

# Corporate Risk Register

## 2022/23 Quarter 2 Update



# Ash Die Back Disease

Short Description	Ash Die back disease will affect tree population in Newport. The disease has already been identified in Newport and could kill the majority of Ash trees in the authority. The impact of no action will be significant numbers of tree failures that could see an increase in the number of people harmed by trees and property claims.
Risk Owner	Joanne Gossage
Overseeing Officer	<ul style="list-style-type: none"> <li>Head of Environment &amp; Public Protection</li> <li>Strategic Director: Environment &amp; Sustainability</li> </ul>
Lead Cabinet Member(s)	Cabinet Member for Climate Change & Bio-diversity
Linked Theme	Theme : Thriving City
Linked Corporate Objective	<ul style="list-style-type: none"> <li>WBO 2. Economic Growth &amp; Regeneration</li> <li>WBO 4. Cohesive &amp; Sustainable Communities</li> </ul>

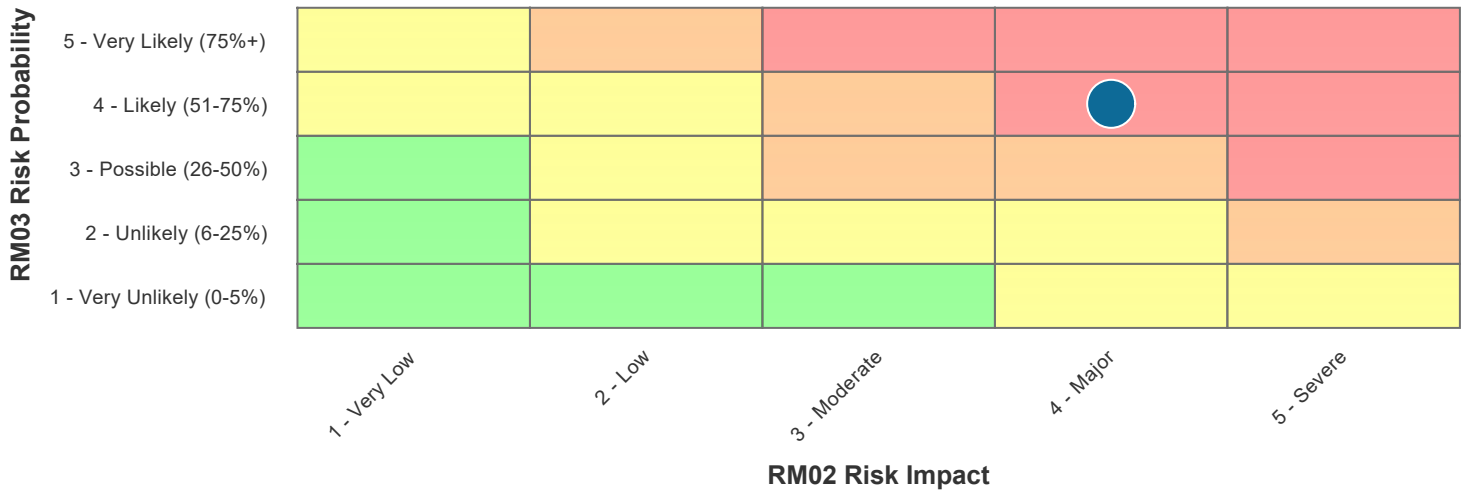


**20**

Inherent Risk Score

**6**

Target Risk Score



## Direction of Risk

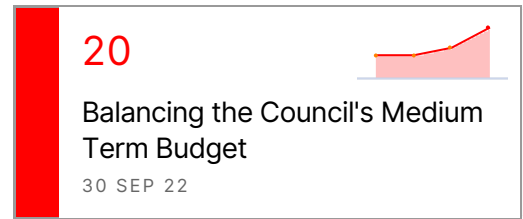
	DoR	Comment
Ash Die Back Disease	➔	scale of work remains the same as major works will not begin until the Autumn

Action Description	Period	Value
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Action Description	Period	Value
To undertake works removing diseased Ash trees that are owned by NCC.	Sep 2022	★

# 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	Robert Green
Overseeing Officer	<ul style="list-style-type: none"> <li>All Heads of Service</li> <li>Strategic Directors</li> </ul>
Lead Cabinet Member(s)	Leader of the Council & Cabinet Member for Economic Growth & Investment
Linked Theme	<ul style="list-style-type: none"> <li>Theme : Aspirational People</li> <li>Theme : Modernised Council</li> <li>Theme : Thriving City</li> <li>Theme: Resilient Communities (Community)</li> <li>Theme: Resilient Communities (Social Care)</li> </ul>
Linked Corporate Objective	<ul style="list-style-type: none"> <li>WBO 1. Skills, Education &amp; Employment</li> <li>WBO 2. Economic Growth &amp; Regeneration</li> <li>WBO 3. Healthy, Independent &amp; Resilient</li> <li>WBO 4. Cohesive &amp; Sustainable Communities</li> </ul>

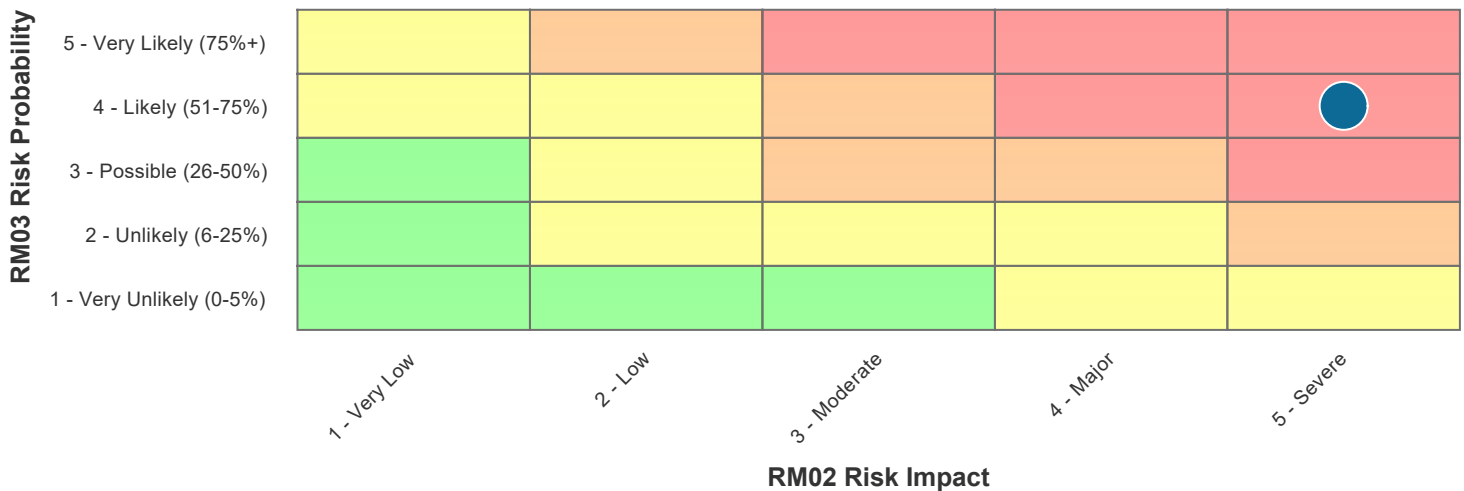


16

Inherent Risk Score

10

Target Risk Score



## Direction of Risk

	DoR	Comment
Balancing the Council's Medium Term Budget		In line with the comments from the previous quarter, a significant budget gap is forecasted.? Therefore, the Council will need to look at significant service area savings.

