Appendix A – Strategic Risk Profile (Quarter 1 2021/22)

Midlothian

ISSUES

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 Scottish 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 inline with new controls.	Chief Executive; Executive Director Children, Young People and Partnerships; Executive Director Place: Head of Adult and Social Care; Chief Officer Children's Services; Chief Officer Corporate Solutions; Joint Director Health and Social Work; Head of Primary Care and Older People; Chief Officer Place	1. CIMT was established to take Strategic approach to managing response to COVID 19. Stands ready to be re-initiated at any time. 2. Employees directed to work from home where possible, follow Scottish Government guidance and MC remote working by default Policy. 3. COVID-19 guidance monitored and continually revised then issued to Adult Services, children's services, education and CLL around how they would continue to maintain contact with children and young people who were deemed to be at risk. 4. Keeping employees briefed and supported through the Chief Executive's weekly staff briefings; Communications weekly email and routine HR updates. (e-mailed to all employees through combination of work and personal e-mail addresses). Includes Wellbeing advice, guidance and support and signposting to PAM and EAP providers. 5. Promotion of digital tools to support employees and prevent employees becoming isolated. 6. Council website kept up-to date, providing details of which services were operating and any changes on how to access services. 7. Remote working by default, with digital kit provided to support this for critical activities as required. 8. Following safe working guidance issued by Scottish government relevant to sectors. 9. Economic Recovery Strategy 10. Support for Test and Protect 11. School and workplace based COVID risk assessments continually reviewed to support the identification and control of risk	5	5	🔴

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.IA.10.16	Risk assessment/Guidance on protective measures.	**Q1 21/22:** Gallagher Basset will undertake a review of all Risk Assessments and procedures across the Council estate. A report will be presented to CMT following receipt.	Chief Officer Place	30-Sep-2021	▶
SRP.IA.10.17	4,000 mobile devices issued to support home learning	**Q1 21/22:** 3,300 devices have now been returned and reorganised in preparation to be re-deployed as part of the Equipped for Learning. The Equipped for Learning programme will see these 3,300 plus new devices deployed to all Midlothian pupils (14,000 approx total). 700 devices remain with young people to support digital inclusion and remote learning. These devices will be swapped out on deployment day to ensure those young people have the exactly the same device model as their peers.	Chief Officer Corporate Solutions; Executive Director Children, Young People and Partnerships	31-Mar-2022	▶

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 and delivery of outcomes **Risk event** Delayed progress or non achievement of outcomes. **Risk effect** Slow or delayed proposals/savings arising from service redesign, requiring the adoption of recover plans or requiring short term service reductions which impact on the Council's ability to deliver against its priorities.	Chief Executive; Executive Director Children, Young People and Partnerships; Executive Director Place: Head of Adult and Social Care; Chief Officer Children's Services; Chief Officer Corporate Solutions; Joint Director Health and Social Work; Head of Primary Care and Older People; Chief Officer Place	1. Strategic Boards in place reporting to the Business Transformation Board covering range of transformation strands: Capital Strategy; Carbon Neutral by 2030; Digital First; Economic Renewal; Education Recovery; HSCP Transformation; Hub & Spoke Place Based Solutions; Remote Working. 2. Securing financial balance for 2021/22 and 2022/23 budgets secured by a corporate solution which avoided the need for further service reductions. This covers the remaining budgets to be determined by this term of Council 3. "Mini Budgets" progressed in 2020/21 and in 2021/22 that removed non-deliverable legacy savings targets. 4. Financial monitoring reports and work of the FM CMT evidence continued financial sustainability and overall delivery of services within budget. 5. Recognition of and actions progressing, to develop the next iteration of the MTFS covering the term of the next Council.	3	3	⚠

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

SRP.IA-02.03	Develop Medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	**Q1 21/22**: The Medium Term Financial Strategy, Maintaining Financial Sustainability Financial Update proposed to BTSG meeting on 7th June to consider key planning assumptions for 2022/23 budget and those that will shape the MTFS for 2023/24 to 2028/29. In turn, this will support a report, via BTSG, to Council in November 2021 on MTFS and 2022/23 budget incorporating • The Projections and key assumptions endorsed by BTSG • The projected gap between recurring expenditure and funding • A update to the proposed Corporate Solution (pre Scottish Government grant settlement) and With further updates to BTSG and then to Council on 14 December 2021 and 15 February 2022. All to allow Council to determine the budget for 2022/23. In parallel work continues to bring forward the next iteration of the MTFS, for the term of the next Council, for consideration after the May 2022 election.	Chief Officer Corporate Solutions	15-Feb-22	▶

