CORPORATE RISK
REGISTER

QUARTER 4

2022-23

NEWPORT
CITY COUNCIL
CYNGOR DINAS
CASNEWYDD
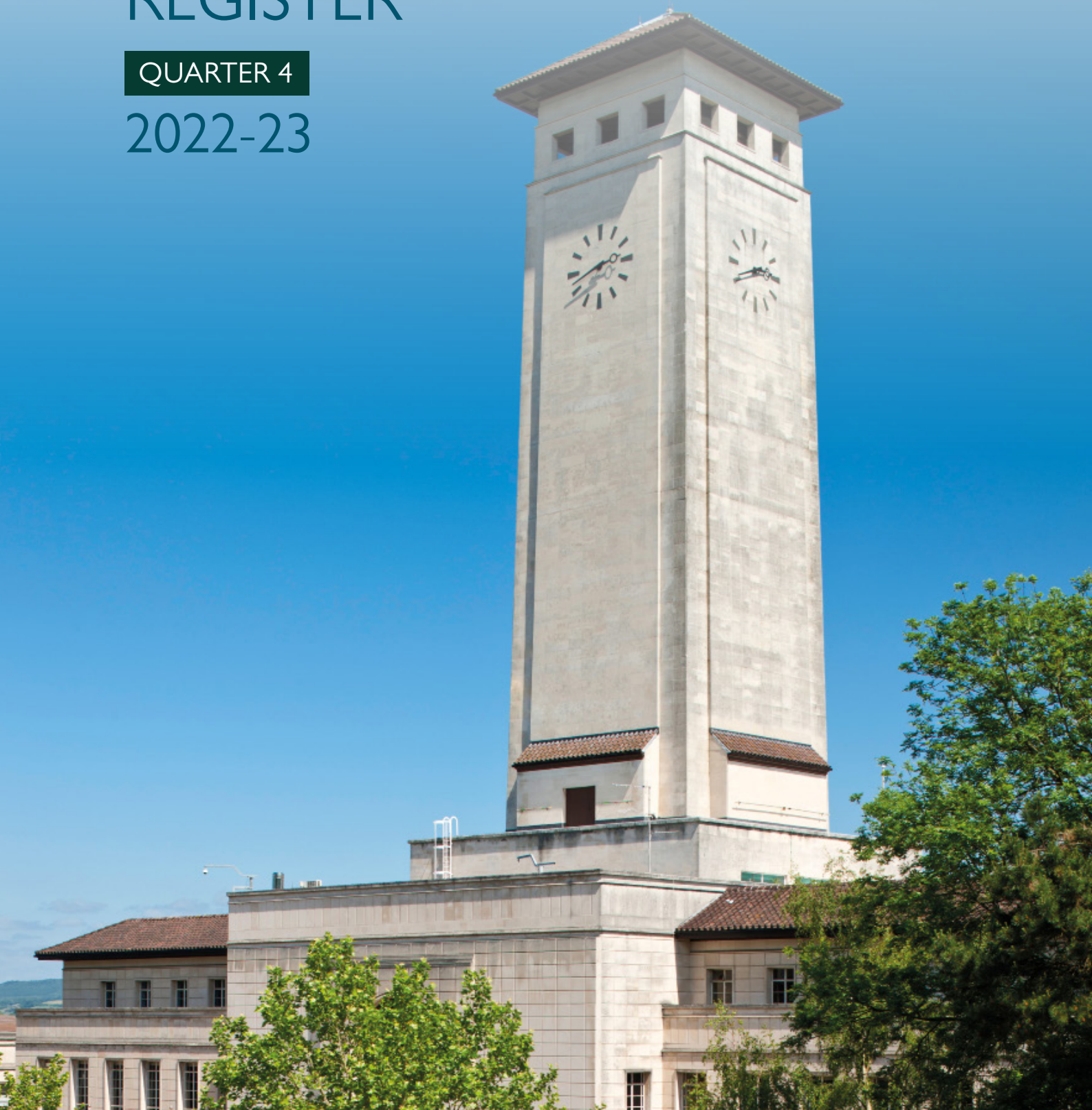
Corporate Risk Report Definitions

Direction of Risk

The change of risk score between previous quarter and the current quarter being reported.

Direction of Risk	Definition
↓	The risk score has decreased / improved since the last quarter update.
✗	The risk score has increased / worsen since the last quarter update.
➡	The risk score has remained the same since the last quarter update.

