Strategic Risk Profile

ISSUES

Midlothian

SRP.IR.02 The Change Programme

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.IR.02	**Risk cause** Change programme that doesn't address the budget shortfall; The Change Programme does not achieve the projected savings **Risk event** Delayed progress in applying various strands of the Change Programme including the Delivering Excellence framework. **Risk effect** Slow or delayed proposals/savings arising from service redesign. Potentially further eroding reserves or requiring short term service reductions which impact on the Council's ability to deliver against its priorities.	Ricky *Moffat; Garry *Sheret; Kevin Anderson; Gary Fairley; Ian Johnson; Joan Tranent; Grace Vickers; Alison White	1. Change Programme including Delivering Excellence framework which addresses projected budget shortfalls. 2. Delivering Excellence Management Tools to support the application of the framework. 3. Section 95 Officer has sought assurance from Heads of Service that the 2018/19 saving proposals are deliverable: • Financial Strategy. • Leadership from Executive Team and Senior Leadership Group. • Appropriated governance in place across the Change Programme. • Links between Change Programme and Workforce Plans • Resilience planning. • Senior Leadership Group regularly considering Change Programme and budget position. • Capacity to deliver change.	3	5	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.IA.02.01	Developing and implementing a Change Programme to ensure long term financial sustainability. SLG proposals will be presented to Council on 13 February 2018. Development of a robust framework to effectively monitor the activity of the Change Programme.	**Q3 17/18**: Strategic Leadership Group proposals were presented to Council 13.02.2018 to allow engagement. The Chief Executive has instructed the Directors to bring forward further reductions for 2018/19 following this Council meeting. Continued work with Strategic Leadership Group to ensure financial sustainability.	John *Blair; Ricky *Moffat; Garry *Sheret; Mary *Smith; Kevin Anderson; Gary Fairley; Ian Johnson; Allister Short; Joan Tranent; Grace Vickers; Alison White	26-Jun-2018	▶

SRP.IR.06 Welfare Reform

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.IR.06	**Risk Cause:** New Universal Credit scheme introduced by UK government replacing legacy benefit schemes with a single scheme. **Risk Event:** Universal Credit (UC) Live Service was introduced in Midlothian for newly unemployed single claimants, with or without housing costs, in Dalkeith and Penicuik Jobcentres from 27 April 2015. Universal Credit Full Service is being rolled out in Midlothian on 22 March 2017. **Risk Impact:** The Universal Credit Programme will close gateways for legacy benefits, so existing benefits will no longer be eligible, as Universal Credit rolls out as plans for the migration of those remaining claimants on current benefit types once the digital rollout is complete for all of Great Britain. Potential for larger numbers of people/families falling in to arrears on rent and those requiring discretionary payments.	Kevin Anderson;	1. Applying discretionary housing payment to offset full impact of under occupancy charge (also known as bedroom tax) 2. Work with 3rd sector to mitigate individual case circumstance were applicable. 3. Scottish welfare fund available for hardship cases, emergency food packs available a relevant council offices. Food banks in operation within Midlothian.	5	4	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.IA.06.02	Review of response when families fall into arrears	**Q3 17/18**: • Preventative Approach – While there is an inevitability that some of the responses will be reactive wherever possible opportunities will continue to be sought to take a proactive approach to prevent crisis intervention • Co-ordinated Service Provision – Opportunities to co-ordinate service provision continue so people can receive information and advice from as wide a range of professionals as possible. • Build individuals own / community capacity – Consistent with co-production approach work takes a capacity building approach where possible. • Protecting Financial Position of Midlothian Council – Welfare Reform creates a financial exposure to Midlothian Council. Actions continue to be taken to mitigate this exposure where possible.	Joan Tranent Kevin Anderson	31-Mar-2018	✅