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, funding from Scottish Government Increasing ageing population of over 75's Increasing population of 0-15 age group 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 Officer Corporate Solutions;	1. There is an approved Capital Strategy and Reserve Strategy in place 2. There is an approved budget for 2021/22 and a corporate solution proposed for 2022/23 3. There are 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. Working through COSLA to influence government spending decisions to influence Scottish Government's budget allocation to Councils. 5. 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. 6. Chief Executive has emphasised the need for much needed control and underlined the benefit to the organisation of such an approach. Enhanced monitoring arrangements have been put in place for the Place Directorate.	3	4	⚠

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.IA.07.03	Develop Medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	**Q1 21/22:** The Medium Term Financial Strategy, Maintaining Financial Sustainability Financial Update propose that at next BTSG meeting on 7th June consider key planning assumptions for 2022/23 budget and those that will shape the MTFS for 2023/24 to 2028/29.	Chief Officer Corporate Solutions	15-Feb-22	▶

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	**Risk cause:** Scottish Government Grant settlements fall short of the resources needed to sustain core services. Core funding falling short of inflation pressures, funding from Scottish Government Increasing ageing population of over 75's Increasing population of 0-15 age group 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 and implications of living wage increases. Inflation, interest rates, tax, income levels, service demand Potential Economic shock arising from UK departure from EU Rising customer expectations

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 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.

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 | Chief Executive; Executive Director Children, Young People and Partnerships; Executive Director Place: Head of Adult and Social Care; Chief Officer Children's Services; Chief Officer Corporate Solutions; Joint Director Health and Social Work; Head of Primary Care and Older People; Chief Officer Place | 1. Development of Medium Term Financial Strategy. 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. | 3 | 4 | ⚠ |

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 21/22:** The Medium Term Financial Strategy, Maintaining Financial Sustainability Financial Update propose that at BTSG meeting on 7th June to consider key planning assumptions for 2022/23 budget and those that will shape the MTFS for 2023/24 to 2028/29. Updates to BTSG in November 2021 and January 2022, supporting Council reports on 14 December 2021 and 15 February 2022.	Chief Officer Corporate Solutions	15-Feb-22	▶

SRP.RR.02 The Long Term Change Programme

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.02	**Risk cause** A MTFS that doesn't address the projected budget shortfall or contextual factors relating to the Midlothian area Reduced resources Leadership fit for the future Lack of clarity or clear compelling vision for the future Delay or shortfall in securing savings Lack of or not securing transformational change in service provision **Risk event** Delayed progress in applying various strands of the Change Programme including Delivering Excellence Framework Slow benefits realisation and budget savings Cuts in service provision rather than service transformation **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	Chief Executive; Executive Director Children, Young People and Partnerships; Executive Director Place: Head of Adult and Social Care; Chief Officer Children's Services; Chief Officer Corporate Solutions; Joint Director Health and Social Work; Head of Primary Care and Older People; Chief Officer Place	1. Financial Strategy and Change Programme 2. Leadership from all Elected Members, Executive Team and Senior Leadership Group. 3. Appropriate governance in place across the BTB Program 4. Resilience planning. 6. Capacity to deliver change.	3	4	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA-	Develop Medium Term Financial Strategy with greater	**Q1 21/22:** The Medium Term Financial Strategy, Maintaining Financial Sustainability	Chief Officer	15-Feb-22	▶

| 02.03 | oversight, clearer responsibility and accountability. | Financial Update propose that at BTSG meeting on 7th June to consider key planning assumptions for 2022/23 budget and those that will shape the MTFS for 2023/24 to 2028/29. Updates to BTSG in November 2021 and January 2022, supporting Council reports on 14 December 2021 and 15 February 2022. | Corporate Solutions | | |

