


STRATEGIC RISK PROFILE, Q3 October - December 2023


SRP STRATEGIC RISK PROFILE


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


SRP.IR.02 The Change Programme

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




Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SPR.RA-02.08	Transformation Blueprint 2023-28 delivery	<p>Q3 23/24: Regular review and updates to the Business Transformation Board which meets monthly. Transformation Manager in post and sprints initiated.</p> <p>Q2 23/24: Progress as detailed in Q1.</p> <p>Q1 23/24: Transformation Blueprint presented to Council in June 2023 and agreed. Transformation Manager appointed – expected start date Q2 2023/24. Review of BTB</p>	Chief Officer Corporate Solutions; Chief Executive; Chief Finance Officer;	30 June 2028	 20%

		governance complete and closure report produced for BTSG Q2 2023/24.	Chief Officer Place			
SRP.RA.0 2.03	Develop Medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	Q3 23/24: As Q1. Preparations for MTFS at February Council. Q2 23/24: As Q1. Q1 23/24: The projected budget gap through to 2028/29 was presented to BTSG and contained in the Transformation Blueprint approved by Council. Updated projections will be presented to BTSG and to Council on a regular basis.	Chief Executive; Chief Finance Officer	27-Feb-2024		0%


SRP.IR.07 Financial Sustainability

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.IR.07	<p>Risk cause Scottish Government Grant settlements fall short of the resources needed to sustain core services. Core funding falling short of inflation pressures, pay awards and demographic pressures arising from an Increasing ageing population of over 75's Increasing population of 0-15 age group and at a time when there are rising customer expectations.</p> <p>Risk event Transformation activity and the flexibility available to Councils as part of the grant settlement does not address future years projected budget gaps.</p> <p>Risk effect Inadequate government funding makes securing balanced budgets challenging. This in turn erodes the Council's ability to deliver services to the community and potentially means that resources available fall short of those the Council assess as required to meet its statutory obligations. Whilst transformation activity can help reshape services and ensure best value in the delivery of services it is not a solution to continued erosion of core funding.</p>	Head of Adult and Social Care; Chief Officer Corporate Solutions; Chief Operating Officer Education; Chief Executive; Chief Finance Officer; Director Health and Social Care; Chief Officer Place; Executive Director Place; Chief Officer Young People and Partnerships	<ol style="list-style-type: none"> 1. There is an approved Capital Strategy and Reserves Strategy in place. The Capital Strategy is being updated in the context of ongoing and significant infrastructure pressures. 2. There is an approved budget for 2022/23. Services were delivered within the totality of that budget and the 2023/24 budget has been approved albeit with some 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 year's 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 across the Council. 9. Scottish Governments May 2022 Resource Spending Review provided planning parameters for term of parliament, albeit these are challenging and present a real terms reduction in grant funding of circa 7% over the period. 10. Report to Council 21 February 2023 sets out scale of financial challenge ahead with recurring expenditure for current service delivery projected to exceed recurring income. 11. "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. 12. Cross Party Business Transformation Steering Group engaged in consideration of measures to secure balanced budgets alongside the 	5	5	


			development of a Strategic Plan to support decisions about what services, beyond those which are statutory can be provided.			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SPR.RA-02.09	Transformation Blueprint 2023 to 2028	Q3 23/24: Regular review and updates to the Business Transformation Board which meets monthly. Transformation Manager in post and sprints initiated. Q2 23/24: Progress as detailed in Q1. Q1 23/24: Transformation Blueprint presented to Council in June 2023 and agreed. Transformation Manager appointed – expected start date Q2 2023/24. Review of BTB governance complete and closure report produced for BTSG Q2 2023/24.	Chief Executive; Chief Finance Officer	30-June-2028		20%
SRP.RA.02.03	Develop Medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	Q3 23/24: As Q1. Preparations for MTFS at February Council. Q2 23/24: As Q1. Q1 23/24: The projected budget gap through to 2028/29 was presented to BTSG and contained in the Transformation Blueprint approved by Council. Updated projections will be presented to BTSG and to Council on a regular basis.	Chief Executive; Chief Finance Officer	27-Feb-2024		0%
SRP.RA-02.10	Capital Plan Prioritisation	Q3 23/24: Work continues on CPP. Q2 23/24: Work continues on CPP. Q1 23/24: The Capital Plan in its current format is unaffordable due to rising costs of construction, inflation and EU-Exit/post pandemic and other economic pressures. A review of the Capital Plan is underway to determine affordability, prioritisation and options presented to members for consideration in Q2 2023/24.	Head of Development; Chief Finance Officer; Executive Director Place	31-Oct-2023		0%


SRP.IR.10 COVID 19

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.IR.10	<p>Risk cause COVID 19 Virus</p> <p>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.</p> <p>Risk effect Potential for widespread impacts with the risk of significant levels of community transmission leading to increased government restrictions aimed at reducing community</p>	Head of Adult and Social Care; Chief Officer Corporate Solutions; Chief Operating Officer Education; Chief Executive; Chief Finance Officer; Director Health and Social Care; Chief Officer Place; Executive Director Place; HR Strategic	<p>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.</p> <p>2. Hybrid working has been adopted by the Council as well as a dedicated Hybrid Working Board as part of the Transformation Programme</p> <p>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.</p> <p>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.</p> <p>5. Promotion of digital tools to support employees and prevent employees becoming isolated.</p>	1	4	


