



NCC Corporate Risk Register

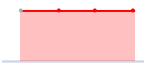
2019/20 Quarter 3 Update



Balancing the Council's Medium Term Budget

Short Description	To meet the Council's requirement of reducing the gap between Council spend and Budget allocation over the next 3-5 years
Risk Owner	Owen James
Overseeing Officer	<ul style="list-style-type: none"> ▪ Chief Executive ▪ Head of Finance ▪ Strategic Director - People ▪ Strategic Director - Place
Lead Cabinet Member(s)	<ul style="list-style-type: none"> ▪ Leader of the Council
Linked Theme	
Linked Corporate Objective	

20



Balancing the Council's Medium Term Budget

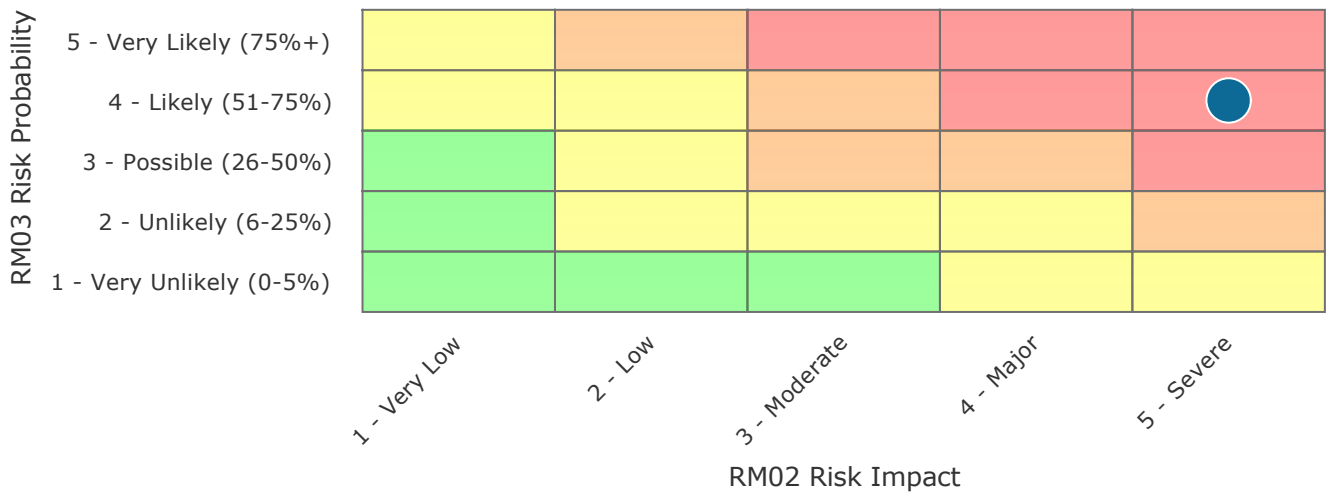
31 DEC 19




25

Inherent Risk Score

10

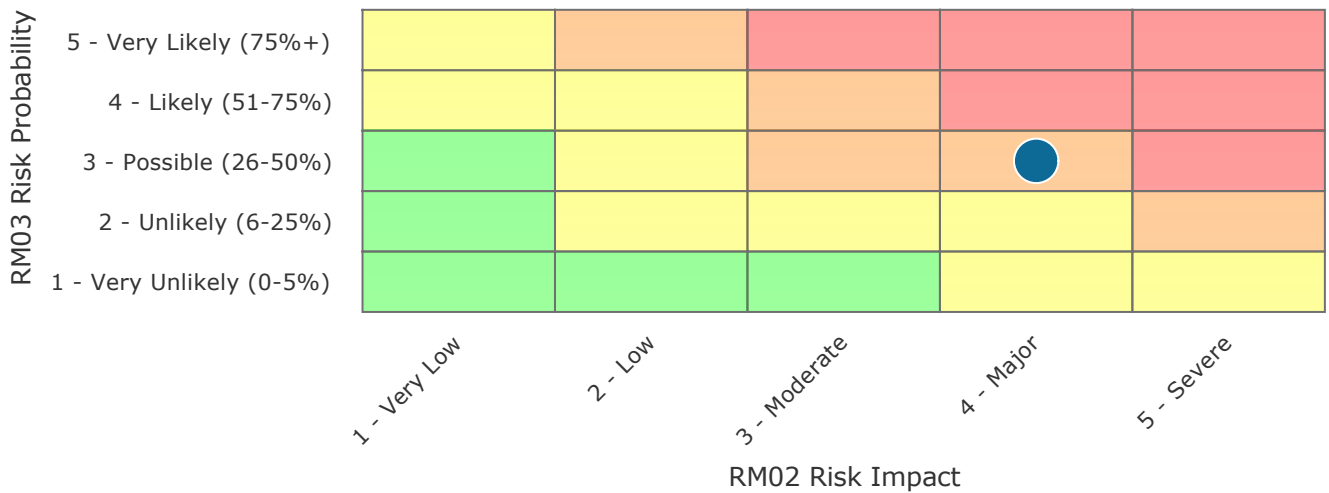
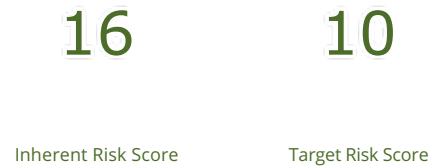
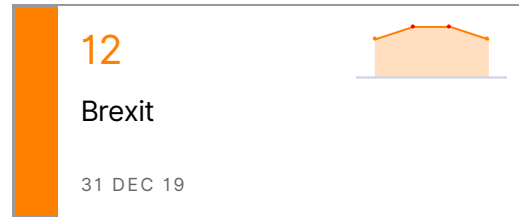
Target Risk Score



Action Name	Action Description	% Complete	Dec 2019
 Balancing the 2020-21 remaining gap	Budget proposals to identify savings for the remainder of the budget gap need to be identified by Senior Leadership Team and Corporate Management Team. These are to be assessed by informal cabinet prior to the December Cabinet meeting when consultation on the savings will begin.	90%	★
 SLT and CMT to identify savings to reduce the budget gap over the medium term	Senior Leadership Team and Corporate Management Team to identify savings to reduce the budget gap circa £30million over the medium term.	33%	▲
 To update SLT on Medium Term Financial Position	Following meetings with Heads of service and Directors on review of their pressures, an update on the Medium Term Financial Plan (MTFP) will be provided to SLT for review, discussion and actions to follow.	100%	✔