Risk Mitigation Action Plan

RAG Assessment	Definition
★	Action is on track to be completed by the Agreed target date.
●	Action is mainly on track with some minor issues preventing the action being completed by the agreed target date. Management interventions required to improve performance and close monitoring by the Head of Service / Service Management Team.
▲	Action is not on track with major issues preventing the action being completed by the agreed target date. Immediate management interventions and escalation to Directorate Management Board required to improve performance.

Abbreviations

ALN – Additional Learning Needs
BP – Business Partner
CCP – Climate Change Plan
DOR – Direction of Risk.
LAEP – Local Area Energy Plan
MTFP – Medium Term Financial Plan
NCC – Newport City Council
OOC – Out of County
PPT – People Policy & Transformation
RAG – Red / Amber / Green
RSL – Registered Social Landlord
SEN – Special Education Needs
SRS – Shared Resource Service (Newport Council's IT Partner)
WLGA – Welsh Local Government Association
YJS – Youth Justice Service
'*Name*' – RAG – Defines a programme or project monitoring from service area plans

Balancing the Council's Medium Term Budget

Risk Overview	To meet the Council's requirement of reducing the gap between Council spend and Budget allocation over the next 3-5 years
Parent Service(s)	Finance (sv)
Lead Cabinet Member(s)	Leader of the Council & Cabinet Member for Economic Growth & Investment

16

Inherent Risk Score

10

Target Risk Score

20

Balancing the Council's Medium Term Budget

31 MAR 23

Existing Arrangements to Manage Risk

Governance	• Finance reported to key strategic boards on monthly basis e.g. Executive Board, Directorate Management Boards, Corporate Management Team, Service Area Management teams. • Finance updates reported to Cabinet on revenue and capital position. • Corporate Governance and Council Constitution sets roles and responsibilities of financial management.
Internal Controls & Processes	• Monthly finance (revenue and capital) forecasting of budgets to identify budget pressures and savings. • Finance Business Partners supporting budget holders / senior managers. • Budget setting process with senior officers / budget holders. Includes consultation with public and other key stakeholders.
Other Arrangements	• Regulatory / Audit Wales review of Council finances. • Internal Audit reviews of finance and financial controls. • Local authority network and reporting to Society of Welsh Treasurers and Welsh Government.

Direction of Risk

	DoR	Comment
Balancing the Council's Medium Term Budget	➡	During the last quarter, the Council set its revenue budget for 2023/24, which reflected a balanced budget, as per the legal requirements. However, despite setting a balanced budget for 2023/24, the medium term outlook remains extremely challenging, with a £27m budget gap currently identified. This will prove difficult to address, considering the level of savings already identified for 2023/24. In addition, there remains significant uncertainty in relation to inflationary pressures and potential funding constraints over the medium term horizon, which could add to the budget gap currently identified. The overall rating, therefore, remains at the same level as the previous quarter.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
Lobbying of Welsh Government via Society of Welsh Treasurers and WLGA.	01 Jul 2022	31 Mar 2023	31 Mar 2023	⭐
Procurement review of Contracts and contract inflation	01 Jul 2022	31 Mar 2023	31 Mar 2023	⭐
Regular review of Medium Term Financial Position with other local authorities.	01 Jul 2022	31 Mar 2023	31 Mar 2023	⭐
Review of non-service area budgets and resources	01 Jul 2022	30 Nov 2022	31 Jan 2023	⭐
Review of Pressures submitted by service areas.	01 Jul 2022	30 Sep 2022	31 Jan 2023	⭐
Robust monitoring of the in-year financial position by service area budget holders.	01 Jun 2022	31 Mar 2023	31 Mar 2023	⭐

	Start Date	Target Date	Estimated Completion Date	Performance
Lobbying of Welsh Government via Society of Welsh Treasurers and WLGA.	01 Jul 2022	31 Mar 2023	31 Mar 2023	
Procurement review of Contracts and contract inflation	01 Jul 2022	31 Mar 2023	31 Mar 2023	

City Centre Security & Safety

Risk Overview	Minimise the risks and disruption to people and businesses due major incidents or deliberate acts that pose hazards to people and business and can result in structural damage; damage/disruption to infrastructure and utilities; impacts on business continuity, reputation, and the economy, in both the city centre and affected surrounding areas.
Parent Service(s)	Infrastructure (sv)
Lead Cabinet Member(s)	Cabinet Member for Infrastructure & Assets