	<p>transmission.</p> <p>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.</p> <p>Rapid pace of guidance changes following government announcements and expectation of quick changes to service delivery in line with new controls.</p>	Lead; Chief Officer Young People and Partnerships	<p>6. Council website kept up-to date, providing details of which services were operating and any changes on how to access services.</p> <p>7. A range of interventions, including digital equipment and tools such as MS Teams put in place to support remote and hybrid working</p> <p>8. Following safe working guidance issued by Scottish Government relevant to sectors.</p> <p>9. Economic Recovery Strategy</p> <p>10. School and workplace based COVID risk assessments continually reviewed to support the identification and control of risk (and personal risk assessments where required)</p>			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.1 0.1	Hybrid Working	Q1 23/24: Hybrid Working Programme closed. Closure report presented to Place DMT and contained within BTB closure report. Workstreams relating to Estate Rationalisation have moved into Blueprint and continue under the themes of Hub & Spoke, Capital Plan and One Stop Shops. Project Team and Terms of Reference being established.	Chief Officer Corporate Solutions; Chief Digital Officer; Chief Officer Place; Executive Director Place	31-Mar-2024		0%

SRP.IR.11 National Care Service


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.IR.11	<p>Risk cause In August 2022 the Scottish Government launched a 12-week consultation on the way in which social care is delivered in Scotland. The consultation followed recommendations made in the Independent Review of Adult Social care. The independent analysis of responses was published in February 2022. On 20 June 2022 the Scottish Parliament published the National Care Service (NCS) Bill which will provide the foundation for the NCS.</p> <p>Risk event A Bill passes through various</p>	Head of Adult and Social Care; Chief Executive; Director Health and Social Care; Executive Director Place; Chief Officer Young People and Partnerships	<p>1. The first stage of the Bill has been delayed and it is anticipated that an update shall be available around December 2023.</p> <p>2. 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</p> <p>3. Ongoing briefings with elected members</p> <p>4. Continued dialogue and engagement with Scottish Government and IJB/H&SCP/Children's Services</p>	3	5	

	<p>Parliamentary stages. The Bill is currently in Stage 1 of the process. The most significant part of the legislation which poses the most risk is the intention to transfer social care responsibility from local authorities to a new, national service.</p> <p>Risk effect The details of the logistics of any transfer are not yet provided within the Bill. It is not clear the extent to which powers will be removed from local authorities or what the provision or delivery of services will or will not be.</p> <p>At this stage, the risk effect is anticipated to be significant financial impact to local authorities and IJBs, as well as the potential for impacts on staffing, transfer of property and facilities and the reshaping of the delivery of care.</p> <p>It should be noted that the initial impact on the Council is staff time to contribute to the ongoing discussions and understanding of the impact of the Bill.</p>					
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.1 1.1	Officer Working Group	<p>Q3 23/24: Further information now expected late March 2024.</p> <p>Q2 23/24: National Care Service Bill has been delayed for any further decision until the 1st March 2024.</p> <p>Q1 23/24: Work on the NCS has been delayed and further information will not be available until around December 2023.</p>	Chief Executive	31-Mar-2024		100%

Strategic Risks

SRP.RR.01 Financial Sustainability in future years

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.01	<p>Risk cause: Scottish Government Grant settlements fall short of the resources needed to sustain core services. Core funding falling short of inflation pressures, pay awards and demographic pressures arising from an Increasing ageing population of over 75's. Increasing population of 0-15 age group and at a time when there are rising customer expectations. Policy decisions by UK & Scottish Governments which are not fully funded. Changes to the responsibilities of Local Government and the funding implication that arise from that, particularly in respect of the creation of a National Care Service. Future year pay award settlements.</p> <p>Risk event: Real terms reduction in core grant settlements. Policies decisions at Government level not fully funded to Council's. Implementation of a National Care Service and impact on grant settlements. Securing the extent of change required in order to deliver financial sustainability and a change program that recognises the size of the challenge. Cost pressures exceeding budget estimates. Uncertainty around service delivery models and income streams and prospects for public finances associated with COVID impact and recovery.</p>	Head of Adult and Social Care; Chief Officer Corporate Solutions; Chief Operating Officer Education; Chief Executive; Chief Finance Officer; Director Health and Social Care; Chief Officer Place; Executive Director Place; Chief Officer Young People and Partnerships	<ol style="list-style-type: none"> 1. The Strategic Plan, Transformation Blueprint and updated MTFS projections will all be presented to Council in June 2023. 2. Maintaining a level of reserves to deal with unforeseen or one-off cost pressures. 3. Capital and Reserves Strategies in place. The Capital Strategy is being updated in the context of ongoing and significant infrastructure pressures. 4. Working through COSLA to influence government spending decisions to influence Scottish Government's budget allocation to Councils. 5. Implement a lobbying strategy with government to recognise the unique position Midlothian Council is in. 6. Best Value Audit report actions. 7. Strategic Boards in place to drive transformation in line with the Transformation Blueprint. 8. Dedicating capacity to understand impact of NCS Bill, but limited details mean this is challenging and many unanswered questions (refer to specific risk on NCS for further detail) 	5	5	



	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.					
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.0 2.03	Develop Medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	Q3 23/24: As Q1. Preparations for MTFS at February Council. Q2 23/24: As Q1. Q1 23/24: The projected budget gap through to 2028/29 was presented to BTSG and contained in the Transformation Blueprint approved by Council. Updated projections will be presented to BTSG and to Council on a regular basis.	Chief Executive; Chief Finance Officer	27-Feb-2024		100%
SRP.RA.0 2.04	Transformation Blueprint 2023 to 2028	Q3 23/24: Regular review and updates to the Business Transformation Board which meets monthly. Transformation Manager in post and sprints initiated. Q2 23/24: Progress as detailed in Q1. Q1 23/24: Transformation Blueprint presented to Council in June 2023 and agreed. Transformation Manager appointed – expected start date Q2 2023/24. Review of BTB governance complete and closure report produced for BTSG Q2 2023/24.	Chief Executive; Chief Finance Officer	30-June-2028		20%
SRP.RA.0 2.06	Capital Plan prioritisation	Q3 23/24: Work continues on CPP. Q2 23/24: Work continues on CPP. Q1 23/24: The Capital Plan in its current format is unaffordable due to rising costs of construction, inflation and EU-Exit/post pandemic and other economic pressures. A review of the Capital Plan is underway to determine affordability, prioritisation and options presented to members for consideration in Q2 2023/24.	Head of Development; Chief Finance Officer; Executive Director Place	31-Oct-2023		0%


