

Risk Management, Update for 1 January 2019 – 31 March 2019**Report by Chris Lawson, Risk Manager****1 Purpose of Report**

Audit Committee has requested regular reporting on the Council's Strategic Risks. The Strategic Risk Profile seeks to provide a strategic look at the current issues, future risk and opportunities facing the Council.

The purpose of this report is to provide Audit Committee with the 2018/19 quarter 4 strategic risk management update, covering the period 1 January 2019 to 31 March 2019.

2 Background

A new Accounts Commission report has highlighted that Council's face an increasingly complex, changing and uncertain environment. The watchdog said local authorities must "think differently about how they deliver and fund services.

Midlothian Council has done much to reduce spend in recent years while continuing to deliver key services to our local communities. During Quarter 4 the Council set a balanced budget for 2019/20 and made a commitment to develop a medium term financial plan.

Transformational change has, and continues to be vitally important to the Council as it seeks to improve local outcomes with less money.

The continued financial outlook is challenging, with uncertainty associated with future years grant settlements, the economic impact of Brexit which has had the potential of a no deal outcome delayed until 31 October 2019.

The UK decision to leave the European Union had seen a number of public and private sector organisations step up preparations for a potential no deal exit from the European Union (EU) on 29 March 2019. This was averted when the UK Government sought an extension until 31 October 2019 to reach agreement on a withdrawal agreement.

Council Services had given consideration to business critical functions/services reliant on goods or services from within the EU as the prospect of no deal hung over the Council. The Council worked with strategic partners including the Scottish Government in preparation for a no deal scenario. CMT established a BREXIT Working Group with the purpose of overseeing final Service and Council preparations for a no deal exit from the European Union.



While these preparations have not been needed, the refocus on Business Continuity Planning within Services will stand the Council in good stead in the event that a no deal scenario plays out in the future and for other forms of business disruption.

2.1 Strategic Risk Profile update





















The on-going risk associated with financial stability and balancing the budget in future years remains, with the medium term financial plan seen as the route to put the Council on a more stable financial footing.



2.3 Strategic Risk Profile Summary

The Top Strategic Issues are summarised in table 1.







Top Issues	Likelihood	Impact	Score	Evaluation	
The Change Programme	5	5	25	Critical	
Financial Stability	4	5	20	High	

The Strategic Risks for the Council are summarised in table 2 below.

Strategic Risks	Likelihood	Impact	Score	Evaluation	
Balancing budget in future years	5	5	25	Critical	
Growing Council	4	5	20	High	
Scottish Abuse Inquiry	5	4	20	High	
Abuse Claims	4	5	20	High	
Cyber Security	5	4	20	High	
Early Years Expansion (1140 Hours)	4	5	20	High	
Welfare Reform	4	4	16	High	
The Longer Term Change Programme	4	4	16	High	
Information Security	3	5	15	Medium	
Health and Safety	3	5	15	Medium	
Political uncertainty – Education Governance Review	3	4	12	Medium	
Care at home	3	4	12	Medium	
UK decision to leave the EU	3	4	12	Medium	
Governance and standards	3	4	12	Medium	
Employee performance	3	4	12	Medium	
Emergency planning and business continuity	3	4	12	Medium	
Climate change	3	3	9	Medium	
Legal and regulatory compliance	3	3	9	Medium	
Working with other to deliver outcomes	3	3	9	Medium	
Asset management	3	3	9	Medium	

Strategic Risks	Likelihood	Impact	Score	Evaluation	
Internal control environment	3	3	9	Medium	
Corporate policies and strategies	2	3	6	Low	

The Strategic Opportunities for the Council are summarised in table 3.

Strategic Opportunities	Likelihood	Impact	Score	Evaluation	
City deal	5	5	25	Critical	
Growing Council	5	5	25	Critical	
Creating a World Class Education System	4	5	20	High	
Shawfair	5	4	20	High	
Borders rail	5	4	20	High	
Easter Bush – Penicuik	5	4	20	High	

2.6 STRATEGIC ISSUES – RATED CRITICAL AND HIGH

2.6.1 Financial Stability

The updated Financial Strategy Report was reported to Council on 12 February 2019, enabling the Council to set a balanced budget for 2019/20. The paper included a proposal to develop a medium term financial plan.

2.6.2 The Change Programme

The budget approved on 12 February 2019 incorporated a range of savings which form part of the Change Programme and the delivery of the 2019/20 outturn within the approved budget.

Monitoring the oversight of the Change Programme is delivered through dashboard reporting prepared by each Head of Service and reported (6 weekly) to the Business Transformation Board. This is in addition to continued quarterly financial reporting by Financial Services.

2.7 STRATEGIC RISKS – RATED CRITICAL/HIGH

2.7.1 Balancing budget in future years

The updated Financial Strategy was presented to Council 12 February 2019 which set out a range of budget reduction proposals for 2019/20 to enable members to set a balanced budget. The paper included a proposal to develop a medium term financial plan.