12
Inherent Risk Score

9
Target Risk Score

10	
City Centre Security & Safety	
31 MAR 23	

Existing Arrangements to Manage Risk

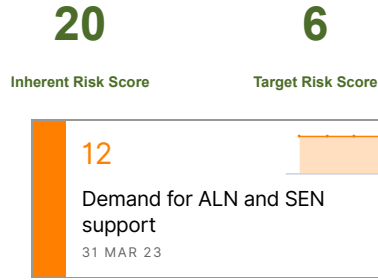|	
Governance	• The Protect Duty Act is currently going through Parliament, which will create a statutory duty for Counter Terrorism preparedness to be undertaken across all City Centres across the UK. • Newport City Council along with the Wales Extremism Counter Terrorism Unit (WECTU), Heddlu Gwent Police and other emergency services have formed the Newport City Council Protectiveness Security and Preparedness Groups (PSPGs), chaired, and led by NCC. • A key role of PSPGs will be the multi-agency assessment of current risk and vulnerabilities, and provision of effective mitigation in a proportionate manner. PSPGs will also ensure responsibilities under the new Protect Duty are discharged.
Internal Controls & Processes	• Included in the NCC Infrastructure Service Area Plan is the objective to ensure Newport City Council is meeting its requirements under the Civil Contingencies Act, by developing and having in place effective governance and control arrangements to identify, prepare and respond to events in Newport. • Supporting this objective, the Council has a well-established and integrated Corporate Emergency Management Plan, which outlines arrangements which are intended to assist the co-ordination of the Authority's response to any actual, or threated incident, or emergency, while maintaining normal services as far as possible. • The plan provides a flexible framework of procedures to enable a quick, effective and appropriate response to mitigate the effects of an incident or emergency that may have an impact on the Council's response. • The Council's Emergency Management Structure provides a framework of integrated emergency management to ensure co-ordination within the Council and with external agencies. The structure enables the Council to respond at an operational, tactical and strategic level. • At a strategic level in any incident a Gold Duty Officer (Chief Executive, Strategic Director, Head of Service) will be available to decide on what actions to take. Via the Civil Contingencies Duty Officer systems, the Council also provides a 365 24/7 incident response. • Consideration to be given to incorporating structured and strategic conversations about security and counter terrorism into pre application stage of major developments.
Other Arrangements	• Through the duties of the Civil Contingencies Act 2004, that Council also works in partnership with key responding agencies, including the emergency services, to ensure a timely and effective multi agency response to incidents. Multi Agency Plans and Procedures are developed via the Gwent Local Resilience Forum. • Due to significant recent major incidents across the UK (Manchester Arena Bombing) the Council with its partners review any recommendations resulting from inquiries to ensure that where necessary appropriate learning is integrated into existing plans and procedures.

Direction of Risk

	DoR	Comment
City Centre Security & Safety	➡	Due to unforeseen operational requirements the primary work associated with the security and safety of the City Centre has yet to be fully delivered. However, through an initial scoping study to ensure that changes to the city centre footprint are reflected, the Civil Contingencies Unit has now commenced work to develop and implement coordinated arrangements to improve the security and safety of all city centre users. In addition, through existing Council and Multi Agency Plans and Procedures, generic arrangements are in place to respond to and wherever possible mitigate the impacts of any incident irrespective of cause to any place across the Newport City Council area. Therefore, the risk score remains unchanged.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
☑ City Centre Training to Businesses	28 Feb 2020	31 Mar 2024	31 Mar 2024	🟠
☑ Co-ordinated evacuation arrangements	31 Mar 2020	31 Mar 2024	31 Mar 2024	🟠

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
☑ City Centre Training to Businesses	28 Feb 2020	31 Mar 2024	31 Mar 2024	🟠
☑ Co-ordinated evacuation arrangements	31 Mar 2020	31 Mar 2024	31 Mar 2024	🟠

Demand for ALN and SEN support

Risk Overview	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.
Parent Service(s)	Education Services (sv)
Lead Cabinet Member(s)	Deputy Leader & Cabinet Member for Education & Early Years

