

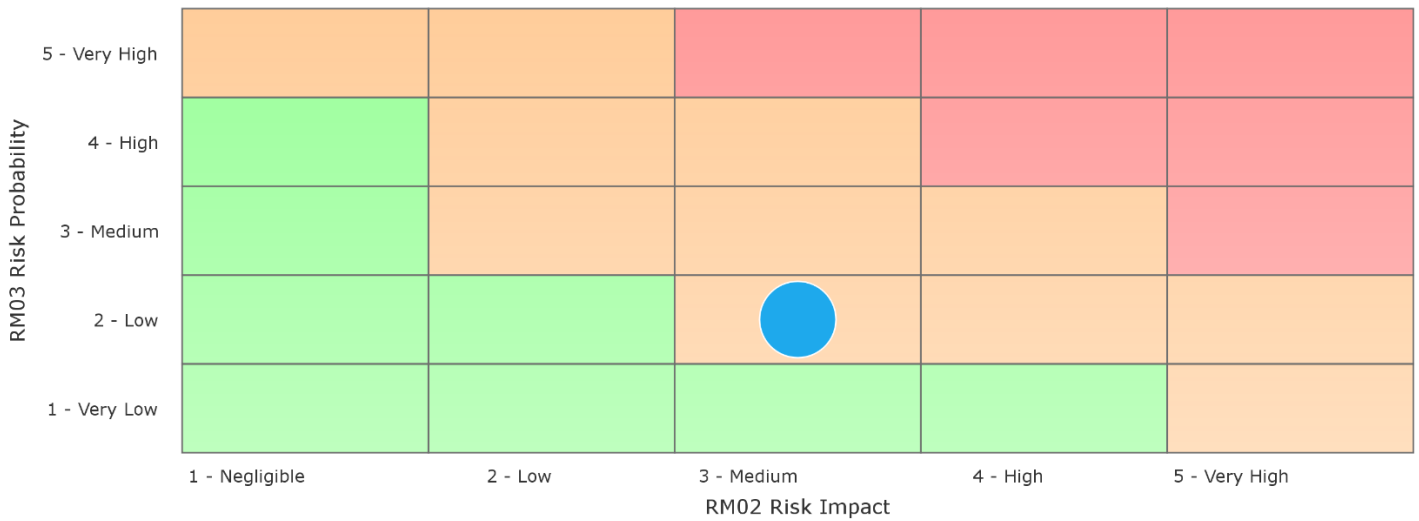


NCC Corporate Risk Register

2018/19 Quarter 4 Update

Legislative Requirements

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|---------------------|---|
| Responsible Officer | Chief Executive |
| Lead Cabinet Member | Leader of the Council The Deputy Leader and Cabinet Member for Assets and Member Development |



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|--|------------------|--|-------------|----------|----------|----------|----------|
| Mar 2019 | | Risk 01 - Assessment Date & Score | | | | | |
| Risk - Direction of Risk | Direction | Series | | | | | |
| The risk score has decreased in the last quarter mainly as a result of the work being undertaken in relation to the Council's Well-being activities. As part of the Council's review of the risk register we will be re-examining this risk and the actions. | ↓ ✓ | Risk Score | Risk Rating | | | | |
| | | > RM01 Risk Rating | Risk Score | Jun 2018 | Sep 2018 | Dec 2018 | Mar 2019 |
| | | | Risk Rating | ● | ● | ● | ● |

| Mar 2019 | | Planned Mitigation | Risk - Action Status/Control Strategy |
|-------------------------------------|------------|---|--|
| <input checked="" type="checkbox"/> | Risk 01.02 | Welsh Language Act: Action plans in place and being monitored. This has shown significant progress. | Welsh Language action plans are monitored and used to monitor progress, which will also form part of the annual report. A 'mystery shopper' exercise is taking place and this will test the provision in place and highlight areas for future development. |
| <input checked="" type="checkbox"/> | Risk 01.03 | Welsh Language Act: Progress includes increasing awareness of the Welsh Language Standards across the authority. Leaflets, posters, desk prompts and video available. | The authority has continued to promote awareness of Welsh Language Standards including guidance on the intranet and staff notice boards. Over the coming year, we will be looking to refresh this material to ensure we keep momentum in regards to Welsh Language Standards moving forward, the annual report will also reflect on this. |
| <input checked="" type="checkbox"/> | Risk 01.04 | Welsh Language Act: Partnership arrangements with another Council now in place and budget allocated, additional resources now available to support service areas and work such as website development now underway. | The annual budget for welsh language and equalities funds posts within the corporate team to support the development of welsh language provision, including meeting welsh language standards as part of our overall equalities provision. There is a service level agreement in place with Cardiff Council and this can be used by officers across the Authority to provide translation services on request. This will mean more cost effective provision. Advice and guidance continues to be provided to services, and where complaints or issues are raised these are investigated for lessons learned. |
| <input checked="" type="checkbox"/> | Risk 01.05 | Welsh Language Act: 5 year strategy developed through consultation. | The 5 Year Welsh Language Strategy is published and the Authority has demonstrated good progress in delivering on many of the actions established within. This has included work with education and the update of promotional materials through the 'Benefits of Bilingualism' campaign. Progress will be further reported in the annual Welsh Language Report which is being compiled currently. |
| <input checked="" type="checkbox"/> | Risk 01.06 | Future Generations Act: Cabinet reports updating members on progress and approach. Awareness raising sessions with officers and members completed and work with consultants to develop organisational readiness for the Act underway. | Work on the mid year service plan reviews has reinforced the five ways of working. as have reviews by Wales Audit Office particularly around corporate plan progress. The most recent of these is being reported to Cabinet May 2019. The next WAO review is now being scoped. Annual reports will also provide an opportunity to take stock of progress in the next quarter. |
| <input checked="" type="checkbox"/> | Risk 01.07 | Future Generations Act: Formal report, service plan and business case templates updated to ensure the principles of the Act are reflected in all decision making. | All report templates, service plans and business case templates now reflect the principles of the Act. The service planning process has reinforced this, although this work needs to continue to evolve. WAO feedback on the use of the five ways of working will support this and can be used to develop work further. Head of People and Business Change comments on formal reports also provide assurance that the five ways of working of the WFG Act are considered in decisions. Work ongoing and may mean this risk is closed at year end. |

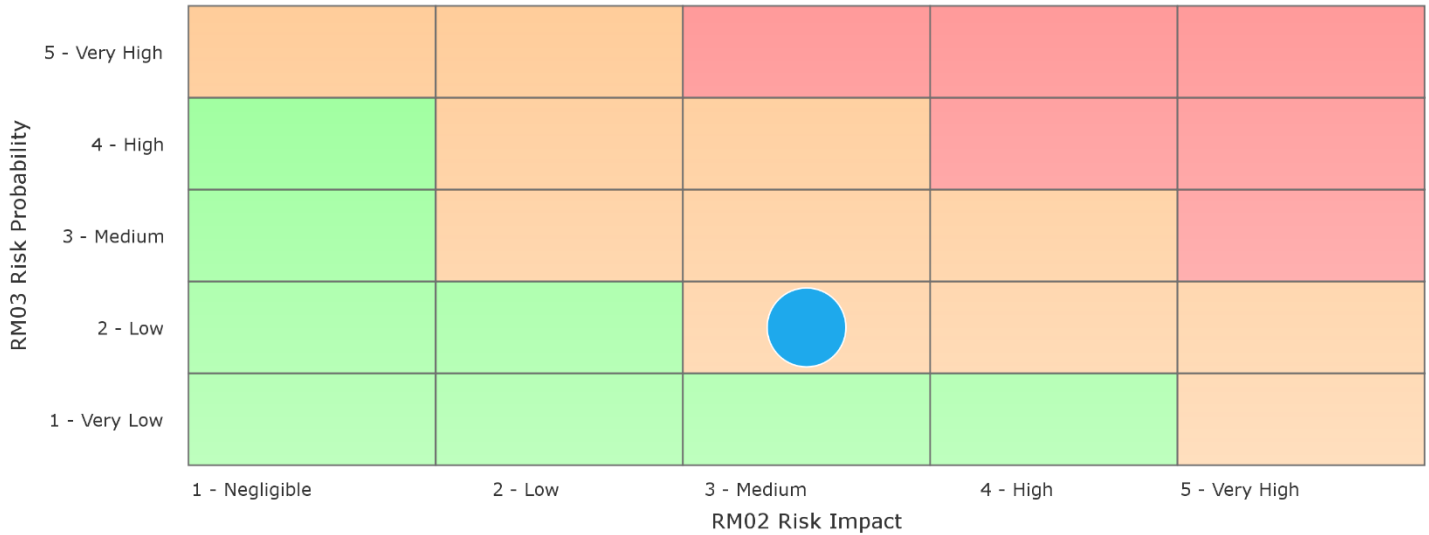
Legislative Requirements

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|---------------------|--|
| Responsible Officer | Chief Executive |
| Lead Cabinet Member | Leader of the Council The Deputy Leader and Cabinet Member for Assets and Member Development |

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| <input checked="" type="checkbox"/> Risk 01.08 | Future Generations Act: Public Services Board established with agreed Terms of Reference, formal meetings are held at least quarterly. | Formal PSB meetings take place on a quarterly basis, focus currently on delivery of the Well-being Plan. First year progress will be published in the next quarter demonstrating progress, also reported to Scrutiny. Representatives from all sectors are involved in delivery of the plan although formal performance reporting has not yet commenced for some interventions. Newport's PSB is wider than the statutory participants and is providing an effective partnership forum for issues that impact across the city. Processes in place which may mean that this risk is closed at year end, |
| <input checked="" type="checkbox"/> Risk 01.09 | Future Generations Act: Draft Wellbeing Assessment in place in conjunction with the assessment required for the Social Services Act. Work being undertaken on a Gwent basis to inform the Wellbeing Assessment and Plan - funding secured from Welsh Government to support this work. | Wellbeing assessment published and will be reviewed this year, work has commenced on updating the population data. Work programme reported to PSB, behind schedule owing to resource commitments. Development work with colleagues across the Gwent local authorities through the Gwent Strategic Well-being Assessment Group (GSWAG) officer group which now reports to the 'G10' leadership group. |
| <input checked="" type="checkbox"/> Risk 01.10 | Future Generations Act: Development of wellbeing objectives finalised, and aligned with performance reporting. | The second annual report is now being drafted for Cabinet. This work will develop with service planning and work by WAO to review this area, as reported above. |
| <input checked="" type="checkbox"/> Risk 01.11 | Waste Management Legislation/targets: We commenced new contract last week with trade waste diverted for sorting to GD Environmental Services. Dates this financial year run from August 9th 2017 through to March 31st 2018 to divert approx. 2500 tonnes this year. | Still awaiting final performance figures for 18/19 but provisional data shows the recycling target has been met - confirming mitigation activities (sorting of waste, increased wood/rubble recycling etc.) have been effective. Also, main activities linked to the new waste strategy were approved by CM report on 28/12/18, including the implementation of household residual waste restrictions during 19/20 to increase recycling. Following this, during Q3 18/19 plans have been put in place so the roll out of smaller bins could start from 01/04/19. This has ensured NCC is well placed to meet the recycling targets in 19/20. |
| <input checked="" type="checkbox"/> Risk 01.12 | General Data Protection Requirement (GDPR): The Council is ensuring compliance through the Information Governance Group and a cross-organisation Task and Finish Group, making recommendations and changes as required. | The council's Information Governance Group provides the strategic management around data protection and the council's progress with General Data Protection Regulation (GDPR) supported by the important role of the council's Data Protection Group. Good progress has been made with a more formal and structured action plan around GDPR, especially around the processing of Subject Access Requests that are requests for personal data. |
| <input checked="" type="checkbox"/> Strategic Equalities Group - Welsh Language Act | Welsh Language Act: Strategic Equalities Group monitors implementation supported by Welsh Language Group. | To reflect the significance of the Equalities Agenda the Strategic Equalities Group (SEG) now meets every other month, engaging with different Equalities Objective in each meeting. The group continues to be chaired by Deputy Leader who has responsibility for the equalities agenda. The group has ongoing representation from Trade Unions, Senior Management, and members. The Welsh Language Implementation Group continues as the internal working group charged with the responsibility of delivering and implementing the Welsh Language Standards across the authority. The group is facilitated by the authority's Welsh Language Officer with support from senior management. |