2.7.2 Growing Council

Midlothian Council was identified in 2018 as the fastest growing Council in Scotland with a projected population growth of 26% between 2014 - 2039. This would see the population of Midlothian grow from 86,220 – 108,369 by 2039. The growth is expected to see the 0-15 population increase by 20%. The fastest rate increase is expected in the 75+ population with a projected 106% increase between 2014 and 2039. Failure to resource and plan for these rises will significantly impact the Council's ability to fulfil its statutory obligations in relation to these groups.

To plan for the impact this growth will have on the school estate, Education developed a Learning Estate Strategy to address the expected pressures from this and other known Government policies which will impact on capacity requirements within schools. Any delays in delivering the Learning Estate Strategy could impact on the Council's ability to respond effectively to projected growth in pupil numbers.

This growth together with reductions in the grant settlement from the Scottish Government has created acute pressure on Council Budgets.

2.7.3 Scottish abuse inquiry and Abuse Claims

The Council have an Abuse Inquiry Project Team and a Claims Project Team to support the Council to prepare for information requests to support the Inquiry and in preparation of any claims that may arise.

A communications plan and training plan are in place. A web page is available to provide information on the Limitation (Childhood Abuse) (Scotland) Act 2017 and guidance for childhood abuse survivors on claiming compensation.

2.7.4 Cyber Security

Over the past year the Council have been monitoring reports of cyber-attacks on public sector networks. In recent months attacks have been made on a number of public sector organisations, raising the potential for an attack to be directed at Midlothian Council.

2.7.5 Early Years Expansion (1140 Hours)

Following the Scottish Government's decision to increase the number of free early learning and childcare hours to 1140 from August 2020 the council has commenced preparations with its partners. The two key strands to the successful implementation are the recruitment and training of staff and the physical increase in capacity. These challenges are being considered in the wider context of the plan, in which the capacity and expansion of all funded providers (council, private and voluntary settings as well as childminders) combine to deliver the requirements.

Pilots are already underway offering expanded hour places at council settings and blended with childminders. The number of pilot places is being significantly increased and expanded to include funded provider settings.

2.7.6 Welfare Reform

The Universal Credit Programme closed gateways for legacy benefits, so existing benefits are no longer eligible for all new benefit claimants, except pension benefits. The migration of those remaining claimants on current benefit types continues until the digital rollout is complete for all of UK. The risk of income disruption to housing rent payments and Council Tax Reduction scheme is evident in the increased arrears, although this is currently within the bad debt provision anticipated.

2.7.7 The Longer Term Change Programme

The strands of work that will continue to be necessary to address the projected budget shortfalls in the medium term, encompassing:-

- Business Transformation Board;
- The Delivering Excellence programme;
- The Transformation Programme;
- The EWiM programme;
- An updated Capital Strategy and Reserves Strategy; and
- Operational savings encompassing financial discipline measures.

2.8 STRATEGIC OPPORTUNITIES

2.8.1 City Deal

South East Scotland Region City Deal - bid for funding to Scottish and UK Governments to accelerate economic growth through investment in infrastructure/ housing/ skills and innovation was agreed by Council in June 2018.

2.8.2 Fastest Growing Council

Midlothian Council has been identified in 2018 as not only the fastest growing Council in Scotland in recent years, but projections show it will remain so, possibly for a further ten years.

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 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.

2.8.3 Creating a world Class Education System

The Centres of Excellence model is a core part of the Council's strategy to create a world-class education system in Midlothian. The newly built Newbattle high school opened its doors to pupils on 5 June 2018, with the formal opening by the Scottish Government, Education Minister, John Swinney on 7 November 2018. This ambitious project is designed to deliver excellence and equity with a particular emphasis on interrupting the cycle of poverty. Research and development on the Centre of Excellence continues a number of work streams in pursuit of further development of the Centre of Excellence model.

2.8.4 Shawfair

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.

2.8.5 Borders Rail

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 an opportunity to encourage sustainable travel by residents of major new housing developments in the rail corridor. Ensuring Midlothian secures appropriate levels of Blueprint funding from the multi-agency Borders Rail 'Blueprint' funding group.

2.8.6 Easter Bush

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.

3 Report Implications

3.1 Resource

There are no direct resource implications in this report although individual risks have associated resource implications.

3.2 Risk

The Strategic Risk Profile seeks to articulate the significant issues, risks and opportunities facing the Council at a specific point in time. The Risks reported are generally those that impact on all parts of the Council and the strategic priorities of the Council. It appears that the presence of risk is understood and action is being taken to manage and respond to risk on an ongoing basis by officers.

The risks referred to in this report are set out within the Council's Strategic Risk Profile, attached as Appendix 1.

3.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

- Community safety
- Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- Sustainable growth
- Business transformation and Best Value
- None of the above

3.4 Impact on Performance and Outcomes

The purpose of the Council's risk management approach is to support a level of risk awareness, to inform decision making and support the Council to deliver on its key outcomes by highlighting and taking steps to mitigate potential disruption to delivery of services.