20

Inherent Risk Score

6

Target Risk Score

12

Demand for ALN and SEN support

31 MAR 23

Existing Arrangements to Manage Risk

Governance	• Schools Forum review and agree funding formulas and funding arrangements for school • Schools Forum Finance sub-group. • ALN Panel scrutinise pupil information to identify if a specialist placement is needed as part of their statutory duty.
Internal Controls & Processes	• ALN Implementation finance subgroup review and discuss a number of funding formula models and agree on the most appropriate to be presented firstly to the Schools forum Finance Sub-Group and if in agreement will be presented at Schools Forum for ratification. • ALN Panel scrutinise pupil information to identify if a specialist placement is needed as part of their statutory duty. • Specific OOC ALN Officer responsible for monitoring OOC provision and where possible look for local alternative provision.
Other Arrangements	• Newport LA has commissioned 14 places at Catch 22 a primary age Social, Emotional, Behaviour Difficulties Independent Education Provider to reduce the risk of pupils requiring OOC placements.

Direction of Risk

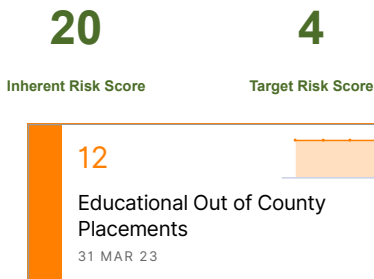|	DoR	Comment
Demand for ALN and SEN support	➡	The risk score has remained static as we continue to maintain the risk within the service area. However due to the increased cost of Teaching Assistants and the potential budget risks for schools this may cause an additional pressure in the future. The ALN Implementation group will review the implications of the ALN funding formula in the summer term to understand the impact of ALN funding on school budgets.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
Develop a Post – 16 Transition Plan to support ALN learner at all points of transition up to age 24	01 Sep 2022	31 Mar 2024	31 Mar 2024	★
Develop feedback system for learners, parents & carers to support effective dispute resolution	01 Nov 2022	31 Mar 2024	31 Mar 2024	★
Establish a coherent anti-poverty strategy across all service	01 Sep 2022	31 Mar 2024	31 Mar 2024	★
Extend specialist provision including Welsh medium within the city to accommodate needs identified…	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
Implement the ALN and Educational Tribunal Act 2018…	01 Apr 2022	31 Mar 2024	31 Mar 2024	★

Educational Out of County Placements

Risk Overview	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.
Parent Service(s)	Education Services (sv)
Lead Cabinet Member(s)	Deputy Leader & Cabinet Member for Education & Early Years

20

Inherent Risk Score

4

Target Risk Score

12

Educational Out of County Placements

31 MAR 23

Existing Arrangements to Manage Risk

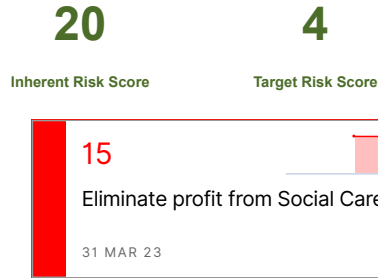| Governance	• ALN Panel scrutinise pupil information to identify if a specialist placement is needed as part of their statutory duty. • Procurement and Head of Service approval needed for OOC placements.
Internal Controls & Processes	• ALN Panel scrutinise pupil information to identify if a specialist placement is needed as part of their statutory duty. • Monthly budget monitoring and review of cost of planned OOC placements • Procurement and Head of Service approval needed for OOC placements. • Specific OOC ALN Officer responsible for monitoring OOC provision and where possible look for local alternative provision.
Other Arrangements	• Newport LA has commissioned 14 places at Catch 22 a primary age Social, Emotional, Behaviour Difficulties Independent Education Provider to reduce the risk of pupils requiring OOC placements.