RISK 02 - Capacity and Capability to Meet the Council's Objectives

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| Responsible Officer | Chief Executive |
| Lead Cabinet Member | Cabinet Member for Community and Resources |



Risk 02 - Assessment Date & Score

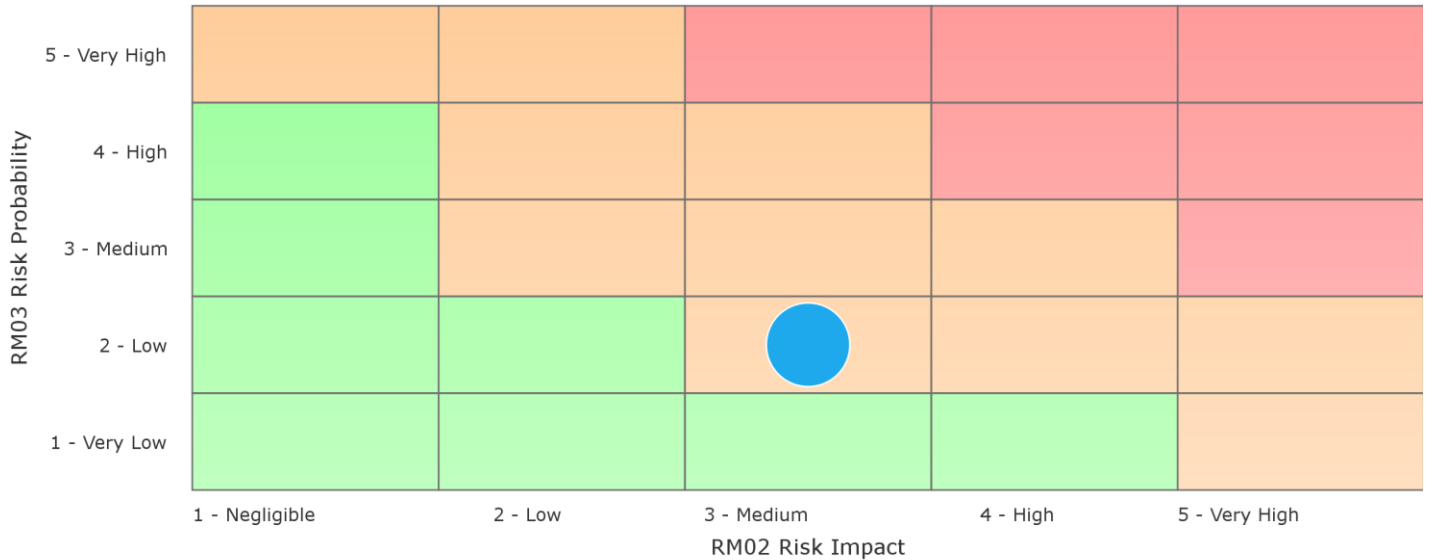
Series

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|---------------------------------|------------------|--------------------|-------------|-----------------|-----------------|
| Mar 2019 | | | | | |
| | | Risk Score | Risk Rating | | |
| Risk - Direction of Risk | Direction | | | Jun 2018 | Sep 2018 |
| No Change for this period. | ➔ | > RM01 Risk Rating | Risk Score | 9 | 9 |
| | | | Risk Rating | ● | ● |

| Mar 2019 | | |
|--|---|---|
| | Planned Mitigation | Risk - Action Status/Control Strategy |
| <input checked="" type="checkbox"/> Risk 02.01 | People and Business Change will pilot career pathway planning in Autumn 2017 to role model to other service areas. | Still in progress. |
| <input checked="" type="checkbox"/> Risk 02.02 | Pilot taking place in Education Services for the roll out of greater NVQ/ILM opportunities for those in the workplace wanting to enhance current skill level. Intention to offer to wider workforce in 2017 linked to workforce planning for each service area. | Education pilot completed. Continue to offer variety of NVQ/ILM opportunities across the Council and this has become more embedded as an option for the workforce to take advantage of for their personal development. |
| <input checked="" type="checkbox"/> Risk 02.03 | Mandatory training will be identified for each post and linked to job descriptions to set out the expectation of ability, skill and experience at the point of recruitment and to form a development path throughout induction, probation and longer term. | Still in progress. |
| <input checked="" type="checkbox"/> Risk 02.04 | Additional Investment in Project Management and business change resources. | Senior Leadership Team considering approaches to additional resource requirements as part of the corporate plan delivery. Programme Managers currently finalising a new 'offer' for innovation and change. |
| <input checked="" type="checkbox"/> Risk 02.05 | Coaching, shadowing and mentoring opportunities delivered as part of the change programme. | Two cohorts of ILM Level 5 coaches and mentors will be concluding by Summer 2019. The coaching and mentoring network has been launched and is now available for employees to self identify a coaching need, or managers to identify employees who could benefit from coaching or mentoring. |
| <input checked="" type="checkbox"/> Risk 02.06 | Specific business support and training provided for business change, project and program management, continuous change and specific tools including business case development and project management. | Still in progress as aprt of wider innovation and change agenda |
| <input checked="" type="checkbox"/> Risk 02.07 | People service plan to heavily focus on workforce planning and OD for next 12 months. | Workforce planning training took place in February 2019. HR Business Partners now collaborating on template setting and self assessment of individual service areas. |

RISK 03 - Safeguarding

Responsible Officer: Strategic Director - People
 Lead Cabinet Member: Cabinet Member for Social Services

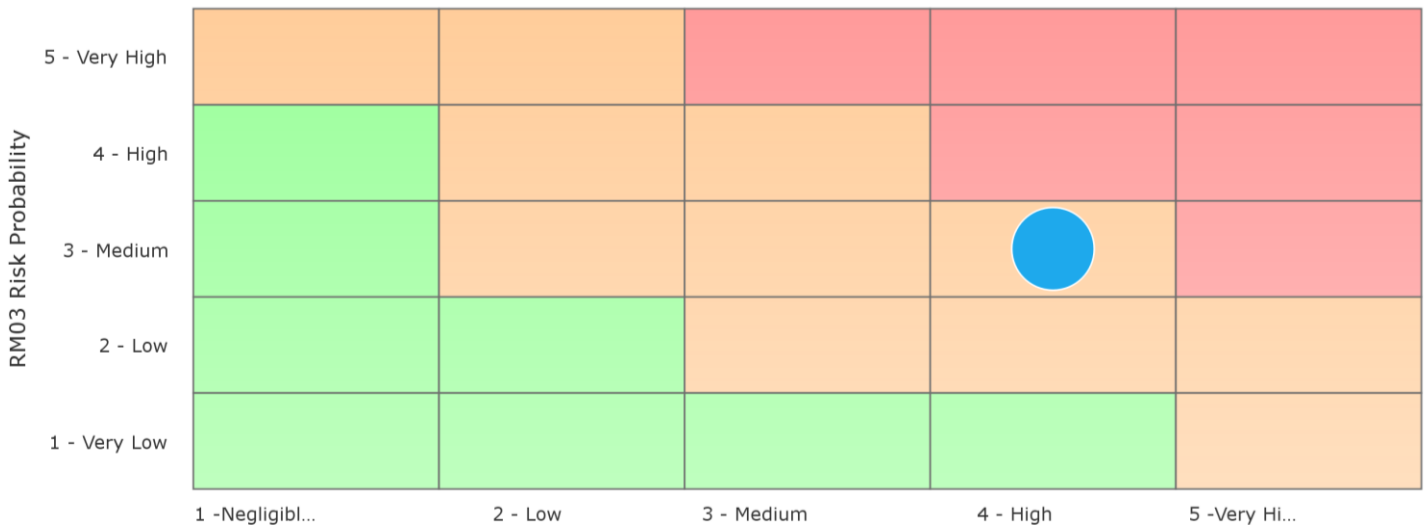


| Mar 2019 | | Risk 03 - Assessment Date & Score | | | | | |
|--|-----------|-----------------------------------|-------------|----------|----------|----------|----------|
| Risk - Direction of Risk | Direction | Series | | Jun 2018 | Sep 2018 | Dec 2018 | Mar 2019 |
| In the last quarter there has not been any significant changes to the actions being taken and therefore the risk score for Quarter 4 remains at 6. | → | Risk Score | Risk Rating | | | | |
| | | > RM01 Risk Rating | Risk Score | 8 | 8 | 6 | 6 |
| | | | Risk Rating | ● | ● | ● | ● |

| Mar 2019 | | Risk - Action Status/Control Strategy | |
|--|---|--|--|
| | Planned Mitigation | | |
| <input checked="" type="checkbox"/> Risk 03.03 | Raising awareness of policies and procedures with staff. | Safeguarding Champions launched across the Council, second meeting planned in July 2019. Direction for all council staff to be aware of the safeguarding pages on the intranet and wider safeguarding information available through Gwent safeguarding website. Relaunch of safeguarding is everybodys business over the summer of 2019 will embed across service areas. | |
| <input checked="" type="checkbox"/> Risk 03.04 | Partnership working. | The safeguarding HUB operational for the last 12 months in the Civic centre, continues to build strong links with partners and evolve as a HUB to include additional partners from early intervention and prevention services closer together, in order that all referral's for children have clear outcomes and picked up early to prevent safeguarding issues in the future. | |
| <input checked="" type="checkbox"/> Risk 03.05 | Establishment of Safeguarding Champions across the service areas. | Safeguarding Champions launched sucessfully in 2019, next meeting in July 2019. List of key personnel to be available within each service area and on the intranet for staff communication. This will be reviewed at each safeguarding champion meeting to ensure accuracey. | |
| <input checked="" type="checkbox"/> Risk 03.06 | Review Schools DBS procedure. | Work with HR completed and a scoping paper to be presented to Education with advise for a way forward to ensure education can be safeguarded within the legislation available. | |
| <input checked="" type="checkbox"/> Risk 03.07 | Safeguarding Training to be provided to Council Members and staff | List of safeguarding titles with the Leaders office for ratification and approval for timetabling for Members. Members all invited to the safeguarding Network practitioner events twice a year. | |

RISK 04 - Decision to leave the European Union (Brexit)

Responsible Officer: Chief Executive
Lead Cabinet Member: Leader of the Council



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| Mar 2019 | |
| Risk - Direction of Risk | Direction |
| The likelihood of the risk has been reduced and the overall risk score is now 12 as a result of the decision for the the UK to leave the EU was postponed until October 2019 and the impact of a No Deal Brexit at the end of March 2019 has been alivated for the time being. The Council will continue to closely monitor the situation and react accordingly. | ↓ |

| Risk 04 - Assessment Date & Score | | | | | | |
|-----------------------------------|------------------|----------|-------------|----------|----------|----|
| Series | | Actual | Risk Rating | | | |
| | | Jun 2018 | Sep 2018 | Dec 2018 | Mar 2019 | |
| > | RM01 Risk Rating | Actual | 9 | 9 | 16 | 12 |
| | Risk Rating | | ● | ● | ▲ | ● |