SRP.IR.07 Financial Sustainability

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.IR.07	**Risk cause** Reduction in long term funding from Scottish Government Increasing ageing population of over 75's Increasing population of 0-15 age group Rising customer expectations **Risk event** Change Programme and the flexibility available to Councils as part of the grant settlement does not address future years projected budget gaps **Risk effect A shortfall and or slow** or delayed savings arising from the Change Programme. Potentially further eroding reserves or requiring short term service reductions which impact on the Council's ability to deliver against its priorities.	Gary Fairley	1. Multi-year Change Programme presented to Council 13.02.2018. 2. Maintaining a level of reserves to deal with unforeseen or one off cost pressures. 3. Sustainable Capital Strategy. 4. Continued work with Strategic Leadership Group to ensure financial sustainability. 5. Programme monitoring - continual reassessment of grant settlement prospects by the Finance Team. 6. Review of Capital Strategy, General Services Capital Plan and Reserves Strategy. 7. Working through COSLA to influence government spending decisions to influence Scottish Government's budget allocation to Councils.	5	4	🔴

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.IA.02.01	Developing and implementing a Change Programme to ensure long term financial sustainability.	**Q3 17/18**: Strategic Leadership Group proposals were presented to Council 13.02.2018 to allow engagement. The Chief Executive has instructed the Directors to bring forward further reductions for 2018/19 following this Council meeting. Continued work with Strategic Leadership Group to ensure financial sustainability.	John *Blair; Ricky *Moffat; Garry *Sheret; Mary *Smith; Kevin Anderson; Gary Fairley; Ian Johnson; Allister Short; Joan Tranent; Grace Vickers; Alison White	26 -Jun-18	▶

RISKS

SRP.RR.01 Balancing Budgets in future years/Impact of Budget Cuts/Financial Strength of Council

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.01	**Risk cause:** Reduction in long term funding from Scottish Government Increasing ageing population of over 75's Increasing population of 0-15 age group Population growth and time lag to fund pressures on public services. Policy decisions by UK & Scottish Governments which are not fully funded. Non or delayed savings from planned activities. Future year pay award settlements and implications of living wage increases. Inflation, interest rates, tax, income levels, service demand Rising customer expectations **Risk event:** Reducing grant settlement. Policies decisions at Government level not fully funded to Council's. 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. **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	Gary Fairley	1. The Financial Strategy to 2021-22 2. Development of a Change Programme including the Delivering Excellence framework developed for the new Council Administration. 3. Maintaining a level of reserves to deal with unforeseen or one off cost pressures. 4. Sustainable Capital Strategy. 5. Working through COSLA to influence government spending decisions to influence Scottish Government's budget allocation to Councils.	4	4	🔴

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.01.01	Developing and implementing a Change Programme to ensure the long term financial sustainability.	**Q3 17/18**: Updated Financial Strategy presented to Council 13.02.2018 which includes details of Change Programme to allow engagement.	Gary Fairley	26-Jun--18	▶
SRP.RA.01.02	Maintaining and ensuring sustainability of growth in asset base.	**Q3 17/18**: Fundamental review of Capital Strategy and Capital Plan report to Council June 2018	Gary Fairley	26-Jun-18	▶

SRP.RR.02 The Longer Term Change Programme

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.02	**Risk cause** A change program that doesn't address the 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 **Risk event** Delayed progress in applying various strands of the Change Programme including Delivering Excellence Framework Slow benefits realisation and budget savings **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	Gary Fairley	1. Financial Strategy and Change Programme 2. Leadership from Executive Team and Senior Leadership Group. 2. Appropriated governance in place across the Change Programme. 3. Links between Change Programme and Workforce Plans 4. Resilience planning. 5. Senior Leadership Group regularly considering Change Programme and budget position. 6. Capacity to deliver change.	4	4	🔴

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA -02.02	Continue to provide medium term financial projections to Council.	**Q3 17/18**: Updated Financial Strategy presented to Council 13.02.2018 which includes details of Change Programme to allow engagement.	Gary Fairley	13-Feb-2018	▶
	Consultation ongoing on a revised Managing Change Policy which is expected to be implemented in March 2018	**Q3 17/18**: Revised Managing Change Policy	Gary Fairley	13-Feb-2018	
SRP.RA.02.03	Developing Workforce Plans and Workforce Strategy aligned to the Change Programme	**Q3 17/18**: finalised Workforce Strategy and Workforce Plans targeted at Council meeting on 19.12.2017.	Gary Fairley	19-Dec-2017	▶
SRP.RA-02.01	Developing and implementing a Change Programme to ensure the long term financial sustainability.	**Q3 17/18**: Updated Financial Strategy presented to Council 13.02.18 which includes details of Change Programme to allow engagement.	Gary Fairley	26-Jun-2018	▶