Direction of Risk

	DoR	Comment
Educational Out of County Placements	➡	The OOC risk has remained the same as the last quarter. We have retendered for the secondary Social Emotional Behavioral Difficulties (SEBD) provision contract and are awaiting the outcome. The consultation on the proposal to open a secondary Autism Spectrum Disorder (ASD) Base in 2023-24 with a view to retain as many pupil placements locally has concluded and the outcome of the the proposal is due in the summer term. Both of these areas of work will lead to additional local provision for pupils with SEBD or ASD.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
Develop a Post – 16 Transition Plan to support ALN learner at all points of transition up to age 24	01 Sep 2022	31 Mar 2024	31 Mar 2024	★
Develop feedback system for learners, parents & carers to support effective dispute resolution	01 Nov 2022	31 Mar 2024	31 Mar 2024	★
Establish a coherent anti-poverty strategy across all service	01 Sep 2022	31 Mar 2024	31 Mar 2024	★
Extend specialist provision including Welsh medium within the city to accommodate needs identified…	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
Implement the ALN and Educational Tribunal Act 2018…	01 Apr 2022	31 Mar 2024	31 Mar 2024	★

Eliminate profit from Social Care

Risk Overview	Increased pressure on Local Authorities to ensure children are placed in accommodation which does not make profit from children by 2027 as part of Welsh Government Legislation. Although Welsh LA's support this is principle it may lead to LA's being forced into developing unregistered emergency placements for children. This is costly and could lead to prosecution of the Head of Children's Services.
Parent Service(s)	Children Services (sv)
Lead Cabinet Member(s)	Cabinet Member for Social Services

20
Inherent Risk Score

4
Target Risk Score

15
Eliminate profit from Social Care
31 MAR 23

Existing Arrangements to Manage Risk

Governance	• Children Services is working both nationally and regionally to create opportunities to reduce the risks. • The Council's Corporate Plan and Service Plan has identified this as a strategic priority to deliver over the next 5 years. • Regional collaborative working to identify options and opportunities to create in-house services. • Bids have been submitted to WG to develop care homes for children and to assist with developing edge of care provisions in order to reduce the numbers of children entering the care system.
Internal Controls & Processes	• Newport Council has several settings such as Windmill Farm, and Rosedale Cottage which provide in-house provision which is also available to other local authorities. • Bids have been submitted to Welsh Government to develop further provision in Newport. • Newport fostering team has a recruitment campaign which is aligned with Foster Wales
Other Arrangements	• Newport is working with Action for Children to develop a local residential provision for our disabled children and developing further residential provision for our Unaccompanied Asylum Seeker Children. • NCC has submitted a bid to Welsh Government for revenue funding up to £15m to support the delivery of this new requirement over the next 3 years. The funding will be used to develop projects to build in-house placement sufficiency. • However, after the three year period it is uncertain whether NCC will receive additional funding. It is anticipated for NCC to be notified by the quarter 3.

Direction of Risk

	DoR	Comment
Eliminate profit from Social Care	➡	Risk score has remained the same for this quarter. However, there remains a significant risk of legal challenges against the Council where placements have to be made to practices 'Operating without Registration'.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
Focus on developing specialist fostering placements with psychological support.	01 Oct 2022	30 Apr 2023	30 Apr 2023	🟠
Increase the proportion of foster care provision within Newport.	01 Oct 2022	31 Aug 2024	31 Aug 2024	⭐

Highways Network / Infrastructure

Risk Overview	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.
Parent Service(s)	Infrastructure (sv)
Lead Cabinet Member(s)	Cabinet Member for Infrastructure & Assets

20

Inherent Risk Score

15

Target Risk Score

20

Highways Network / Infrastructure

31 MAR 23

Existing Arrangements to Manage Risk

Governance	Highway Asset Management Plan • A quinquennial Highway Asset Management Plan (HAMP) is produced by City Services, which was last refreshed in 2019. It seeks to document the activities, processes, and information to support strategic investment decisions and long-term maintenance planning. • It provides information on the assets we have responsibility for, monitors how they are performing, documents their depreciation and confirms levels of funding required to mitigate the demands placed upon them. Highway Annual Status and Options Report • The highway Annual Status and Options report is a product of the HAMP that records the condition of the assets and seeks to identify and prioritise the funding need. • The report sets out the status of our assets in terms of extent, value and condition and presents the projected outcome of identified investment options. Highway Maintenance Manual • The Highway Maintenance Manual documents how the council manages the city's highway maintenance. It sets out how, as highway authority, it discharges its duties and the management of user risk.
Internal Controls & Processes	• To ensure the asset condition, maintenance requirement and its associated risk to the highway user is understood, the service area undertakes the following internal controls and processes: Reactive Safety Inspections • These are inspections undertaken in response to stakeholder notification of potential maintenance defects Routine Inspections • This is a regime of planned safety inspections designed to identify defects that have the potential to cause harm to users and defects that require repair in order to prevent escalation of deterioration and increased (avoidable) maintenance needs. Condition Surveys • These are both visual and specialist road condition "machine based" surveys, that record the condition of components of the asset to enable a programme of renewal/replacement to be prepared
Other Arrangements	• The Highway Asset Management Plan projects an anticipated annual capital investment of £500k and an anticipated £1.86m revenue investment through to the end of the current plan in 2023/24.