Brexit

Short Description	The UK will be leaving the European Union on the 31st January 2020. The UK will enter a transition arrangement which should be concluded by 31st December 2020. If no trade agreement and resolutions to the UK-EU future relationship is approved, the UK will have to fall back onto World Trade Organisation arrangements which could have a financial and operational impact on the Council and businesses which operate in the city.
Risk Owner	Rhys Cornwall
Overseeing Officer	<ul style="list-style-type: none"> ▪ Chief Executive ▪ Strategic Director - People ▪ Strategic Director - Place
Lead Cabinet Member(s)	<ul style="list-style-type: none"> ▪ Leader of the Council
Linked Theme	
Linked Corporate Objective	



Action Name	Action Description	% Complete	Dec 2019
<input checked="" type="checkbox"/> Civil Contingencies - Arrangements to escalate and report on Brexit	Civil Contingencies - To provide regular updates 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, Welsh Local Government Association (WLGA) and other strategic group updates will be included as part of this process.	80%	★
<input checked="" type="checkbox"/> Finance - Monitoring of impact on Finance and Supplies & Services	Finance - 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 European Union (EU) funded there is ongoing discussions with the Welsh Government to put in arrangements after 2021. The Council will be liaising with its strategic partners (Newport Norse / Shared Resource Service (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. "	70%	●
<input checked="" type="checkbox"/> Governance - Arrangements to manage Brexit in NCC	Governance - To establish Task & Finish group arrangements in Newport Council to manage the impacts of Brexit including liaison with Welsh Government, WLGA, Statutory partners e.g. Civil Contingencies and our third party providers. Regular updates will be provided to the Senior Leadership Team (SLT) and Cabinet on the Council's Brexit preparations.	80%	★
<input checked="" type="checkbox"/> Regulatory Services - BREXIT Compliance with Trading Standards legislation	The Council' Regulatory Services (Trading Standards and Licensing) will receive advice and guidance from the Food Standards Agency Wales and Department for Environment, Food and Rural Affairs (DEFRA) and work closely with Association of British Ports (ABP) to manage any impact on the service.	100%	★
<input checked="" type="checkbox"/> Staffing - Support provided to EU Members of Staff	Staffing - 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. Guidance and advice will also need to be available to EU staff members on completing any residency applications. "	80%	★

City Centre Security & Safety

Short Description	Significant incidents of deliberate acts that pose hazards to people in surrounding areas; structural damage; business continuity; damage/disruption to infrastructure and utilities; and reputational and economic impact.
Risk Owner	Rhys Cornwall
Overseeing Officer	<ul style="list-style-type: none"> Strategic Director - Place
Lead Cabinet Member(s)	<ul style="list-style-type: none"> Cabinet Member for City Services
Linked Theme	<ul style="list-style-type: none"> Theme : Thriving City
Linked Corporate Objective	<ul style="list-style-type: none"> Well-being Objective 2

15

City Centre Security & Safety

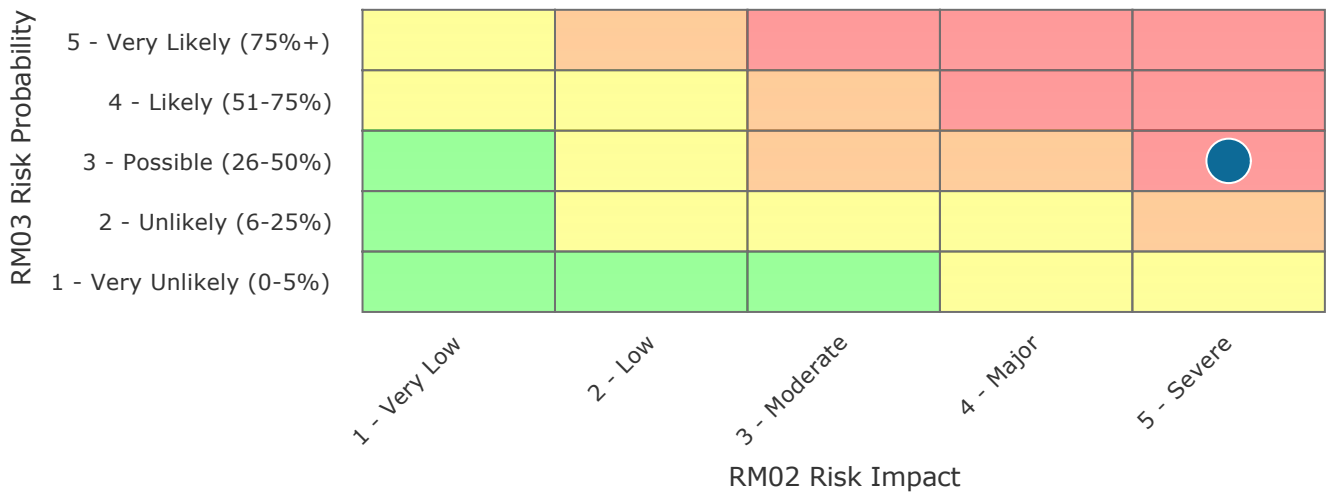
31 DEC 19

20

8

Inherent Risk Score

Target Risk Score



Action Name	Action Description	% Complete	Dec 2019
<input checked="" type="checkbox"/> City Centre Training to Businesses	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.	0%	
<input checked="" type="checkbox"/> Co-ordinated evacuation arrangements	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.	0%	
<input checked="" type="checkbox"/> Secure Vehicle / Pedestrian Separation	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.	62%	★


