working Group reviewing SOs post elections and work continues to ensure that these issues are included within this work programme and that all staffing changes are incorporated into the Scheme of Delegation. In the interim, mitigations will be put in place to ensure authorisations are valid.	Executive Director Place, Legal and Governance Manager	31 December 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.
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
Challenges recruiting experienced 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 | Chief Executive;
Head of Adult and Social Care;
Head of Children's Services;
Executive Director of Education;
Executive Director Place; | 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.

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. | 3 | 4 | ⚠️ |

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

| SRP.RA.02.04 | Revisions to Service Workforce Plans | Revision to Service Workforce Plans and Action Plans are required including analysis of future workforce requirements, gap analysis and gap closing strategies, and performance measures and target setting.

Q2 22/23: Workforce plan guidance issued to all Directorates. Refreshed workforce plans to be developed in line with the new service plans for the next financial year 23/24 | Executive Directors, Chief Officers, Heads of Service | 31 March 2023 | ▶ |
| SRP.RA.02.06 | Workforce wellbeing | **Q2 22/23:** Continuing to embed the new Employee Health and Wellbeing Strategy. | | 31 Dec 2022 | ▶ |

SRP.RR.21 Cyber Security

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.21	**Risk 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.	Chief Executive, Executive Directors, Chief Officers, Heads of Service, Information Governance/ Security Services Lead	1. Implementation of and compliance with the Scottish Government Cyber Resiliency Public Sector Action Plan 2. Cyber Essentials Plus Certification 3. Public Sector Network Certification 4. Appropriate technical and organisational measures deployed to reduce the likelihood and impact of an attack 5. Employing an Information Governance and Security Lead 6. Implementing Scottish Government Cyber Security Action Plan 7. Creating a Midlothian Cyber Defence Action Plan. 8. Adoption of the NCSC (National Cyber Security Centre) Active Cyber Defence programme	3	5	⚠️

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RR.21	Appropriate Technical and Organisational Measures	Q2 New action/mitigation includes:-	Information	31 March 2023	▶

		Risk Control Measures	Managed by		
		1. Appointment of Cyber Security Analyst to support the Cyber Lead 2. On-going phishing exercise on staff and the purchasing of new cyber security training software 3. The implementation of new software to scan for security vulnerabilities 4. Establishing new password security protection software	Governance and Security Lead		

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 winter assurance plan and business continuity plan complete 2. Development of Care at Home Service Improvement action plan near completion 3. External commissioning complete and ongoing contract monitoring in place 4.External provider audits complete 5. Re-established Multi-Agency Quality in Care at Home quarterly review meetings jointly with East Lothian 6. Weekly provider meetings in place 7. Additional locum team members and contracts with agency staff 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.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 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. | Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place; | 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.
8. Established Capital Plan and Asset Management Board and dedicated Asset Management Board
9. Establishment of 7 thematic Estate Safety and Management Groups chaired by Chief Officer Place | 3 | 5 | ⚠️ |

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.	**Q1 22/23:** 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.	Executive Directors, Chief Officers and Heads of Service	31-Mar-2023	▶️
SRP.RA.08.05	Learning Estate Strategy	**Q2 22/23:** 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 projects has added another cost pressure and may affect the affordability and viability of some projects. Oversight of Learning Estate programme through the Capital plan & Asset Management Board	Executive Director Education, Head of Development	31 March 2023	▶️
NEW ACTION	Asset Management systems	**Q2 22/23:** Work is ongoing through Place services to identify appropriate asset management systems	Chief Officer Place	31 March 2021	▶️

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 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	Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place; Chief Officer Place, Senior Manager Protective Services	<u>Potential</u> 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 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, Ukrainian and UASC support programmes	3	4	⚠️

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.09.02	Development of Emergency Planning Improvement Plan	**Q2 22/23:** New Contingency Planning Officer in post and work progressing on improvement plan	Senior Manager Protective Services	31 December 2022	▶️
SRP.RA.09.03	Business Continuity System	**Q2 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 now overseen through the Customer Service Platform Board	Chief Officer Place, Senior Manager Protective Services	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.	Chief Executive, Executive Director Place, Chief Officer Corporate Solutions, Legal	<u>Potential</u> 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	3	4	⚠️

| | **Risk effect**
Service, partnerships and project outcomes not achieved
Non-compliance with conduct standards and reduction in standards in public life | and Governance Manager | in public life
04 Annual Assurance Statement.
05 Standing Orders
06 Scheme of Administration
07 Scheme of Delegation | | | |