Direction of Risk

	DoR	Comment
Highways Network / Infrastructure	➡	Nationally, the condition of the country's highway infrastructure asset as a whole continues to be a cause of concern as a result of historic underinvestment. Within Newport, the annual highway network investment has continued to decrease over time whilst the number of roads maintainable at public expense and asset usage has continued to rise. Investment levels are failing to maintain "steady State" as a minimum asset condition. Therefore, asset condition continues to deteriorate year on year. In addition to the impact of increased vehicles and usage of assets, increases in permitted axle weights, wetter winters and hotter summers are all resulting in accelerated deterioration and unpredictable asset failure. 2022/23 has seen a decline in highway asset condition, especially within the carriageway and structures (bridges) asset groups.

Risk Mitigation Action Plan

Executive Board have accepted no further Risk Mitigation can be undertaken to manage the risk. Ongoing assurance provided through internal / external audit reviews and regular risk assessments through Directorate / Service Area.

Information and Cyber Security

Risk Overview	Management and security of the Council's data to protect from being accessed and processed inappropriately. This includes preventing inappropriate access, loss, theft, and malicious attacks to maintain business continuity and integrity of our data.
Parent Service(s)	People, Policy & Transformation (sv)
Lead Cabinet Member(s)	Cabinet Member for Organisational Transformation

12
Inherent Risk Score

8
Target Risk Score

12
Information and Cyber Security
31 MAR 23

Existing Arrangements to Manage Risk

Governance	• Existing governance is documented in the council's information risk management policy. This includes internal groups such as the Information Governance Group chaired by the Director – Transformation and Corporate and the Data Protection Group. It also includes roles of Senior Information Risk Owner (SIRO), Data Protection Officer (DPO), the Information Management team and a designated Cabinet Member with this strategic responsibility. • The Annual Information Risk Report is formally reviewed by Overview Scrutiny Management Committee and Cabinet Member – Organisational Transformation. • Existing Organisation / Service Area management structure to report and escalate issues to senior officers. Also could be a Programme / Project Board, Task & Finish Group or other governance group which are aware and have oversight of the risk.
Internal Controls & Processes	• 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. • Data Protection Impact Assessments (DPIA's) are carried out and an Information Risk Register is managed. • 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.
Other Arrangements	• Audit Wales conducts independent reviews including on cyber security. The council is a member of the Warning and Reporting Point (WARP). • Shared Resource Service is responsible for the Council's management of systems and processes.

Direction of Risk

	DoR	Comment
Information and Cyber Security	➡	Existing governance is documented in the council's information risk management policy including the Information Governance Group and the Annual Information Risk Report. The council has a new Senior Information Risk Owner (SIRO) and briefings have taken place. An Annual IT Health Check is carried out in line with requirements of the Public Services Network (PSN) and is currently planned for May 2023. 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. The implementation of a Security Operations Centre (SOC) and Security Information and Event Management (SIEM) system should be completed in 2023 and this will provide further protection. Physical security measures are in place to prevent inappropriate access and a data centre move to a more resilient data centre should be complete in April/May 2023. 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.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
Implement Security Information and Event Management (SIEM) system and Security Operations Centre.	01 Oct 2022	30 Sep 2023	30 Sep 2023	★

Newport Council's Property Estate

Risk Overview	NCC has a significant property estate covering over 170 operational buildings (circa) such as the Civic Centre, Telford Depot, and its school estate 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.
Parent Service(s)	People, Policy & Transformation (sv)
Lead Cabinet Member(s)	Cabinet Member for Infrastructure & Assets