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; Executive Director Children, Young People and Partnerships; Executive Director Place: Head of Adult and Social Care; Chief Officer Children's Services; Chief Officer Corporate Solutions; Joint Director Health and Social Work; Head of Primary Care and Older People; Chief Officer Place	1. Directors and Heads of Service responsible for identifying applicable legislation and propose Council or Service responses to CMT and Cabinet/Council as required. 2. Annual Assurance Statement. 3. Internal Audit testing of internal controls as part of risk based audit plan. 4. External Audit. 5. Range of external inspection. 6. Local Scrutiny Plan BTSG oversight of new legislation	3	3	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.03.01	Legal & Regulatory Compliance	**Q1 21/22**: Chief Officers and Heads of Service ensuring compliance with statutory obligations and making CMT, Cabinet/Council aware as required.	Chief Executive; Executive Director Children, Young People and Partnerships; Executive Director Place: Head of Adult and Social	31-March-2022	▶

			Care; Chief Officer Children's Services; Chief Officer Corporate Solutions; Joint Director Health and Social Work; Head of Primary Care and Older People; Chief Officer Place		
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.	All Directors	1-Nov-2021	▶
SRP.RA.03.03	Independent review of adult and social care	**Q1 21/22:** Following an independent review of adult social care, a Scottish Government consultation is due to be published on 9th August 2021 on proposals to improve the way social care is delivered, entitled: National Care Service for Scotland: Consultation. With full consideration of the consultation and acknowledgement of potential risks, this has been identified as an emerging risk within the IJB.	Joint Director Health and Social Work	31-Mar-2022	▶
SRP.RA.03.04	Heath Protection (Coronavirus) (Restrictions) (Scotland) Regulations 2020 due to expire on 30 Sep 2021 (subject to review).	**Q1 21/22:** CMT, Group Leaders briefings and Quarterly Performance Framework continue to detail and report on external developments.	Chief Executive	31-March-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	Chief Executive; Executive Director Children, Young People and Partnerships; Executive Director Place: Head of Adult and Social Care; Chief Officer Children's Services; Chief Officer Corporate Solutions; Joint Director Health	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.	3	4	⚠

	Risk event	and Social Work; Head of Primary Care and Older People; Chief Officer Place	Performance			
	Employees not engaged/consulted as part of organisational transformation.		1. Council-side and Service-level workforce plans.			
	Experienced employees leaving the organisation		2. Structured, robust, well established 'Making Performance Matter' Framework where expected standards of behaviour and Council values are re-enforced.			
	Unacceptable behaviours demonstrated by employees		5. Continued re-enforcement of all People Policies involving various communication methods.			
	Stated organisational culture not consistently reinforced by managers		6. Development of a suite of management information to ensure Service Managers are informed e.g. turnover, absence levels/reasons etc.			
	Poor employee performance will stifle transformational change					
			Organisational Change			
	Risk effect		1. Policy for Organisational Change includes strong emphasis on early engagement of employees.			
	Difficulties recruiting the right staff		2. Redeployment Procedure to ensure maximum chance of successful redeployment.			
	Challenges retaining quality staff					
	Low skill levels					
	Low morale, especially during change					
	High absence rates, loss of experience in service areas.		**Conduct**			
	'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.		1. Resolution Policy encourages early intervention of workplace issues.			
	Poor employee performance will Exacerbate the financial challenge		2. Professional standards and values build into the induction process and management development programme.			
			Communication			
			1. A range of initiatives to keep staff informed of change (Chief Executive's weekly email, Connect, All staff emails, tailored team briefings etc.			

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.02.04	Revisions to Service Workforce Plans	**Q1 20/21**: Place Directorate Service Review underway, with phase 1 of Place Services nearing implemntation. Childrens' Services, Corporate Solutions and Development reviews implemented across Q2-3.	Chief Executive; Executive Director Children, Young People and Partnerships; Executive Director Place: Head of Adult and Social Care; Chief Officer Children's	31-Mar-2022	▶

Risk Code	Risk Identification	Managed by	Risk Control Measures		Likelihood	Impact	Risk Evaluation
				Services; Chief Officer Corporate Solutions; Joint Director Health and Social Work; Head of Primary Care and Older People; Chief Officer Place			
SRP.RA.02.05	Workforce Wellbeing		**Q1 21/22:** New EAP provider appointed to ensure highest level of service provided to staff. Embedding of the new Employee Health and Wellbeing Strategy. Partnership status obtained with See Me mental health charity. Roll out of mental health awareness training.	Chief Executive; Executive Director Children, Young People and Partnerships; Executive Director Place: Head of Adult and Social Care; Chief Officer Children's Services; Chief Officer Corporate Solutions; Joint Director Health and Social Work; Head of Primary Care and Older People; Chief Officer Place	31-Mar-2022		▶