Climate Change

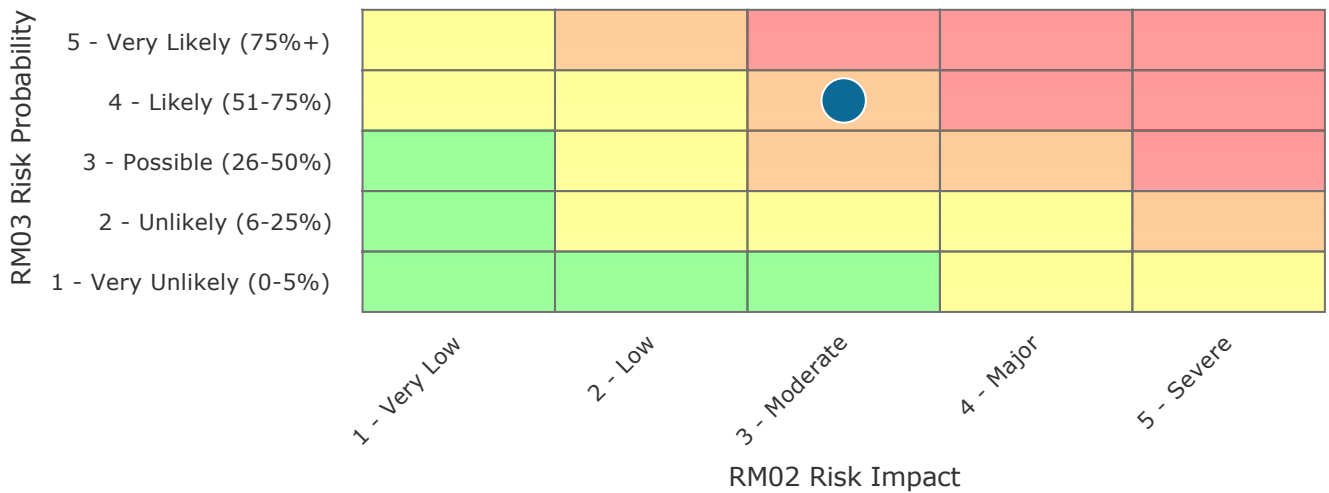
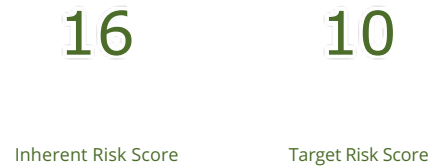
Short Description	Scientific evidence indicates that the global climate is warming and is changing the environment that we live in Wales and in Newport. The cause of this change is through emissions produced by industry, vehicles, households and businesses. Newport has 11 Air Quality Management Areas which monitor air quality and since they were in place we have been in breach.
Risk Owner	Ben Hanks
Overseeing Officer	<ul style="list-style-type: none"> Head of Regeneration, Investment and Housing Strategic Director - Place
Lead Cabinet Member(s)	<ul style="list-style-type: none"> Deputy Leader and Cabinet Member for Equalities and Assets
Linked Theme	<ul style="list-style-type: none"> Theme : Modernised Council Theme: Resilient Communities (Community) Theme : Thriving City
Linked Corporate Objective	<ul style="list-style-type: none"> Well-being Objective 2 Well-being Objective 3

12

Climate Change

31 DEC 19

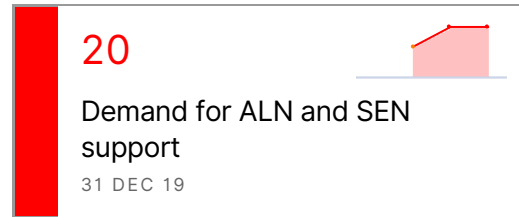




Action Name	Action Description	% Complete	Dec 2019
<input checked="" type="checkbox"/> Develop Local Air Quality Management Statutory Action Plan	Develop Local Air Quality Management Statutory Action Plan and ensure it is formally adopted and implemented.	100%	★
<input checked="" type="checkbox"/> Finalise and publish Carbon Management Plan.	Finalise and publish the council's Carbon Management Plan.	100%	★
<input checked="" type="checkbox"/> Investigate Opportunities to Improve Domestic Energy Efficiency and Relieve Fuel Poverty	Investigate opportunities to improve domestic energy efficiency and relieve fuel poverty in Newport.	14%	★
<input checked="" type="checkbox"/> Review Public Transport Access for Proposed Housing Developments	Review proposed housing developments for access to public transport.	75%	★

Demand for ALN and SEN support

Short Description	Funding to cover Additional Learning Needs (ALN) and Special Education Needs (SEN) provision across the city is insufficient and does not meet the demand of increasing need.
Risk Owner	Katy Rees
Overseeing Officer	<ul style="list-style-type: none"> Chief Education Officer Strategic Director - People
Lead Cabinet Member(s)	<ul style="list-style-type: none"> Cabinet Member for Education and Skills Cabinet Member for Education and Young People
Linked Theme	<ul style="list-style-type: none"> Theme : Aspirational People
Linked Corporate Objective	<ul style="list-style-type: none"> Well-being Objective 1 Well-being Objective 3