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.	Ricky *Moffat; Garry *Sheret; Kevin Anderson; Gary Fairley; Ian Johnson; Joan Tranent; Grace Vickers; Alison White	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. Statutory Inspection.	3	3	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.03.01	Legal & Regulatory Compliance	**Q3 17/18**: Heads of Service ensuring compliance with statutory obligations and making CMT, Cabinet/Council aware as required.	Ricky *Moffat; Garry *Sheret; Kevin Anderson; Gary Fairley; Ian Johnson; Joan Tranent; Grace Vickers; Alison White	31-Mar-2018	▶
SRP.RA.03.02	Governance Statement and Annual Assurance arrangements	**Q3 17/18**: Completion of Annual Governance Statement and Directors and Heads of Service Annual Assurance questionnaires.	Ricky *Moffat; Garry *Sheret; Kevin Anderson; Gary Fairley; Ian Johnson; Joan Tranent; Grace Vickers; Alison White	31-Mar-2018	▶
SRP.RA.03.03	Demographic Growth	**Q3 17/18:** The Council has prepared a Learning Estate Strategy to reflect the projected growth in demand through to 2040.	Grace Vickers; Garry *Sheret;	31 Jul - 2020	▶
SRP.RA.03.05	Participatory Budgeting	**Q3 17/18:** Development of a strategy or action plan to comply with requirements.	Ian Johnson	31-Mar-2021	▶
SRP.RA.03.06	Education Act 2000 to be repealed.	**Q3 17/18:** Education Service are preparing for a new Education Act which will require statutory reporting against progress to close the gap in attainment,	Grace Vickers	31-Mar-2018	▶

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				duty to collaborate in new regional collaborative.			

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 qualified or 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 **Risk event** Employees not engaged/consulted as part of organisational transformation. Experienced employees leaving the organisation Unacceptable behaviours demonstrated by employees Stated organisational culture not consistently reinforced by managers **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.	Marina Naylor	01 - Focus on having the right people, performing and healthy 02 - 'A Great Place to Grow' our values including respect ,collaboration, pride and ownership 02 - People Management policies reviewed as part of wider review of pay and grading 03 - Making performance matter 04 - A range of initiatives to keep staff informed of change (In brief, Staff Magazine, Espresso Sessions for Managers on new People Management Policies) 05 - Workforce planning 06 - Investing in our workforce board 07 - Healthy Working Lives Gold Award 08- Occupational Health provision in place 09 - Employee Assistance and Physio therapy services to support employee health and attendance 10 - Non-redundancy policy supported by SWITCH and Organisational Change Policy	3	4	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.02.03	Developing Workforce Plans and Workforce Strategy aligned to the Change Programme	**Q3 17/18**: Workforce Strategy Delivery Programme being complied with input from key stakeholders following approval of workforce strategy by Council in December 2017.	Gary Fairley	31 Mar 2018	▶

SRP.RR.05 Working with others to deliver outcomes

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.05	**Risk cause** Partners not engaged or focused to deliver specific outcomes. Public Sector Reform Agenda. **Risk event** Partners prioritising activity in areas not inline with delivery of defined outcomes. Community groups afforded legal right to make case to operate vacant properties for community use. **Risk effect** Delivery of outcomes delayed or not achieved Officer time to support the assessment of unsustainable business cases.	John *Blair; Mary *Smith; Allister Short	1. Key partners engaged in planning and delivery of Service outcomes, e.g. Midlothian Community Planning Partnership have developed a Single Midlothian Plan. Midlothian Integrated Joint Board (Adult & Social Care Integration) have developed and Strategic Plan. 2. Approved integration scheme. 3. Service Directions in Place.	3	3	⚠️

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 is a new piece of legislation currently being formulated by the European Commission. It is expected to be agreed in the first part of 2016 with a two year lead in period. **Risk event** The Regulation has been agreed with implementation due 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 which ever is greater.	Ian Wragg	1. Information Management Group 2. Public Sector Network Compliance. 3. Meta Compliance 4. Information Management, awareness raising program (Private-i) 5. General Data Protection Regulation Project Plan.	3	5	⚠️