Action Description	Period	Value
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Action Description	Period	Value
Accountancy team to review corporate (non-service area) budgets and resources for any opportunities to identify savings or alternative approaches of utilising resources e.g. earmarked reserves.	Sep 2022	★
As a member of the Society of Welsh Treasurers, via Welsh Local Government Association, budget challenges, issues and pressures are escalated to Welsh Government, particularly the need for additional funding. Regular surveys of member local authorities to allow for comparisons of assumptions being made e.g. future pay awards.	Sep 2022	★
Deliver weekly budget meetings with the Council's Executive Board.	Sep 2022	★
Finance (Accountancy Business Partner teams) to support and review service area savings plans and business cases.	Sep 2022	★
Finance service area business partners to robustly review service area financial monitoring positions with the aim of identifying emerging issues that could impact upon the medium term outlook.	Sep 2022	●
Finance undertake challenge reviews of finance pressures submitted by service areas and to support service areas to reduce, remove and/or identify alternative approaches to address funding requirements.	Sep 2022	★
Procurement to support service area contract managers to review and challenge inflationary increases to contract arrangements to ensure value for money for the Council.	Sep 2022	★
Through Finance networks, we will regularly discuss with neighbouring and similar authorities regarding the finance assumptions being made in their budget planning, to ensure that NCC does not under/overstate inflationary pressures or omit potential solutions.	Sep 2022	★

# 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	Stephen Jarrett
Overseeing Officer	Strategic Director: Transformation & Corporate
Lead Cabinet Member(s)	Cabinet Member for Infrastructure & Assets
Linked Theme	Theme : Thriving City
Linked Corporate Objective	<ul style="list-style-type: none"> <li>■ WBO 2. Economic Growth &amp; Regeneration</li> <li>■ SRA 2. Supporting the Environment &amp; the Economy</li> </ul>

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City Centre Security & Safety

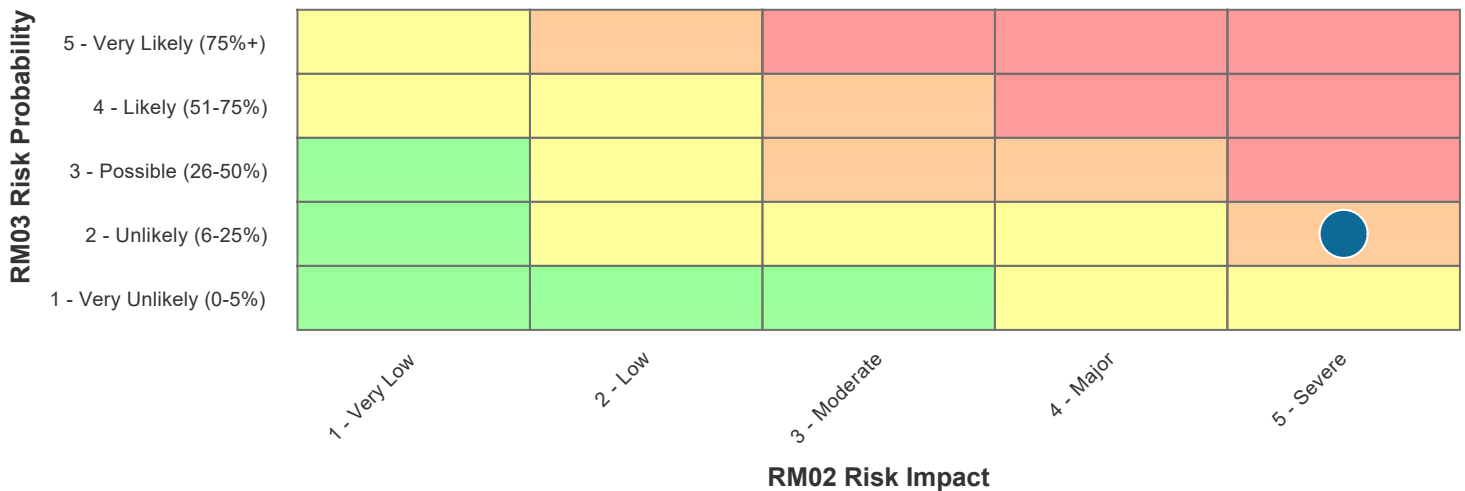
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Inherent Risk Score

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Target Risk Score



### Direction of Risk

	DoR	Comment
City Centre Security & Safety	➔	No Change to the risk for Quarter 2.

Action Description	Period	Value
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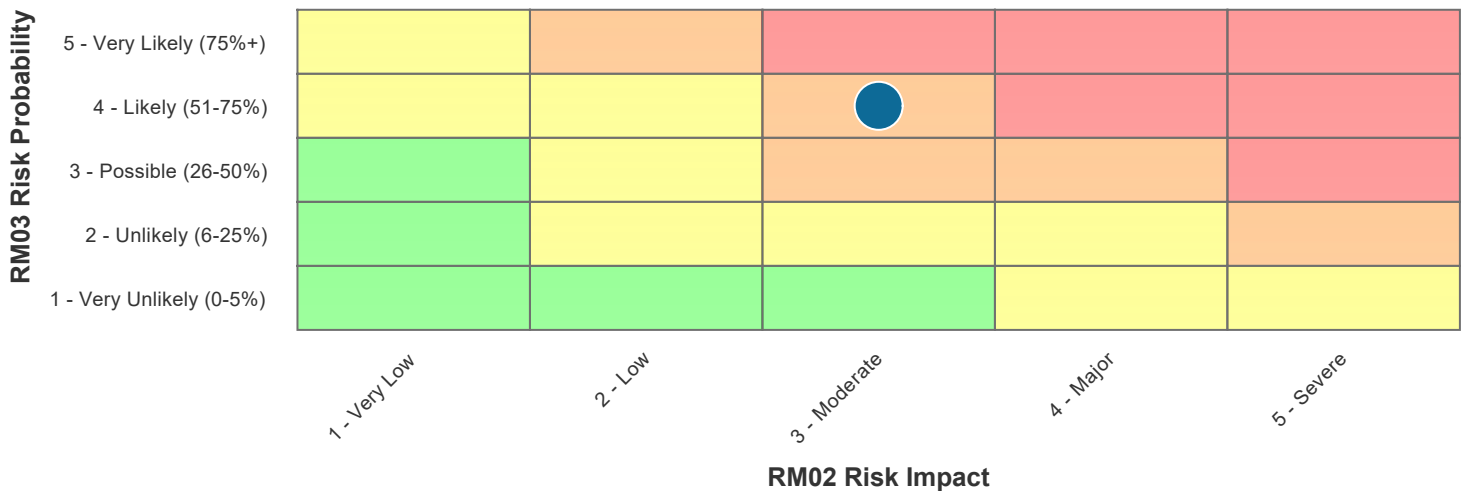
Action Description	Period	Value
Co-ordinated evacuation arrangements for the city centre – NCC will be working with all partner organisations such as the emergency services and private business within the city centre to construct a co-ordinated evacuation system.	Sep 2022	
Training for those businesses 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.	Sep 2022	●

