

Strategic Risk Profile

Quarter 1 2019/20





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 Pace of change programme not achieving the savings against agreed timescales. 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. Requiring the adoption of recover plans or requiring short term service reductions which impact on the Council's ability to deliver against its priorities.</p>	<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; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint Director Midlothian Health and Social Care Partnership); Head of Primary Care and Older People's</p>	<p>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</p> <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. <p>The MTFs replaces the change programme. 4. Health and Social Care transformation board monitoring the 12 transformation strands on a monthly basis.</p>	5	4	



		Services; Head of Property and Facilities Management; Director of Resources	5. Council have set a balanced budget for 2019/2020 within which services expected to operate within. Timetable for quarterly financial reports in place.			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.IA.02.02	Bottom up Service Reviews - Phase 1	Q1 19/20: 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 complete. Roads Services due to have initial meeting mid-year. Sport and Leisure review is underway.	Director of Resources	31-Mar-2020	
SRP.RA-02.03	Develop medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	Q1 19/20: The Council approved the first iteration of the medium term Financial Strategy 25 June 2019. BTSG delegated next stage development of the medium term financial strategy to identify measures to address the remaining budget gaps for 2021/2022 22/23 and present further proposal on the 1 October 2019. The financial projections included in the MTFS incorporate key planning assumptions in respect of the majority of risk causes.	Chief Executive	30-Sep-2019	

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</p>	Head of Finance and Integrated Service Support;	<ol style="list-style-type: none"> 1. There is an approved Capital Strategy and Reserve Strategy in place 2. There is an approved budget for 2019/20 3. There are arrangements in place to monitor financial performance including quarterly reporting to Council and 6 weekly reporting to BTB through the change dashboards 4. First iteration of the Medium Term Financial Strategy approved at June Council. The budget projections included in the MTFS incorporate the risk causes identified. 5. Working through COSLA to influence government spending decisions to influence Scottish Government's budget allocation to Councils. 6. Monitoring the oversight of the Change Programme through the Change Programme Dashboard prepared by each Head of Service 	3	4	


	or requiring short term service reductions which impact on the Council's ability to deliver against its priorities.		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. 7. Capital Plan and Asset Management Board will scrutinise and challenge slippage on capital programmes recognising that slippage can have an adverse impact on financial sustainability and also the delivery on assets required to support capital growth.			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA-02.03	Develop medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	Q1 19/20: The Council approved the first iteration of the medium term Financial Strategy 25 June 2019. BTSG delegated next stage development of the medium term financial strategy to identify measures to address the remaining budget gaps for 2021/2022 22/23 and present further proposal on the 1 October 2019. The financial projections included in the MTFS incorporate key planning assumptions in respect of the majority of risk causes.	Chief Executive	30-Sep-2019	
SRP.RA-02.05	Review of the Learning Estate Strategy (LES) and refresh of the capital strategy to reflect the updated LES	Q1 19/20: Update reported 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 Update of the capital strategy to be presented to Council later in the year, which will include the updated learning estate strategy.	Head of Education, Head of Property and Facilities Management, Head of Finance and Integrated Service Support	31-Dec-2019	

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	<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 Potential Economic shock arising from UK departure from EU 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 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; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint Director Midlothian Health and Social Care Partnership); 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. Development of Medium Term Financial Strategy. 2. Maintaining a level of reserves to deal with unforeseen or one off cost pressures. 3. Capital and Reserves Strategies in place. 4. Working through COSLA to influence government spending decisions to influence Scottish Government's budget allocation to Councils. 5. Implement a lobbying strategy with government to recognise the unique position Midlothian Council is in. 6. Best Value Audit report actions. 	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA-02.03	Develop medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	Q1 19/20:	Chief Executive	30-Sep-2019	


		The Council approved the first iteration of the medium term Financial Strategy 25 June 2019. BTSG delegated next stage development of the medium term financial strategy to identify measures to address the remaining budget gaps for 2021/2022 22/23 and present further proposal on the 1 October 2019. The financial projections included in the MTFS incorporate key planning assumptions in respect of the majority of risk causes.			
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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 MTFS that doesn't address the projected budget shortfall or contextual factors relating to the Midlothian area Reduced resources Leadership fit for the future Lack of clarity or clear compelling vision for the future Delay or shortfall in securing savings Lack of or not securing transformational change in service provision</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 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; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint Director Midlothian Health and Social Care Partnership); 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. Financial Strategy and Change Programme 2. Leadership from all elected members, Executive Team and Senior Leadership Group. 3. Appropriated governance in place across the Change Programme. 4. Links between Change Programme and Workforce Plans 5. Resilience planning. 6. Senior Leadership Group regularly considering Change Programme and budget position. 7. Capacity to deliver change. 	4	4	



Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.IA.02.04	Revenue Service Review	Q1 19/20: 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-2020	
SRP.RA-02.03	Develop medium Term Financial Strategy with greater oversight, clearer responsibility and accountability.	Q1 19/20: The Council approved the first iteration of the medium term Financial Strategy 25 June 2019. BMSG delegated next stage development of the medium term financial strategy to identify measures to address the remaining budget gaps for 2021/2022 22/23 and present further proposal on the 1 October 2019. The financial projections included in the MTFs incorporate key planning assumptions in respect of the majority of risk causes.	Chief Executive	30-Sep-2019	
SRP.RA-02.05	Review of the Learning Estate Strategy (LES) and refresh of the capital strategy to reflect the updated LES	Q1 19/20: Update reported 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 Update of the capital strategy to be presented to Council later in the year, which will include the updated learning estate strategy.	Head of Education, Head of Property and Facilities Management, Head of Finance and Integrated Service Support	31-Dec-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; Chief Executive; Head of Finance and Integrated Service Support;	<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. 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. 	3	3	

		A.Short (Joint Director Midlothian Health and Social Care Partnership); Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.03.01	Legal & Regulatory Compliance	Q1 19/20: 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; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint Director Midlothian Health and Social Care Partnership); Head of Primary	31-Mar-2020	

			Care and Older People's Services; Head of Property and Facilities Management; Director of Resources		
SRP.RA.03.03	Demographic Growth	Q1 19/20: The Council has updated its Learning Estate Strategy (LES) with an interim report presented to Council on 7 May which set out the affordability challenge of delivering the required infrastructure. The projects which go forward from the LES will be reflected in the next iteration of the Capital Strategy	Head of Education, Head of Property and Facilities Management, Head of Finance and Integrated Service Support	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	Q1 19/20: Update reported 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 Update of the capital strategy to be presented to Council later in the year, which will include the updated learning estate strategy.	Head of Education, Head of Property and Facilities Management, Head of Finance and Integrated Service Support	31-Dec-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</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	<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.</p>	3	4	

<p>Employee productivity rate below the required level because of ineffective use of the People Policies particularly Maximising Attendance</p> <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>of Education; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint Director Midlothian Health and Social Care Partnership); Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources</p>	<p>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> <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.02.03	Workforce Strategy	Q1 19/20: Continuing on with the delivery of the workforce strategy actions. 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.	Head of Adult and Social Care; Head of Children's Services; Head	31-Oct-2019	


			of Commercial Operations; Head of Customer and Housing; Director of Education Communities and Economy; Head of Education; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint Director Midlothian Health and Social Care Partnership); Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources		
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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>	Head of Adult and Social Care; Head of Children's Services; Head of Commercial	<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. 	3	5	


	<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 which ever is greater.</p>	<p>Operations; Head of Customer and Housing; Director of Education Communities and Economy; Head of Education; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint Director Midlothian Health and Social Care Partnership); Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources</p>	<p>6. Public sector cyber security compliance 7. Implementing Scottish Government Cyber Security Action Plan</p>			
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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>	<p>Head of Adult and Social Care; A.Short (Joint Director Midlothian Health and Social Care Partnership); Head of Primary Care and Older People's Services;</p>	<p>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</p>	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 Property and Facilities Management; Director of Resources, Head of Finance and Integrated Service Support;	<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 	3	3	


Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.03.03	Demographic Growth	Q1 19/20: The Council has updated its Learning Estate Strategy (LES) with an interim report presented to Council on 7 May which set out the affordability challenge of delivering the required infrastructure. The projects which go forward from the LES will be reflected in the next iteration of the Capital Strategy	Head of Education, Head of Property and Facilities Management, Head of Finance and Integrated Service Support	31-Jul-2020	

SRP.RA.08.0 2	Plan for appropriate investment in capital works and remedial maintenance over the lifespan of each property asset.	Q1 18/19: 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, on-going through quarter 2. Continuing to develop property asset management plans, priority spend on basis of independent surveys.	Head of Property and Facilities Management	31-Dec-2019	
SRP.RA.08.0 4	Reviewed Roads Asset Management Strategy	Q1 19/20: 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.	Director of Resources	31-Dec-2019	