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.06.03	General Data Protection Regulation Project Plan	**Q3 17/18:** Steady progress being made towards target of making Council General Data Protection Regulation compliant. Project team actively engaged with all areas of Council in recording processing of personal information, ensuring staff are appropriately trained and raising awareness via existing communication channels. Regular reports on project progress, including appointment of a Data Protection Officer being taken to CMT.	Phil Timoney	25-May-2018	▶

SRP.RR.07 Integration of Health & Social Care

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. Deliverability of Integrated Joint Board. Funding of set aside services. Risk exposure of money – operation of Integration Scheme in respect of set aside services will limit the IJB to reshape services and deliver its services which increases Council risk **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.	A Short	1. Implementation of a 4 week pilot to divert all possible nursing home admissions to the Flow Centre and then to MERRIT to prevent admission to hospital 2. Increased use of Midlothian Community Hospital to support patient moves to downstream beds and relieving some of the pressures on acute sites 3. Review of in-house service provision to increase capacity within Re-ablement through more effective use of the Complex Care service 4. Additional management support being provided to external Care at Home provider to address concerns over service delivery 5. Work underway to transfer care at home service that is now due to end on 31 March 2017 to ensure continuity of care for clients 6. Management support being provided to external Care at Home service to bring stability and improvements in service delivery 7. Recruitment campaign for additional staff over the summer months is underway, targeting local universities and colleges 8. Overall review of care at home services now nearing completion – this will create blueprint for future planning and delivery of services 9. Tender published on Procurement website for new Framework Agreement in Midlothian to deliver care at home 10. Temporary appointment of senior manager to take on discharge co-ordination role across Midlothian	3	4	🔺

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.	Ricky *Moffat; Garry *Sheret; Gary Fairley	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. Introduction of Capital Plan and Asset Management Board	3	3	⚠️

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.08.02	Appropriate investment in capital works and remedial maintenance over the lifespan of each property asset. Development of robust Asset Management Plans and associated investment needs for all categories of assets	**Q3 17/18**: Prioritise needs of assets against available spend. On-going need to assess, needs of assets, informed by conditional surveys. Capital spend works carried out during summer.	Garry *Sheret	31-Mar-2018	▶
SRP.RA.08.03	Review of Capital Plan.	**Q3 17/18**: Having established the Capital Plan and Asset Management Boards work is ongoing to review the Capital Strategy with a report targeted to Council in June 2018.	Gary Fairley	26-Jun-2018	▶

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 (eg secondary school, main offices), computer systems and staff Not able to respond to a major emergency in the community Fatal Accident Inquiries	Chris Lawson	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, - Contingency Planning 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 inline 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.	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	**Q3 17/18**: Business Continuity Guide being developed. Contingency Improvement Plan well developed and due to be shared with Contingency Planning Group ahead of reporting to CMT for approval.	Chris Lawson	31-Mar-2018	▶

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.	Alan Turpie	Potential sub risks include:- 01 Macro governance at the top – failure in openness, accountability, clarity; 02 Micro governance in services, partnerships and projects and outcomes not achieved 03 Non compliance with codes of conduct and reduction in standards in public life	3	4	🔶

			04 Annual Assurance Statement.			
Risk effect Service, partnerships and project outcomes not achieved Non compliance with conduct standards and reduction in standards in public life						

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.10.02	International Governance Standards	**Q3 17/18**: Governance standards reviewed in-line with new CIPFA/SOLACE Guide and new Corporate Governance Framework approved by CMT.	Alan Turpie	31-Mar-2018	✅

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.	Ricky *Moffat; Garry *Sheret; Kevin Anderson; Gary Fairley; Ian Johnson; Joan Tranent; Grace Vickers; Alison White	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 2016, positive feedback with allocated funding. 5. Community Safety Strategic assessment in progress. 6. Financial Strategy 7. Workforce Strategy 8. Digital Strategy 9. Procurement Strategy in place 10. Capital and Reserves Strategy 11. Control of land use and promotion of development through Midlothian Local Development Plan.	2	3	✅

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.11.04	Review of Capital and Reserves Strategy	**Q3 17/18**: Report to Council in June 2018.	Gary Fairley	26-Jun-2018	▶

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	Ricky *Moffat; Garry *Sheret;	1. Services have been prompted to consider fraud and waste within Service Risk Registers.	3	3	🔺

	for fraud and waste to occur. Internal Controls requiring more time, effort or cost than the risk being managed. **Risk event** Persons exploiting opportunities to commit fraud Waste and errors **Risk effect** Waste and loss Risks over managed with risk controls costing more than the potential loss being managed.	Kevin Anderson; Gary Fairley; Ian Johnson; Joan Tranent; Grace Vickers; Alison White	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.		