# Climate Change Risk

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	Ross Cudlipp
Overseeing Officer	<ul style="list-style-type: none"> <li>Head of Environment &amp; Public Protection</li> <li>Strategic Director: Environment &amp; Sustainability</li> </ul>
Lead Cabinet Member(s)	Cabinet Member for Climate Change & Bio-diversity
Linked Theme	<ul style="list-style-type: none"> <li>Theme : Modernised Council</li> <li>Theme: Resilient Communities (Community)</li> <li>Theme : Thriving City</li> </ul>
Linked Corporate Objective	<ul style="list-style-type: none"> <li>WBO 2. Economic Growth &amp; Regeneration</li> <li>WBO 3. Healthy, Independent &amp; Resilient</li> </ul>



**16** **10**  
Inherent Risk Score Target Risk Score







## Direction of Risk

	DoR	Comment
Climate Change Risk	➡	No change from previous quarter.

Action Description	Period	Value
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Action Description	Period	Value
Ebbw West Solar Farm Development	Sep 2022	
Local Air Quality Management - develop localised plans under the Council's Sustainable Travel Strategy to meet statutory requirements for Action Plans. Actions to be generated by the Sustainable Travel Group.	Sep 2022	
Select a building decarbonisation delivery partner (Via RE:Fit) and complete a phase of decarbonisation works on the NCC estate.	Sep 2022	
Support the completion of the Welsh Government supported Local Area Energy Plan (LAEP) pilot to develop a decarbonisation action plan for the City of Newport in collaboration with NCC Policy, Partnership and Involvement team and external stakeholders.	Sep 2022	

# Cyber Security

Short Description	Management and security of the Council's ICT systems to protect personal and sensitive data from theft and loss whilst also maintaining business continuity and integrity of our systems.
Risk Owner	Mark Bleazard
Overseeing Officer	<ul style="list-style-type: none"> <li>■ Head of People, Policy &amp; Transformation</li> <li>■ Strategic Director: Transformation &amp; Corporate</li> </ul>
Lead Cabinet Member(s)	Cabinet Member for Organisational Transformation
Linked Theme	Theme : Modernised Council
Linked Corporate Objective	

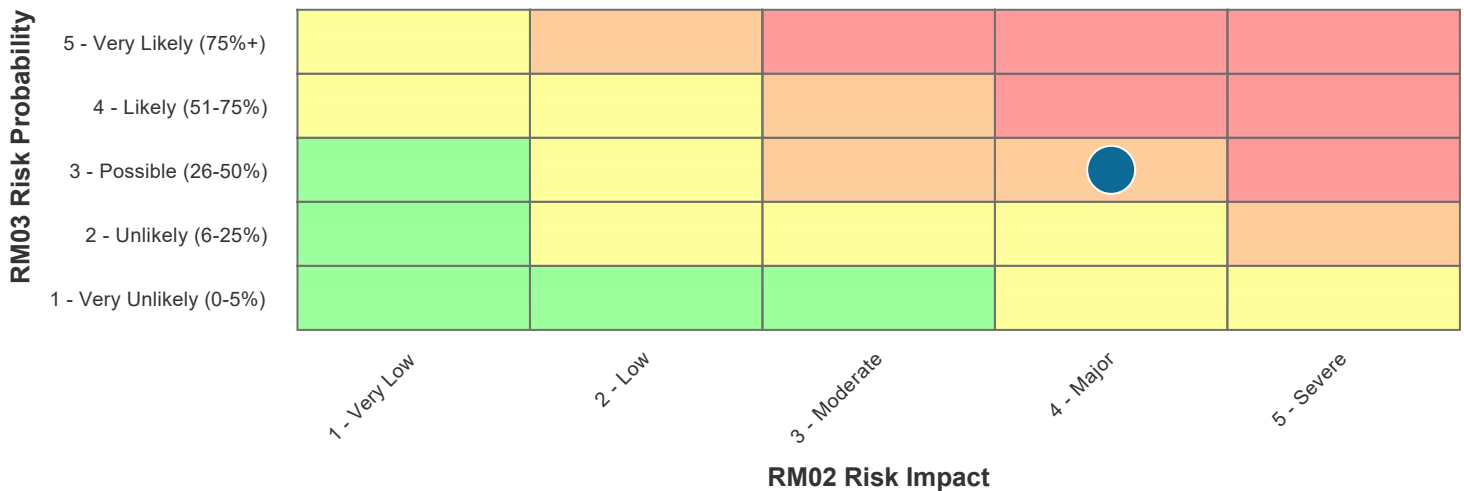


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Inherent Risk Score

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Target Risk Score



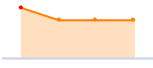
## Direction of Risk

	DoR	Comment
Cyber Security	↓ ✓	<p>Whilst the potential impact remains the same as previously, it is believed that the mitigation measures in place are such that the likelihood is less than previously, despite international tensions due to war in Ukraine.</p> <p>Existing governance is documented in the council's information risk management policy including the Information Governance Group and the Annual Information Risk Report. An Annual IT Health Check is carried out in line with requirements of the Public Services Network (PSN). Regular hardware and software updates are carried out by the IT Service. Technical controls are in place including the use of endpoint protection, firewalls, encryption, backups, security certificates, mobile device management etc. Physical security measures are in place to prevent inappropriate access and a data centre move to a more resilient data centre has commenced.</p> <p>The council's IT Service, the Shared Resource Service (SRS), has a security function complementing council staff as well as security embedded in various roles. The council has processes for out of hours incidents including the SRS.</p>

Action Description	Period	Value
Development of a new Digital Strategy that supports the future direction of IT services and infrastructure of the Council.	Sep 2022	★
To explore and purchase a Policy Management System that will ensure staff across the business undertake necessary training before being able to access IT systems.	Sep 2022	✔

# 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	Chief Education Officer
Lead Cabinet Member(s)	Deputy Leader & Cabinet Member for Education & Early Years
Linked Theme	Theme : Aspirational People
Linked Corporate Objective	<ul style="list-style-type: none"> <li>■ WBO 1. Skills, Education &amp; Employment</li> <li>■ WBO 3. Healthy, Independent &amp; Resilient</li> <li>■ SRA 1. Supporting Education and Employment</li> </ul>

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**Demand for ALN and SEN support**