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RR.10.01	Corporate Governance	**Q2 22/23:** Annual Assurance Statement**,** People Policies and Standing Orders subject to review process (see separate risks contained within the strategic risk profile for further information)		31 March 2023	▶

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.	Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place;	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 October 2022 5. Procurement Strategy 2018 6. Capital Strategy 7. Integrated Joint Board (IJB) Plan 8. IJB Strategic needs assessment 9. 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
NEW	Strategic Plan 2022 - 2027	**Q2 22/23:** Development of Strategic Plan and MTFS for next term of Council being progressed to support decisions about what services, beyond those which are statutory can be provided. This facilitates setting of the 2023/24 budget in February 2023	Executive Directors	February 2023	▶
SRP.RA.11.02	Accessibility Strategy	**Q1 22/23:** 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.	Chief Operating Officer Education, Chief Officer Place	31 March 2023	▶

SRP.RA.11.05	Antisocial Behaviour Policy	**Q1 21/22:** Work continues following appointment of new Senior Manager in Housing & Wellbeing.	Chief Officer Place	31-Dec-2022	▶
SRP.RR.11.01	Parental Engagement Strategy	**Q1 22/23:** Parental Learner Liaison Officer has produced a draft Parental Engagement Strategy looking at examples throughout Scotland and a 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.	Children's Services Management Team; Children's Services, Partnership and Communities	31-July-2022	▶

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	Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place;	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	3	3	⚠

		regulatory obligations. 12. 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.			
service performance					

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
NEW ACTION	Review of Serious Organised Crime (SOC) group	**Q2 22/23**: Review of SOC has begun with stakeholder engagement underway	Chief Officer Place	31 March 2023	▶

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.	Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place; Chief Officer Place, Senior Manager Planning, Sustainable Growth and Investment	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	**Q2 22/23:** Service Review continues.	Chief Officer Place, Senior Manager Planning, Sustainable Growth and Investment	30-Sep-2022	▶
SRP.RA.13.04	Delivery of the BTB Board Carbon Neutral by 2030	**Q2 22/23:** 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, Senior Manager Planning, Sustainable Growth and Investment	31-Mar-2030	▶
NEW	Development of the Strategic Plan 2022-27	**Q2 22/23:** Carbon Neutral by 2030 is a strategic priority within the draft 5 year strategic plan	Chief Officer Place, Senior Manager Planning, Sustainable Growth and Investment	31 March 2023	▶

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	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	4	4	🔴

| | 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. | | 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. The SCAI Social Worker is very competent and experienced in this area of work and provides quarterly updates on their findings from the file read. This is a real strength within this area of work. The CSWO and Principal Solicitor meet regularly with the social worker to discuss findings from the file read. | | | |

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

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 increase 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.	Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place;	1. Local development plan and supplementary guidance on developer contributions. 2. Services planning future service provision on the basis of anticipated service demands 3. The change programme 4. Learning Estate Strategy 5. Capital Plan Prioritisation6.Strategic Housing Investment Strategy 7. Rent Review Strategy 8. Joint needs assessment used to develop - IJB Strategic Plan 9. Capital Plan and Asset Management Board will scrutinise and challenge slippage on capital programmes recognising that slippage can have an adverse impact on financial sustainability and also the	4	4	🔺

| | Risk effect Inadequate capacity within the learning estate to cope with the projected increase in pupil numbers. Ability to fund affordable homes required by planning policy also constrained by rent freeze and cost of living crisis. Insufficient 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. | | delivery on assets required to support capital growth.
10. City Deal provides the opportunity to support inclusive growth. | | | |

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.16.01	Capital Programme	**Q2 22/23:** Latest roll projections indicate that that we will breach capacity in some schools in Aug 2023. Capital programme updated based on outcome of review of Learning Estate Strategy underway	Executive Director Education, Executive Director Place, Head of Development	Aug 2023	▶
NEW ACTION CODE	Capital Plan reprioritisation	**Q2 22/23**: In light of rising costs through inflationary impacts, EU Exit and post pandemic economic shifts, work is ongoing to review the current capital plan and reprioritise the programme. This will be reported to Council in Q4 22/23 for review and approval.	Executive Director Place, Head of Development	March 2023	▶