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.	Ian Johnson	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	4	🔴

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.13.01	Adaptive Planning	**Q3 17/18**: Adaptive planning proposal to be brought forward to CMT.	Ian Johnson	31-Mar-2018	▶

SRP.RR.14.1 Scottish 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 where 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. **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.	Joan Tranent	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 now set up a Claims Project Team to map out how claims will be made to the Local Authority and how we shall then manage them The Project 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. 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.	5	4	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.14.01	Implementation of Project Plan	**Q3 17/18**: A project team has been established. Project Plan identifying what actions are required to be undertaken and by whom. Fortnightly meetings to progress project plan.	Joan Tranent	31-Mar-2018	▶

SRP.RR.14.2 Historic 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	Joan Tranent	Regular updates to Council to keep them abreast of the current situation and potential implications around staffing and future financial costs.	4	5	🔺

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.14.2-1	Training staff	**Q3 17/18**: Training additional staff in anticipation that many solicitors will make initial contact with Midlothian Council via a Freedom of Information Request or a Subject Access Request. Ensuring that we have an understanding of our insurance position in relation to potential historic child abuse claims.	Joan Tranent	31-Mar-2018	▶
SRP.RA.14.2-2	Communications Strategy	**Q3 17/18**: Having a communication strategy and ensuring that our websites have up to date information relating to claims and support for survivors. It is planned to take a report to Council in quarter 4 outlining how the Council will manage claims.	Joan Tranent	31-Mar-2018	▶

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SRP.RR.15 Review of Pay & Grading

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.15	**Risk cause** Investment to reduce in-work poverty need to improve flexibility, productivity and service quality. Many current policies and terms and conditions, including pay arrangements have been constructed around a Monday - Friday, 9 - 5 working week, with many services requiring to deliver services 7 days a week beyond 9-5. **Risk event** Council does not see improvements in productivity and flexibility across the workforce. Council services are not competitive against the voluntary 3rd or private sector. **Risk effect** Investment in pay and grading not translating into positive productivity gains for the Council.	Gary Fairley	1. Investing in our Workforce Project Board focussed on securing the gains. 2. Governance on the 4 strands of work from Council: Life Long Learning, Policy, Pay, Non Financial Benefits. 3. Launch of new People Policies on 1st March 2017. 4. Communications plan to ensure all employees know what is changing and how this will impact them and service delivery.	4	4	🔴

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.15.01	Secure improvements in productivity and flexibility across the workforce.	**Q317/18**: Investing in our Workforce Board chaired by the Chief Executive focussed on securing these gains.	Gary Fairley	31-Mar-2018	▶

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 one of the fastest growing Council in Scotland. . 0-15 population increase, projected at 20% and 75+ population increase projected to increase by 100% between 2014 and 2039. **Risk event** Failure to resource and plan for these rises will significantly impact the Councils ability to fulfil its statutory obligations in relation to these groups.	John *Blair; Mary *Smith; Allister Short	1. Local development plan 2. Services planning future service provision on the basis of anticipated service demands 3. The change programme 4. Learning Estate Strategy	4	5	🔴

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.					