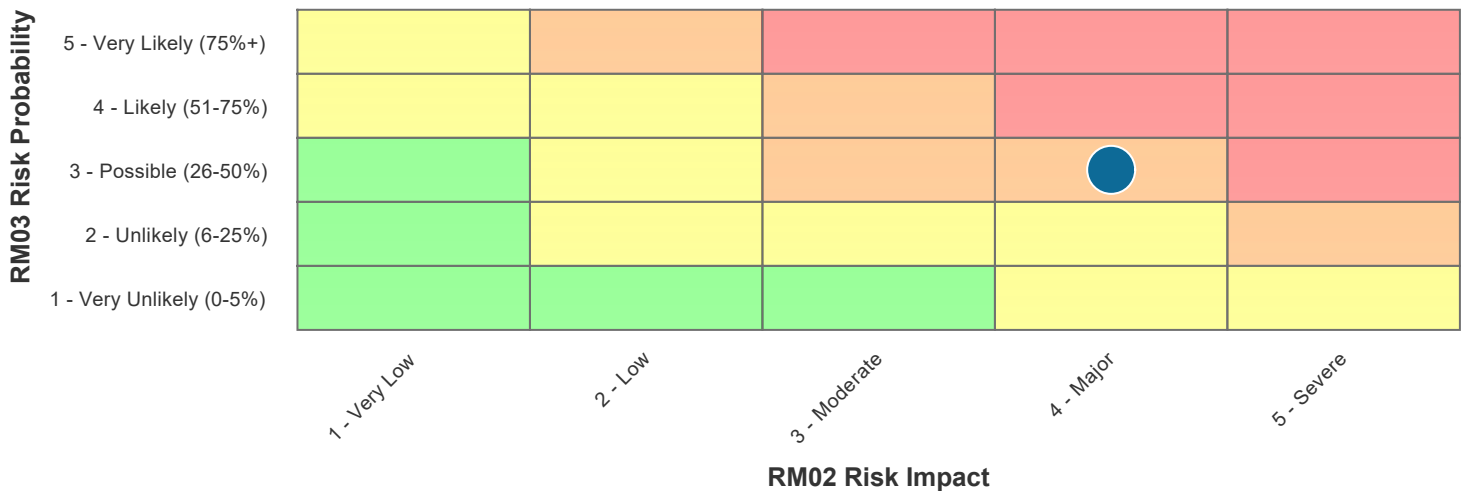
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Inherent Risk Score

6

Target Risk Score



### Direction of Risk

	DoR	Comment
Demand for ALN and SEN support	➔	The new ALN funding formula agreed by School's Forum was implemented for 2022-23 financial year. An ALN Implementation meeting was held in September for Primary Head Teacher representatives and secondary representatives to feedback on the impact of the change of formula. The consensus of the group was that the change had been positive and allowed schools to be more flexible to the needs of their pupils. They agreed for the formula to continue into next financial year.

Action Description	Period	Value
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Action Description	Period	Value
(Estyn Rec 5) Ensure that Welsh Medium (WM) provision is established to support pupils with Additional Learning Needs	Sep 2022	★

# 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	Chief Education Officer
Lead Cabinet Member(s)	Deputy Leader & Cabinet Member for Education & Early Years
Linked Theme	Theme : Aspirational People
Linked Corporate Objective	<ul style="list-style-type: none"> <li>■ WBO 1. Skills, Education &amp; Employment</li> <li>■ SRA 1. Supporting Education and Employment</li> </ul>

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**Educational Out of County Placements**

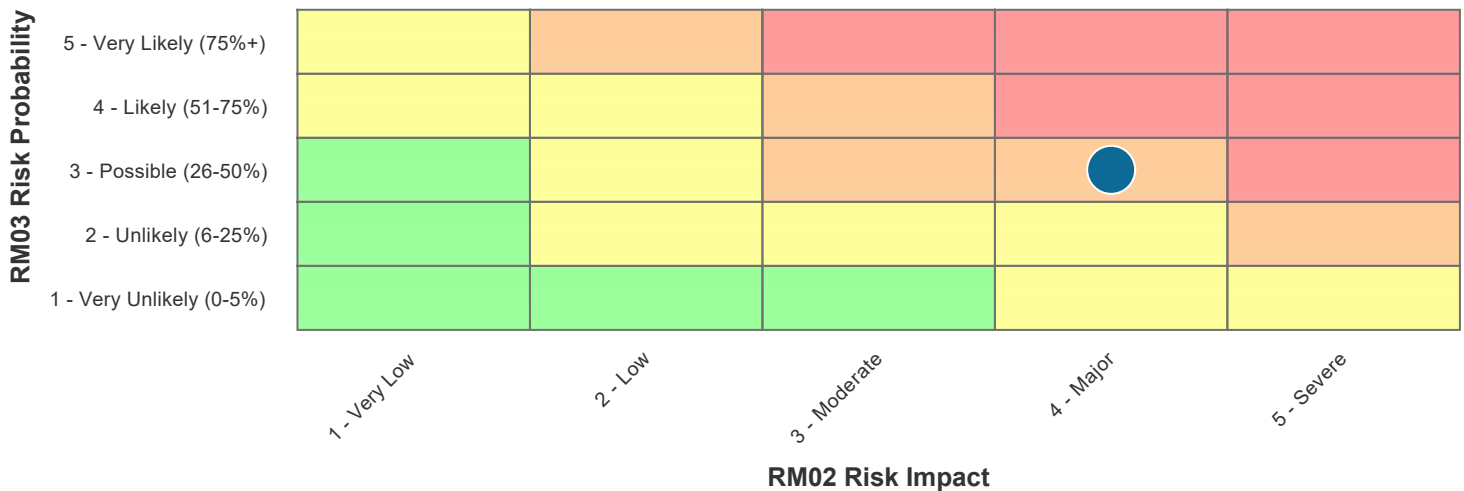
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4

Inherent Risk Score

Target Risk Score



### Direction of Risk

	DoR	Comment
<b>Educational Out of County Placements</b>	➔	The summer term saw an increase in the number of pupils requiring specialist Out of County (OOC) provisions. The number rose from 83 OOC placements to 94 in the summer however that has further increased to 101 placements. This is primarily linked to the lack of local Independent specialist SEBD providers. The LA will re-tender for the secondary SEBD provision contract early next year with a view to retain as many placements locally.