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** 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	Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place;	01 – Risk and Resilience Group 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.	4	5	🔺

| | 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. | | | | | |

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
NEW	Refresh of Economic Strategy	**Q1 22/23:** Report on economic impacts complete and will be presented to October Council. This will inform the refresh of the Economic Strategy. **Q2 22/23:** Report recommendations agreed by Council in Oct 2022. Work is now underway to refresh the Economic Strategy by March 2023	Chief Officer Place	31 March 2023	▶

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 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.	Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place; Chief Officer Place, Senior Manager Protective Services	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. 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.	3	5	🔺

| | 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. | | | | | |

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	**Q1 22/23:** Review of Strategy to commence upon appointment of Team Manager Health, Safety and Resilience **Q2 22/23:** Appointment made for Team Manager Health, Safety & Resilience. Due to take up post in Jan 2023.	Chief Officer Place, Senior Manager Protective Services	31 March 2023	▶
SRP.RA.19.07	H&S audit across all Council estate	**Q1 22/23:** Protective Services and Property Service are progressing a Health and Safety building audit across the full Council estate, which will inform the development of associated action plans taking a risk based assessment of the findings. Asbestos inspection programme commenced with first round of inspections focussed on the learning estate over the summer holiday period. Review of arrangements for first aid and fire warden provision commenced.	Chief Officer Place	31 December 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. The sustainable rate review may lead to significant increase in funding to providers; maintaining current rate is not an option if not deemed sustainable. The result could lead to a funding gap in future years.	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 5. Business Support and Finance Business Partners reviewing external funding landscape closely for future funding options	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	**Q1 22/23:** 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.

Q2 22/23:
Potential increased costs associated with paying a sustainable rate to partner providers may place further pressure on containing service delivery costs within available funding. .Scottish Government funding for 2023/24 will be known during Q3. | Executive Director Children, Young People and Partnerships, Chief Operating Officer Education, Chief Officer Corporate Solutions | 31 March 2023 | ▶ |

Strategic opportunities

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.	Chief Executive, Executive Director Place, Chief Officer Place, Senior Manager Planning, Sustainable	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,	5	4	🔺

| | | Growth and Investment | 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) | | | |

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.OP.01.02	Energy Service Agreement	**Q2 22/23:** Energy Services Agreement with Shawfair LLP has now been signed and work progressing to deliver Energy Centre ongoing		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.	Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place;	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	**Q2 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 has submitted an application to the Levelling Up Fund to address this gap. Progress report to Council on 28 June – STAG Appraisal (stage 2) complete. Report highlighted that cost inflation and increased project costs as outstanding areas of concern.		31-Dec-2022	▶

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. | Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place; | 1. City Deal signed in August 2018. 2. Maintain strong Midlothian involvement through the City Deal governance structure. 3. Midlothian City Deal Key Officer (Internal) Group. 4. Securing best arrangements for Midlothian through close liaison with partners and conclusion of business cases. | 4 | 5 | 🔴 |

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.OP.04.02	Realisation of outcomes of respective work streams	**Q2 22/23:** For the 2022 calendar year Midlothian is the chair of the CRD programme (annual rotation across the six Local Authorities).	Executive Director Place	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. Risk event: The Phase 2 *Equipped for Leaning* plan has a strong focus on transforming classroom practice and learner outcomes. This can only be achieved if effective technical support for EfL is in place to support this change. Risk Effect: Without the technical support and appropriate infrastructure we will not achieve the change resulting in a negative impact on learners experiences and outcomes	Chief Executive; Head of Adult and Social Care; Head of Children's Services; Executive Director of Education; Executive Director Place;	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	**Q1 22/23** 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.	Executive Director Children, Young People and Partnerships	31-Aug-2023	▶
NEW ACTION	Equipped for Learning	**Q2 22/23:** Recruitment has commenced for the Google Administrator post which will provide additional capability and enhance the programme delivery	Executive Director Children, Young People and Partnerships	31 Dec 2022	▶