SRP.RR.17 UK Decision to leave the EU

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.17	**Risk cause** UK vote to leave the European Union **Risk event** UK leaving the European Union **Risk effect** The impacts associated with the UK's decision to leave the UK have yet to be realised and will only become clear as negotiations progress following the triggering of article 50. 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.	John *Blair; Mary *Smith; Allister Short	01 - the Council will monitor the implications of the UK's decision to leave the EU on the Council through its risk management approach and will develop approaches to respond to specific risks as further clarity on impact becomes clearer.	3	4	⚠️

SRP.RR.18 Political uncertainty - Education Governance Review

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.18	**Risk cause** Delivering Excellence and Equity in Scottish Education: A Delivery Plan for Scotland and new Education (Scotland) Bill 2017. **Risk event** Future decision by Scottish Government on the outcome of governance review, which seeks a move to regional based Education. **Risk effect** Midlothian Council recognises that closing the attainment gap is not a task which can be achieved by schools or the Education Service alone but requires a total Midlothian approach. The delivery plan has made a commitment to regional working although is limited in detail on what this would look like. In the event the approach taken impedes the total Midlothian approach this could inhibit rather than support the efforts to close the attainment gap.	Grace Vickers	01 - Midlothian Council has made a formal response to the Scottish Government on its consultation. 02 - Council has been kept informed of the Midlothian's response to the consultation	3	4	🔺

SRP.RR.19 Health & Safety

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.19	**Risk cause** Failing to identify and rectify non compliance with Health and Safety regulations. **Risk event** Employees required to undertake tasks they are not competent to. Statutorily driven health and safety protective arrangements for service users and employees not implemented correctly. non compliance with policy and procedure not undertaking audits and inspections and the risk **Risk effect** Negative impact on outcomes for customers/service users.	John *Blair; Mary *Smith; Allister Short	01 - Suite of Health and Safety Management Arrangements developed setting out council response to statutory obligations 02 - Comprehensive range of Health & Safety Management & Assessment based development opportunities for line managers 03 - Use of Health & Safety Management Information System to enhance information transfer and organisational efficiency	3	5	🔺

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.					

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.19.01	Health & Safety Management Arrangement Development	**Q3 17/18**: The development of the Council's Health and Safety management system has reached the Check stage of the Plan - Do -Check - Act framework. A range of Audit and review tools have been developed to provide assurance of compliance with the Management Arrangements and associated legislation. A proposed Audit and Review programme was reported to CMT and approved.	Chris Lawson	31-Mar-2018	⚠

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.	Ian Johnson	1. Shawfair Development 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	5	4	🔴

SRP.OP.02 Borders Rail

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.OP.02	Regeneration of priority communities of Midlothian through which the railway passes. The line provides ready access to education/training at Edinburgh College, Borders College and Queen Margaret University with improved access to the labour markets in Edinburgh and the Borders. Also a catalyst for housing growth. Ensuring Midlothian secures appropriate levels of Blueprint funding.	Ian Johnson	1. Designated Project Manager post. 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. Dedicated Tourism Development post. 4. Timely submission of bids for approval by the Blueprint Group.	5	4	🔴

SRP.OP.03 Easter Bush - Penicuik

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.OP.03	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. Link to City Deal	Ian Johnson	1. Planning in place around creating Secondary Schools as centres for excellence linked to specialisms including STEM. 2. Land allocated for expansion. 3. Midlothian Science Zone. 4. Troubleshooting issues - Roads Access - tackling road access through proposal in the Local Plan and City Deal.	5	4	🔴

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.OP.03.A1	A702 Trunk Road Improvements	**Q3 17/18**: Priority attention required to address the current strategic road access constraints, Council Officers to work with the Easter Bush Board, Transport Scotland and others, to define funding and timing.	Ian Johnson	30-Jun-2018	▶

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.	Ian Johnson	1. Key projects identified. 2. Heads of terms agreed by consortium for discussion with Scottish and UK Government Officials. 3. Confirmed detailed city deal programme.	3	5	🔺

SRP.OP.05 Growing Council

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.OP.05	Midlothian Council has been identified as one of the fastest growing Council's in Scotland. This brings the opportunity to support the Council vision of being 'A Great Place to Grow'. As a growing Council this brings the opportunity to redevelop parts of Midlothian, improve infrastructure with a focus on area targeting, improving economic opportunities, improving education and health outcome. This growth creates the opportunity to meet the housing need with 25% of new homes being built in the affordable	Ian Johnson	1. Community Planning Partnership 2. The Single Midlothian Plan 3. The Integration Joint Board	5	5	🔴

	housing sector, in addition to the expansion in Council House building. This construction will directly support employment in construction and will see a steady increase in the volume of Council tax received over time.					