There are no actions associated with this Risk



# 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	Steve Davies
Overseeing Officer	Head of City Services
Lead Cabinet Member(s)	Cabinet Member for Infrastructure & Assets
Linked Theme	Theme : Thriving City
Linked Corporate Objective	<ul style="list-style-type: none"> <li>■ WBO 2. Economic Growth &amp; Regeneration</li> <li>■ WBO 3. Healthy, Independent &amp; Resilient</li> <li>■ SRA 2. Supporting the Environment &amp; the Economy</li> <li>■ SRA 3. Supporting Health &amp; Well-being of Citizens</li> </ul>

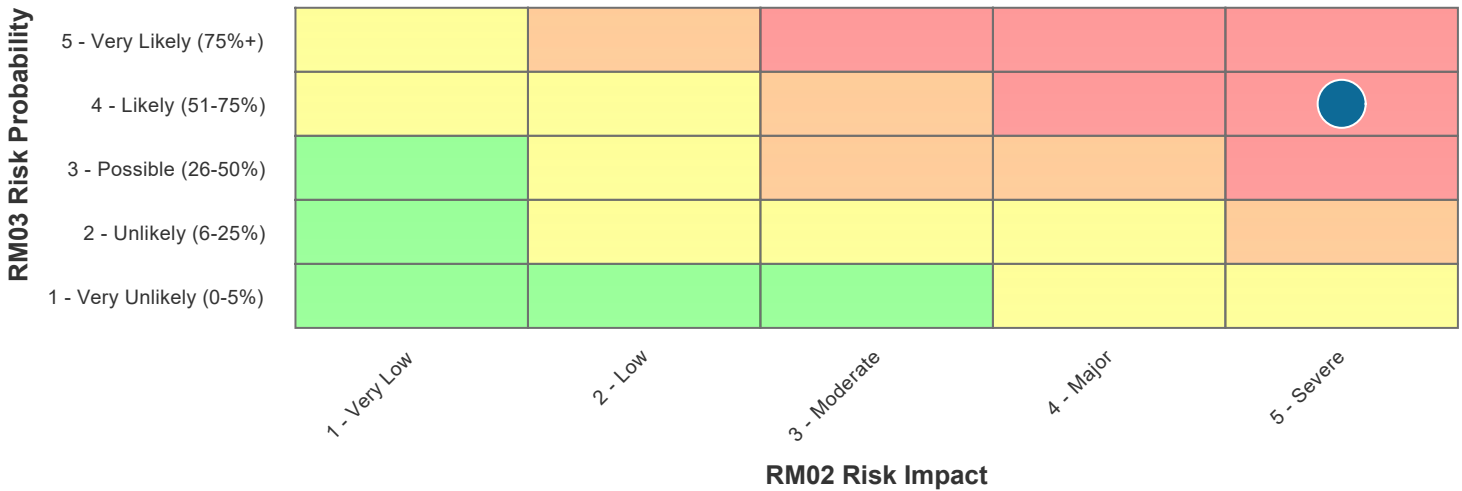


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Inherent Risk Score

15

Target Risk Score



### Direction of Risk

	DoR	Comment
Highways Networks	➡	No change to this risk rating

There are no actions associated with this Risk



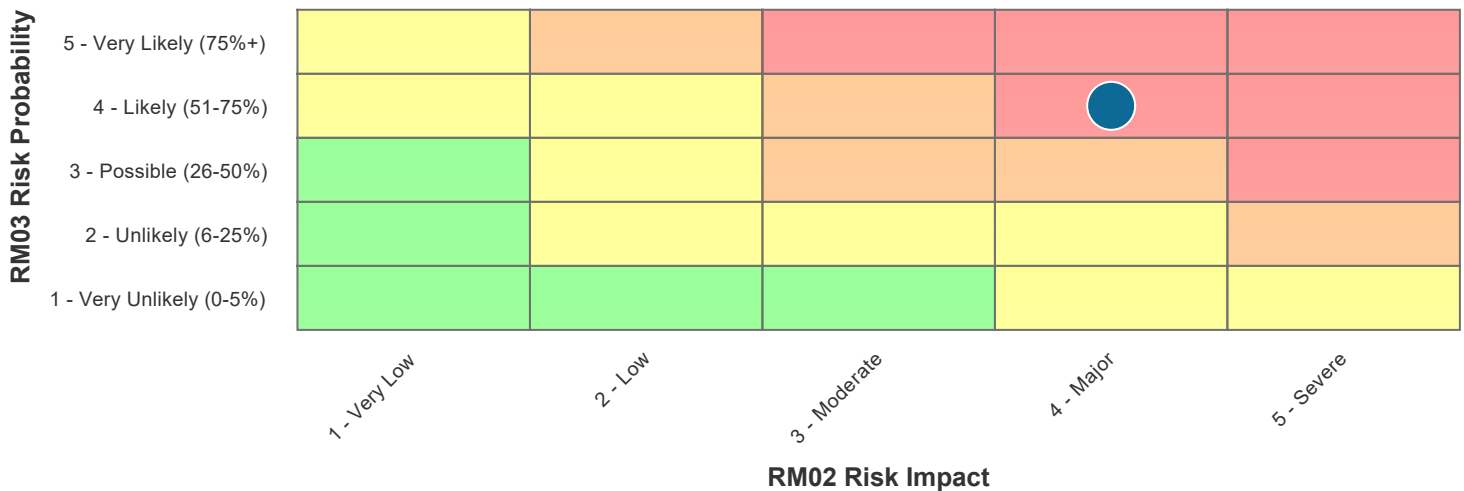


# Newport Council's Property Estate

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	Daniel Cooke
Overseeing Officer	<ul style="list-style-type: none"> <li>Head of People, Policy &amp; Transformation</li> <li>Strategic Director: Transformation &amp; Corporate</li> </ul>
Lead Cabinet Member(s)	Cabinet Member for Infrastructure & Assets
Linked Theme	Theme : Modernised Council
Linked Corporate Objective	<ul style="list-style-type: none"> <li>SRA 2. Supporting the Environment &amp; the Economy</li> <li>SRA 3. Supporting Health &amp; Well-being of Citizens</li> <li>WBO 2. Economic Growth &amp; Regeneration</li> <li>WBO 3. Healthy, Independent &amp; Resilient</li> </ul>



**16** **9**  
Inherent Risk Score Target Risk Score



## Direction of Risk

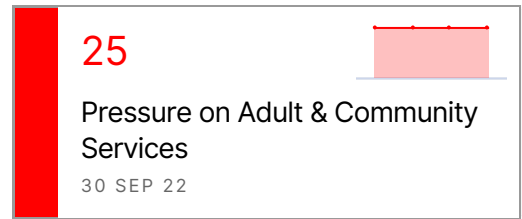
	DoR	Comment
Newport Council's Property Estate	➔	There have been no significant changes to the estate that would warrant a change in the risk score, but more and more issues are beginning to present. The state of the estate is down to its age and level of investment. The Council are working towards deciding upon a method and approach of asset rationalisation and targeted investment to reduce this risk score.