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|--|--|--|
| | Mar 2019 | |
| | Planned Mitigation | Risk - Action Status/Control Strategy |
| <input checked="" type="checkbox"/> Risk 04.01 | <p>Finance / Supplies & Services – The Council will closely monitor its financial position as part of its annual budget setting process and Medium Term Financial Planning. For Council activities and services which are EU funded there is ongoing discussions with the Welsh Government to put in arrangements after 2021.</p> <p>The Council will be liaising with its strategic partners (Newport Norse / SRS / Newport Live) to assess the impact on its supplies and services. Also across the Council, service areas are being asked to identify their high risk / key contracts and to obtain the necessary assurances of any Brexit impact which could affect the availability and cost of supplies or services.</p> | <p>The Brexit Task and Finish Group has been monitoring closely the financial position of the Council with representatives from Finance and Procurement also in attendance at the meetings. In the short term, there are not any significant issues or pressures in relation to the Council's financial position and supplies and services. Whilst the national picture remains uncertain about the direction which the country will take in relation to Brexit, the overall longer term picture still remains uncertain at this stage and the Council's finance team will continue to monitor the situation as are the Council's social and education services.</p> |
| <input checked="" type="checkbox"/> Risk 04.02 | <p>Regulation / Legislation – The Council's Regulatory Services (Trading Standards and Licensing) will receive advice and guidance from the Home Office and work closely with Association of British Ports (ABP) to manage any impact on the service.</p> | <p>As the Brexit deadline date has been pushed back to October 2019 and the central government, for the time being, are not likely to have a No Deal Brexit the overall risk has reducaed. In the last quarter, the Council's Regulatory Services team have made arrangements and provided the necessary training to staff whilst the Council's Civil Contingencies team have been working with partners as part of the Gwent Local Resilience Forum to monitor the situation.</p> |
| <input checked="" type="checkbox"/> Risk 04.03 | <p>Governance – The Strategic Director/Place is part of a Brexit group led by the WLGA working with other local authorities and other public sector bodies. Brexit is included as a standard agenda item at the Corporate Management Team (CMT) meeting. A Task & Finish Group has been establish with service area experts to monitor and implement necessary actions in preparation of Brexit. Regular updates will be provided to the Senior Leadership Team (SLT) and Cabinet on the Council's Brexit preparations.</p> | <p>In the last quarter the Council has been monitoring the Brexit situation through the Task and Finish Group, Corporate Management Team (CMT) and through the Local Resilience Forum. In March 2019 we delivered an update to Members on the actions that the Council and the wider Welsh Local Government Association has taken. Since the deadline has been pushed back to October 2019 the Council has scaled back its arrangements but are continuing to hold Task & Finish Groups and monitor the situation with through CMT</p> |

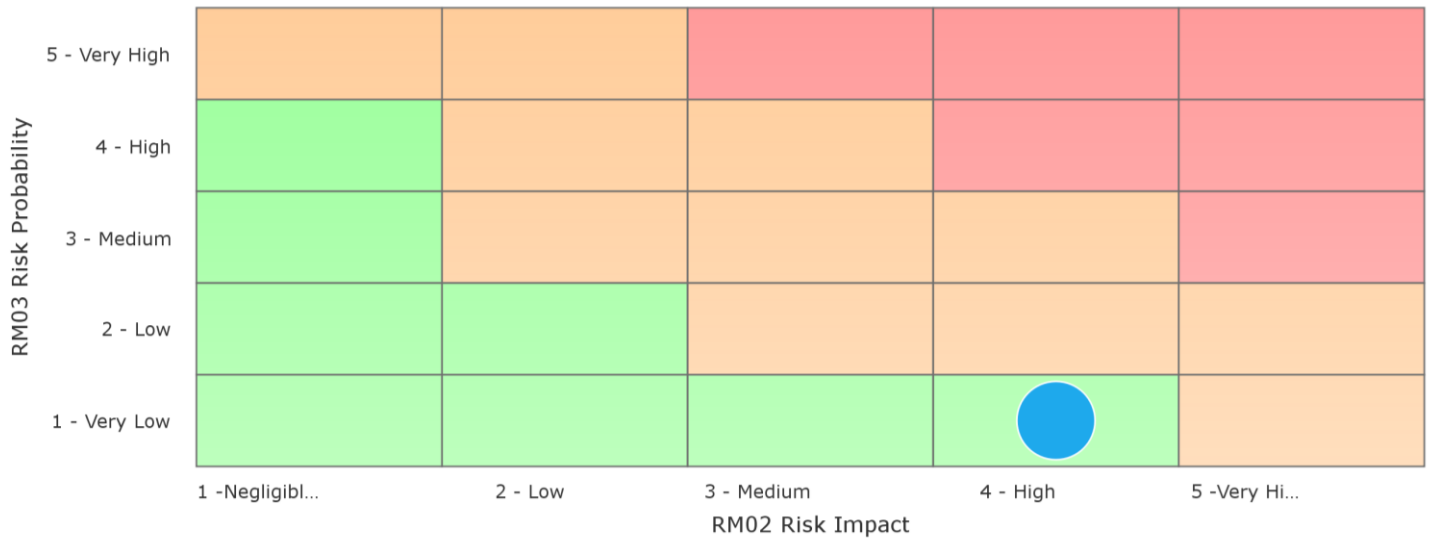
RISK 04 - Decision to leave the European Union (Brexit)

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| Responsible Officer | Chief Executive |
| Lead Cabinet Member | Leader of the Council |

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|---|---|---|
| <input checked="" type="checkbox"/> Risk 4.04 | <p>Human Resources - The Council will need to capture information on the number of existing staff members which are from the EU and ensure necessary arrangements are in place for new starters in the Council. Long term, the Council will monitor and liaise with service areas and partners on the impact of Brexit on resources and skill issues / opportunities as a result of leaving the EU.</p> <p>Guidance and advice will also need to be available to EU staff members on completing any residency applications.</p> | <p>In the last quarter the Council released internal and external communications to staff through the Intranet, Staff Newsletter and the Council website. Staff and members of the public have been provided guidance via the Home Office on how they can apply for settled status and contact Government agencies for advice and guidance.</p> |
| <input checked="" type="checkbox"/> Risk 4.05 | <p>Civil Contingencies - For regular updates to be provided to the Council and Brexit Task & Finish Group on Regional and National wide Brexit preparations. Regular updates from the Gwent Local Resilience Forum which includes local authorities, Police, Fire, Health as well as Welsh Government, WLGA and other strategic group updates will be included as part of this process.</p> | <p>Civil Contingencies and its partners within the Gwent LRF have made Brexit preparations to enable communications on local and national levels. Civil Contingencies are still providing updates to the Task and Finish Group and there will be continuous monitoring up to the next deadline of October 2019.</p> |

Risk 05 - In Year Financial Management

Responsible Officer: Chief Executive
Directors
Heads of Service
Lead Cabinet Member: Leader of the Council



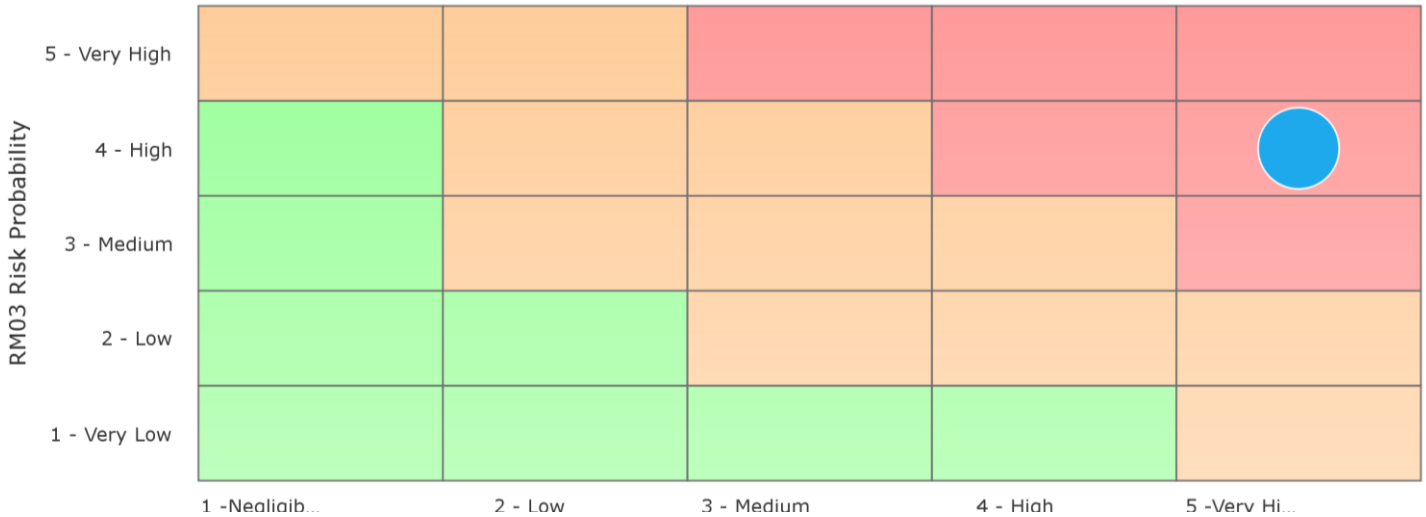
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| Mar 2019 | Risk 05 - Assessment Date & Score | | | | | | |
| Risk - Direction of Risk | Direction | Series | | | | | |
| As year end is now complete, there is an overall underspend across the Council therefore as at the 31st March 2019 the overall risk of in-year overspend is low. However this will need to be reflected in the next update where the risk may increase as a new financial year begins. | ↓ | Actual | Risk Rating | | | | |
| | | | | Jun 2018 | Sep 2018 | Dec 2018 | Mar 2019 |
| | | > RM01 Risk Rating | Actual | 8 | 8 | 8 | 4 |
| | | | Risk Rating | ● | ● | ● | ★ |

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| Mar 2019 | Planned Mitigation | Risk - Action Status/Control Strategy |
| ☑ Risk 05.04 | Heads of Service with their service managers, supported by corporate business partners will plan actions to mitigate and bring down overspends in the future. | Completed |
| ☑ Risk 05.05 | Focus on forward planning to ensure early identification of potential overspending to enable early resolution and incorporate into medium term financial projections, where unavoidable, as appropriate. | In Year demand pressures have been identified for 2019/20 and cash limits have been set accordingly. Business Partners will be working with all service areas to closely monitor and risk manage the high demand areas to prepare for 2019/20. |
| ☑ Risk 05.06 | Ensure medium term planning based on robust information on key cost drivers and risk areas. | As 5.05 we have identified the demand pressures for the Council and will be working closely through risk based support with service areas to plan / forecast models and inform key decisions made in 2019/20. |