3.5 Adopting a Preventative Approach

The Risk Management approach being taken by the Council is founded on a preventative approach to managing risks, where appropriate and more generally to decision making with far greater risk awareness.

3.6 Involving Communities and Other Stakeholders

Consultation has taken place with Senior Managers responsible for leading responses to key Strategic Issues, Risk and Opportunities.

3.7 Ensuring Equalities

There are no direct equalities issues arising from this report.

3.8 Supporting Sustainable Development

Senior Managers must ensure the sustainability of the Council, which entails identifying, understanding and managing Strategic and Service level Issues, Risks and Opportunities.

3.9 IT Issues

No additional issues other than those relating to the Strategic Risk Profile.

4 Recommendations

Audit Committee is recommended to:

Note the quarter 4 2018/19 Strategic Risk Profile report and note the current response to the issues, risks and opportunities highlighted.

Date: 13 May 2019

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Background Papers: **Appendix 1** Strategic Risks Profile
Quarter 4 2018/19

Strategic Risk Profile


Issues




SRP.IR.02 The Change Programme


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.IR.02	<p>Risk cause Change programme that doesn't address the budget shortfall; The Change Programme does not achieve the projected savings</p> <p>Risk event Delayed progress in applying various strands of the Change Programme including the Delivering Excellence framework.</p> <p>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.</p>	Head of Adult and Social Care; Head of Children's Services; Head of Commercial Operations; Head of Customer and Housing; Director of Education Communities and Economy; Head of Education; Head of Finance and Integrated Service Support;; Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources	<ol style="list-style-type: none"> 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. Action to ensure that the financial impact of change proposals is verified and that evidence is available to support delivery in the prescribed timescales. Section 95 Officer will rely on that evidence determining if change programme savings are deliverable <ul style="list-style-type: none"> . Financial Strategy. . Leadership from all Elected members 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. 4. Health and Social Care transformation board monitoring the 12 transformation strands on a monthly basis. 5. Council have set a balanced budget for 2019/20 within which services are expected to operate within. Timetable for quarterly financial reports to Council is in place. 	5	5	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA - 02.03	Develop medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	Q4 18/19: The Financial Strategy report presented to Council on 12 February 2019 included a recommendation to present a Medium Term Financial Strategy.	Head of Finance and Integrated Service Support	30 Sep 2019	



		Enhanced financial control is planned through enhanced management oversight, clearer responsibility, accountability and monitoring of the delivery of Change Programme measures. This will require a focus on financial management and financial accountability as part of Making Performance Matter.			
SRP.IA.02.02	Bottom up Service Reviews - Phase 1	Q4 18/19: Bottom up Service review - remit of working group and proposed initial 3 phases of review programme set out in report to Council, Land Services review completed with measures reflected in 2019/20 budget proposals. Waste Services started and due to progress at next meeting in May. Roads Services due to have initial meeting mid-year. Sport and Leisure review is underway.	Head of Commercial Operations; Head of Property and Facilities Management	31 Jan 2020	

SRP.IR.07 Financial Sustainability

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.IR.07	<p>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</p> <p>Risk event Change Programme and the flexibility available to Councils as part of the grant settlement does not address future years projected budget gaps</p> <p>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.</p>	Head of Finance and Integrated Service Support	<ol style="list-style-type: none"> There is an approved Capital Strategy and Reserve Strategy in place There is an approved budget for 2019/20 There are arrangements in place to monitor financial performance including quarterly reporting to Council and 6 weekly reporting to BTB through the change dashboards Council approved the development of a MTFS to be brought back to the Council before the summer recess Working through COSLA to influence government spending decisions to influence Scottish Government's budget allocation to Councils. Monitoring the oversight of the Change Programme through the Change Programme Dashboard prepared by each Head of Service and reported (6 weekly) to the Business Transformation Board and the Business Transformation Steering Group. Change programme dashboards to be verified by finance team supported in addition to continued quarterly financial reporting by Financial Services. 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. 	4	5	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA - 02.03	Develop medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	Q4 18/19: The Financial Strategy report presented to Council on 12 February 2019 included a recommendation to present a Medium Term Financial Strategy.	Head of Finance and Integrated Service Support	30 Sep 2019	


Appendix 1

		Enhanced financial control is planned through enhanced management oversight, clearer responsibility, accountability and monitoring of the delivery of Change Programme measures. This will require a focus on financial management and financial accountability as part of Making Performance Matter.			
SRP.RA - 02.05	Review of the Learning Estate Strategy (LES) and refresh of the capital strategy to reflect the updated LES	<p>Q4 18/19: Update report to council on 7 May for the LES outlining progress to date and ongoing work and identifying the significant affordability challenge associated with the LES</p> <p>Update of the capital strategy be presented to council later in the year</p>	Head of Education, Head of Finance and Integrated Service Support	31 Dec 2019	
SPR.IA.02.04	Revenue Service Review	Q4 18/19: Preparatory work being carried out ahead of initial engagement for Service Review to be carried out in 2019-20.	Head of Adult and Social Care	31 Mar 2022	