SRP.RR.06 Information Security

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

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.06.01	Cyber Security	**Q1 21/22:** Midlothian Council cyber security independently validated in 2021 by achieving Cyber Essentials Plus certification in February and PSN compliance certification in July. The Council has adopted the NCSC (National Cyber Security Centre) Active Cyber Defence programme and fully complies with the Scottish Governments Cyber Security PSAP (Public Sector Action Plan). Additional measures have been taken to protect backup data by storing copies away from the Council's network to keep them safe. All admin passwords have been or in the process of being encrypted and secured and the Council has invested in the latest anti-virus software.	Chief Officer Corporate Solutions	31-Mar-2022	▶

SRP.RR.07 Care at Home

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.07	**Risk cause** Internal and External providers of Care at Home services unable to meet service and quality requirements as a result of a lack of capacity. **Risk event** Capacity of Community Support outstripped by demand **Risk effect** There is a risk that patients will have their discharge delayed because there is insufficient community supports to enable timely discharge leading to deterioration in their health, beds being blocked and elective operations potentially being cancelled.	Joint Director Health and Social Work; Head of Adult and Social Care; Head of Primary Care and Older People;	1. Care at Home improvement action plan in place and near compaction 2. Appointment to Team Lead posts to support Complex care to enhance local leadership at operational level 3. New Framework agreement in place with significant improvement in quality from Providers 4. Flow management planning in development to maximise Care at Home capacity going forward 5. Weekly provider meetings in place 6. Additional locum team members recruited to for contingency cover 7. New Leadership model in place 8. Daily discharge meeting with Multidisciplinary and Multi-agency team planning to plan and coordinate discharge to ensure care at hone support in place	3	4	⚠

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

SRP.RA.07.01 / SRP.RA.03.03	Independent review of adult and social care	**Q1 21/22:** Following an independent review of adult social care, a Scottish Government consultation is due to be published on 9th August 2021 on proposals to improve the way social care is delivered, entitled: National Care Service for Scotland: Consultation. With full consideration of the consultation and acknowledgement of potential risks, this has been identified as an emerging risk within the IJB.	Joint Director Health and Social Work	31-Mar-2022	▶

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

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.08	**Risk cause** Many of the assets the Council own by their nature are in a position of on going 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 Officer Corporate Solutions; Chief Officer 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. On going monitoring of properties by: Maintenance Surveyors, Facilities Management and Property Users. 8. Established Capital Plan and Asset Management Board	4	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.	**Q4 20/21**: Prioritise needs of assets against available spend. On-going need to assess, needs of assets, informed by conditional surveys. Continuing to develop property asset management plans, priority spend on basis of independent surveys. As result of Government guidance on Construction all summer works postponed resulting in the need for rescheduling of planned capital works.	Chief Officer Place	31-Mar-2022	▶

SRP.RA.08.04	Reviewed Roads Asset Management Strategy	**Q4 20/21**: Roads Asset Strategy, work progressing to migrate to version 4. Information to be taken to capital board on future need for next 5 years. Work to take forward the Roads Asset Strategy will form a fundamental component of restructured services priorities.	Chief Officer Place	31-Mar-2022	▶
SRP.RA.08.05	School Estate Strategy	**Q1 21/22:** Revision of existing Learning Estate Strategy and agreement from Capital Project Board to progress with projects.	Executive Director Children, Young People and Partnerships	31-March-2022	▶