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>	Director of Resources, Service Manager - Waste Risk and Resilience	<p><u>Potential</u> sub risks include:- 01 – Civil Contingencies Risk Register used to highlight key risks and record response, - Council's plans developed and maintained in response to identified risks, - 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 in-line with key partner organisations. 04 – As part of the Council's Emergency response plan the importance of recording decisions made and information available at the time is highlighted as this would be scrutinised in the event of an FAI.</p>	3	4	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.09.0 2	Development of Emergency Planning Improvement Plan	Q1 19/20: Contingency Improvement Plan drafted and due to be shared with newly formed Risk and Resilience 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.	Service Manager -Waste Risk and Resilience	31-Mar-2020	

SRP.RA.09.0 3	Rest Centre Provision	Q1 19/20: Rest Centre Management arrangements reported to CMT, Head of Adult and Social Care has led on the recruitment of 7 new Rest Centre Managers to address on-going response capability as part of the 'Care for People' work stream.	Head of Adult and Social Care	31-Oct-2019	
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SRP.RR.10 Governance and Standards in Public Life


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.10	<p>Risk cause Code of conduct for Members and employees actions falling short of International Standards.</p> <p>Risk event Failure in openness, accountability, clarity.</p> <p>Risk effect Service, partnerships and project outcomes not achieved Non-compliance with conduct standards and reduction in standards in public life</p>	Legal Services Manager	<p><u>Potential</u> sub risks include:- 01 Macro governance at the top – failure in openness, accountability, clarity; 02 Micro governance in services, partnerships and projects and outcomes not achieved 03 Non-compliance with codes of conduct and reduction in standards in public life 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</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	<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 	2	3	


	Policies not align to strategic priorities will inhibit the rather than support implementation of strategic priorities.	of Education; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint Director Midlothian Health and Social Care Partnership); Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources				
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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>	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; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint	<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. E-learning for staff to complete mandatory training for fraud awareness. 	3	3	


	Increased opportunity for fraud or financial loss has direct impact on management information. Has adverse effect on service performance	Director Midlothian Health and Social Care Partnership); Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources				
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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
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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 have set up an Abuse Inquiry Project Team to support the Council to prepare for information requests to support the Inquiry. In addition we have a Claims Project Team who have mapped out how we shall manage any future claims reported against the Local Authority.</p> <p>The Inquiry Team have established a Project Plan covering:</p> <ol style="list-style-type: none"> 1. Residential establishments, List D Schools and Foster Carers: identifying Children's homes, Foster Carers and any List D Schools in Midlothian over the last 100 years and researching historic records. 2. Record Audit: reviewing the Council's existing paper and electronic recordkeeping systems to identify relevant records and map them to residential establishments. This also includes, where possible, noting the Council's historic recordkeeping policies, such as retention schedules. 3. Cataloguing/Indexing: checking and updating existing recordkeeping systems for accuracy and consistency, enabling effective information retrieval when requested by the Inquiry. <p>The Project Team have established a Project Plan covering:</p> <ol style="list-style-type: none"> 4. Ascertaining the succession and insurance position in relation to potential historic child abuse claims. 5. Ascertaining and agreeing Midlothian Council's legal position/ approach in dealing with the potential historic child abuse claims. 6. Identifying the need for guidance, protocol, templates etc should/if any claims be made against the council. 7. Consideration to identifying if additional staffing will be required as expected deluge of FOI's SAR's in 2018 from solicitors of potential claimants. 	5	4	
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.14.0 1	Implementation of Project Plan	Q1 19/20: A project team has been established. Project Plan has identified actions which are being progressed. Monthly meetings to progress project plan.	Head of Children's Services;	31-Mar-2020	

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	<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)</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 December 2018 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>SOLAR and COSLA have been in discussion with CELCIS who undertook consultation and engagement with victims/survivors of abuse. The outcome of which has resulted in a recommendation being made to Scottish Government to commit to establishing a financial compensation/redress schemes for victims/survivors. Whilst the implementation of such a scheme may still be some way off, this may mitigate some of the financial risks that the Local Authority was potentially facing.</p>	4	5	

Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.14.2-3	Assess need to make financial provision	Q1 19/20: Assess the ongoing financial impact of compensation/redress. Compensation/redress scheme has been developed and the funding of claims is understood an assessment on the potential financial impact should be carried out, supported by the Council's finance team.	Head of Children's Services;	31-Mar-2020	