Risks


SRP.RR.01 Balancing Budgets in future years

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.01	<p>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</p> <p>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.</p> <p>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</p>	Head of Finance and Integrated Service Support	<ol style="list-style-type: none"> 1. Development of the 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. 	5	5	


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.	<p>Q4 18/19: The Financial Strategy report presented to Council on 12 February 2019 included a recommendation to present a Medium Term Financial Strategy.</p> <p>Enhanced financial control is planned through enhanced management oversight, clearer responsibility, accountability and monitoring of the delivery of Change Programme measures. This will require a focus on financial management and financial accountability as part of Making Performance Matter.</p>	Head of Finance and Integrated Service Support	30 Sep 2019	


SRP.RR.02 The Long Term Change Programme




Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.02	<p>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 Lack of or not securing transformational change in service provision</p> <p>Risk event Delayed progress in applying various strands of the Change Programme including Delivering Excellence Framework Slow benefits realisation and budget savings Cuts in service provision rather than service transformation</p> <p>Risk effect Objectives of change not actually met Adverse impact on services Slow or delayed proposals/savings arising from service redesign. Potentially further eroding reserves or requiring short term service reductions which impact on Council's ability to deliver against its priorities. Staff morale negatively affected, Government step-in Short term savings instead of transformation</p>	Head of Finance and Integrated Service Support	<ol style="list-style-type: none"> 1. Financial Strategy and Change Programme 2. Leadership from all elected members, 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 - 02.03	Develop medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	<p>Q4 18/19: The Financial Strategy report presented to Council on 12 February 2019 included a recommendation to present a Medium Term Financial Strategy.</p> <p>Enhanced financial control is planned through enhanced management oversight, clearer responsibility, accountability and monitoring of the delivery of Change Programme measures. This will require a focus on financial management and financial accountability as part of Making Performance Matter.</p>	Head of Finance and Integrated Service Support	30 Sep 2019	


SRP.RR.03 Legal and Regulatory Compliance

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.03	<p>Risk cause Current or new legislation applying to Midlothian Council</p> <p>Risk event Council and or Services not identifying all applicable legislation impacting Council activities and Service requirements.</p> <p>Risk effect Council failing to meet its statutory obligations resulting in a potential negative impact for service users or employees. Reputational impact of not meeting statutory obligations.</p>	Head of Adult and Social Care; Head of Children's Services; Head of Commercial Operations; Head of Customer and Housing; Director of Education Communities and Economy; Head of Education; Head of Finance and Integrated Service Support;; Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources	<ol style="list-style-type: none"> 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. Reviewed and enhanced Annual Assurance Statement. 3. Internal Audit testing of internal controls as part of risk based audit plan. 4. External Audit. 5. Statutory Inspection. 6. Local Scrutiny Plan - Report to Council 8 May 2018. 7. Best Value Audit self-assessment and audit. 	3	3	



Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.03.01	Legal & Regulatory Compliance	Q4 18/19: Heads of Service ensuring compliance with statutory obligations and making CMT, Cabinet/Council aware as required.	Head of Adult and Social Care; Head of Children's Services; Head of Commercial Operations; Head of Customer and Housing; Director of Education Communities and Economy; Head of Education; Head	31 Mar 2019	

			of Finance and Integrated Service Support; Head of Property and Facilities Management; Director of Resources		
SRP.RA.03.03	Demographic Growth	<p>Q4 18/19: The Council is updating its Learning Estate Strategy (LES) with an interim report to Council planned for 7 May which will set out the affordability challenge of delivering the required infrastructure. The project which go forward from the LES will be reflected in the next iteration of the Capital Strategy</p> <p>To reflect the projected growth in demand through to 2040.Capital Strategy to set out infrastructure required to meet those demographic pressures. This updated draft report will be presented to Council in May 2019.</p>	Head of Education	31 Jul 2020	
SRP.RA - 02.05	Review of the Learning Estate Strategy (LES) and refresh of the capital strategy to reflect the updated LES	<p>Q4 18/19: Update report to council on 7 May for the LES outlining progress to date and ongoing work and identifying the significant affordability challenge associated with the LES</p> <p>Update of the capital strategy be presented to council later in the year</p>	Head of Education, Head of Finance and Integrated Service Support	31 Dec 2019	
SRP.RA.03.06	Free personal Care for people under 65	Q4 18/19: Report to Council in February setting out potential impact on Council.	Head of Adult and Social Care	1 Apr 2019	


SRP.RR.04 Employee performance

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.04	<p>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</p>	Head of Finance and Integrated Service Support	<p>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.</p> <p>Attendance / Wellbeing 1. Implementation of the Wellness@Midlothian agenda including service-level wellness plans. 2. Implementation of Mental Health Framework. 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. Range of related policies and management guidance. 6. Development of progressive People Policies.</p>	3	4	