SRP.RR.09 Emergency Planning and Business Continuity Management

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.09	**Risk cause** The Council not preparing 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 Officer Place	Potential sub risks include:- 01 – Civil Contingencies Risk Register used to highlight key risks and record response, - Council's plans developed and maintained in response to identified risks, - Risk and Resilience Group support development, peer review and roll out of plans. 02 – Establishment based incident response plans in place and maintained locally. 03 – Emergency response plan setting out general approach to respond to a major emergency in-line with key partner organisations. 04 – As part of the Council's Emergency response plan 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 3 weekly to continue support for Communities in response to COVID – 19 to establish and co-ordinate support for people on a multi-agency basis. 06 – Care for People Group: Afghan Resettlement programme	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	**Q4 20/21**: Contingency Improvement Plan drafted and due to be shared with Risk and Resilience Group ahead of reporting to CMT for approval.	Chief Officer Place	31-Mar-2022	▶
SRP.RA.09.03	Business Continuity System	**Q4 20/21:** Business Continuity system successfully procured with cross service project group involved. System currently being built around existing Council systems ahead of roll out to all services.	Chief Officer Place	31-Mar-2022	▶

SRP.RR.10 Governance and Standards in Public Life

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.10	**Risk cause** Code of conduct for Members and employees actions falling short of International Standards. **Risk event** Failure in openness, accountability, clarity. **Risk effect** Service, partnerships and project outcomes not achieved Non-compliance with conduct standards and reduction in standards in public life	Legal Services Manager	Potential sub risks include:- 01 Macro governance at the top – failure in openness, accountability, clarity; 02 Micro governance in services, partnerships and projects and outcomes not achieved 03 Non-compliance with codes of conduct and reduction in standards in public life 04 Annual Assurance Statement. 05 Standing Orders 06 Scheme of Administration 07 Scheme of Delegation	3	4	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.10.01	Corporate Governance	**Q1 21/22:** Annual Assurance Statement; People Policies; and Standing Orders subject to review process	Chief Executive; Executive Director Place	31-Dec-2021	▶

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; Executive Director Children, Young People and Partnerships; Executive Director Place: Head of Adult and Social Care; Chief Officer Children's Services; Chief Officer Corporate Solutions; Joint Director Health and Social Work; Head of Primary Care and Older People; Chief	1. Single Midlothian Plan providing overarching direction 2. Service plans aligned to Single Midlothian Plan. 3. Leadership team to ensure correct approaches are adopted to get the right results. 4. Strategic housing investment plan, submitted to Scottish Government in December 2018, positive feedback with allocated funding. 5. Procurement Strategy 2018 6. Local Procurement Strategy 2021. 7. Capital Strategy 8. Integrated Joint Board (IJB) Strategic Plan 9. IJB Strategic needs assessment	2	3	✅

		Officer Place				

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.11.01	Parental Engagement Strategy	**Q1 21/22:** Parental Learner Liaison Officer appointed. Will be in post by end of October 2021.	Executive Director Children, Young People and Partnerships	31-Oct-2021	▶
SRP.RA.11.02	Accessibility Strategy	**Q1 21/22:** Education working with Property colleagues to refresh building data including information on building accessibility. Once work is complete, a workstream will be progressed to ensure Council compliance.	Executive Director Children, Young People and Partnerships	31-December-2021	▶
SRP.RA.11.03	Neighbourhood Services	**Q4 20/21:** Place Service has been working with community representatives and the Charity Nesta to establish a new Neighbourhood Service aimed at working with Communities to deliver and meet the needs of Services.	Chief Officer Place	31-Mar-2022	▶
SRP.RA.11.04	Remote Working	**Q1 21/22:** Continue with Remote Working/Digital By Default position. Working through Board to fully implement and deliver the vision in conjunction with trades union.	Chief Officer Corporate Solutions	31-Mar-2022	▶
SRP.RA.11.05	Antisocial Behaviour Policy	**Q1 21/22:** Working with partners to review and implement a revised whole systems Policy, led by Protective Services.	Chief Officer Place	31-Mar-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.	Chief Executive; Executive Director Children, Young People and Partnerships; Executive Director Place: Head of Adult and Social Care; Chief Officer Children's Services; Chief Officer Corporate Solutions; Joint Director Health and Social Work; Head of Primary Care and Older	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	3	3	⚠

| | Increased opportunity for fraud or financial loss has direct impact on management information. Has adverse effect on service performance | People; Chief Officer Place | organisation.
11. Management Development Programme, delivered in partnership with Edinburgh College, provides reinforcement of organisational regulatory obligations. | | | |