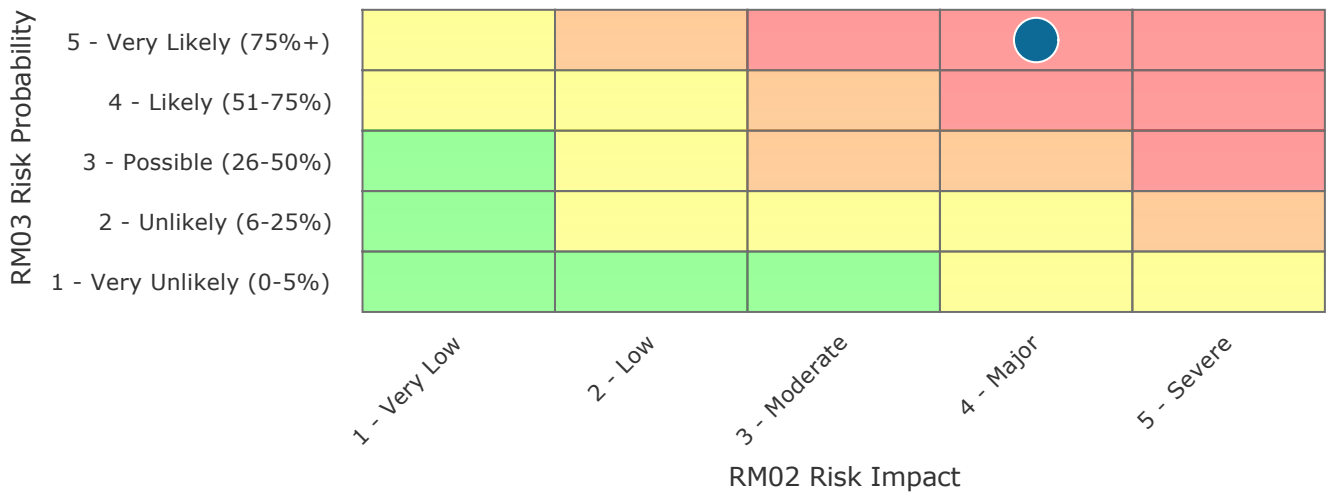







20

12

Inherent Risk Score

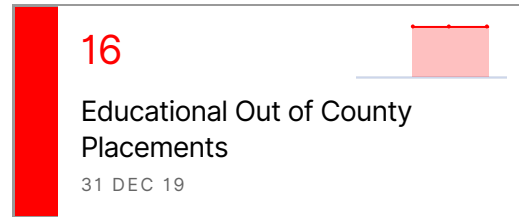
Target Risk Score



Action Name	Action Description	% Complete	Dec 2019
 Devise a funding formula in liaison with Secondary and Primary Schools across all settings	Devise a funding formula in liaison with Secondary and Primary Schools which is used across all settings for pupils aged 0-25 years. To monitor the impact and ongoing situation with the funding model. Impact - ALN Implementation Group will meet regularly to agree a funding formula acceptable for all schools and settings	75%	★
 Estyn Rec 5 - Ensure Appropriate Welsh Medium Provision is in Place for ALN Pupils	(Estyn Rec 5) Ensure that Welsh Medium (WM) provision is established to support pupils with Additional Learning Needs Good quality ALN provision will be created to support pupils attending WM schools. The permanent location for the new Welsh-medium primary school will include provision for a Learning Resource Base.	50%	●
 Revise School ALN Review Format in line with the Excellence in Teaching and Leadership...	Revise School ALN Review Format in line with the Excellence in Teaching and Leadership Framework (ETLF)	100%	✔
 To further the implementation of the Additional Learning Needs (ALN) and Educational Tribunal...	To further the implementation of the Additional Learning Needs (ALN) and Educational Tribunal Act 2018.	75%	★
 Undertake a review of ALN Panel process.	Undertake a review of ALN panel process and its membership to ensure decisions are robust, consistent and transparent. Impact - ALN Panel will have appropriate membership and decisions will be robust and consistent.	75%	★

Educational Out of County Placements

Short Description	Limited access to Newport City Council (NCC) provision for pupils who require complex and specialist placements which results on a reliance on Out of County (OOC) placements both day and residential.
Risk Owner	Katy Rees
Overseeing Officer	<ul style="list-style-type: none"> Chief Education Officer Strategic Director - People
Lead Cabinet Member(s)	<ul style="list-style-type: none"> Cabinet Member for Education and Young People
Linked Theme	<ul style="list-style-type: none"> Theme : Aspirational People
Linked Corporate Objective	<ul style="list-style-type: none"> Well-being Objective 1

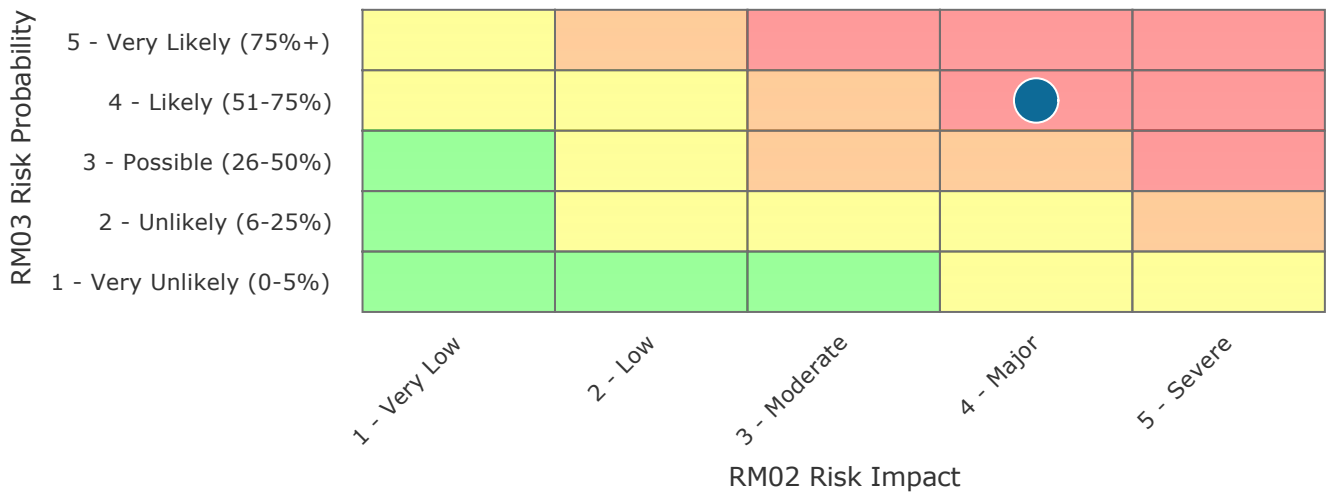






20

8

Inherent Risk Score

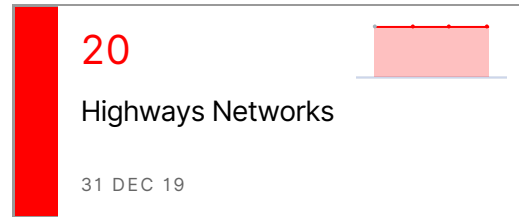
Target Risk Score



Action Name	Action Description	% Complete	Dec 2019
 Analysis of SEN trends to inform provision required	Undertake a review of Newport provision for pupils aged 0-25 years to ascertain uptake of placements and future requirements based on data trend analysis and local knowledge	75%	★
 Review ALN Key Stage 2 to Key Stage 4 SEBD and ASD provision	Review Additional Learning Needs (ALN) Key Stage 2 (KS2) to Key Stage 4 (KS4) Social, Emotional and Behavioural Difficulties (SEBD) and Autistic Spectrum Disorder (ASD) provision	75%	★
 To continue to redevelop and extend provision within the city to accommodate a greater range...	To continue to redevelop and extend provision within the city to accommodate a greater range of needs, ensuring that pupils are placed where their learning is best supported.	75%	★
 Work in collaboration with Social Services to review current OOC placements	Pupils will be identified appropriately for moving into local accommodation and will have appropriate educational provision made available.	75%	★