<p>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 Poor employee performance will stifle transformational change</p> <p>Risk effect Difficulties recruiting the right staff Challenges retaining quality staff Low skill levels Low morale, especially during change High absence rates, loss of experience in service areas. 'A Great Place to Grow' our values including respect ,collaboration, pride and ownership not realised, potentially resulting in missing the opportunity to capitalise on the abilities, experience and ideas of team members. Poor employee performance will Exacerbate the financial challenge</p>			<p>Performance 1. Council-side and Service-level workforce plans. 2. Structured, robust, well established 'Making Performance Matter' Framework where expected standards of behaviour and Council values are re-enforced. 3. Reviewed Code of Conduct. 4. Employee engagement sessions commencing in January following publication of the staff survey results. 5. Continued re-enforcement of all People Policies involving various communication methods. 6. Development of a suite of management information to ensure Service Managers are informed e.g. turnover, absence levels/reasons etc.</p> <p>Organisational Change 1. Revised Policy for Organisational Change including strong emphasis on early engagement of employees. 2. Redeployment Procedure to ensure maximum chance of successful redeployment. 3. Agreed protocol for accessing the Redeployment Fund.</p> <p>Conduct 1. Resolution Policy encourages early intervention in workplace issues. 2. Professional standards and values to be re-enforced in structured format.</p> <p>Communication 1. A range of initiatives to keep staff informed of change (Chief Executive's weekly email, Connect, All staff emails, tailored team briefings etc.</p>			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.04.03	Workforce Strategy	<p>Q4 18/19: Continuing on with the delivery of the workforce strategy actions.</p> <p>Internal Audit have reviewed the workforce strategy and assessed that though Council substantive assurance, work will continue through 2019/20 to deliver the recommendations arising from the audit.</p>	Head of Finance and Integrated Service Support	31 Oct 2019	
SRP.RA.04.04	Workforce plans	<p>Q4 18/19: Service workforce plans will need to be updated to support delivery of the Medium Term Financial Strategy.</p>	All Heads of Service	31 Mar 2020	


SRP.RR.06 Information Security




Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.06	<p>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.</p> <p>Risk event The Regulation implemented on 25 May 2018.</p> <p>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.</p>	Ian Wragg	<ol style="list-style-type: none"> 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 	3	5	

SRP.RR.07 Care at Home

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.07	<p>Risk cause Internal and External providers of Care at Home services unable to meet service and quality requirements as a result of a lack of capacity.</p> <p>Risk event Capacity of Community Support outstripped by demand</p> <p>Risk effect There is a risk that patients will have their discharge delayed because there is insufficient community supports to enable timely discharge leading to deterioration in their health, beds being blocked and elective operations potentially being cancelled.</p>	Head of Primary Care and Older People's Services	<ol style="list-style-type: none"> 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	


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



Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.08	<p>Risk cause Many of the assets the Council own by their nature are in a position of on-going deterioration through their normal use, e.g. roads - normal wear and tear, street lights and vehicles & buildings used to deliver services.</p> <p>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.</p> <p>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.</p>	Head of Commercial Operations; Head of Finance and Integrated Service Support; Head of Property and Facilities Management	<ol style="list-style-type: none"> 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: <ul style="list-style-type: none"> . 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 9. Housing Asset Strategy and Strategic Housing Investment Plan 	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.	<p>Q4 18/19: Prioritise needs of assets against available spend. On-going need to assess, needs of assets, informed by conditional surveys.</p> <p>Continuing to develop property asset management plans, priority spend on basis of independent surveys.</p>	Head of Property and Facilities Management	31 Dec 2019	
SRP.RA.08.04	Reviewed Roads Asset Management Strategy	Q4 18/19: Roads Asset Strategy, work progressing to migrate to version 4 through 2018/19. Information to be taken to capital board on future need for next 5 years.	Head of Commercial Operations	31 Dec 2019	
SRP.RA.03.03	Demographic Growth	Q4 18/19: The Council is updating its Learning Estate Strategy (LES) with an interim report to Council planned for 7 May which will set out the affordability challenge of delivering the required infrastructure. The project which go forward from the LES will be reflected in the next iteration of the Capital Strategy	Head of Education	31 Jul 2020	


		To reflect the projected growth in demand through to 2040. Capital Strategy to set out infrastructure required to meet those demographic pressures. This updated draft report will be presented to Council in May 2019.			
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SRP.RR.09 Emergency Planning and Business Continuity Management