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.12.01	Risk Management Policy and Strategy	**Q1 21/22:** Review of Risk Management Policy and Strategy to be undertaken and approved by December 2021 Audit Committee.	Chief Officer Place	07-Dec-2021	▶
SRP.RA.12.02	Corporate Integrity	**Q1 21/22:** The Integrity Group continues to meet to improve the Council's resilience to fraud, corruption, theft and crime (including cybercrime), maintaining proper risk management, governance and internal control processes and systems to ensure probity in systems and operations, and mitigation of risks, including the prevention, detection and resolution of fraud and irregularities. Management is also responsible for checking that the arrangements and controls are operating effectively and obtaining assurances from internal compliance, risk, inspection, quality, and control functions.	Executive Director Place	31-Mar-2022	▶

SRP.RR.13 Climate Change

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.13	**Risk cause** Council Services not adequately engaged, resourced or directed to fulfil the requirements of the Climate Change Act **Risk event** Council Services not responding to the Climate Change Act with sufficient pace. **Risk effect** Council failing to meet its obligation under the Climate Change (Scotland) Act 2009 and incurring the associated reputational damage.	Executive Director Place	1. Statutory requirement to report on compliance with the climate change duties. 2. Council Carbon Management Plan 3. Approval of a Corporate Climate Change and sustainable development action plan 4. CPP Board for Climate Change to bring strategic focus and oversight of plans and progress. 5. Climate Change Strategy 6. Resilience Seminars	3	3	⚠

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

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RA.13.02	Recruitment of Climate Change Officer		**Q4 20/21:** The Council developed a Climate Change Action Plan part of its Climate Change Strategy approved by Council in August 2020, there is now governance to recruit a Climate Change officer. This role is seen as being instrumental in driving forward the Council's Climate Change Action Plan and reporting on progress against the plan.	Chief Officer Place	30-Sep-2021	▶

SRP.RR.14.1 Scottish Child Abuse Inquiry

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.14.1	**Risk Cause:** Midlothian Council and its legacy organisations, predating the creation of Midlothian Council in 1996, have been involved in the provision of care of children going back to living memory. During this time there is the likelihood that the care children received fell below standards of care now in place. There is the further potential the some people in the care of Midlothian Council and its legacy organisations were subject to abuse by those who were employed to care for them. **Risk Event:** The Scottish Government began an Inquiry into cases of Child Abuse occurring prior to 17 December 2014, the intention of this enquiry is to identify historic case of abuse which have to date gone unreported. The most recent Section 21 notice around the Foster Care Case Study is a significant piece of work. The request for information from 1930 to date is very challenging given the volume of files that require to be read and analysed. **Risk Effect:** If the inquiry finds historic cases of abuse in Midlothian this could damage the reputation of the Council and could place doubt in the eyes of the public as to the safety of these currently in care. There is significant scope for a substantial financial impact arising from claims of historic abuse. Some existing employees may be affected by the inquiry and subsequent claims of abuse. We have request an extension for Parts B, C & D of the last Section 21 to April 2020, which has been granted. To date there has been no evidence from the extensive file read to suggest there has been systemic abuse within our foster care system.	Chief Officer Children's Services;	The Council have set up an Abuse Inquiry Project Team to support the Council to prepare for information requests to support the Inquiry. In addition we have a Claims Project Team who have mapped out how we shall manage any future claims reported against the Local Authority. The Inquiry Team have established a Project Plan covering: 1. Residential establishments, List D Schools and Foster Carers: identifying Children's homes, Foster Carers and any List D Schools in Midlothian over the last 100 years and researching historic records. 2. Record Audit: reviewing the Council's existing paper and electronic recordkeeping systems to identify relevant records and map them to residential establishments. This also includes, where possible, noting the Council's historic recordkeeping policies, such as retention schedules. 3. Cataloguing/Indexing: checking and updating existing recordkeeping systems for accuracy and consistency, enabling effective information retrieval when requested by the Inquiry. The Project Team have established a Project Plan covering: 4. Ascertaining the succession and insurance position in relation to potential historic child abuse claims. 5. Ascertaining and agreeing Midlothian Council's legal position/ approach in dealing with the potential historic child abuse claims. 6. Identifying the need for guidance, protocol, templates etc should/if any claims be made against the council. 7. Consideration to identifying if additional staffing will be required as expected deluge of FOI's SAR's in 2018 from solicitors of potential claimants. 8. Project team is in place with project plan with a range of identified actions which are being progressed. Monthly meetings to progress project plan.	4	5	🔴