Highways Networks

Short Description	Failure to recognise current levels of under investment in the whole life of the city's highway network assets in the medium to long term will continue to compound existing maintenance backlog figures.
Risk Owner	Paul Jones
Overseeing Officer	<ul style="list-style-type: none"> Strategic Director - Place
Lead Cabinet Member(s)	<ul style="list-style-type: none"> Cabinet Member for City Services
Linked Theme	<ul style="list-style-type: none"> Theme : Thriving City
Linked Corporate Objective	<ul style="list-style-type: none"> Well-being Objective 2 Well-being Objective 3

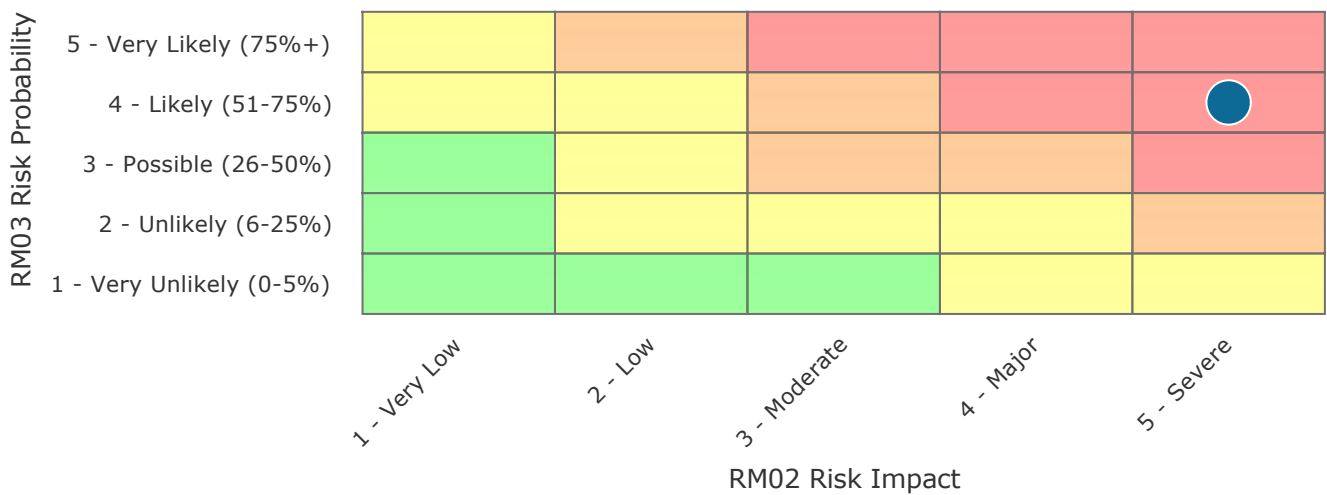





20

9

Inherent Risk Score

Target Risk Score



Action Name	Action Description	% Complete	Dec 2019
 Active lobbying to WG, WLGA, and CSS(W) to recognise funding gap to address backlog	We have identified that there is a maintenance backlog of approximately £90m for Newport. But the level of funding to maintain these assets is not sufficient to meet this. The under investment is not unique to Newport and other authorities in Wales are facing the same issues. Therefore, we (alongside other local authorities) are lobbying the Welsh Government, Welsh Local Government Association and County Surveyors Society Wales CSS(W) to increase and/or make more capital funding available to decrease this gap. This action will be ongoing and will not result in direct action completion.	59%	★
 Develop and implement the Council's Highways Asset Management Strategy / Plan	The Council is developing the Highways Asset Management Strategy and Highways Asset Management Plan. This plan will be implemented in 2019/20 and will enable the Council to actively manage its highways infrastructure. Implementation of the plan will enable the Council to undertake: risk based assessment and management of its infrastructure; calculating future funding requirements to maintain agreed levels of service; risk based evidence to identify and deliver improvements to assets identified below required standards.	80%	★
 Reactive Highways inspection and repair service.	The Council's Highways inspectors undertake daily checks of the Council's highways assets to determine their condition. The Council also operates a system for members of the public to report assets e.g. potholes, road signs, grass verges etc on the public highway that consider in poor condition. Risk based inspections are completed and regime of reactive work is undertaken to mitigate the risk of third party claims, and maintenance of the highway under Section 41 of the Highways Act.	75%	★

In Year Financial Management

Short Description	This relates to the in year management of budgets and risk profiling of service areas / activities that are forecasting end of year overspends.
Risk Owner	Owen James
Overseeing Officer	<ul style="list-style-type: none"> ■ Chief Executive ■ Head of Finance ■ Strategic Director - People ■ Strategic Director - Place
Lead Cabinet Member(s)	<ul style="list-style-type: none"> ■ Leader of the Council
Linked Theme	
Linked Corporate Objective	