Action Description	Period	Value
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Action Description	Period	Value
A programme of estate rationalisation to see which properties and assets are of strategic value to the Council and those that can be designated for alternative use.	Sep 2022	★
Adherence to the Corporate Landlord Policy and ensuring that all Premises Managers are accountable and responsible.	Sep 2022	✔
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.	Sep 2022	●

# Pressure on Adult & Community Services

Short Description	There is increased pressure on Adult Services to deliver services to adults with complex and long lasting needs. With an increase in demand / volume of referrals and care packages the Council has seen an increase in costs whilst in the context of tightening budgets. There are also additional statutory requirements to safeguard adults in our care and prevent risk of harm, injury or a loss of life.
Risk Owner	Jenny Jenkins
Overseeing Officer	Head of Adult Services
Lead Cabinet Member(s)	Cabinet Member for Social Services
Linked Theme	Theme: Resilient Communities (Social Care)
Linked Corporate Objective	<ul style="list-style-type: none"> <li>■ WBO 3. Healthy, Independent &amp; Resilient</li> <li>■ SRA 3. Supporting Health &amp; Well-being of Citizens</li> </ul>

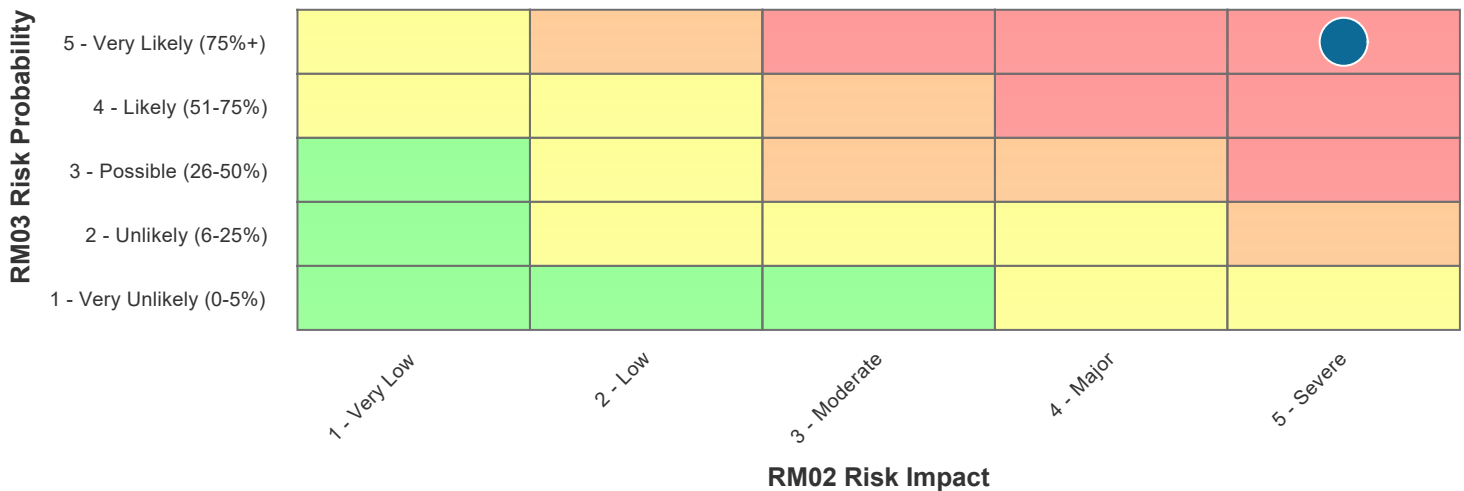


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Inherent Risk Score

10




Target Risk Score



## Direction of Risk

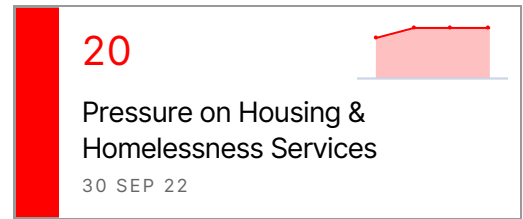
	DoR	Comment
Pressure on Adult & Community Services	➔	<p>The ability to source domiciliary care packages is compromised by poor capacity. Recruitment and retention of staff continues to be an issue. Packages are being sourced and placements are being progressed but the pace is slow and there are people having to wait for care and accept times that do not necessarily suit their needs. We are working closely with providers to ensure we are able to effectively target resources.</p> <p>Within Social Services the number and complexity of referrals places considerable pressure on the whole workforce. This is increasing the likelihood of delays in initial responses, assessments and reviews.</p>

Action Description	Period	Value
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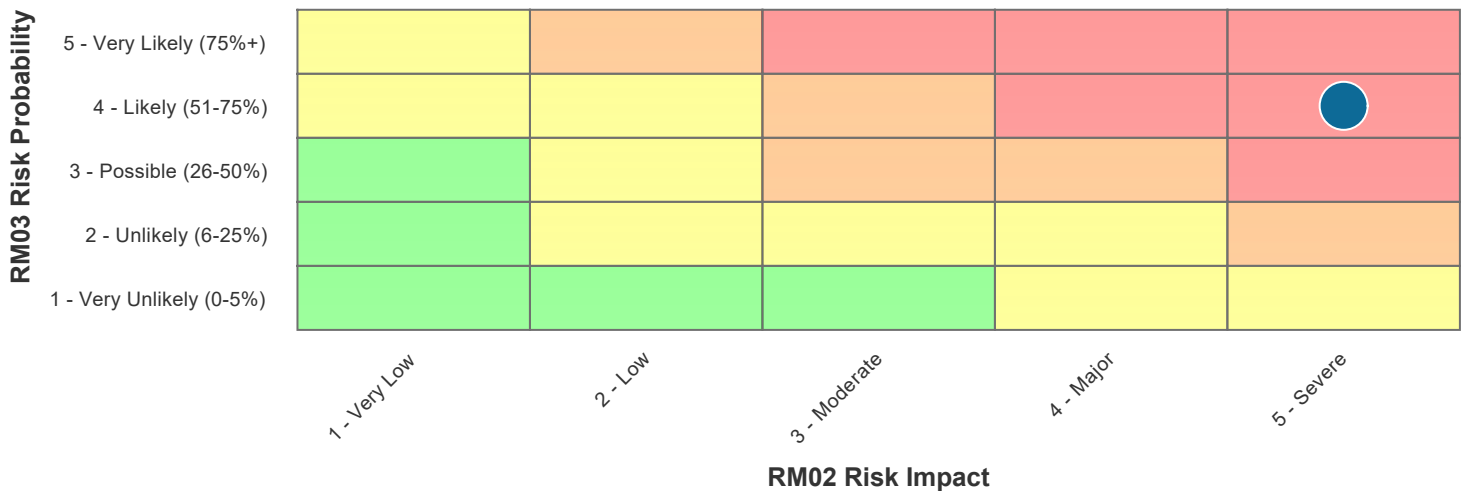
Action Description	Period	Value
Assess the impact of Covid 19 on the long term future sustainability of service providers ensuring that the market is able to offer sufficient market capacity and diversity.	Sep 2022	
To continue to develop First Contact as a multi-agency, multi-disciplinary team effectively managing demand. This includes the integration of the Frailty service into the First Contact Team.	Sep 2022	
To improve the support available for young people with learning disabilities to transition from Children Services into Adults Services. ·	Sep 2022	