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.14.03	Foster Care and Residential Care File Review	**Q1 20/21**: File reading continues around foster care and residential care.	Chief Officer Children's Services;	31-Mar-2022	▶

SRP.RR.14.2 Scottish Child Abuse Claims Project

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

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

		Identified Previous Actions Complete	Chief Officer Children's Services;		✅

SRP.RR.16 Growing Council

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.16	**Risk cause** Population growth in Midlothian over the next 10 - 15 years will see Midlothian become the fastest growing Council in Scotland. . 0-15 population increase, projected at 20% and 75+ population increase projected to increased by 100% between 2014 and 2039. **Risk event** Failure to resource and plan for these rises will significantly impact the Councils ability to fulfil its statutory obligations in relation to these groups. **Risk effect** Inadequate capacity within the school estate to cope with the projected increase in pupil numbers. In sufficient provision to support an aging population placing costly inefficiencies on other parts of the care sector. General population increase placing additional demand on infrastructure including GP services. Increased pressure on infrastructure, services e.g. waste collection and growth of road network as new development roads are adopted.	Chief Executive; Executive Director Children, Young People and Partnerships; Executive Director Place: Head of Adult and Social Care; Chief Officer Children's Services; Chief Officer Corporate Solutions; Joint Director Health and Social Work; Head of Primary Care and Older People; Chief Officer 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, including ASN provision 5. Capital Strategy 6. Housing Strategy 7. Joint needs assessment used to develop - IJB Strategic Plan 8. Capital Plan and Asset Management Board will scrutinise and challenge slippage on capital programmes recognising that slippage can have an adverse impact on financial sustainability and also the delivery on assets required to support capital growth. 9. City deal provides the opportunity to support inclusive growth.	3	4	⚠️

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.16.01	Capital Programme	**Q1 21/22**: Implementation of Project Management teams, with advertisement for 4 Senior Project Managers.	Executive Director Place; Heads of Development	31-Oct-2022	▶️

SRP.RR.17 UK Decision to leave the EU

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

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 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.	Chief Executive; Executive Director Children, Young People and Partnerships; Executive Director Place: Head of Adult and Social Care; Chief Officer Children's Services; Chief Officer Corporate Solutions; Joint Director Health and Social Work; Head of Primary Care and Older People; Chief Officer Place	01 – EU Exit Working 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.	3	4	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.17.1-1	EU Exit Working Group	**Q1 21/22**: EU Exit group meets monthly to support assessment and monitoring of impact or potential impacts of exiting the EU, including emerging impacts on supply chains and HGV driver workforce. Continued monitoring and assessment during Q2.	Chief Officer Place;	30-Sep-2021	▶

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	Chief Executive; Executive Director Children, Young People and Partnerships; Executive	1 – Health Safety and Wellbeing Strategy 2 -Suite of Health and Safety Management Arrangements developed setting out council response to statutory obligations (Revised 2021) 3 - Comprehensive range of Health & Safety Management & Assessment based development opportunities for line managers 4 - Use of Health & Safety Management Information System to	3	5	🔺

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. Statutory health and safety - duty of care over services users and employees not met. Criminal prosecution of the Corporate body and or individuals through Corporate Homicide (Corporate Manslaughter) Significant financial penalties from Criminal Prosecution.	Director Place: Head of Adult and Social Care; Chief Officer Children's Services; Chief Officer Corporate Solutions; Joint Director Health and Social Work; Head of Primary Care and Older People; Chief Officer Place	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.

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.19.06	Delivery of Health, Safety and Wellbeing Strategy	**Q1 21/22**: Revised Health & Safety Management Arrangements approved by CMT; revised health and safety audit programme in support of the check phase of the Council's Health and Safety Management system implemented. External review of Health & Safety practices and protocols undertaken by Gallagher Bassett. Report to October CMT. Collegiate working continues between Environmental Health and Corporate Health & Safety team to ensure all public health and H&S risks are suitably identified, assessed and controlled.	Chief Officer Place;	31-Oct-2021	▶

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.	Executive Director Children, Young People and Partnerships; Chief Officer Place	1. Learning Estate Strategy 2. Early Years Expansion to 1140 hours updates 3. Capital Strategy	4	5	🔴