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.09	<p>Risk cause The Council not preparing Emergency Plans and testing arrangements to respond to Civil Contingencies Incidents</p> <p>Risk event There are a wide range of potential events the Council may be expected to respond to e.g. Severe weather incident, Pandemic, Utility disruption etc.</p> <p>Risk effect Censure through non-compliance with the Civil Contingencies Act Not adequately recovering from the loss of major accommodation (e.g. secondary school, main offices), computer systems and staff Not able to respond to a major emergency in the community Fatal Accident Inquiries</p>	Chris Lawson; Jane Young	<p><u>Potential</u> sub risks include:-</p> <p>01 – Civil Contingencies Risk Register used to highlight key risks and record response, - Council's plans developed and maintained in response to identified risks, - Contingency Planning Group support development, peer review and roll out of plans.</p> <p>02 – Establishment based incident response plans in place and maintained locally.</p> <p>03 – Emergency response plan setting out general approach to respond to a major emergency in-line with key partner organisations.</p> <p>04 – As part of the Council's Emergency response 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.</p>	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.09.02	Development of Emergency Planning Improvement Plan	Q4 18/19: Contingency Improvement Plan well developed and due to be shared with Contingency Planning Group ahead of reporting to CMT for approval. Exploratory work carried out to establish what benefits could be gained from using technology systems to support the development and interrogation of Business Continuity application during an incident.	Chris Lawson; Jane Young	31 Oct 2019	
SRP.RA.09.03	Rest Centre Provision	Q4 18/19: Rest Centre Management arrangements reported to CMT, action with all Heads of Service to provide names of perspective rest centre managers to Head of Adult and Social Care as part of the 'Care for People' work stream.	Head of Adult and Social Care	30 Sep 2019	


SRP.RR.10 Governance and Standards in Public Life

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.10	<p>Risk cause Code of conduct for Members and employees actions falling short of International Standards.</p> <p>Risk event Failure in openness, accountability, clarity.</p> <p>Risk effect Service, partnerships and project outcomes not achieved Non-compliance with conduct standards and reduction in standards in public life</p>	Alan Turpie	<p><u>Potential</u> sub risks include:-</p> <p>01 Macro governance at the top – failure in openness, accountability, clarity;</p> <p>02 Micro governance in services, partnerships and projects and outcomes not achieved</p> <p>03 Non-compliance with codes of conduct and reduction in standards in public life</p> <p>04 Annual Assurance Statement.</p>	3	4	


SRP.RR.11 Corporate Policies and Strategies

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.11	<p>Risk cause Policies may not match the aspirations of the Council's Strategic priorities or cultural perspective.</p> <p>Risk event Policies not monitored may become out of date Policies not reviewed to ensure alignment with strategic priorities.</p> <p>Risk effect Policies not monitored could result in non-compliance with legislation Policies not align to strategic priorities will inhibit the rather than support implementation of strategic priorities.</p>	Head of Adult and Social Care; Head of Children's Services; Head of Commercial Operations; Head of Customer and Housing; Director of Education Communities and Economy; Head of Education; Head of Finance and Integrated Service Support; Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources	<ol style="list-style-type: none"> 1. Single Midlothian Plan providing overarching direction 2. Service plans aligned to Single Midlothian Plan. 3. Leadership team to ensure correct approaches are adopted to get the right results. 4. Strategic housing investment plan, submitted to Scottish Government in December 2018, positive feedback with allocated funding. 5. Community Safety Strategic assessment completed. 6. Procurement Strategy 2018 7. Capital Strategy 8. IJB Strategic Plan 9. Learning Estate Strategy 	2	3	


SRP.RR.12 Internal Control Environment

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.12	<p>Risk cause Work procedures/process inadvertently create the capacity for fraud and waste to occur. Internal Controls requiring more time, effort or cost than the risk being managed. Mangers failing to follow procedures and keep systems updated with accurate information</p> <p>Risk event Persons exploiting opportunities to commit fraud Waste and errors</p> <p>Risk effect Waste and loss Risks over managed with risk controls costing more than the potential loss being managed.</p> <p>Increased opportunity for fraud or financial loss has direct impact on management information. Has adverse effect on service performance</p>	Head of Adult and Social Care; Head of Children's Services; Head of Commercial Operations; Head of Customer and Housing; Director of Education Communities and Economy; Head of Education; Head of Finance and Integrated Service Support; Head of Property and Facilities Management; Director of Resources	<ol style="list-style-type: none"> 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. 5. Internal and external assurance. 6. Statutory inspection. 	3	3	

SRP.RR.13 Climate Change


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.13	<p>Risk cause Council Services not adequately engaged, resourced or directed to fulfil the requirements of the Climate Change Act</p> <p>Risk event Council Services not responding to the Climate Change Act with sufficient pace.</p> <p>Risk effect Council failing to meet its obligation under the Climate Change (Scotland) Act 2009 and incurring the associated reputational damage.</p>	Director of Education Communities and Economy;	<ol style="list-style-type: none"> 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. Implementation of provisions of Internal Audit report approved by Audit Committee 1 May 2018. 	3	3	