SRP.RR.02 The Long-Term Change Programme




Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.0 2	Risk cause: A MTFS that does not address the projected budget shortfall or contextual factors relating to the Midlothian area. Reduced resources Leadership fit for the future. Lack of clarity or clear compelling vision	Head of Adult and Social Care; Chief Officer Corporate Solutions; Chief Operating Officer Education; Chief	1. Development of Strategic Plan, Transformation Blueprint and MTFS projections which come together to provide a framework to effect change and to move the Council to a position of financial sustainability. 2. Leadership from all Elected Members, Executive Team and Senior Leadership Group. 3. Appropriate governance in place across the BTB Strategic Boards 4. Resilience planning.	5	5	


	<p>for the future Delay or shortfall in securing savings Lack of or not securing transformational change in service provision</p> <p>Risk event: Delayed progress in applying various strands of the Change Programme including Delivering Excellence Framework Slow benefits realisation and budget savings Cuts in service provision rather than service transformation</p> <p>Risk effect: Objectives of change not actually met. Adverse impact on services Slow or delayed proposals/savings arising from service redesign. Potentially further eroding reserves or requiring short term service reductions which impact on Council's ability to deliver against its priorities. Staff morale negatively affected, Government step-in short term savings instead of transformation</p>	Executive; Chief Finance Officer; Director Health and Social Care; Chief Officer Place; Executive Director Place; Chief Officer Young People and Partnerships	<p>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)</p>			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SPR.IA.02.06	Transformation Blueprint 2023 - 2028	<p>Q3 23/24: Regular review and updates to the Business Transformation Board which meets monthly. Transformation Manager in post and sprints initiated.</p> <p>Q2 23/24: Progress as detailed in Q1.</p> <p>Q1 23/24: Transformation Blueprint presented to Council in June 2023 and agreed. Transformation Manager appointed – expected start date Q2 2023/24. Review of BTB governance complete and closure report produced for BTSG Q2 2023/24.</p>	Chief Officer Corporate Solutions; Chief Executive; Chief Finance Officer; Chief Officer Place	30-June-2028		20%
SRP.RA.02.03	Develop Medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	<p>Q3 23/24: As Q1. Preparations for MTFS at February Council.</p> <p>Q2 23/24: As Q1.</p> <p>Q1 23/24: The projected budget gap through to 2028/29 was presented to BTSG and contained in the Transformation Blueprint approved by Council. Updated projections will be presented to BTSG and to Council on a regular basis.</p>	Chief Executive; Chief Finance Officer	27-Feb-2024		0%


SRP.RR.03 Legal and Regulatory Compliance

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.03	<p>Risk cause Current or new legislation applying to Midlothian Council</p> <p>Risk event Council and or Services not identifying all applicable legislation impacting Council activities and Service requirements.</p> <p>Risk effect Council failing to meet its statutory obligations resulting in a potential negative impact for service users or employees. Reputational impact of not meeting statutory obligations.</p>	Head of Adult and Social Care; Legal and Governance Manager; Chief Officer Corporate Solutions; Chief Operating Officer Education; Chief Executive; Chief Finance Officer; Director Health and Social Care; Chief Officer Place; Executive Director Place; Chief Officer Young People and Partnerships	<ol style="list-style-type: none"> 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. BTSG oversight of new legislation 7. Central repository of applicable legislation. 	3	3	



Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
NEW	Review of policy and creation of a policy register	Q3 2023/24: Corporate Solutions has initiated a review of policies in the Council, aligned to legislation changes and statutory requirements for the Local Authority. Work is ongoing to gather information across the Council to inform an action plan and a refreshed policy register. It is estimated that this work will take until end 2024 to be completed.	Chief Officer Corporate Solutions	31 Dec 2024		10%
SRP.RA.03.02	Rights of the Child Bill	Q3 23/24: As Q2. Q2 23/24: Bill now adopted. Policy to be presented to Council May/June 2024.	Chief Social Work Officer	31-Dec-2023		0%
SRP.RA.03.03	National Care Service	Q3 23/24: As Q2. Q2 23/24: National Care Service Bill has been delayed for any further decision until the 1 st March 2024. Q1 23/24: The first stage of the Bill has been delayed until December 2023.	Chief Executive	31-Dec-2023		0%

SRP.RA.0 3.05	Review of Standing Orders, Scheme of Administration and Scheme of Delegation	Q3 23/24: Workplan being developed by officer working group and will be presented to SOWG in March 2024 for approval. Q2 23/24: Work ongoing. Q1 23/24: Work ongoing.	Legal and Governance Manager; Chief Officer Corporate Solutions; Executive Director Place	31 Dec 2024		20%
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SRP.RR.04 Employee performance


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.0 4	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	Head of Adult and Social Care; Chief Officer Corporate Solutions; Chief Operating Officer Education; Chief Executive; Chief Finance Officer; Director Health and Social Care; Chief Officer Place; Executive Director Place; HR Strategic Lead; Chief Officer Young People and Partnerships	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.	3	4	