	Risk event
	Failure to resource and plan for these rises will significantly impact the Councils ability to fulfil its statutory obligations in relation to these groups.
	Risk effect
	Inadequate capacity within the school estate 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.RA.20.01	1140 funding distribution	**Q1 21/22:** Early Years report to Council in June 2021 included information on risks associated with proposed funding distribution. Cosla proposal shared on funding quantum for 2022/23 with LAs for comment in August 2021.	Chief Executive; Executive Director Children, Young People and Partnerships; Chief Officer Corporate Solutions	31-Dec-2021	▶

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	Chief Executive; Executive Director Children, Young People and Partnerships; Executive Director Place: Head of Adult and Social Care; Chief Officer Children's Services; Chief Officer Corporate	1. Implementation of the Scottish Government Cyber Resiliency Public Sector Action Plan 2. Cyber Essentials Plus Certification 3. Public Sector Network Certification 4. Appropriate technical and organisational measures deployed to reduce the likelihood and impact of an attack 5. Employing an Information Governance and Security Lead 6. Implementing Scottish Government Cyber Security Action Plan	3	5	⚠

	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.	Solutions; Joint Director Health and Social Work; Head of Primary Care and Older People; Chief Officer Place			

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RR.06.01	Cyber Security	**Q1 21/22:** Midlothian Council cyber security independently validated in 2021 by achieving Cyber Essentials Plus certification in February and PSN compliance certification in July. The Council has adopted the NCSC (National Cyber Security Centre) Active Cyber Defence programme and fully complies with the Scottish Governments Cyber Security PSAP (Public Sector Action Plan). Additional measures have been taken to protect backup data by storing copies away from the Council's network to keep them safe. All admin passwords have been or in the process of being encrypted and secured and the Council has invested in the latest anti-virus software.	Chief Officer Corporate Solutions	31-Mar-2022	▶

OPPORTUNITIES .

SRP.OP.01 Shawfair

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.OP.01	The Shawfair development with its new Rail link provides a major incentive for house-builders, employers retail and commercial interests including opportunities to secure a low carbon community through district heating from Zero Waste.	Executive Director Place	1. Shawfair Landowners Group. 2. Legal agreement with developers to secure developer contributions (Section 75) 3. Plan for 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. 9. Midlothian Energy Ltd (Joint Venture between MLC and Vattenfall)	5	4	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.OP.01.01	Energy Service Agreement	**Q1 21/22**: LCTIP subsidy to the energy from waste heat generation.	Executive Director Place	31-Mar-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.	Executive Director Children, Young People and Partnerships;	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.A1 | A701/A702 Trunk Road Improvements | **Q1 21/22:** Project progress to STAG (Transport Appraisal). | Executive Director Place | 31-Dec-2021 | ▶ |

SRP.OP.04 City Deal

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.OP.04	South East Scotland Region City Deal - a bid for funding to Scottish and UK Governments to accelerate economic growth through investment in infrastructure/ housing/ skills and innovation. 200 Council Houses linked to the City Deal.	Executive Director Children, Young People and Partnerships;	1. City Deal signed in August 2018. 2. Maintain strong Midlothian involvement through the City Deal governance structure. 3. Midlothian City Deal Key Officer (Internal) Group. 4. Securing best arrangements for Midlothian through close liaison with partners and conclusion of business cases.	5	5	🔴

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.OP.04.01	Realisation of outcomes of respective workstreams	**Q1 21/22**: Continued engagement with CRD forums	Executive Director Place	31-Mar-2022	▶

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. .	Executive Director Children, Young People and Partnerships;	1. Digital Centre of Excellence at Newbattle Community High School 2. Partnership agreement with the University of Edinburgh 3. Beeslack Replacement High School, pilot project for next round of SFT funding – funding model building in energy efficiency targets 4. Accelerating our ambition – Digital Strategy 5. Review of Digital team to support Digital Centre for Excellence	4	5	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.OP.A.07.01	Research and development	**Q4 20/21**: Replacement for Beeslack High school progressing with research being carried out with the University of Edinburgh to establish the impact of new school buildings on educational attainment. **Q1 21/22:** Status Quo	Executive Director Children, Young People and Partnerships;	31-Aug-2023	▶