Risk 06 - Balancing the Council's Medium Term Budget

Responsible Officer

Chief Executive
Directors
Heads of Service



Risk 06 - Assessment Date & Score

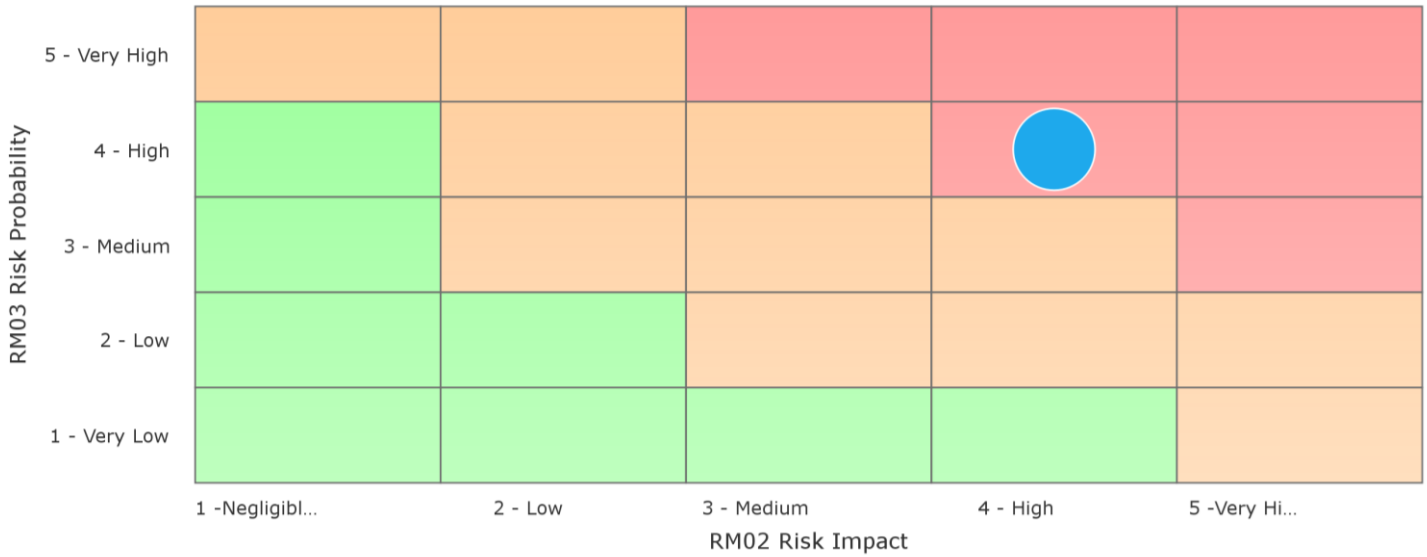
| Mar 2019 | |
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| Risk - Direction of Risk | Direction |
| The risk remains high as, despite setting an overall balanced budget for the financial year 2019/20, there remains a significant budget gap over the medium term. Work is ongoing to identify way in which to reduce this budget gap | → |

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|--------------------|-------------|--------|-------------|----------|----------|----------|----------|
| Series | | Actual | Risk Rating | | | | |
| | | | | Jun 2018 | Sep 2018 | Dec 2018 | Mar 2019 |
| > RM01 Risk Rating | Actual | | | 16 | 20 | 20 | 20 |
| | Risk Rating | | | ▲ | ▲ | ▲ | ▲ |

| Mar 2019 | |
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| Planned Mitigation | Risk - Action Status/Control Strategy |
| <input checked="" type="checkbox"/> Risk 06.01 On-going review and challenge to budget pressures within the MTFP | Going into the next MTFP the model needs to be updated with revised/newly identified pressures. Heads of service will need to work alongside finance colleagues to identify these and ensure robust forecasting and plan mitigation for these pressures. |
| <input checked="" type="checkbox"/> Risk 06.02 Discussions with SLT to review cash-limits for each service areas with view to identify savings and mitigation of pressures | An updated framework for the delivery of savings to reduce the budget gap on the MTFP is being formulated by SLT. This will be updated in future risk updates. |
| <input checked="" type="checkbox"/> Risk 06.03 Project initiated to draw up a medium term change programme by June 2018 latest. | SLT are discussing framework to deliver savings to meet the budget gap, this will be updated on future risk updates. |
| <input checked="" type="checkbox"/> Risk 06.04 4 boards to discuss and draw up strategic projects that will deliver savings over the medium term to mitigate the budget gap. | Boards continue to discuss ways in which savings can be delivered to meet budget gap. These will need to be linked with any framework agreed by SLT. |

Risk 07 - Increased Pressure on Demand Led Services

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| Responsible Officer | Strategic Director - People Strategic Director - Place |
| Lead Cabinet Member | Cabinet Member for Education and Skills Cabinet Member for Regeneration and Housing Cabinet Member for Social Services |



Risk 07 - Assessment Date & Score

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|--|------------------|--------------------|-------------|----------|----------|
| Mar 2019 | Series | | | | |
| Risk - Direction of Risk | Direction | Actual | Risk Rating | | |
| In quarter 4 the risk score remains at 16 as the Council continues to manage the demand on its services within Social Service, Education, Housing and City Services. | → | | | Jun 2018 | Sep 2018 |
| | | | | Dec 2018 | Mar 2019 |
| | | > RM01 Risk Rating | Actual | 16 | 16 |
| | | | Risk Rating | ▲ | ▲ |

Planned mitigation

All 32 selected

| | Mar 2019 Planned Mitigation | Risk - Action Status/Control Strategy |
|--|---|--|
| <input checked="" type="checkbox"/> Risk 07.01 | Education Increasing population putting extra pressure on school places across Newport. One new school (due to open September 2017) and second new school (due to open September 2018). Both established largely through 106 funding. Additional school places have been established across the city through a capacity exercise. Where schools are being re-developed, (e.g. Bryn Derw, Caerleon Lodge Hill) additional places have been included. | POSP continues to operate to consider future provsion. Glan Lyn Primary will open September 2018 as planned. |
| <input checked="" type="checkbox"/> Risk 07.02 | Education Increasing population putting extra pressure on school places across Newport. Three further new build schools are planned through 106 monies funding from 2019 – 2024 (NB: shortfall in funding that will need to be made up by Authority). Forecasts show that there is also a need for expansion on existing school sites, in specific areas of the city, with significant population growth. A Welsh Government 21st Century Band B' schools bid has been made which focusses on Newport's urgent need for additional school places as our key priority. | Collobrative funding from Section 106, NCC and WG will provide a proposed new 3 form English Medium Primary at the Whiteheads site which is due to open in January 2022. This also comes with a proposed new, 2 form Welsh Medium School situated on the current Pillgwenly site. This will support the pupil place challenge within the city. |
| <input checked="" type="checkbox"/> Risk 07.03 | As children with complex needs live longer, the number of children requiring care will increase and the length of care that they require will increase. The number of educational places within the city need to grow in order to provide provision for pupils with complex needs. | The expansion of Maes Ebbw is near completion. |

Risk 07 - Increased Pressure on Demand Led Services

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|---------------------|--|
| Responsible Officer | Strategic Director - People Strategic Director - Place |
| Lead Cabinet Member | Cabinet Member for Education and Skills Cabinet Member for Regeneration and Housing Cabinet Member for Social Services |

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| <input checked="" type="checkbox"/> Risk 07.04 | Growing population of highly vulnerable children: The number of Learning Resources Bases across the city will expand to support increased demand of pupils with Special Educational Needs, allowing them to maintain mainstream school places. | The new 10 place LRB at Lodge Primary has opened. A further 20 place LRB is due to open in Glan Lyn Primary in September 2019. |
| <input checked="" type="checkbox"/> Risk 07.05 | The total cost of Out of County placements continues to grow. Education Services will develop an analysis and forecast of Out of County Placements in order to facilitate a strategic plan of supporting these needs in the most affordable way over the next five years. | Out of County placements have reduced slightly. Local alternative provision is having a positive impact on supporting pupils. A further study is being completed on the most purposeful specialist provision for Newport (which will prevent and reduce Out of County expenditure). |
| <input checked="" type="checkbox"/> Risk 07.06 | MANAGING DEMAND – PREVENTION EARLY INTERVENTION Older Person's Pathway - joint initiative with Health, people identified from GP surgeries and offered a Stay Well Plan that is individualised and focused on maintaining well-being and health. | The Older Persons Pathway continues to operate out of GP's surgeries, identifying those at risk and offering a stay well plan to maintain health and well-being. The project has evidenced positive impacts on diverting the need for additional services and is part of a workstream led by Annuerin Bevan Unitary Health Board (ABUHB) that is developing well being networks across the city |
| <input checked="" type="checkbox"/> Risk 07.07 | MANAGING DEMAND – PREVENTION EARLY INTERVENTION Reconfiguring a number of service pathways including Frailty & Reablement to reduce duplication, streamline provision, facilitate hospital discharge and provide services focused on maintaining independence. | The integration of reablement is now complete and offers a time limited intervention upon discharge and to those who may need short term assistance upon first referral to Social Services. The service maximises independence and prevents the need for longer term care and support. The implementation of Home First - a regional joint health and social care initiative to prevent hospital admission is now underway and the impact on demand for hospital beds is being monitored. |
| <input checked="" type="checkbox"/> Risk 07.08 | MANAGING DEMAND – PREVENTION EARLY INTERVENTION Investment in preventative services including 2 Third Sector consortiums offering information, advice and assistance for any Newport citizen. | A review of both Third Sector Consortiums will take place during 2019/20. They have been in operation for over 2 years and whilst they have offered significant benefits to citizens needing to access low level support it is now appropriate to re-visit the service model to establish if they continue to be the most effective and efficient way to meet demand. There is a savings target of £250k against this budget in 19/20 that will need to be factored in to any new commissioning arrangements |
| <input checked="" type="checkbox"/> Risk 07.09 | MANAGING DEMAND – PREVENTION EARLY INTERVENTION Utilisation of ICF for Community Connectors offering community based assistance to people who require support to access low level services | The Community Connectors continue to be resourced by the Intermediate Care Fund. Regular monitoring information is submitted to ABUHB in line with the funding requirements. The Connector service plays a vital role in managing demand through the delivery of preventative services |
| <input checked="" type="checkbox"/> Risk 07.10 | MARKET MANAGEMENT Domiciliary care and Residential and Nursing provision commissioned robustly. Working closely with providers to ensure services are fit for purpose in terms of quality and capacity. Relationship management ensures flexibility and responsiveness. | The Commissioning Team work closely with providers to ensure quality and cost effectiveness. Relationships are well developed and communication ongoing. The Contracts Officers visit establishments regularly on a cyclical basis and in response to specific issues. |
| <input checked="" type="checkbox"/> Risk 07.11 | MARKET MANAGEMENT Ensuring in house services are cost effective and targeted at community need. | The Supported Living Service has now been reduced from 4 homes to 1. The tenants have been successfully moved on to new independent living arrangements that is more appropriate to their needs. The remaining home will close when an appropriate outcome can be sourced for the remaining tenant. The Extracare service was transferred to Radis on 1 April 2019 as planned. |
| <input checked="" type="checkbox"/> Risk 07.12 | MARKET MANAGEMENT Cost control –negotiating sustainable fees with providers that offer value for money whilst protecting the social care workforce | Fees have been agreed with providers for 19/20 as a result of early planning and communication with providers |
| <input checked="" type="checkbox"/> Risk 07.13 | MARKET MANAGEMENT Engagement with Regional workstreams to address National issues around the purchase of domiciliary and residential care services | NCC continues to engage with Regional work streams around domiciliary and residential care. Specifically, work around the development of a pooled budget and common contracts are in progress and joint monitoring and intelligence exchange with Health and partner Authorities continue to develop. |