SRP.RR.16 Growing Council


Risk Code	Risk Identification	Managed by	Risk Control Measures	Likelihood	Impact	Risk Evaluation
SRP.RR.16	Risk cause Population growth in Midlothian over the next 10 - 15 years will see Midlothian become the fastest growing Council in	Head of Adult and Social Care; Head of	1. Local development plan and supplementary guidance on developer contributions.	3	4	

	<p>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.</p>	<p>Children's Services; Head of Commercial Operations; Head of Customer and Housing; Director of Education Communities and Economy; Head of Education; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint Director Midlothian Health and Social Care Partnership); Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources</p>	<p>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 7. Joint needs assessment used to develop - IJB Strategic Plan 8. Capital Plan and Asset Management Board will scrutinise and challenge slippage on capital programmes recognising that slippage can have an adverse impact on financial sustainability and also the delivery on assets required to support capital growth. 9. City deal provides the opportunity to support inclusive growth.</p>			
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Related Action Code	Related Action	Related action latest note	Managed By	Due Date	Status
SRP.RA.03.03	Demographic Growth	Q1 19/20: The Council has updated its Learning Estate Strategy (LES) with an interim report presented to Council on 7 May which set out the affordability challenge of delivering the required infrastructure. The projects which go forward from the LES will be reflected in the next iteration of the Capital Strategy	Head of Education, Head of Property and Facilities Management, Head of Finance and Integrated Service Support	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 final terms of the UK's departure are finalised. There are some direct potential impacts such as an end to EU funding of Council co-ordinated projects and indirect impacts on industries undertaken within the geographical area which have relied on EU funding, such as agriculture. There are wider potential implications arising from uncertainty regarding the resident status of EU nationals, post any exit agreement, and the availability of workers from outside the UK accessing the job market here in the future. These factors have the potential to impact on the availability of the right people with the right skills being available to help grow the economy here in Midlothian. One area this could affect the Council could be in the delivery of future building projects within Midlothian which could curtail further economic growth.</p>	<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; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint Director Midlothian Health and Social Care Partnership); Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources</p>	<p>01 – EU Exit Working Group 02 – Taking a risk management approach to identifying and assessing anticipated impacts 03 – Working with a range of national and local bodies to inform preparatory arrangements. 04 – EU Settlement scheme promoted on Council Internet to support those living and working in Midlothian to access the Home Office scheme.</p>	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	Q1 19/20: The Council continues to monitor this developing situation and prepare accordingly. The Council will work with key strategic partners in preparing for the potential impacts associated with exiting the EU with or without a negotiated deal.	Head of Adult and Social Care; Head of Children's Services; Head of Commercial Operations; Head	31-Oct-2019	


			of Customer and Housing; Director of Education Communities and Economy; Head of Education; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint Director Midlothian Health and Social Care Partnership); Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources		
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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 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.</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; Chief Executive; Head of Finance and Integrated Service Support;	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 04 – Comprehensive training programme in place to support those with responsibility for managing health and safety.	3	5	

	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.	A.Short (Joint Director Midlothian Health and Social Care Partnership); Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources				
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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 staffing and/or financial support to build new schools</p>	Head of Education; Head of Property and Facilities Management;	<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	Q1 19/20: The Council has updated its Learning Estate Strategy (LES) with an interim report presented to Council on 7 May which set out the affordability	Head of Education, Head	31-Jul-2020	

		challenge of delivering the required infrastructure. The projects which go forward from the LES will be reflected in the next iteration of the Capital Strategy	of Property and Facilities Management, Head of Finance and Integrated Service Support		
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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 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; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint Director Midlothian Health and Social Care Partnership); 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. Implementation of the Scottish Government Cyber Resiliency Public Sector Action Plan 2. Cyber Essentials Plus Certification 3. Public Sector Network Certification 4. Appropriate technical and organisational measures deployed to reduce the likelihood and impact of an attack 5. Employing an Information Governance and Security Lead 6. Implementing Scottish Government Cyber Security Action Plan 	3	5	

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, 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.A 1	A702 Trunk Road Improvements	Q1 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>	<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; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint Director Midlothian Health and Social Care Partnership); Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources</p>	<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 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; Chief Executive; Head of Finance and Integrated Service Support; A.Short (Joint Director Midlothian Health and Social Care Partnership); Head of Primary Care and Older People's Services; Head of Property and Facilities Management; Director of Resources	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.07.01	Research and development	Q1 19/20: 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	