	<p>impacting on remaining workforce. Unacceptable behaviours demonstrated by employees. Stated organisational culture not consistently reinforced by managers. Poor employee performance will stifle transformational change.</p> <p>Risk effect Difficulties recruiting the right staff. 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.</p>		<p>Conduct 1. Resolution Policy encourages early intervention of workplace issues. 2. Professional standards and values build into the induction process and management development programme.</p> <p>Communication 1. A range of initiatives to keep staff informed of change (Chief Executive's weekly email, Connect, All staff emails, tailored team briefings etc.</p>			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.0 2.04	Revisions to Service Workforce Plans - including analysis of future workforce requirements, gap analysis and gap closing strategies, and performance measures and target setting.	<p>Q3 23/24: As Q1. Q2 23/24: As Q1. Q1 23/24: Service plans were presented to June 2023 council. Supporting workforce plans are due to be fully in place for June 2024. The workforce planning process, guidance and documentation has been developed and approved for use by managers across the council. The HR team is available to support managers who wish help and guidance in the development of these workforce plans.</p>	HR Strategic Lead	31-Mar-2024		0%
SRP.RA.0 2.06	Workforce wellbeing	<p>Q3 23/24: This will be delivered in Spring 2024. Q2 23/24: As Q1. Q1 23/24: Health and Wellbeing is part of the work ongoing under Theme 2 of the Blueprint. This work will report further as part of that reporting process, in the latter half of 2023.</p>	HR Strategic Lead	31-Mar-2024		0%


SRP.RR.07 Care at Home

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
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SRP.RR.07	<p>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.</p> <p>Risk event Capacity of Community Support outstripped by demand.</p> <p>Risk effect There is a risk that patients will have their discharge delayed because there is insufficient community supports to enable timely discharge leading to deterioration in their health, beds being blocked and elective operations potentially being cancelled.</p>	Head of Adult and Social Care; Director Health and Social Care	<ol style="list-style-type: none"> Care at Home winter assurance plan and business continuity plan complete Development of Care at Home Service Improvement action plan near completion External commissioning complete and ongoing contract monitoring in place External provider audits complete Re-established Multi-Agency Quality in Care at Home quarterly review meetings jointly with East Lothian Weekly provider meetings in place Additional locum team members and contracts with agency staff in place Daily discharge meeting with Multidisciplinary and Multi-agency team planning to plan and coordinate discharge to ensure care at home support in place 	3	4	
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.07.01	Independent review of adult and social care	Q1 23/24: Pause remains in place.	Head of Adult and Social Care; Chief Executive	31-Jan-2024		100%


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



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

	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.	Director Place; Chief Officer Young People and Partnerships	Management Board 9. Establishment of 7 thematic Estate Safety and Management Groups chaired by Chief Officer Place 10. Building Accessibility Strategy			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.0 8.02	Plan for appropriate investment in capital works and remedial maintenance over the lifespan of each property asset.	Q3 23/24: Surveyors have now completed the first phase of surveys that were due to have been completed by March 2024. A further phase will begin in April and run though until April 2025. Q2 23/24: As Q1. Q1 23/24: Surveyors Thompson Gray have been appointed and are progressing a schedule of condition surveys over a 2-3 year period. This is currently in hand with surveys progressing.	Chief Officer Place	31-Mar-2024		33%
SRP.RA.0 8.05	Learning Estate Strategy	Q3 23/24: As Q1. Any delay to approval of required projects may impact on the statutory requirement to provide Education. Q2 23/24: As Q1. Q1 23/24: All Priority 1 projects as detailed in the Learning Estate Strategy have been approved by Council in June 2023, this includes Beeslack HS replacement and Penicuik HS refurbishment & extension. A number of Projects in the priority 2 tranche have been progressed to ensure schools to do not experience capacity breaches.	Head of Development	31-Mar-2024		0%
SRP.RA.0 8.06	Asset Management systems	Q1 23/24: Identified for implementation through Transformation Blueprint and The Change Programme. SRP.IR.02.	Chief Officer Place	31-Mar-2024		0%



SRP.RR.09 Emergency Planning and Business Continuity Management

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.09	<p>Risk cause The Council not preparing or timeously reviewing Emergency Plans and testing arrangements to respond to Civil Contingencies Incidents</p> <p>Risk event There are a wide range of potential events the Council may be expected to respond to e.g., Severe weather incident, Pandemic, Utility disruption etc.</p> <p>Risk effect Censure through non-compliance with the Civil Contingencies Act Not adequately recovering from the loss of major accommodation (e.g., secondary school, main offices), computer systems and staff Not able to respond to a major emergency in the community Fatal Accident Inquiries</p>	Head of Adult and Social Care; Chief Officer Corporate Solutions; Head of Development; Chief Operating Officer Education; Chief Executive; Chief Finance Officer; Director Health and Social Care; Chief Officer Place; Executive Director Place; Senior Manager Protective Services; David Robertson; Chief Officer Young People and Partnerships	<p>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.</p> <p>02 – Establishment based incident response plans in place and maintained locally.</p> <p>03 – Emergency response plan setting out general approach to respond to a major emergency in-line with key partner organisations.</p> <p>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.</p> <p>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.</p> <p>06 – Care for People Group: Afghan, Ukrainian and UASC support programmes</p>	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.09.02	Development of Emergency Planning Improvement Plan	<p>Q3 23/24: Service review of team has commenced.</p> <p>Q2 23/24: Service review to commence in Q3.</p> <p>Q1 23/24: The draft report has been prepared for CMT on Enhancing Organisational Resilience and Preparedness. This report also addresses progress with business continuity. A service review of the Health, Safety & Resilience team is scheduled to commence in Q2 2023/24.</p>	Chief Officer Place; Senior Manager Protective Services; David Robertson	31-Dec-2023		75%
SRP.RA.09.03	Business Continuity System	<p>Q3 23/24: System review/upgrade has been considered and it is planned to present a report to CMT in Q4.</p> <p>Q2 23/24: Progress impacted by staff resource, conflicting pressures and pending service review.</p> <p>Q1 23/24: Following the loss of officer resource through resignation progress has slowed. Consideration of the appropriateness of procuring the system upgrade version will occur in Q2.</p>	Chief Officer Place; Senior Manager Protective Services; David Robertson	31-Mar-2024		25%