Risk 07 - Increased Pressure on Demand Led Services

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|---------------------|--|
| Responsible Officer | Strategic Director - People Strategic Director - Place |
| Lead Cabinet Member | Cabinet Member for Education and Skills Cabinet Member for Regeneration and Housing Cabinet Member for Social Services |

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| <input checked="" type="checkbox"/> Risk 07.14 | MARKET MANAGEMENT Early engagement with Health to maximise CHC funding for people with Health needs. | Ongoing - Where CHC triggers are identified there is an established process to ensure referrals are progressed |
| <input checked="" type="checkbox"/> Risk 07.15 | Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs. • Investment in a consortium model of third sector preventative services to offer a single point of contact for all Newport citizens | There is a £250k saving attached to the Third Sector budget in 2019/20. A review will take place to inform a re-design of preventative services in accordance with new developments around well being networks and community hubs |
| <input checked="" type="checkbox"/> Risk 07.16 | Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs. • Investment in a Third Sector mental health consortium in partnership with Health – offering a single point of contact for citizens in Gwent. | The mental Health consortium is a Regional service mostly funded by Health. The service is being re-tendered during 19/20 solely by ABUHB. The NCC review of preventative services will need to take account of this re-tender and build in any new requirements into the new preventative services specification as part of the workstream. |
| <input checked="" type="checkbox"/> Risk 07.17 | Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs. • Utilisation of ICF to deliver a Community Connector Service – offering community support for people to access services. | There is a £250k savings target linked to the Third Sector budget for 2019/20. A full review will take place during the year to scope a re-commissioning exercise that fits with the wider and evolving preventative services agenda that includes the Community Connector Service |
| <input checked="" type="checkbox"/> Risk 07.18 | Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs. • Utilisation of ICF to employ a Carers Development Officer | The Carers Network is established - an e-training package to assist social care professionals identify carers and address their needs is now available and has been publicised within NCC |
| <input checked="" type="checkbox"/> Risk 07.19 | Growing population of highly vulnerable children Investment in developing preventative services to work with families to build resilience and to prevent children from being accommodated: • Re-tendering for the Strategic Collaborative Partnership that delivers the Family Assessment Support Service (FASS) and Family Support Team (FST). | Completed and new contract in place following review. |
| <input checked="" type="checkbox"/> Risk 07.20 | As children with complex needs live longer, the number of children requiring care will increase and the length of care that they require will increase. Investment in developing preventative services to work with families to build resilience and to prevent children from being accommodated: • Full review of short break services for families with Children with disabilities. • Full review of providing house respite service for families with Children with disabilities. | Refurbishment of Oaklands is now underway and will enable the Council to provide the necessary support for children in our care. |
| <input checked="" type="checkbox"/> Risk 07.21 | Investment in developing preventative services to work with families to build resilience and to prevent children from being accommodated: • Carers Development Officer supports families with Children with disabilities. | The following has been agreed from the Transformation Fund around the preventative agenda for 2019/20: 1. Additional posts to be based in NCC hub to work with families who are below the threshold for statutory provision 2. An additional Child and Adolescent Mental Health Support (CAMHS) worker 3. Further funding for the Family Intervention Service 4. Funding for a post-natal worker |
| <input checked="" type="checkbox"/> Risk 07.22 | Engagement with Regional work streams to address developing a consistent framework around Continuing Health Care Process. | This action has been completed and we now have a new process in place that is being monitored. |
| <input checked="" type="checkbox"/> Risk 07.23 | Cost control – negotiating sustainable fees with providers that offer value for money whilst protecting the social care workforce. | Fees have now been agreed for 19/20 due to a structured plan of communication with providers who were willing to engage earlier in the year in order to clarify their financial position. |
| <input checked="" type="checkbox"/> Risk 07.24 | Community Regeneration Aligning services and grants into one programme (Neighbourhood Hubs) will support a rationalization process across all the grants, this process will help us to achieve smarter ways of working that could support a long term vision of sustainability. Processes such as; • Staffing – the alignment of staff can reduce the requirement for current levels in finance and management functions. • Duplication – aligning programmes will support projects who share outcomes to end specific projects therefore reducing wasted expenditure. • Commissioning – a single commissioning model will provide the less duplication and savings in regards to management fees to other organisations. • Assets – The colocation and integration of teams through Neighbourhood Hubs will negate the requirement for different facilities and will provide greater focused usage in specific centres. | The Neighbourhood hub programme has been agreed by council, work has begun to appoint area managers and teams. This work when implemented in September 2019 will ease the pressures on services as it will promote collaborative working methods. The alignment of grants is being managed through both the NH programme and Flexible Fund. The work the consultant has carried out will provide proposals for, staffing teams, commissioning processes and duplication. Community assets are also being reviewed through this process. |

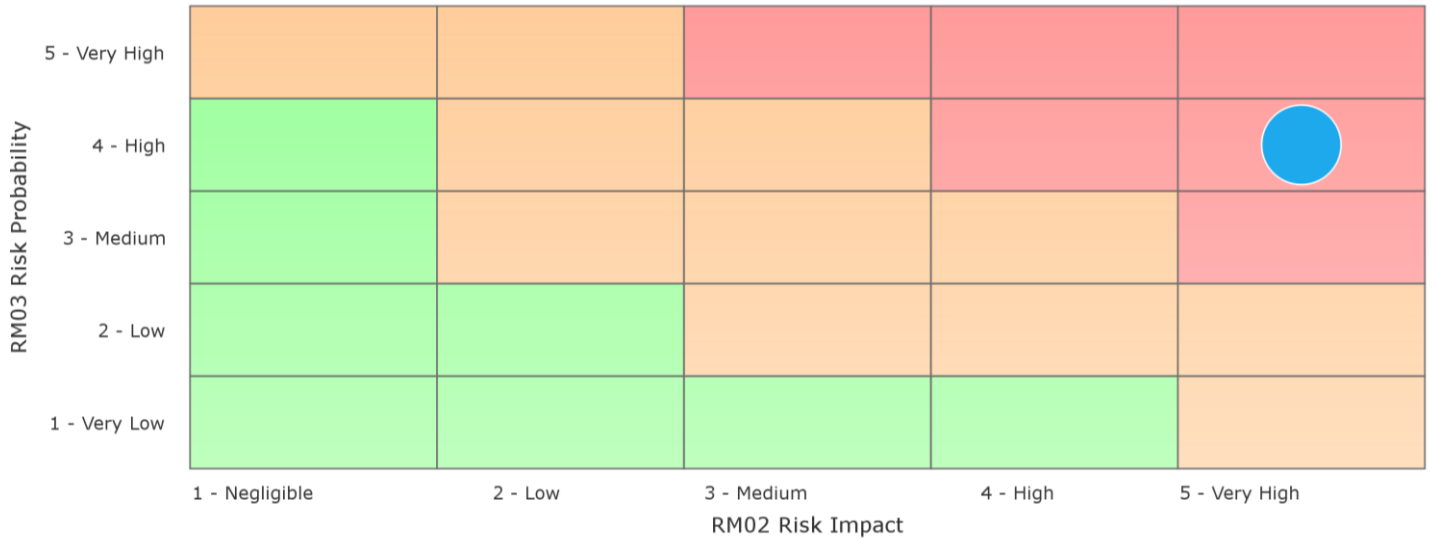
Risk 07 - Increased Pressure on Demand Led Services

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| Responsible Officer | Strategic Director - People Strategic Director - Place |
| Lead Cabinet Member | Cabinet Member for Education and Skills Cabinet Member for Regeneration and Housing Cabinet Member for Social Services |

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| <input checked="" type="checkbox"/> Risk 07.25 | Community Regeneration Work with funders to identify further opportunities to provide additional resource to community delivery. | Work with partners to provide additional resource to communities is ongoing, the NH programme is promoting partnership working and identifying resource from alternative means. Therefore reducing the burden on the council in the future. |
| <input checked="" type="checkbox"/> Risk 07.26 | Housing Services That an increasing percentage of the population are over 65 putting an increasing strain on demand led services, particularly those that are statutory and raising the risk of unplanned significant budgetary overspends. The number of older people in Newport is growing. More than 600 owner-occupiers aged over 55 currently have active applications for some form of affordable housing | New affordable housing schemes for older people are being completed at Beechwood, the Gaer and the city centre. |
| <input checked="" type="checkbox"/> Risk 07.27 | Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs. <ul style="list-style-type: none"> Increased resources provided to assist in homeless prevention and to secure additional staffing to meet need Grant funding available from Welsh Government targeted to key demand areas of the homelessness prevention service across a range of partners Links with third sector agencies in place and being developed to meet demand for services Regional Homelessness Strategy under development in order to explore regional opportunities for service development/initiatives | Following adoption of the Gwent Homelessness Strategy, a local action plan for Newport is being implemented to increase the joint planning, commissioning and delivery of services, improve the integration of support services into homelessness prevention work and enhance information-sharing between partner agencies, where there is benefit to service users. |
| <input checked="" type="checkbox"/> Risk 07.28 | Increasing population putting extra pressure on demand for affordable housing or specialised housing Increased pressure to deliver affordable housing, but in a climate when viability issues on sites regularly see the development industry reducing the percentage of affordable housing they are willing to deliver <ul style="list-style-type: none"> Homeless prevention work to secure alternative affordable accommodation options established and embedded within statutory services Procurement of temporary accommodation for homeless households in place to meet the changing demands and needs for the service | The independent review of the affordable housing supply has now produced a report setting out a range of recommendations to Welsh Government. The report acknowledges that existing levels of public subsidy cannot address all unmet housing need but proposes changes to make better use of existing resources, to achieve better integration between local needs assessment and planned provision. Welsh Government will now consider the recommendations and changes to the affordable housing system may then follow. |
| <input checked="" type="checkbox"/> Risk 07.29 | Growing population of highly vulnerable children requiring housing solutions within the care system and once leaving the care system. | A scheme providing placements in shared accommodation for vulnerable young people is now operational with further units of dispersed accommodation to follow |
| <input checked="" type="checkbox"/> Risk 07.30 | Increasing shift away from owner occupation towards private renting A study for the Welsh Government into the fees charged by letting agents showed that Newport has a relatively high proportion, 36% of registered rental properties managed by agents, and was designated a high rent area and the total number of properties registered was 8,252. The study found that, although the work required and the costs incurred by the agents were similar in all areas, the fees charged to applicants varied considerably, according to the size of agency and the local housing market. Fees can make it difficult for low-income tenants to secure private rented housing, especially if they are obliged to move more frequently than owner-occupiers would when assured shorthold tenancies come to an end. | The Renting Homes (Fees etc)(Wales) Bill will introduce restrictions on the fees charged to tenants from September 2019 but it will be some time before the impact of this can be assessed. |
| <input checked="" type="checkbox"/> Risk 07.31 | Increasing concerns about the standard and fitness within the existing housing stock Much of Newport's housing stock is pre-1920's and, in 2017, the council's Environmental Health team identified nearly 13,000 serious hazards in Newport homes, most of them privately rented. | A new Housing Improvement Loans Policy has been adopted and an accredited partner agency has been appointed to administer owner-occupier loans for the council. . |
| <input checked="" type="checkbox"/> Risk 07.32 | An expanding population of older people along with increasing numbers of people choosing to remain living in their own homes will increase demand for mandatory home adaptation services Increasing pressure on the adaptations capital budget. | Increased waiting times for OT assessments during 18/19 (Social Services) have led to increased delivery times for DFG funded adaptations. RHH and Social Services are in discussion to consider arrangements to address this. |