12

In Year Financial Management

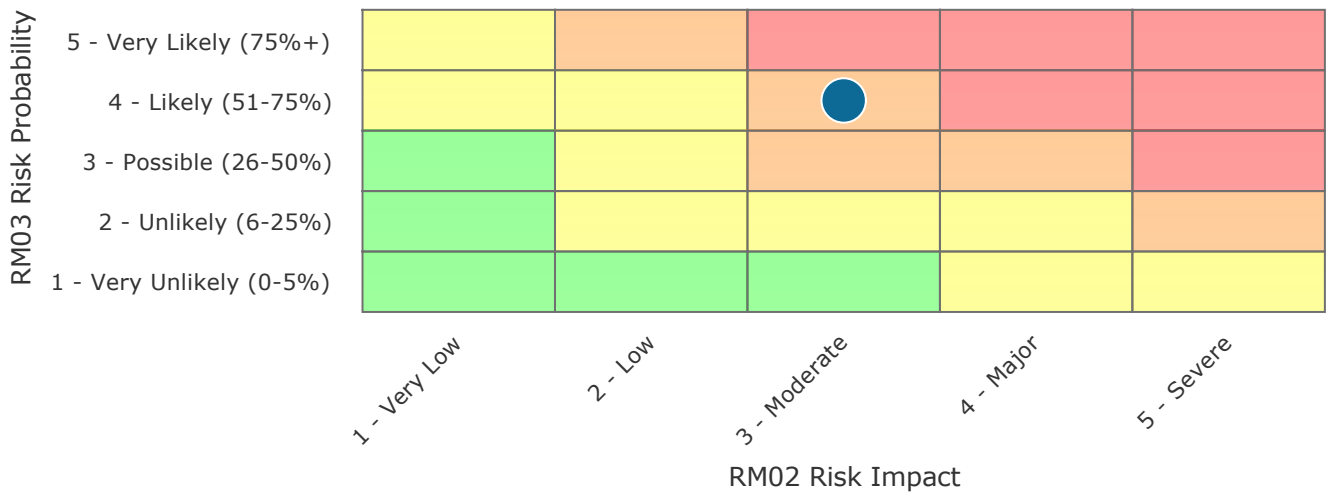
31 DEC 19

20

6

Inherent Risk Score

Target Risk Score



Action Name	Action Description	% Complete	Dec 2019
<input checked="" type="checkbox"/> All service areas to maintain robust financial management	All service areas to maintain robust financial management and understand the risks associated delivery of savings and achievability of the savings.	75%	●
<input checked="" type="checkbox"/> Cabinet Member and Senior Officers to manage / mitigate any projects not achieving savings	There are currently a number of undelivered savings of as at Quarter 1 figures circa £209k in 2019/20 and £91k from 2018/19. Cabinet Member, Senior Officers, Corporate Management Team and Heads of Service to manage and mitigate the risks of not delivering these savings.	93%	●
<input checked="" type="checkbox"/> Cabinet Member and Senior Officers to reduce overspending in Social Care	There are significant overspends within Children and Adult Services for Quarter 1 circa £3million. Cabinet Member, Senior Officers are required to review their actions to reduce this overspend and mitigate against further risks.	50%	▲

Newport Council's Property Estate

Short Description	NCC has a significant property estate covering over 170 buildings (circa) such as the Civic Centre, Telford Depot, schools etc. The Council has to ensure the estate is maintained to required standards to enable access, safety, security and in the long term sustainable for staff and residents to use.
Risk Owner	Ben Hanks
Overseeing Officer	<ul style="list-style-type: none"> ▪ Chief Executive ▪ Head of People & Business Change ▪ Head of Regeneration, Investment and Housing ▪ Strategic Director - Place
Lead Cabinet Member(s)	<ul style="list-style-type: none"> ▪ The Deputy Leader and Cabinet Member for Assets and Member Development
Linked Theme	<ul style="list-style-type: none"> ▪ Theme : Modernised Council
Linked Corporate Objective	

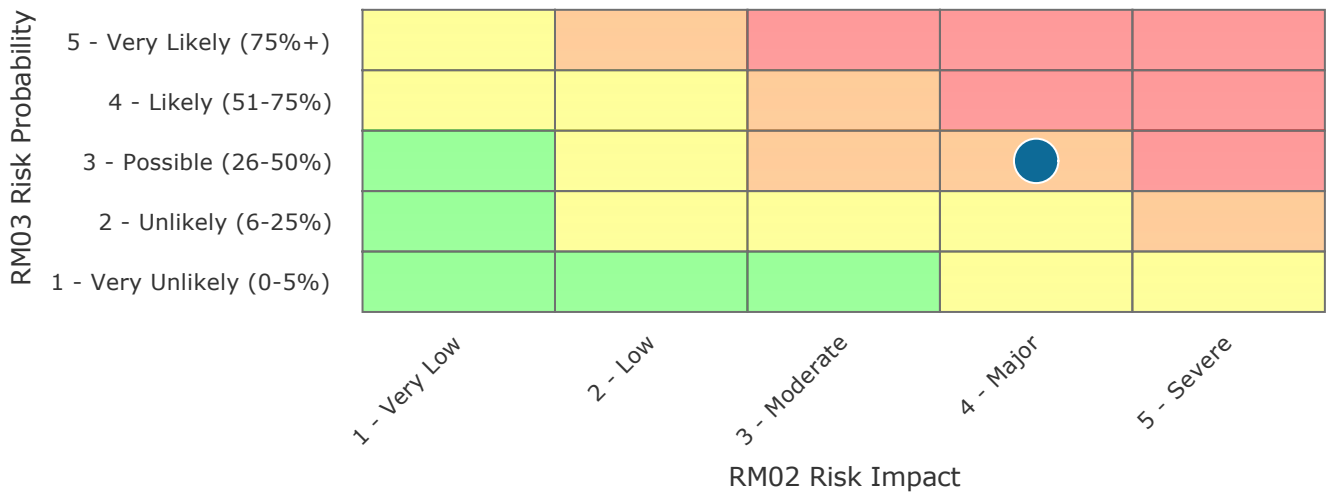
12




Newport Council's Property Estate

31 DEC 19

16
 Inherent Risk Score

9
 Target Risk Score



Action Name	Action Description	% Complete	Dec 2019
 Delivery of the Annual Capital Maintenance Programme	The delivery of the Council's annual Capital maintenance programme to maintain and improve the Council's property estate.	75%	★
 Develop a balanced strategy for the future of the Civic Centre	In response to financial, environmental, legal sustainability and social pressures we need to develop a balanced strategy for the future preservation and transformation of the Civic Centre.	20%	●

Safeguarding Risk

Short Description	To ensure the Council safeguards adults, children and carers as part of its statutory duty.
Risk Owner	Mary Ryan
Overseeing Officer	<ul style="list-style-type: none"> ▪ Chief Education Officer ▪ Chief Executive ▪ Head of Adult and Community Services ▪ Head of Children and Family Services ▪ Strategic Director - People ▪ Strategic Director - Place
Lead Cabinet Member(s)	<ul style="list-style-type: none"> ▪ Cabinet Member for Social Services
Linked Theme	<ul style="list-style-type: none"> ▪ Theme: Resilient Communities (Social Care)
Linked Corporate Objective	<ul style="list-style-type: none"> ▪ Well-being Objective 3