SRP.RR.14.1 Scottish Abuse Inquiry


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.14.1	<p>Risk Cause: Midlothian Council and its legacy organisations, predating the creation of Midlothian Council in 1996, have been involved in the provision of care of children going back to living memory. During this time there is the likelihood that the care children received fell below standards of care now in place. There is the further potential 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.</p> <p>Risk Event: The Scottish Government began an Inquiry into cases of Child Abuse occurring prior to 17 December 2014, the intention of this enquiry is to identify historic case of abuse which have to date gone unreported.</p> <p>Risk Effect: If the inquiry finds historic cases of abuse in Midlothian this could damage the reputation of the Council and could place doubt in the eyes of the public as to the safety of these currently in care. There is significant scope for a substantial financial impact arising from claims of historic abuse. Some existing employees may be affected by the inquiry and subsequent claims of abuse.</p>	Head of Children's Services	<p>The Council has a statutory requirement to provide information to the Scottish Child Abuse Team when requested. Midlothian Council has staff who are trained and competent in this area of work. Midlothian Council continues to maintain a positive working relationship with the Scottish Abuse Inquiry Team. Through our experience to date we have met with the Scottish Child Abuse Team and suggested that any requests for information be forwarded to all neighbouring local authorities (previous Lothian Region) to ensure that a thorough search of all our archives have been undertaken.</p> <p>In addition we have a Claims Project Team who have developed a workflow which maps out how we manage claims that come into the Local Authority.</p> <p>The Inquiry and Project Teams have established a Project Plan covering:</p> <ol style="list-style-type: none"> 1. Residential establishments, List D Schools and Foster Carers: identifying Children's homes, Foster Carers and any List D Schools in Midlothian over the last 100 years and researching historic records. 2. Record Audit: reviewing the Council's existing paper and electronic recordkeeping systems to identify relevant records and map them to residential establishments. This also includes, where possible, noting the Council's historic recordkeeping policies, such as retention schedules. 3. Cataloguing/Indexing: checking and updating existing recordkeeping systems for accuracy and consistency, enabling effective information retrieval when requested by the Inquiry. <p>The Project Team have established a Project Plan covering:</p> <ol style="list-style-type: none"> 4. Ascertaining the succession and insurance position in relation to potential historic child abuse claims. 5. Ascertaining and agreeing Midlothian Council's legal position/ approach in dealing with the potential historic child abuse claims. 6. Identifying the need for guidance, protocol, templates etc should/if any claims be made against the council. 	5	4	


			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.			
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SRP.RR.14.2 S Abuse Claims


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.14.2	<p>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). There has been an increase in the number of SAR's which is causing a significant pressure on the performance team who manage this work from 27 SAR requests in 17/18 to 64 18/19.</p> <p>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.</p> <p>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</p>	Head of Children's Services	<p>1. Agreed further update to Council in June 2019 to keep them abreast of the current situation and potential implications around staffing and future financial costs.</p> <p>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 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.</p> <p>3. Sufficient staffing required to meet the increased demand. Report going to CMT to secure 3 year funding.</p> <p>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. Scottish Government have just issued a statement (April 2019) that those who are eligible shall be able to apply for compensation if they meet the agreed criteria: aged 70 or over or have terminal illness and report they were abused in a care setting prior to September 2014.</p>	4	5	


SRP.RR.16 Growing Council

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.16	<p>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.</p> <p>Risk event Failure to resource and plan for these rises will significantly impact the Councils ability to fulfil its statutory obligations in relation to these groups.</p> <p>Risk effect Inadequate capacity within the school estate to cope with the projected increase in pupil numbers. In sufficient provision to support an aging population placing costly inefficiencies on other parts of the care sector. General population increase placing additional demand on infrastructure including GP services. Increased pressure on infrastructure, services e.g. waste collection and growth of road network as new development roads are adopted. Increased demand on Council Housing. Increase in population is likely to see a corresponding % increase in need for support services for example children's services.</p>	Director of Resources, Director of Education Communities and Economy; A.Short (Joint Director Midlothian Health and Social Care Partnership)	<ol style="list-style-type: none"> 1. Local development plan and supplementary guidance on developer contributions. 2. Services planning future service provision on the basis of anticipated service demands 3. The change programme 4. Learning Estate Strategy 5. Capital Strategy 6. Housing Strategy and SHIP 7. 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. 	4	5	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.03.03	Demographic Growth	<p>Q4 18/19: The Council is updating its Learning Estate Strategy (LES) with an interim report to Council planned for 7 May which will set out the affordability challenge of delivering the required infrastructure. The project which go forward from the LES will be reflected in the next iteration of the Capital Strategy</p> <p>To reflect the projected growth in demand through to 2040.Capital Strategy to set out infrastructure required to meet those demographic pressures. This updated draft report will be presented to Council in May 2019.</p>	Head of Education	31 Jul 2020	

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	<p>Risk cause UK vote to leave the European Union</p> <p>Risk event UK leaving the European Union</p> <p>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 method of exiting the Union has been agreed. 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.</p>	Director Resources; Director of Education Communities and Economy; A.Short (Joint Director Midlothian Health and Social Care Partnership)	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	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.17.A2	Preparations for potential no deal	Q4 18/19: Following the UK and EU decision to delay the UK's exit from the EU from 29 March 2019 until 31 October 2019 unless the UK parliament agree the withdrawal agreement before then the UK will not leave until 31 October 2019. The Council continues to monitor this developing situation and prepare accordingly.	Head of Finance and Integrated Service Support	31 Oct 2019	