Risk 08 - Risk of Stability of External Suppliers

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| | Mar 2019 |
| Responsible Officer | Strategic Director - People |
| Lead Cabinet Member | Cabinet Member for Social Services |



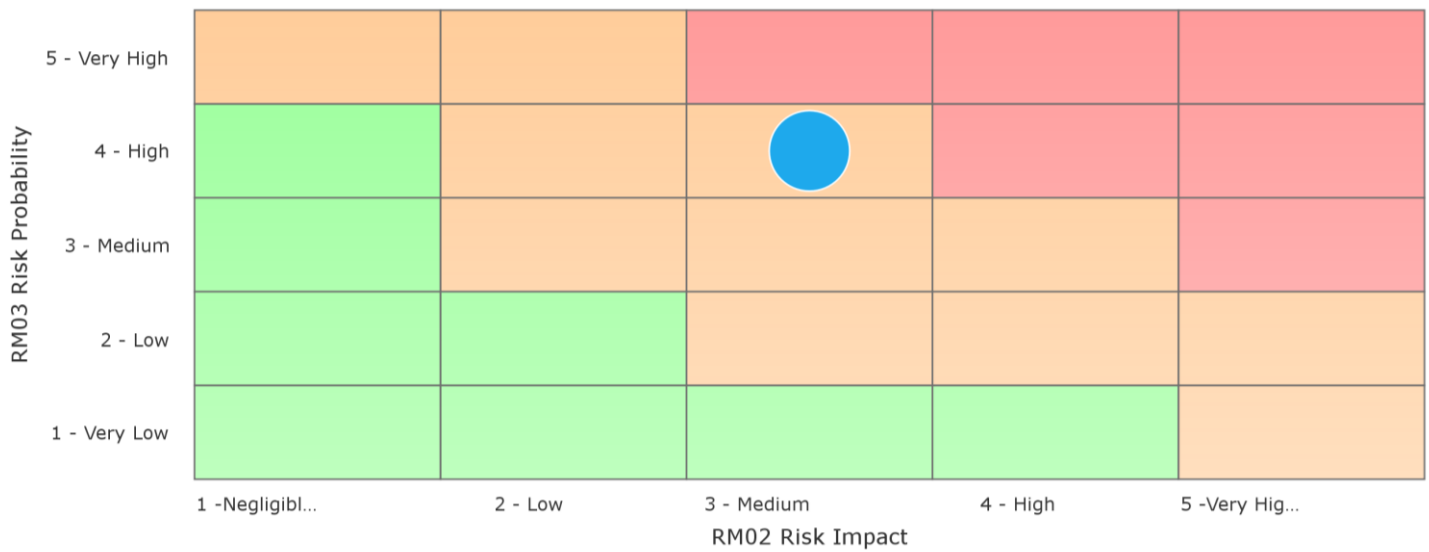
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| Mar 2019 | |
| Risk - Direction of Risk | Direction |
| The risk score remains at 20 for quarter 4 as the demand for placements and costs on the service areas are still impacting on the Council's budget. | ➔ |

| Risk 08 - Assessment Date & Score | | | | | | |
|-----------------------------------|-------------|-------------|----------|----------|----------|----------|
| Series | | | | | | |
| | Actual | Risk Rating | | | | |
| | | | Jun 2018 | Sep 2018 | Dec 2018 | Mar 2019 |
| > RM01 Risk Rating | Actual | | 16 | 16 | 20 | 20 |
| | Risk Rating | | ▲ | ▲ | ▲ | ▲ |

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| | Mar 2019 | |
| | Planned Mitigation | Risk - Action Status/Control Strategy |
| <input checked="" type="checkbox"/> Risk 08.01 | Market Management Consultation and engagement with social care providers | The Commissioning Team have regular dialogue with providers around a range of issues. Regional workstreams also engage domiciliary care and residential providers in discussions around fees and quality. There is still uncertainty in the market place around the impact of Brexit, specifically in relation to recruitment and availability of medicines and equipment. Although the possibility of a no deal BREXIT is in decline there is still much uncertainty that continues to be monitored. |
| <input checked="" type="checkbox"/> Risk 08.02 | Encouraging New Providers To Enter The Market The offer of block contracts for domiciliary care hours that provides incentive for new providers and creates a diverse market place. | The spot contract method of engaging domiciliary care providers is working well in Newport. The market is relatively stable and all requests are filtered through the Brokerage Team who have up to date market knowledge and close relationships with the domiciliary care agencies personnel. |
| <input checked="" type="checkbox"/> Risk 08.03 | Encouraging New Providers To Enter The Market Open dialogue with providers interested in entering the market to ensure they are fully informed about service demand and future commissioning intentions. | The Commissioning Team take every opportunity to talk to new providers. New services that are subject to tender are advertised and dialogue encouraged through supplier days. |
| <input checked="" type="checkbox"/> Risk 08.04 | Developing New Sustainable Models of Service & Maximising Alternative Funding Working with partners such as Housing and Health to develop new services that are more financially sustainable and offer better opportunities for people to live independently. | The Independent Living Strategy will inform the future development of new accommodation options for people with learning disabilities. This work is dependent upon strong partnerships with RSL's. The Council's in house supported living scheme is closing and all but one of the tenants has been moved to accommodation that is better suited to their needs. Plans are in place for 2 more schemes in 2020 - Kings Hotel and Emlyn Street. Both will allow people to live in single units rather than group homes. |
| <input checked="" type="checkbox"/> Risk 08.05 | Working With Commissioning Partners Working Regionally & Nationally to share knowledge, best practice, market intelligence and to develop commissioning strategies in both adults and children's services. | Regional commissioning work is ongoing in both childrens and adults services. The Commissioning links between LA's and Health are strong and communication channels are active. All partners are sighted on the opportunities that collaborative working can offer to ensure consistent and efficient service models. |
| <input checked="" type="checkbox"/> Risk 08.06 | Commissioning Function Strong, well organised Commissioning function and agreed strategies that effectively oversees and controls all purchasing activity and understands the local market. The Commissioning team are fully sighted on market issues, have well developed relationships with providers and work closely with operational teams to source good quality sustainable services. | The Commissioning Team now has a full complement of staff and is managing all of the activities around childrens/education/residential placements as well as the school meals contract. Efficiencies have already been identified through the application of consistent and professional commissioning and contract management practices. The team has now been re-structured to build in as much resilience and capacity to deal with the new responsibilities and will continue to be monitored. |

Risk 10 - Climate Change

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| Responsible Officer | Strategic Director - Place |
| Lead Cabinet Member | Cabinet Member for Streetscene The Deputy Leader and Cabinet Member for Assets and Member Development |



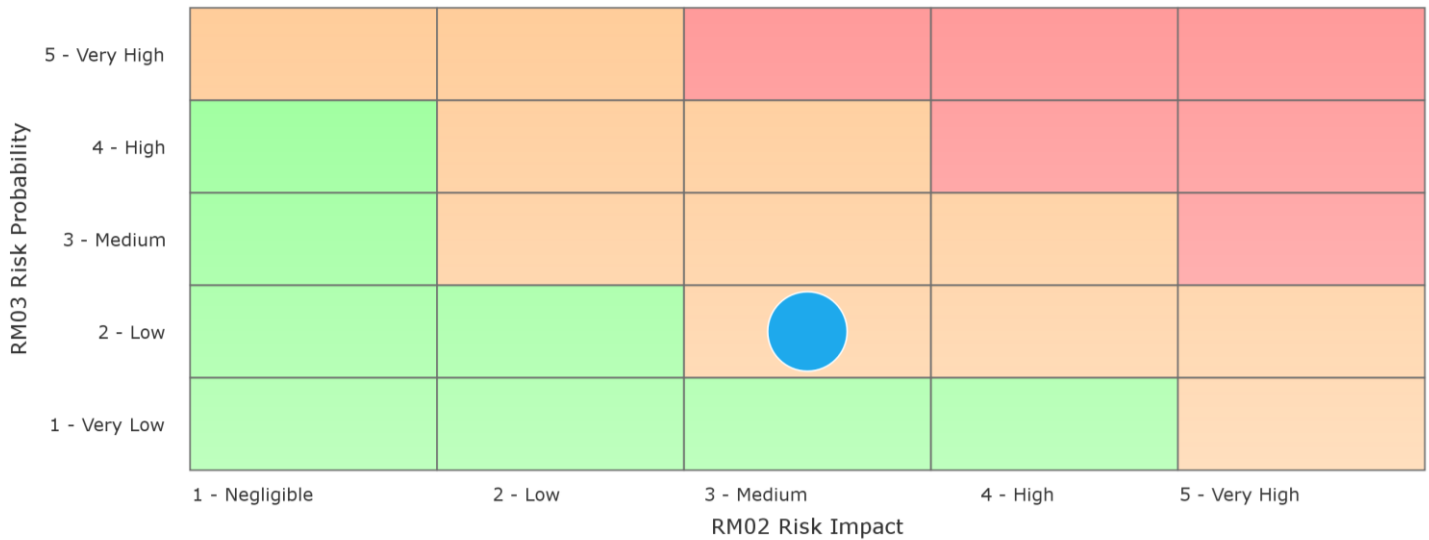
| Mar 2019 | |
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| Risk - Direction of Risk | Direction |
| No change in Quarter 4. This risk will be re-assessed in Q1 2019/20. | ➔ |

| Risk 10 - Assessment Date & Score | | | | | |
|-----------------------------------|------------|-------------|----------|----------|----------|
| Series | | | | | |
| | Risk Score | Risk Rating | | | |
| > RM01 Risk Rating | Risk Score | Risk Rating | Jun 2018 | Sep 2018 | Dec 2018 |
| | 12 | | 12 | 12 | 12 |
| | | | ● | ● | ● |

| Mar 2019 | | Planned Mitigation | Risk - Action Status/Control Strategy |
|-------------------------------------|------------|--|---|
| <input checked="" type="checkbox"/> | Risk 10.01 | Produce and implement a Carbon Management and Implementation plan to set out a strategy, objectives and programme to reduce overall carbon emissions, provide investment opportunities and to mitigate against anticipated increases in energy supply costs. | Due to entering a new year the carbon management plan is being re-assessed, principally in terms of baseline data and targets. Carbon savings are being achieved through the LED street lighting project which is now over 10% complete and due to be finished during 2019. |
| <input checked="" type="checkbox"/> | Risk 10.02 | Aim to get the best value for money from procurement of utilities through the National Procurement Service. Wherever possible purchase electricity backed by Renewable Energy Guarantee of Origin Certificates. | NCC are now locked into purchasing 100% renewable energy (for electricity) through the National Procurement Service until the end of 20/21. Market conditions have meant higher prices for 19/20, a modified purchasing strategy should reduce the market risk for 20/21. |
| <input checked="" type="checkbox"/> | Risk 10.03 | Undertake a full review of the Council's assets and their suitability for the application of renewable energy technologies to deliver Carbon and financial benefits. | Development work is continuing on a potential solar farm site which could deploy 2.4MW of solar PV (vs the 0.1MW we currently have installed within the estate), this is the current renewable energy priority for the Carbon Reduction Team. |
| <input checked="" type="checkbox"/> | Risk 10.04 | Plan and deliver Sustainable Urban Drainage Systems (SuDS) - SuDS such as permeable surfaces, swales, wetlands and ponds can play an important role in managing local flood risk in urban areas since they replicate natural surface water drainage systems. | City Services are in the process of creating the new SuDS enforcement team to ensure the city's statutory duties are delivered. |
| <input checked="" type="checkbox"/> | Risk 10.05 | Comprehensive and robust Adverse Weather Plans. | Service area and Corporate plans remain in place to mitigate this risk |
| <input checked="" type="checkbox"/> | Risk 10.06 | Plan and deliver green infrastructure - green infrastructure (trees, parks, open space etc) is important because it can help to keep cities cool in the summer, provide drainage routes for surface water and provide pathways through the urban environment for biodiversity to migrate as the climate changes. | in partnership with NRW Green and Safe Vision has been created as a statement setting for the Green and Safe Strategy. The strategy will contain the wider Green Infrastructure Assessment and following results from the interactive consultation tool, the strategy will develop the four main themes that are emerging. These themes are: Access and Safety; Greening Opportunities; Value to the Community and Making the most of Green Assets. Delivery plan will follow on from strategy. |
| <input checked="" type="checkbox"/> | Risk 10.07 | Selection of road surfacing materials that have a higher resistance to heat damage and /or heat reflectivity. Increased preventative maintenance to seal surfaces to water ingress and arrest disintegration. | Current carriageway programmes focus on preventative treatments to maximise the residual life of the asset. These treatments restore texture depth and seal the surface from water ingress and deterioration due to the effects of weather |
| <input checked="" type="checkbox"/> | Risk 10.08 | Maximise on available Welsh Government funding to improve the defence of the city against fluvial and coastal flooding. | City Services continue to work with WG to deliver/improve fluvial and coastal defence from flooding |