SRP.RR.10 Governance and Standards in Public Life


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.10	<p>Risk cause Code of conduct for Members and employees' actions falling short of International Standards.</p> <p>Risk event Failure in openness, accountability, clarity.</p> <p>Risk effect Service, partnerships and project outcomes not achieved. Non-compliance with conduct standards and reduction in standards in public life.</p>	Legal and Governance Manager; Chief Officer Corporate Solutions; Chief Executive; Chief Officer Place; Executive Director Place	01 Annual Assurance Statement. 02 Standing Orders 03 Scheme of Administration 04 Scheme of Delegation 05 Elected Member Code of Conduct 06 Induction programme for new members and ongoing learning and development programme 07 Employee Code of Conduct	2	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
NEW	Review of the employee onboarding and induction programme	Q3 2023/24: CMT agreed to a refresh of the staff induction programme which include a compliance section. It is anticipated that the new programme will be fully completed by end Dec 2024, with a phasing of improvement actions being delivered throughout 2024.				
SRP.RA.03.05	Review of Standing Orders, Scheme of Administration and Scheme of Delegation	Q3 23/24: Workplan being developed by officer working group and will be presented to SOWG in March 2024 for approval. Q2 23/24: Work ongoing. Q1 23/24: Work ongoing.	Legal and Governance Manager; Chief Officer Corporate Solutions; Executive Director Place	31 Dec 2024		20%
SRP.RR.10.01	Corporate Governance	Q1 23/24: Annual Assurance Statement presented to Audit Committee in June 2023 and agreed. Completed	Legal and Governance Manager; Chief Officer Corp Solutions; Executive Director Place	31-Mar-2024		100%


SRP.RR.11 Corporate Policies and Strategies

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.1 1	<p>Risk cause Policies may not match the aspirations of the Council's Strategic priorities or cultural perspective.</p> <p>Risk event Policies not monitored may become out of date. Policies not reviewed to ensure alignment with strategic priorities.</p> <p>Risk effect Policies not monitored could result in non-compliance with legislation Policies not aligned to strategic priorities will inhibit rather than support implementation of strategic priorities.</p>	Head of Adult and Social Care; Chief Officer Corporate Solutions; Chief Operating Officer Education; Chief Executive; Chief Finance Officer; Director Health and Social Care; Chief Officer Place; Executive Director Place; Chief Officer Young People and Partnerships	<ol style="list-style-type: none"> 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. Capital Strategy 6. Integrated Joint Board (IJB) Plan 7. IJB Strategic needs assessment 8. Midlothian Local Development Plan 2017 – the Council's corporate spatial strategy. 	2	3	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.1 1.02	Accessibility Strategy	Q1 23/24: Education accessibility strategy updated.	Chief Operating Officer Education; Chief Officer Place; Senior Manager Property and Facilities Management	31-Oct-2023		100%
NEW	Review of policy and creation of a policy register	Q3 2023/24: Corporate Solutions has initiated a review of policies in the Council, aligned to legislation changes and statutory requirements for the Local Authority. Work is ongoing to gather information across the Council to inform an action plan and a refreshed policy register. It is estimated that this work will take until end 2024 to be completed.	Chief Officer Corporate Solutions	31 Dec 2024		10%
SRP.RA.1 1.05	Antisocial Behaviour Policy	Q3 22/23: Work continues.	Chief Officer Place	31-Dec-2023		0%
SRP.RA.1 1.06	Transformation Blueprint 2023 - 2027	Q3 23/24: Regular review and updates to the Business Transformation Board which meets monthly. Transformation Manager in post and sprints initiated. Q2 23/24: Progress as detailed in Q1.	Chief Executive; Chief Finance Officer	30-June-2028		20%

		Q1 23/24: Transformation Blueprint presented to Council in June 2023 and agreed. Transformation Manager appointed – expected start date Q2 2023/24. Review of BTB governance complete and closure report produced for BTSG Q2 2023/24.				
SRP.RR.1 1.01	Parental Engagement Strategy	Q2 23/24: Policy implemented. Q1 23/24: Draft Parental Involvement & Engagement Policy at consultation.	Chief Operating Officer Education	31-Oct-2023		100%


SRP.RR.12 Internal Control Environment


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.1 2	<p>Risk cause Work procedures/process inadvertently create the capacity for fraud and waste to occur. Internal Controls requiring more time, effort or cost than the risk being managed. Mangers failing to follow procedures and keep systems updated with accurate information.</p> <p>Risk event Persons exploiting opportunities to commit fraud. Waste and errors Changing risk landscape associated with remote working solutions.</p> <p>Risk effect Waste and loss Risks over managed with risk controls costing more than the potential loss being managed. Increased opportunity for fraud or financial loss has direct impact on management information. Has adverse effect on service performance.</p>	Head of Adult and Social Care; Chief Officer Corporate Solutions; Chief Operating Officer Education; Chief Executive; Chief Finance Officer; Director Health and Social Care; Chief Officer Place; Executive Director Place; Chief Officer Young People and Partnerships	<p>1. Services have been prompted to consider fraud and waste within Service Risk Registers.</p> <p>2. Risk Management Guide provides direction on the need to balance time, effort and cost against benefit of risk controls.</p> <p>3. Internal Audit examine internal control arrangements based largely on the risk registers.</p> <p>4. Corporate Fraud team in place who assist managers to undertake fraud risk assessments in their areas (focused on priority areas) and provide advice and guidance on fraud related matters. Active participation in the National Fraud Initiative to investigate matches.</p> <p>5. Whistleblowing Policy and Counter Fraud Policy in place (subject to review) with whistleblowing channels available to report concerns (anonymously if required).</p> <p>6. Internal and external assurance. Annual Governance Statement which involves obtaining assurance from Management over controls in their Service.</p> <p>7. E-learning for staff to complete mandatory training for fraud awareness.</p> <p>8. Regular updates to Audit committee on progress with recommendations made by Internal Audit.</p> <p>9. Remind staff to declare secondary employment/outside interests and gifts & hospitality</p> <p>10. Induction for all new employees (with service exceptions), including legal, HR, procurement, health and safety. Control at entry to organisation.</p> <p>11. 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.</p>	2	3	



Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
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SRP.RA.1 2.04	Review of Serious Organised Crime (SOC) group	Q3 23/24: Work underway to refresh SOC Strategy, working with Police Scotland and neighbouring authorities. Draft report expected Q4.	Chief Officer Place; Health, Safety & Resilience Manager	31-Mar-2024		50%
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SRP.RR.13 Climate Change

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


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.1 3.03	Recruitment of Climate Change Officer	<p>Q3 23/24: Recruitment process commenced. Climate Action Plan work to be presented to Council in Q1 24/25.</p> <p>Q1 23/24: Service Review continues.</p>	Planning, Sustainable Growth and Investment	31-Mar-2024		60%

			Manager; Chief Officer Place			
SRP.RA.1 3.04	Delivery of the BTB Board Carbon Neutral by 2030	Q4 22/23: This action will be progressed when the Council's adopted Climate Change Strategy is reviewed in 2023/24.	Planning, Sustainable Growth and Investment Manager; Chief Officer Place	31-Mar-2030		10%
SRP.RA.1 3.05	Development of the Strategic Plan 2023-27	Q4 22/23: Carbon Neutral by 2030 is a strategic priority, with work continuing through 23/24.	Planning, Sustainable Growth and Investment Manager; Chief Officer Place	31-Mar-2024		10%


SRP.RR.14.1 Scottish Child Abuse Inquiry

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.1 4.1	<p>Risk Cause: Midlothian Council and its legacy organisations, predating the creation of Midlothian Council in 1996, have been involved in the provision of care of children going back to living memory. During this time there is the likelihood that the care children received fell below standards of care now in place. There is the further potential that some people in the care of Midlothian Council and its legacy organisations were subject to abuse by those who were employed to care for them.</p> <p>Risk Event: The Scottish Government began an Inquiry into cases of Child Abuse occurring prior to 17 December 2014, the intention of this enquiry is to identify historic case of abuse which have to date gone unreported. The most recent Section 21 notice around the Foster Care Case Study is a significant piece of work. The request for information from 1930 to date is very challenging given the volume of files</p>	Chief Executive; Chief Social Work Officer	<p>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.</p> <p>The Inquiry Team have established a Project Plan covering:</p> <ol style="list-style-type: none"> 1. Residential establishments, List D Schools and Foster Carers: identifying Children's homes, Foster Carers and any List D Schools in Midlothian over the last 100 years and researching historic records. 2. Record Audit: reviewing the Council's existing paper and electronic recordkeeping systems to identify relevant records and map them to residential establishments. This also includes, where possible, noting the Council's historic recordkeeping policies, such as retention schedules. 3. Cataloguing/Indexing: checking and updating existing recordkeeping systems for accuracy and consistency, enabling effective information retrieval when requested by the Inquiry. <p>The Project Team have established a Project Plan covering:</p> <ol style="list-style-type: none"> 4. Ascertaining the succession and insurance position in relation to potential historic child abuse claims. 5. Ascertaining and agreeing Midlothian Council's legal position/ approach in dealing with the potential historic child abuse claims. 6. Identifying the need for guidance, protocol, templates etc. should/if any claims be made against the council. 7. Consideration to identifying if additional staffing will be required as expected deluge of FOI's SARs in 2018 from solicitors of potential claimants. 8. Project team is in place with project plan with a range of identified actions 	4	4	



	<p>that require to be read and analysed.</p> <p>Risk Effect: If the inquiry finds historic cases of abuse in Midlothian this could damage the reputation of the Council and could place doubt in the eyes of the public as to the safety of these currently in care. There is significant scope for a substantial financial impact arising from claims of historic abuse. Some existing employees may be affected by the inquiry and subsequent claims of abuse.</p> <p>We have requested an extension for Parts B, C & D of the last Section 21 to April 2020, which has been granted. To date there has been no evidence from the extensive file read to suggest there has been systemic abuse within our foster care system.</p>		<p>which are being progressed. Monthly meetings to progress project plan.</p> <p>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.</p>			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.1 4.03	Foster Care and Residential Care File Review	<p>Q3 23/24: Inquiry has heard all the evidence for the Sect 21</p> <p>Q2 23/24: As Q1.</p> <p>Q1 23/24: Review complete submissions around foster care. We continue to await the findings by Lady Smith. The redress system is in place and there is a lot of activity around this area of work which requires significant input from our social worker within the Scottish Child Abuse team.</p>	Childrens Services Management Team; Chief Social Work Officer; Chief Officer Young People and Partnerships	31-Mar-2024		100%