SRP.RR.18 Political uncertainty - Education Governance Review


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.18	<p>Risk cause Delivering Excellence and Equity in Scottish Education: A Delivery Plan for Scotland and new Education (Scotland) Bill 2017.</p> <p>Risk event Future decision by Scottish Government on the outcome of governance review, which seeks a move to regional based Education.</p> <p>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.</p>	Head of Education	<p>1. Report in November 2017 to council on the progress of Regional collaborative. Further report to Council on the plan November 2018.</p> <p>2. Education Scotland visiting the Council for Empowerment evaluation on 8 November 2018.</p>	3	4	


SRP.RR.19 Health & Safety

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.19	<p>Risk cause Failing to identify and rectify non-compliance with Health and Safety regulations.</p> <p>Risk event Employees required to undertake tasks they are not competent to. Statutorily driven health and safety protective arrangements for service users and employees not implemented correctly. Non-compliance with policy and procedure</p>	Director of Resources; Director of Education Communities and Economy; A.Short (Joint Director Midlothian Health and Social Care Partnership)	<p>01 - Suite of Health and Safety Management Arrangements developed setting out council response to statutory obligations</p> <p>02 - Comprehensive range of Health & Safety Management & Assessment based development opportunities for line managers</p> <p>03 - Use of Health & Safety Management Information System to enhance information transfer and organisational efficiency</p>	3	5	


	<p>Not undertaking audits and inspections to confirm adherence to policy and legislative requirements.</p> <p>Risk effect Serious injury of ill health impact on employees and or service users. Negative impact on outcomes for customers/service users. Service users and employees exposed to hazards where statutory requirements exist. Statutory health and safety - duty of care over services users and employees not met. Criminal prosecution of the Corporate body and or individuals through Corporate Homicide (Corporate Manslaughter) Significant financial penalties from Criminal Prosecution.</p>				
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SRP.RR.20 Early Years Expansion (1140 Hours)

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.20	<p>Risk cause Population growth in Midlothian over the next 10 - 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.</p> <p>Risk event Failure to resource and plan for these rises will significantly impact the Councils ability to fulfil its statutory obligations in relation to these groups.</p> <p>Risk effect Inadequate capacity within the school estate and/or Early Years to cope with the projected increase in numbers. Lack of financial support from Scottish Government to address the Capital and Revenue pressures arising from this Government policy.</p>	Head of Education	<ol style="list-style-type: none"> 1. Learning Estate Strategy 2. Early Years Expansion to 1140 hours updates 3. Capital Strategy 	4	5	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.03.03	Demographic Growth	<p>Q4 18/19: The Council is updating its Learning Estate Strategy (LES) with an interim report to Council planned for 7 May which will set out the affordability challenge of delivering the required infrastructure. The project which go forward from the LES will be reflected in the next iteration of the Capital Strategy</p> <p>To reflect the projected growth in demand through to 2040.Capital Strategy to set out infrastructure required to meet those demographic pressures. This updated draft report will be presented to Council in May 2019.</p>	Head of Education	31 Jul 2020	

SRP.RR.21 Cyber Security


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.21	<p>Risk Cause: Malicious attempts to damage, disrupt or gain unauthorised access to Council computer systems, networks or devices</p> <p>Risk Event: The Council is at significant risk of cyber-attack from Ransomware Phishing Emails, Advanced Persistent Threats (APT) and Distributed Denial of Service Attacks (DDOS) attacks. Hacking and Social Engineering.</p> <p>Risk Effect: Access to Council systems by cyber criminals and foreign intelligence agencies for financial, commercial or information gathering reasons. This could lead to significant financial losses, data compromise and subsequent regulatory sanction if our technical and organisational measures are deemed insufficient.</p> <p>Severe business disruption including the almost total loss of critical IT systems and networks leading to significant service delivery challenges.</p>	Head of Finance and Integrated Service Support	<ol style="list-style-type: none"> 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 	4	5	

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

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.	Director of Education Communities and Economy;	<ol style="list-style-type: none"> 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	A702 Trunk Road Improvements	Q4 18/19: City Deal business case for Easter Bush expansion includes A702 road scheme to improve long term strategic access. Through liaison with Edinburgh University and Transport Scotland within the context of City Deal.	Director of Education Communities and Economy;	31 Mar 2020	

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.	Director of Education Communities and Economy;	<ol style="list-style-type: none"> 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. 	3	5	

SRP.OP.05 Growing Council

Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.OP.05	<p>Midlothian Council has been identified as 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.</p> <p>This growth creates the opportunity to meet the housing need with 25% of new homes being built in the affordable housing bracket, 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.</p>	Chief Executive	<ol style="list-style-type: none"> 1. Community Planning Partnership 2. The Single Midlothian Plan 3. Strategic Housing Investment Plan (SHIP) 	5	5	

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. .	Head of Education	<ol style="list-style-type: none"> 1. Digital Centre of Excellence at Newbattle Community High School 2. Partnership agreement with the University of Edinburgh 	4	5	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.OP.A.07	Research and development	Q4 18/19: Research and development on the Centre of Excellence continues a number of work streams in pursuit of further development of Centre of Excellence model.	Head of Education	31 Aug 2023	