6

Safeguarding Risk

31 DEC 19

20

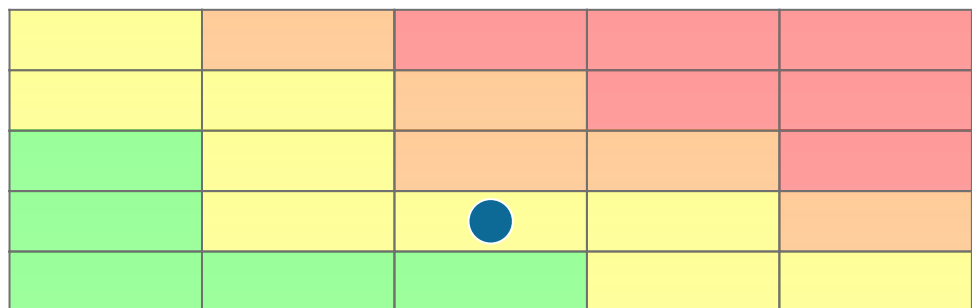
4

Inherent Risk Score

Target Risk Score

RM03 Risk Probability

- 5 - Very Likely (75%+)
- 4 - Likely (51-75%)
- 3 - Possible (26-50%)
- 2 - Unlikely (6-25%)
- 1 - Very Unlikely (0-5%)



1 - Very Low

2 - Low

3 - Moderate

4 - Major

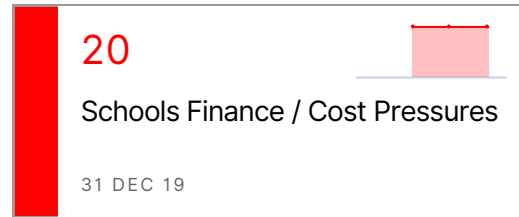
5 - Severe

RM02 Risk Impact

Action Name	Action Description	% Complete	Dec 2019
<input checked="" type="checkbox"/> All education Services staff to have completed relevant safeguarding training	All staff are appropriately trained to facilitate safeguarding arrangements.	92%	★
<input checked="" type="checkbox"/> Contribute towards the All Wales Adult Safeguarding Guidance	To contribute towards the new All Wales Adult / children Safeguarding Guidance.	90%	★
<input checked="" type="checkbox"/> Development of Safeguarding Champions across the Council.	Establish Safeguarding Complete Champions within each service area and roll out a training schedule for Members and Council employees	100%	★
<input checked="" type="checkbox"/> Embed the implementation of the new national 'safeguarding toolkit' for schools.	All schools have effective safeguarding processes in place	30%	★
<input checked="" type="checkbox"/> Empower Citizens Through the Adult Safeguarding Process	To continue to support and empower citizens through the adult safeguarding process.	97%	★
<input checked="" type="checkbox"/> Establish a robust review process for DOLS	To establish a robust review process for Deprivation of Liberty Safeguards (DOLS) assessments for Newport Citizens.	40%	★
<input checked="" type="checkbox"/> Evaluate & Refine the Model of Adult Protection	Continue to evaluate and refine the model of adult protection to include consideration to manage the increasing demands of the service and improve practitioner knowledge under the new legislation (Part 7 Social Services & Well Being Act). Evaluation review of the 6 month Safeguarding Hub. The pilot will be compiling data to evidence if the HUB model has improved processes and increased efficiency.	100%	★
<input checked="" type="checkbox"/> Improve links to information and advocacy to citizens	To improve links to information and advocacy to ensure citizens are fully informed and supported throughout the safeguarding process.	100%	★
<input checked="" type="checkbox"/> To implement new processes for Liberty Protection Safeguards.	Mental capacity Act requires the authority to implement the deprivation and liberty safeguards for citizens of Newport. We have an established regional and local process to delivery on DoLS. However, the legislation changes in October 2020 requiring the Council to have processes in place for the new LPS Liberty Protection Safeguards. This action is to implement the new process for the Council.	0%	

Schools Finance / Cost Pressures

Short Description	In year cost pressures of schools are not met resulting in increased deficit budgets
Risk Owner	Sarah Morgan
Overseeing Officer	<ul style="list-style-type: none"> Strategic Director - People
Lead Cabinet Member(s)	<ul style="list-style-type: none"> Cabinet Member for Education and Skills Cabinet Member for Education and Young People
Linked Theme	<ul style="list-style-type: none"> Theme : Aspirational People
Linked Corporate Objective	<ul style="list-style-type: none"> Well-being Objective 1