Risk 11 - Increasing Demands on IT Services and the Modernised Agenda

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| Responsible Officer | Chief Executive |
| Lead Cabinet Member | Cabinet Member for Community and Resources |

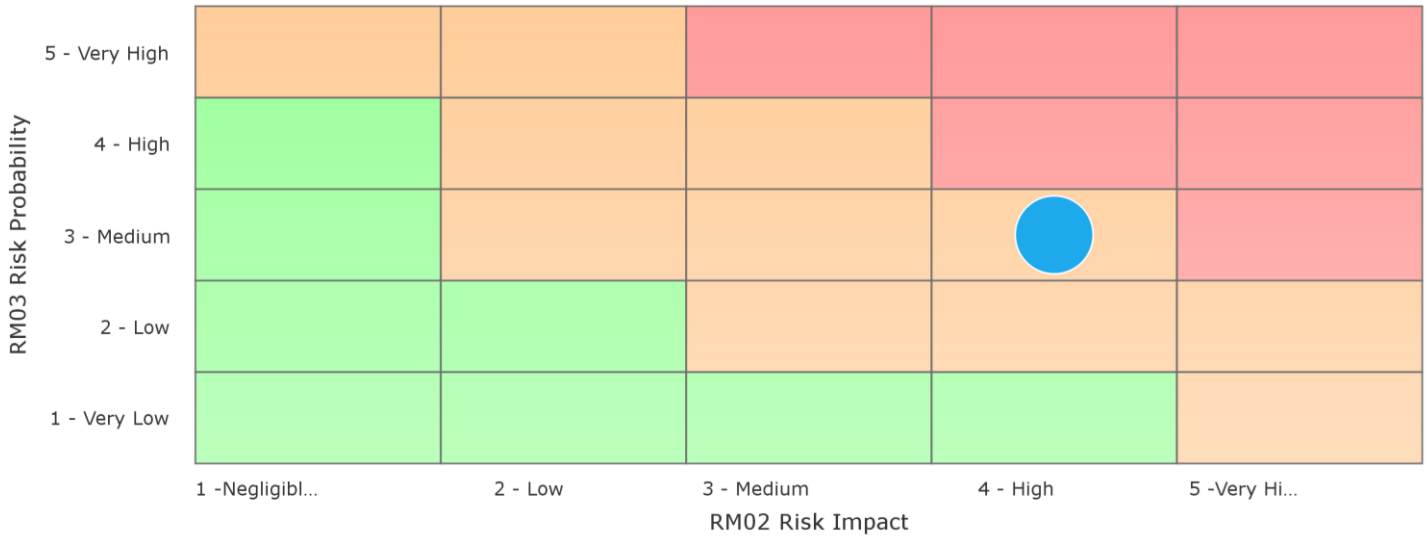


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| Mar 2019 | | Risk 11 - Assessment Date & Score | | | | |
| Risk - Direction of Risk | Direction | Series | | | | |
| The risk remains at a similar level to previously. The council's governance arrangements combined with the Shared Resource Service's governance are designed to manage the challenges and opportunities. | → | Risk Score | Risk Rating | | | |
| | | | | Jun 2018 | Sep 2018 | |
| | | | | Dec 2018 | Mar 2019 | |
| | | > RM01 Risk Rating | Risk Score | 6 | 6 | |
| | | | Risk Rating | ● | ● | |

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| Mar 2019 | | Planned Mitigation | Risk - Action Status/Control Strategy |
| <input checked="" type="checkbox"/> | Risk 11.01 | The Digital Service was established with a new structure to support its client management role. The monthly Delivery Group meetings with the SRS has been established to review performance (financial and non-financial) and project updates. This also includes project and core planned work to be prioritised. Regular briefings also take place with the Cabinet Member responsible and to the Chief Executive via the Head of Service. The Council is represented on all the SRS Boards by relevant staff. | Work with an external consultant was carried out to review the original investment objectives of the partnership and its organisation/governance. Improvements have been identified and these will be progressed over coming months. Representatives from the council play an active role in the boards of the Shared Resource Service (SRS) and regular updates are provided to the Cabinet Member and Senior Leadership Team (SLT). |
| <input checked="" type="checkbox"/> | Risk 11.02 | The Council's Programme Boards (Modernised Council, Thriving Cities, Resilient Communities, and Aspirational People) will provide the necessary oversight and scrutiny on the delivery of key Council projects involving IT services and infrastructure. The NCC Digital City Board was established to monitor the delivery of IT projects across the council with representation from SRS, Digital Service and council services. The Council will ensure that the necessary funding and financial monitoring and reporting controls are in place to ensure that the Council and SRS to deliver key projects and service delivery | Regular reporting and monitoring of IT projects takes place to the Modernised Council and Thriving City boards as well as to the Digital City Board. Recent successful major projects include the migration to Microsoft Office 365 cloud based e-mail/Skype for Business and the implementation of a new CRM system for customer services and the council's web site. |

Risk 12 - Increasing Risk of Cyber Attack

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| Responsible Officer | Chief Executive |
| Lead Cabinet Member | Cabinet Member for Community and Resources |

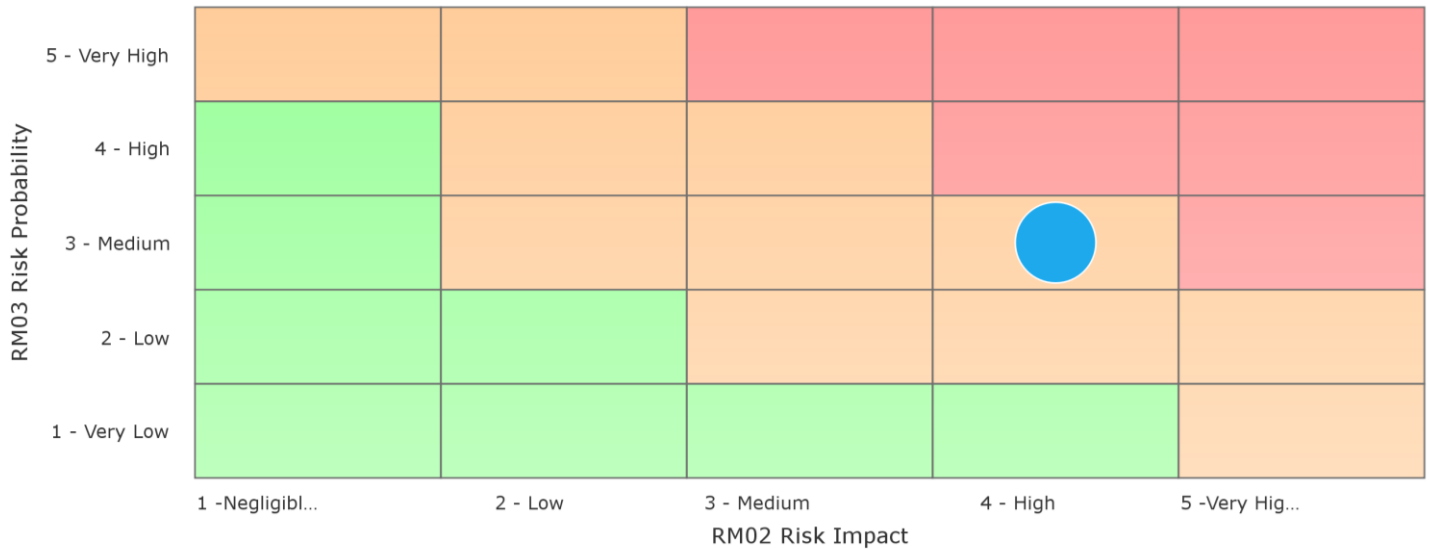


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| Mar 2019 | | Risk 12 - Assessment Date & Score | | | | | |
| Risk - Direction of Risk | Direction | Series | | | | | |
| The risk remains similar to previous quarters. It is mitigated by a number of processes but the environmental threat level remains relatively high. | ➔ | Risk Score | Risk Rating | | | | |
| | | | | Jun 2018 | Sep 2018 | Dec 2018 | Mar 2019 |
| | | > RM01 Risk Rating | Risk Score | 12 | 12 | 12 | 12 |
| | | Risk Rating | | ● | ● | ● | ● |

| Mar 2019 | | |
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| | Planned Mitigation | Risk - Action Status/Control Strategy |
| <input checked="" type="checkbox"/> Risk 12.02 | <p>The Council is working Regular PSN accreditation and other IT security reviews such as the 'Minimum Cyber Security Standard' to be completed with findings / recommendations reported and monitored through the Information Governance Group.</p> <p>SRS will also undertake the necessary IT security updates on all new and existing IT infrastructure to minimise the risk of external and internal cyber threats. The Council's IT team to receive regular risk updates and notifications.</p> | The council gained formal Public Services Network (PSN) accreditation in Q3 of this year. System updates/patches continue to take place and the next annual IT Health Check to support PSN accreditation is planned for May 2019. Work has also taken place to prepare for Cyber Essentials Plus. |
| <input checked="" type="checkbox"/> Risk 12.03 | <p>Policies, procedures and guidance relating to IT Security will be updated to align with the new GDPR legislation and also current arrangements in relation to the management and monitoring of cyber risks.</p> <p>Training and guidance is provided to all Newport City Council staff, agency workers and consultants which access the IT Network. The Council's Data Protection online training will also be updated to reflect recent GDPR changes and staff will continue to be encouraged to attend the Council's information Security training. SRS will also continue to notify and provide guidance to staff where potential cyber threats are received.</p> | All information management policies have been updated to reflect any changes required as a result of General Data Protection Regulation (GDPR) and re-published. An on-going training programme continues with two monthly courses. Revised e-learning has been developed to incorporate the principles of GDPR and highlight key messages. |
| <input checked="" type="checkbox"/> Risk 12.04 | Disaster Recovery and business continuity processes between the Council and SRS will be reviewed and updated. These processes will be subject to regular testing with findings and recommendations fed back to the Council's Information Governance Group to ensure the necessary action(s) are completed. | Phase 1 of the improved disaster recovery arrangements is now complete. Phase 2 is designed to provide key systems availability via reduced processing facilities when the primary system is unavailable. This is being progressed by the Shared Resource Service (SRS) in conjunction with the council and is being reviewed in line of new systems such as Office 365 and CRM. |