SRP.RR.16 Growing Council


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.16	<p>Risk cause</p> <p>Population growth in Midlothian over the next 10 to 15 years will see Midlothian become the fastest growing Council in Scotland.</p> <p>Between 2014 and 2039, ages 0-15yrs,</p>	Head of Adult and Social Care; Director of Education; Chief Executive; Executive	<p>1. Local development plan and supplementary guidance on developer contributions.</p> <p>2. Services planning future service provision on the basis of anticipated service demands</p> <p>3. The change programme</p> <p>4. Learning Estate Strategy</p>	4	4	


<p>population is projected to increase by 20% and for ages 75+ population projected to increase by 100%.</p> <p>Risk event Failure to resource and plan for these rises will significantly impact the Councils ability to fulfil its statutory obligations in relation to these groups.</p> <p>Risk effect Inadequate capacity within the 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.</p>	<p>Director Place; Chief Officer Young People and Partnerships</p>	<p>5. Capital Plan Prioritisation 6. Strategic Housing Investment Strategy 7. Rent Review Strategy 8. Joint needs assessment used to develop - IJB Strategic Plan 9. Capital Plan and Asset Management Board will scrutinise and challenge slippage on capital programmes recognising that slippage can have an adverse impact on financial sustainability and also the delivery on assets required to support capital growth. 10. City Deal provides the opportunity to support inclusive growth.</p>			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.1 6.01	Capital Programme	Q3 23/24: The Capital Plan in its current format is unaffordable due to rising costs of construction, inflation and EU-Exit/post pandemic and other economic pressures. A review of the Capital Plan is underway to determine affordability, prioritisation and options presented to members.	Director of Education; Executive Director Place	31-Mar-2024		75%
SRP.RA.1 6.02	Capital Plan prioritisation	Q3 23/24: Work continues on CPP. Q2 23/24: Work continues on CPP. Q1 23/24: The Capital Plan in its current format is unaffordable due to rising costs of construction, inflation and EU-Exit/post pandemic and other economic pressures. A review of the Capital Plan is underway to determine affordability, prioritisation and options presented to members for consideration in Q2 2023/24.	Head of Development; Chief Finance Officer; Executive Director Place	31-Oct-2023		0%

SRP.RR.17 UK Decision to leave the EU

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
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SRP.RR.1 7	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 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.	Head of Adult and Social Care; Chief Officer Corporate Solutions; Chief Operating Officer Education; Chief Executive; Chief Finance Officer; Director Health and Social Care; Chief Officer Place; Executive Director Place; Chief Officer Young People and Partnerships	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	
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.1 7.01	Refresh of Economic Strategy	Q3 23/24: Draft Economic Strategy prepared; to be presented to Council in Q1 24/25.	Chief Officer Place	30-June-2024		60%

SRP.RR.19 Health & Safety


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.1 9	Risk cause Failing to identify and rectify non-	Head of Adult and Social Care;	1 - Health Safety and Wellbeing Strategy & Service Plan 2 - Suite of Health and Safety Management Arrangements developed setting out	3	5	

	<p>compliance with Health and Safety regulations.</p> <p>Risk event Employees required to undertake tasks they are not competent to. Statutorily driven health and safety protective arrangements for service users and employees not implemented correctly. Non-compliance with policy and procedure Not undertaking audits and inspections to confirm adherence to policy and legislative requirements.</p> <p>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.</p>	<p>Chief Officer Corporate Solutions; Chief Operating Officer Education; Chief Executive; Chief Finance Officer; Director Health and Social Care; Chief Officer Place; Executive Director Place; Senior Manager Protective Services; David Robertson; Chief Officer Young People and Partnerships</p>	<p>council response to statutory obligations 3 - Comprehensive range of Health & Safety Management & Assessment based development opportunities for line managers 4 - Use of Health & Safety Management Information System (SPHERA) to enhance information transfer and organisational efficiency 5 - Comprehensive training programme in place to support those with responsibility for managing health and safety. 7 - Use of comprehensive audit programme to confirm the application of agreed management Arrangements and Council Policy.</p>			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.1 9.01	Delivery of Health, Safety and Wellbeing Service Plan	<p>Q3 23/24: Work continues.</p> <p>Q2 23/23: As Q1.</p> <p>Q1 23/24: Implementation of the 23/24 Protective Services Health, Safety & Resilience Service Plan has commenced. Note the Health Safety & Resilience Team Service Review is scheduled to commence in Q2.</p>	Chief Officer Place; Senior Manager Protective Services; David Robertson	31-Mar-2024		25%
SRP.RA.1 9.07	H&S audit across all Council estate	<p>Q3 23/24: Work continues.</p> <p>Q2 23/24: Work on audit report underway. Change to SFRS response incorporated into Fire Action Plans and Management Arrangements.</p>	Chief Officer Place; Senior Manager	31-Mar-2024		75%

		Q1 23/24: Zurich Insurance high level audit of H&S scheduled for July 2023. Recommendations will be implemented where necessary.	Protective Services; David Robertson			
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SRP.RR.20 Early Years Expansion (1140 Hours)


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.20	<p>Risk cause Population growth in Midlothian over the next 10 to 15 years will see Midlothian become the fastest growing Council in Scotland. Between 2014 and 2039, ages 0-15yrs, population is projected to increase by 20%</p> <p>In addition, the Scottish Government has made a commitment to increase the current provision of free early years care from 0600 to 1140 hours.</p> <p>Risk event Failure to resource and plan for these rises will significantly impact the Councils ability to fulfil its statutory obligations in relation to these groups.</p> <p>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.</p> <p>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</p>	Chief Executive; Chief Finance Officer; Executive Director Place	<ol style="list-style-type: none"> 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	

	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.					
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RR.2 0.01	1140 future years funding	Q1 23/24: Draft guidance from SG. Enhanced guidance due re sustainable rate but no additional funding for LAs.	Young P & P, Exec Director Children; Chief Finance Off	31-Aug-2023		0%