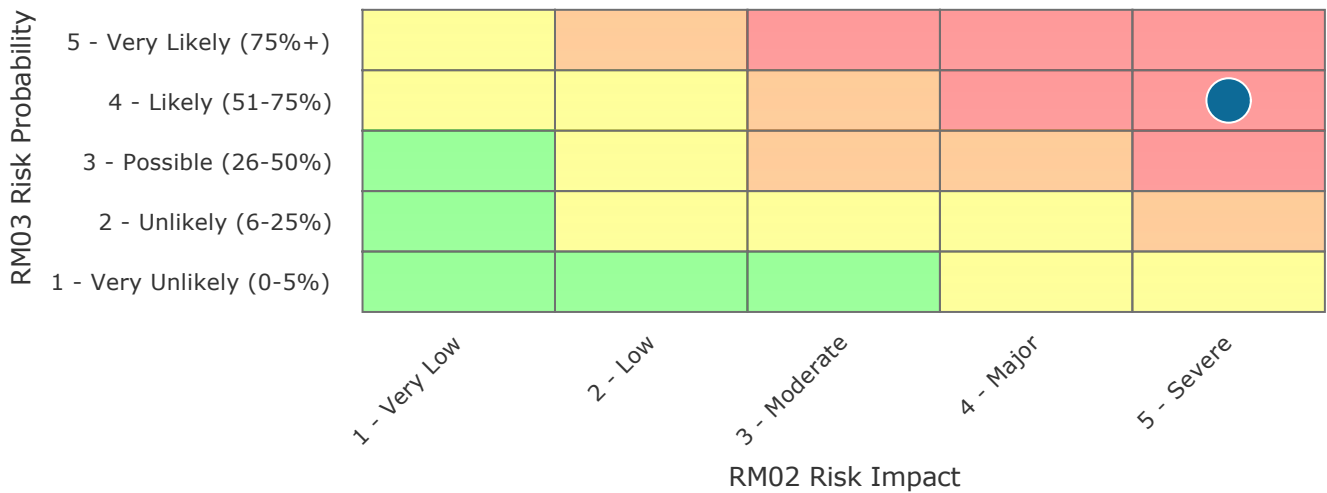


20

6

Inherent Risk Score

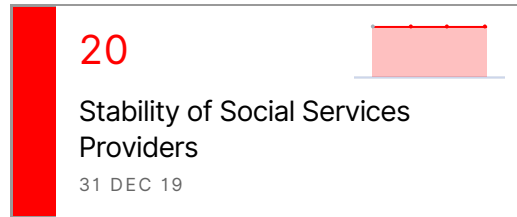
Target Risk Score



Action Name	Action Description	% Complete	Dec 2019
<input checked="" type="checkbox"/> Managing School Budget	The local authority will monitor school budgets to ensure that Headteachers and Governing Bodies are: a) Maintaining a balanced budget; b) Addressing in year overspends to reduce the risk of moving in to deficit positions; c) Where deficit budgets occur, deficits are licensed with full recovery plans. d) Where in year deficits are still arising following substantial review, further mitigation may be through the medium term financial plan.	15%	▲
<input checked="" type="checkbox"/> Supporting / challenging schools to address overspending & deficit budgets	Develop and work through a new schools budget monitoring process to consider how secondary schools need to be supported / challenged to address in year overspending and deficit budgets.	51%	▲

Stability of Social Services Providers

Short Description	The Council requires support from external providers to deliver care packages for children and adults (residential / Non Residential). The current marketplace for external providers is volatile due to the increasing costs to provide care, maintain homes, staffing meeting legislative and regulatory requirements.
Risk Owner	Jenny Jenkins
Overseeing Officer	<ul style="list-style-type: none"> Head of Adult and Community Services Strategic Director - People
Lead Cabinet Member(s)	<ul style="list-style-type: none"> Cabinet Member for Social Services
Linked Theme	<ul style="list-style-type: none"> Theme: Resilient Communities (Social Care)
Linked Corporate Objective	<ul style="list-style-type: none"> Well-being Objective 3

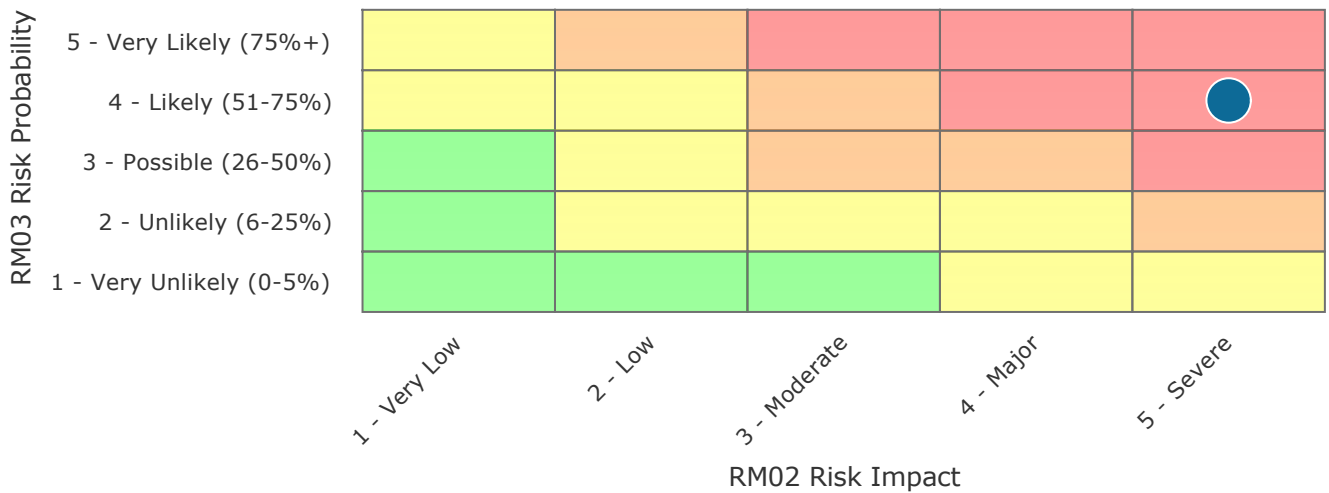


20

6

Inherent Risk Score

Target Risk Score



Action Name	Action Description	% Complete	Dec 2019
<input checked="" type="checkbox"/> BAU - Compliance monitoring and review of Commissioned Services	Business as Usual (BAU) - To ensure commissioned services are subject to ongoing contract management processes that monitor compliance and review quality and cost.	70%	★
<input checked="" type="checkbox"/> BAU - Continue to provide and develop in house provision	Business as Usual (BAU) - To continue to provide and develop in house provision where appropriate and cost effective.	50%	★
<input checked="" type="checkbox"/> BAU - Develop Regional and Collaborative Commissioning Initiative	Business as Usual (BAU) - To develop Regional and collaborative commissioning initiatives to deliver consistency and efficiencies.	45%	★
<input checked="" type="checkbox"/> BAU - Development of the People Commissioning function	Business as Usual (BAU) - To further develop the People Commissioning function to oversee all commissioning and contractual activity within the Directorate.	55%	★
<input checked="" type="checkbox"/> BAU - Management of the local market of Social Care contracts	Business as Usual (BAU) - To manage the local market to ensure sufficient capacity, diversity and skill through provider engagement and consultation around strategic priorities, service principles and fee setting.	50%	★
<input checked="" type="checkbox"/> BAU - Undertake Evidence Based Commissioning	Business as Usual (BAU) - To undertake evidence based commissioning through robust needs analysis and adherence to commissioning strategies to ensure services reflect community needs and offer sufficient market capacity.	35%	★
<input checked="" type="checkbox"/> BAU - Work with partners to develop common contracts and monitoring protocols	Business as Usual (BAU) - Work with Aneurin Bevan University Health Board (ABUHB) and Local Authority partners to develop common contracts and monitoring protocols.	80%	★
<input checked="" type="checkbox"/> Develop a Gwent Care Academy	Develop a Gwent Care Academy to offer qualifications for care staff and embed the principles of Regulation and Inspection of Social Care (RISCA) where all care staff are required to register.	90%	★