# Pressure on Housing & Homelessness Services

Short Description	Increased pressures being faced by the Council's housing service during the Covid-19 pandemic to support people that are presenting at risk of becoming homeless, those persons sleeping rough and those experiencing difficulties in their accommodation.
Risk Owner	Katherine Howells
Overseeing Officer	Strategic Director: Environment & Sustainability
Lead Cabinet Member(s)	Cabinet Member for Strategic Planning, Regulation & Housing
Linked Theme	<ul style="list-style-type: none"> <li>Theme: Resilient Communities (Community)</li> <li>Theme : Thriving City</li> </ul>
Linked Corporate Objective	<ul style="list-style-type: none"> <li>WBO 4. Cohesive &amp; Sustainable Communities</li> <li>SRA 2. Supporting the Environment &amp; the Economy</li> <li>SRA 4. Supporting Citizens post Covid-19</li> <li>WBO 2. Economic Growth &amp; Regeneration</li> <li>WBO 3. Healthy, Independent &amp; Resilient</li> </ul>



20                      6  
 Inherent Risk Score                      Target Risk Score



## Direction of Risk

	DoR	Comment
Pressure on Housing & Homelessness Services	➔	Pressure on homelessness services continues to increase. It is anticipated that the Ukrainian situation, cost of living crisis and an increased number of private sector landlords potentially giving notice to their tenants in advance of the Renting Homes Wales Act coming into force will exacerbate the demand for temporary accommodation. The authority is working with Housing Associations and the private sector to try to prevent homelessness and increase the stock available for temporary and move-on accommodation.

Action Description	Period	Value
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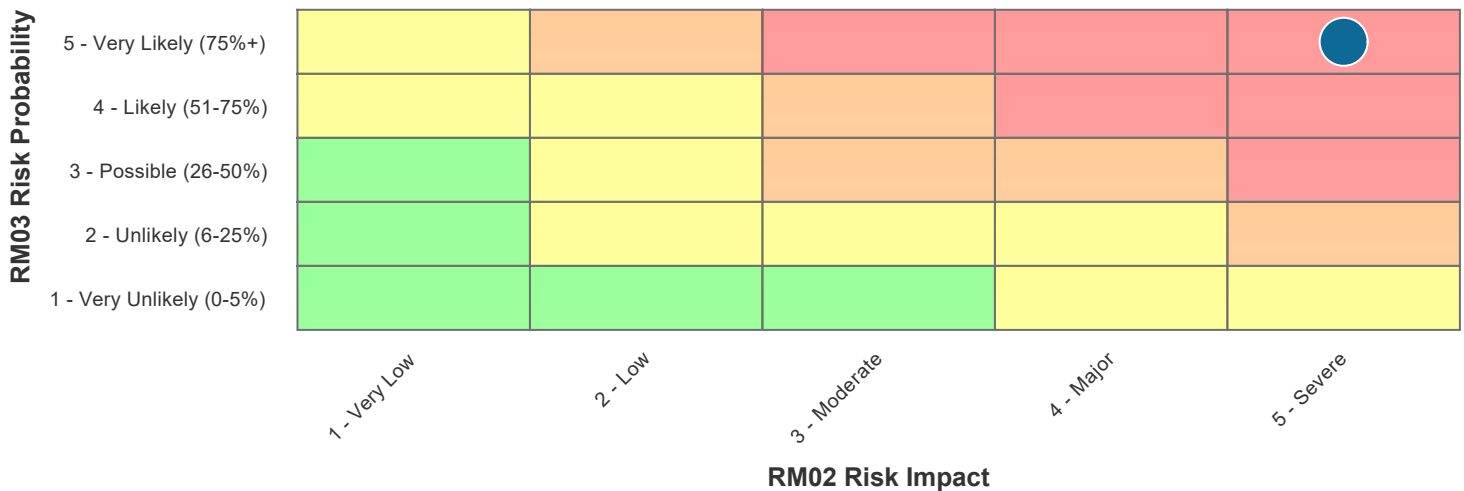
Action Description	Period	Value
Develop a strategy framework for private sector housing, bringing together the Adaptations Policy, Private Sector Leasing scheme, Housing Loans Policy	Sep 2022	●
Review of the Community Housing Protocol to ensure that it remains fit for purpose and delivers the expected outcomes.	Sep 2022	●
Undertake a review of the Housing Allocation Policy.	Sep 2022	●

# Pressure on the Delivery of Children Services

Short Description	Increased pressure on Children Services to manage increase in volume of referrals / cases of children with complex needs. This is in the context of budgets not being able to meet increase in costs to provide the necessary care and front-line staff being able to manage high volume and complex caseloads.
Risk Owner	Natalie Poyner
Overseeing Officer	Strategic Director: Social Services
Lead Cabinet Member(s)	Cabinet Member for Social Services
Linked Theme	<ul style="list-style-type: none"> <li>Theme : Aspirational People</li> <li>Theme: Resilient Communities (Social Care)</li> </ul>
Linked Corporate Objective	<ul style="list-style-type: none"> <li>WBO 3. Healthy, Independent &amp; Resilient</li> <li>SRA 3. Supporting Health &amp; Well-being of Citizens</li> </ul>



**20** **6**  
Inherent Risk Score Target Risk Score



## Direction of Risk

	DoR	Comment
Pressure on the Delivery of Children Services		The risk score has increased in the last quarter as the service has had to put in place measures to manage the increase volume of referrals into the safeguarding hub. We have also seen an increase in staff sickness and we continue to struggle to fill staff vacancies. We are currently working as a whole service to ensure that the most vulnerable and at risk are prioritised and RAG rating of other cases open to statutory services is underway.

Action Description	Period	Value
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Action Description	Period	Value
Completion and implementation of Welsh Government action plan to work towards reducing the numbers of looked after children	Sep 2022	★
Continue with the development of the residential provision (including Windmill Farm) across Newport in order to increase the number of children who can be cared for safely in Newport	Sep 2022	●
In light of the learning during lockdown we will review our existing arrangements for family time to improve the offer for children and families: i) To develop a comprehensive framework of all aspects of family time; ii) Continue to deliver family time virtually as a positive for families.	Sep 2022	★
Increased housing options for care leavers. Currently Newport has a limited range of choices for housing for care leavers especially with a range of suitable support. This action will seek to address this gap. Work has already commenced and will continue.	Sep 2022	★

# Schools Finance / Cost Pressures

Short Description	In year cost pressures of schools are not met resulting in increased deficit budgets
Risk Owner	Deborah Weston
Overseeing Officer	<ul style="list-style-type: none"> <li>■ Chief Education Officer</li> <li>■ Chief Executive</li> </ul>
Lead Cabinet Member(s)	Leader of the Council & Cabinet Member for Economic Growth & Investment
Linked Theme	Theme : Aspirational People
Linked Corporate Objective	WBO 1. Skills, Education & Employment

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Schools Finance / Cost Pressures