Risk 13 - Maintaining the Highways Network

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| Responsible Officer | Mar 2019 Strategic Director - Place |
| Lead Cabinet Member | Cabinet Member for Streetscene The Deputy Leader and Cabinet Member for Assets and Member Development |



Risk 13 - Assessment Date & Score

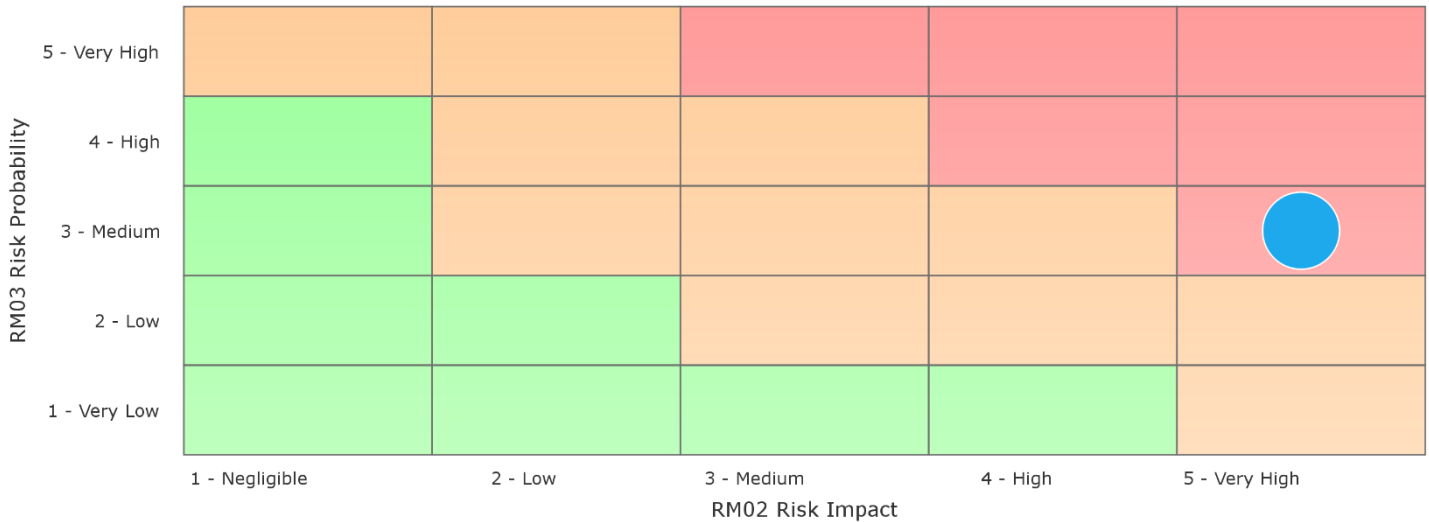
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| Mar 2019 | |
| Risk - Direction of Risk | Direction |
| The risk remains at 20 for this period as the funding element for this risk remains a challenge for the Council in light of the backlog of work required to maintain and improve the highways network. | → |

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|--------------------|-------------|----------|----------|----------|----------|
| Series | | Jun 2018 | Sep 2018 | Dec 2018 | Mar 2019 |
| Risk Score | Risk Rating | | | | |
| > RM01 Risk Rating | Risk Score | 25 | 25 | 20 | 20 |
| | Risk Rating | ▲ | ▲ | ▲ | ▲ |

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| | Mar 2019 | |
| | Planned Mitigation | Risk - Action Status/Control Strategy |
| <input checked="" type="checkbox"/> Risk 13.01 | <p>The limited capital investment available is implemented to maximise sustainability of the highway asset through good asset management planning. However, asset condition continues to decline. The authority continues to lobby through WLGA and CSS(W) for recognition of asset decline and commensurate funding to address the backlog.</p> <p>The Highways Asset Management Plan (HAMP) will support this approach by:</p> <ul style="list-style-type: none"> • Development of co-ordinated forward work packages for highway maintenance, operation and improvement • Maintenance strategies for the long term, based whole life costing • Calculating future funding requirements to maintain agreed levels of service • Managing risk of failure or loss of asset serviceability | <p>The current gross replacement cost of the highway asset is calculated at £1.1b, depreciated replacement cost of £938m (cost to return assets to whole life from the existing condition) and an annual depreciation cost of £11.5m.</p> <p>Current maintenance backlog is calculated at £90m for Newport. This level of underinvestment is generally the picture for all local authorities in Wales</p> |
| <input checked="" type="checkbox"/> Risk 13.02 | <p>Robust inspection and repair regimes ensure that the safety and serviceability of assets are maintained and mitigate the risk of 3rd party claims against the authority as a result of failure of duty to maintain the highway under section 41 Highways act.</p> | <p>Inspection and repair regimes continue to ensure safety and serviceability of our highway assets</p> |

Risk 15 - City Centre Security & Safety

Responsible Officer: Strategic Director - Place
 Lead Cabinet Member: Cabinet Member for Streetscene



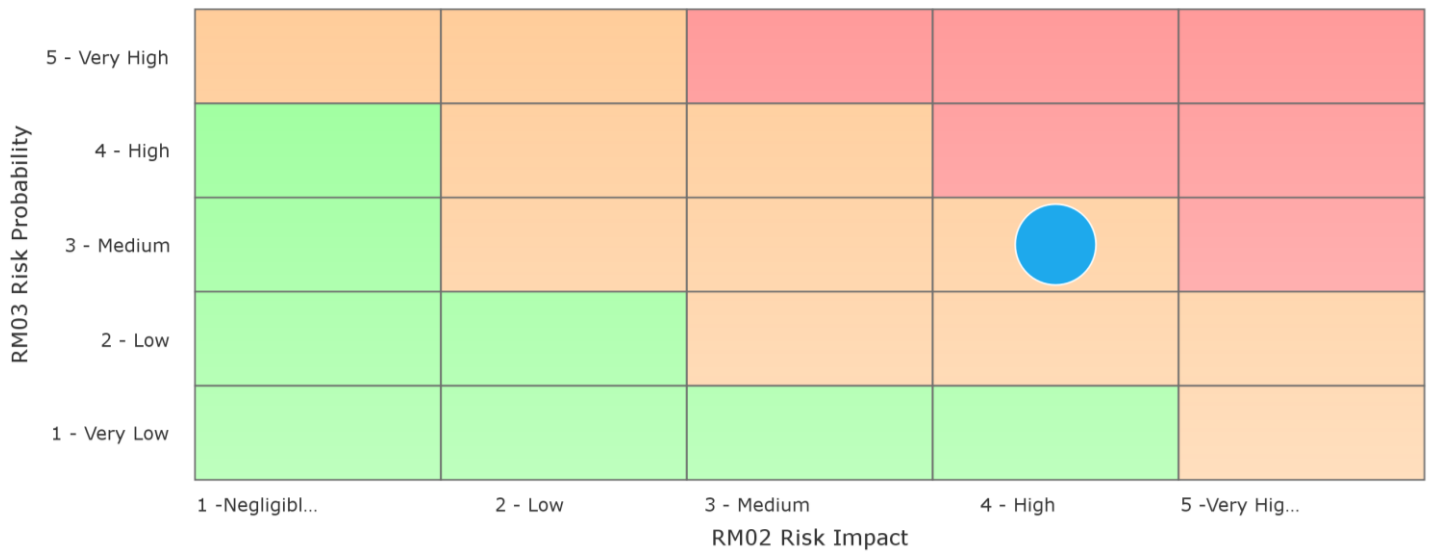
Risk 15 - Assessment Date & Score

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| Mar 2019 | | Series | | | | | | |
| Risk - Direction of Risk | Direction | Risk Score | Risk Rating | | | | | |
| No change in Quarter 4. This risk will be re-assessed in Q1 2019/20. | → | | | Jun 2018 | Sep 2018 | Dec 2018 | Mar 2019 | |
| | | > RM01 Risk Rating | Risk Score | ~ | ~ | 15 | 15 | |
| | | | Risk Rating | » | » | ▲ | ▲ | |

| Mar 2019 | | |
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| | Planned Mitigation | Risk - Action Status/Control Strategy |
| <input checked="" type="checkbox"/> Risk 15.01 | Secure vehicle access and pedestrian separation. – City Services are currently working on a plan to identify what mitigation measures can be put in place around the city centre to protect densely populated areas. | Preparatory works have been undertaken and full topographical and underground surveys have been completed. A basic bollard/ location design is currently undergoing the required vehicle dynamic assessment |
| <input checked="" type="checkbox"/> Risk 15.02 | Training for those businesses operating within the city centre that may be affected by significant incidents – Gwent Police will lead on the training with the use of NCC channels to promote and raise initial awareness of the scheme. | Arrangements with Gwent Police have been confirmed and prior to delivery of the new ACT Strategic event key agreed lines of communication are being developed to ensure a consistent and accurate approach to any issues that will arise. Anticipated event delivery June / July 2019. All attendees will be advised of additional on line tools to assist in developing their individual supporting emergency arrangements. |
| <input checked="" type="checkbox"/> Risk 15.03 | Co-ordinated evacuation arrangements for the city centre – NCC will be working with all partner organisations such as the emergency services and private business within the city centre to construct a co-ordinated evacuation system. | Preparatory work has been undertaken to evaluate potential delivery models and in consultation with Gwent Police a model similar to Cardiff EVAC has been identified as the preferred way forward. The joint training event with Gwent Police will also be utilised to introduce to city centre partners the concept of co-ordinated evacuation arrangements after which the key development of localised arrangements will commence. |

Risk 16 - Maintenance and improvement of Council buildings and assets.

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| Responsible Officer | Mar 2019 Strategic Director - Place |
| Lead Cabinet Member | Cabinet Member for Streetscene |



Risk 16 - Assessment Date & Score

Series

| | |
|---------------------------------|------------------|
| Mar 2019 | |
| Risk - Direction of Risk | Direction |
| No change in this quarter. | ➔ |

| | Risk Score | Risk Rating | Jun 2018 | Sep 2018 | Dec 2018 | Mar 2019 |
|--------------------|-------------|-------------|----------|----------|----------|----------|
| > RM01 Risk Rating | Risk Score | | ~ | ~ | 12 | 12 |
| | Risk Rating | | » | » | ● | ● |

| | Mar 2019 | Planned Mitigation | Risk - Action Status/Control Strategy |
|---|---|---|---------------------------------------|
| <input checked="" type="checkbox"/> Risk 16.01 | The Council through its Strategic Property Partners Newport Norse are undertaking condition surveys which have been enhanced from 2018/19 to better understand the entire estate with a reduced commitment for each year thereafter for cyclical condition surveys and specialist surveys to accompany. | Condition surveys have commenced and reports have recently been received by Newport Norse. A validation exercise is being undertaken and analysis to understand how the data compares to estimates previously used across the NCC estate. | |
| <input checked="" type="checkbox"/> Risk 16.02 | The Council's Building and Assets Evaluation matrix is regularly monitored and reported to the Capital Strategy and Asset Management Group. | This process of monitoring is undertaken every other month utilising members of the Capital Strategy and Asset Management Group (CSAMG). | |