SRP.RR.21 Cyber Security



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

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.2 1.1	Appropriate Technical and Organisational Measures	<p>Q3 23/24: Action/mitigation includes: -</p> <ol style="list-style-type: none"> 1. Updated cyber incident response plans. 2. Cyber security presentations to Elected Members and Place directorate. 3. Conducted phishing exercises. 4. Successfully responded to 13 cyber security events. <p>Provided significant Information Governance and Security advice for the deployment of M365 and Google Workspace</p> <p>Q1 23/24: Action/mitigation includes:-</p> <ol style="list-style-type: none"> 1. Achieved Cyber Essentials Plus Certification 2. Preparations completed for Q2 2023/2024 PSN Certification, including submission to Cabinet Office. 3. Provided significant Information Governance and Security advice for the deployment of M365 and Google Workspace 4. Responded to numerous threat alerts to ensure the security of the Council's network 5. Engaged with Cyber Incident Response company to review the Council's Cyber Incident response capability in Q2 <p>5.</p>	Cyber Security Information Governance and Compliance Manager; Chief Digital Officer	31-Mar-2024		0%

SRP.RR.22 Cost of Living Crisis


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.2 2	<p>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.</p> <p>Risk event Rapid ongoing rise of energy prices as well as food and drink prices.</p> <p>Risk effect</p>	Chief Executive; Director Health and Social Care; Executive Director Place	<ol style="list-style-type: none"> 1. Council Cost of Living Task Force to oversee the Council's response to the crisis 2. Allocation of LACER funding to support those most affected 3. Strategic Evaluation Partner appointed to create poverty profile 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	

	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.					
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.RA.2 2.1	Cost of Living Task Force	Q1 23/24: Meetings continuing.	Chief Executive	31-Mar-2024		100%
SRP.RA.2 2.2	LACER funding	Q2 22/23: Identification of 15 trusted partners to distribute funding in communities for food and fuel, wash and dry provision and support to establish reheatable food initiatives.	Lifelong Learning and Employability	31-Mar-2023		100%

Strategic Opportunities

SRP.OP.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.	Head of Adult and Social Care; Chief Executive; Director Health and Social Care; Planning, Sustainable Growth and Investment Manager; Chief Officer Place; Executive Director Place; Chief Officer Young People and Partnerships	<ol style="list-style-type: none"> 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.02 Borders Rail

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.OP.02	Passenger numbers after three years of operation are above projections. The railway has been, and continues to be a catalyst for economic development, access to training and labour markets, tourism growth, environmental improvements must notably in town centres, and access to the countryside.	Chief Executive; Chief Officer Place; Executive Director Place	<ol style="list-style-type: none"> 1. Monitored by Economic development. 2. Maximising the Impact: A blueprint for the Future - published by the blueprint group involving Scottish Government, Scottish Borders, Midlothian and City of Edinburgh Council, Transport Scotland, Scottish Enterprise and Visit Scotland. The document sets out the ambitions of the partners to realise the full potential of the new Railway. 3. Timely submission of bids for approval by the Blueprint Group 4. Close monitoring of approved funded projects. 5. Borders rail subgroup Chaired by Midlothian Council Chief Executive. 	5	4	

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

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 Development; Chief Executive; Director Health and Social Care; 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	Q4 22/23: The funding gap associated with this project is estimated to be £33.2m. Midlothian Council submitted an application to the UKG Levelling Up Fund (LUF) to attract alternative funding into the project to close this gap. The application was unsuccessful. Alternative funding opportunities and means to phase and prioritise the programme are currently under consideration. A revision to alignments due to landfill avoidance and required increase in roundabout sizes at Bush Loan and the A702 Spur Road junctions was made to the specimen design. This is progressing with the target of submitting a planning application Q1 2024.	Executive Director Place	31-Mar-2023		0%


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; Chief Officer Corporate Solutions; Chief Operating Officer Education; Chief	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		

		Executive; Chief Finance Officer; Director Health and Social Care; Chief Officer Place; Executive Director Place; Chief Officer Young People and Partnerships				
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status	
SRP.OP.0 4.02	Realisation of outcomes of respective workstreams	Q3 23/24: Work continues on the relevant programmes. Q2 23/24: Work continues on the relevant programmes. Q1 23/24: Work continues on the relevant programmes.	Executive Director Place	31-Mar-2024		10%

SRP.OP.07 Creating a World Class Education System

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.OP.0 7	<p>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.</p> <p>Risk event The Phase 2 <i>Equipped for Learning</i> 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.</p> <p>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.</p>	Head of Adult and Social Care; Chief Officer Corporate Solutions; Head of Development; Chief Operating Officer Education; Chief Executive; Chief Finance Officer; Director Health and Social Care; Chief Officer Place; Executive Director Place; Chief Officer Young People and Partnerships	<ol style="list-style-type: none"> Digital Centre of Excellence at Newbattle Community High School Partnership agreement with the University of Edinburgh Beeslack Replacement High School, pilot project for next round of SFT funding – funding model building in energy efficiency targets Accelerating our ambition – Digital Strategy 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 23/24: CivTech project successfully completed the pre-contractual agreement stage. Further grant funding from SFT has enabled continuation of development of the platform and insights in Midlothian schools and expansion to incorporate monitoring and insights into Dalkeith office buildings. The project has been selected to present again at the Learning Places Scotland conference and is engaging with the Scottish AI Alliance.	Director of Education	31-Aug-2023		0%
SRP.OP.A.07.03	Equipped for Learning	Q3 23/24: As Q2. Q2 23/24: Refresh digital strategy, development of digital curriculum, development and implementation of MACO	Director of Education	31 Mar 2024 31 July 2024		0%