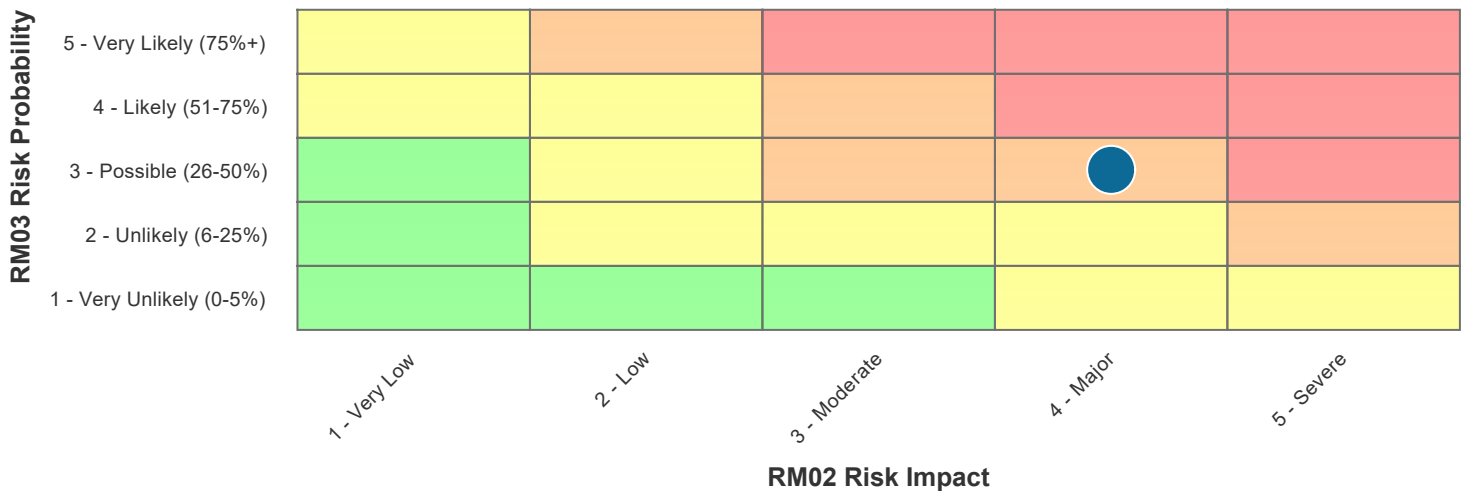
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Inherent Risk Score

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Target Risk Score



### Direction of Risk

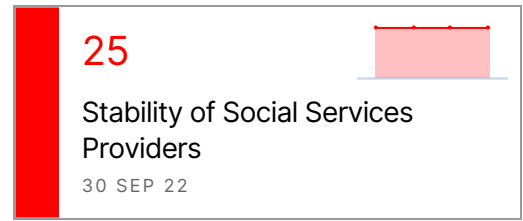
Schools Finance / Cost Pressures	DoR	Comment
	✘	This situation remains very fragile, and following confirmation of the pay award, colleagues in Finance have suggested that some schools could potentially close the year in a deficit position. Systems and processes for early identification of potential difficulties continue to be refined and will be used to mitigate any issues likely to arise.

Action Description	Period	Value
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Action Description	Period	Value
Monitor In-year School budgets to ensure budgets are: • Managed effectively and taking necessary actions to prevent overspending. Effectively taking necessary actions to prevent overspending. Schools that have deficit budget recovery plans are implementing the necessary actions to reduce their overall budget deficits.	Sep 2022	●
Monitoring of primary, secondary and special schools in-year budgets: • To prevent overspending and take necessary mitigating action(s). Schools with deficit budget recovery plans are implementing the necessary actions to reduce their budget deficits	Sep 2022	●
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.	Sep 2022	●

# 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	Head of Adult Services
Lead Cabinet Member(s)	Cabinet Member for Social Services
Linked Theme	Theme: Resilient Communities (Social Care)
Linked Corporate Objective	<ul style="list-style-type: none"> <li>■ WBO 3. Healthy, Independent &amp; Resilient</li> <li>■ SRA 3. Supporting Health &amp; Well-being of Citizens</li> </ul>

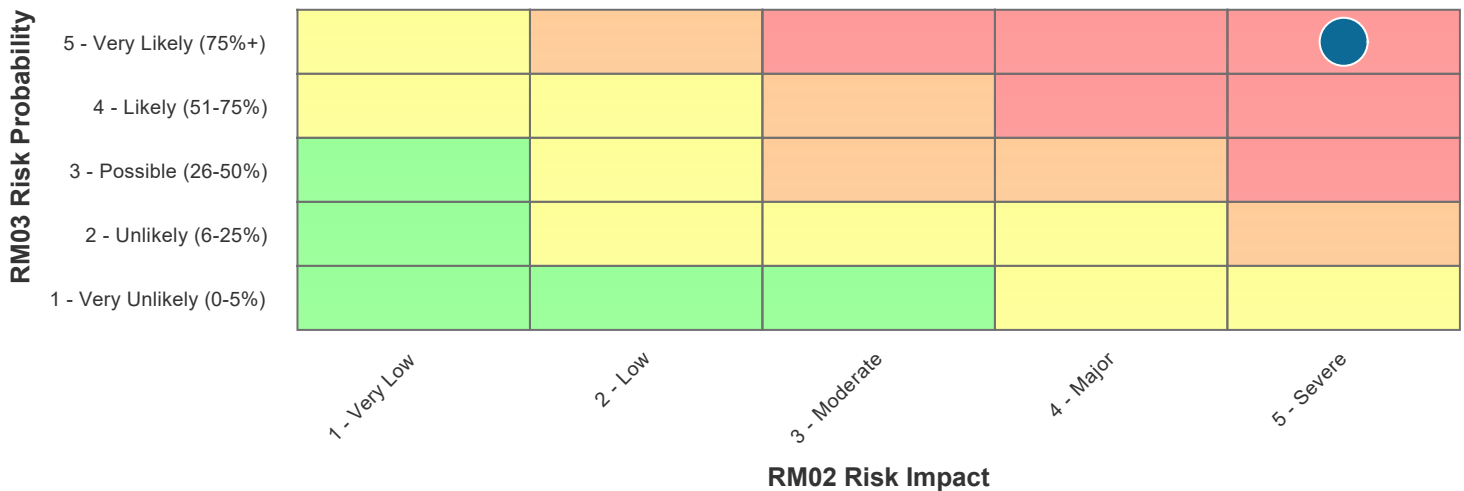


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Inherent Risk Score

**6**

Target Risk Score



## Direction of Risk

	DoR	Comment
Stability of Social Services Providers	➔	The current economic climate is continuing to be challenging. Increased fee levels have delivered financial stability for the time being but predicted energy price hikes and increases in inflation present ongoing risk for winter months of this financial year. In addition, the likely impact of both flu and covid is highly significant in this area of work. Thus the fragility of the workforce continues to impact on capacity.

Action Description	Period	Value
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Action Description	Period	Value
Assess the impact of Covid 19 on the long term future sustainability of service providers ensuring that the market is able to offer sufficient market capacity and diversity.	Sep 2022	