20
Inherent Risk Score

12
Target Risk Score

16
Newport Council's Property Estate
31 MAR 23

Existing Arrangements to Manage Risk

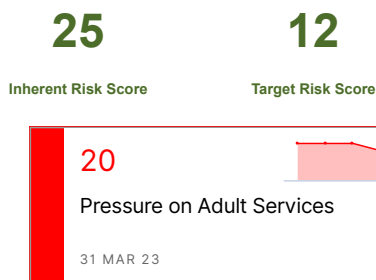|	
Governance	• The Council's Capital Strategy Asset Management Group is responsible for the monitoring, delivery and reporting of the Council's Assets. This is represented by senior officers from the Council and representatives from the Council's Property Services partner, Newport Norse. • The Schools' / Social Services estate is also overseen by the People Capital Group which also includes representatives from the Council's Property Services partner, Norse Norse and Council representatives.
Internal Controls & Processes	• Newport Council has contract arrangement with Newport Norse who oversee the management and maintenance of the Council's estate. Service Areas are responsible for the building assets which they use across the Council's estate. • Newport Norse are responsible for undertaking regular building condition assessments to ensure that they meet necessary legislative and building regulations. The assessments completed by Newport Norse are risk assessed and reported through the Council's governance groups. Maintenance work completed on the Council's estate is prioritised based upon risk including any reactionary / immediate work that has to be completed. • School's estate is devolved to schools and managed through their arrangement with Newport Norse and the Corporate Landlord Policy establishes responsibilities also.
Other Arrangements	• Newport Council has a maintenance budget of £1.5m in its capital programme. However, it is estimated that the Council should be spending £8.5m pa. The Council has a contract arrangement with Newport Norse to oversee and manage the estate portfolio (including schools)

Direction of Risk

	DoR	Comment
Newport Council's Property Estate	➡	The risk reflects the significant investment required in the property estate across a range of properties. The Council have begun on a significant rationalisation programme which will include discussions around targeted investment to reduce this risk score. However at this stage, there have been no significant changes to the estate that would warrant a change in the risk score.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
Adherence to the Corporate Landlord Policy and ensuring that all Premises Managers are accountable.	01 Oct 2022	31 Mar 2024	31 Mar 2024	★
Asset Rationalisation - RAG	01 Oct 2022	31 Mar 2025	31 Mar 2025	★
Develop and manage effective contract management arrangements with Newport Norse.	01 Oct 2022	31 Mar 2024	31 Mar 2024	★
Establish the Civic Centre investment requirements to provide a suitable office environment.	01 Oct 2022	31 Mar 2024	31 Mar 2024	★
Review NCC Strategic Asset Management Plan, and Disposal and Asset transfer strategies.	01 Oct 2022	31 Mar 2023	31 Mar 2023	★

Pressure on Adult Services

Risk Overview	There is increasing 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.
Parent Service(s)	Adult Services (sv)
Lead Cabinet Member(s)	Cabinet Member for Social Services

25
Inherent Risk Score

12
Target Risk Score

20
Pressure on Adult Services

31 MAR 23

Existing Arrangements to Manage Risk

Governance	• Newport Council has a new structure with a Director of Social Services and three service areas to deliver Social Services. • There are regular Directorate and Service Area meetings held to monitor and report the delivery of Adult Services. • At a regional level the Council is part of the Regional Partnership Board which oversees the delivery of social services across Gwent. • A Population Needs Assessment has been undertaken for Gwent in relation to the forecasting of demand and provision of services across Newport and Gwent.
Internal Controls & Processes	• NCC Adult Services has various mechanisms to monitor and report on the delivery of its services through financial and non-financial performance measures. • Regular reports and updates are provided through Directorate, Service and Team management levels in the organisation.
Other Arrangements	• The delivery of Adult Services is subject to External Regulatory review through Care Inspectorate Wales. • Internal Audit provide assurance in relation to the delivery of Adult Services.

Direction of Risk

	DoR	Comment
Pressure on Adult Services	⬇✔	Pressure remains however recent recruitment to some key posts slightly improves the situation.

Risk Mitigation Action Plan
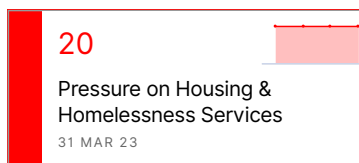
Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
☑ Appointeeship Service - RAG	01 Apr 2021	31 Mar 2024	31 Mar 2024	★
☑ Dementia Hwb in Newport - RAG	01 Oct 2022	31 Mar 2023	31 Mar 2023	●
☑ Hospital Service - RAG	01 Oct 2022	31 Mar 2023	31 Mar 2023	★
☑ Integration of Frailty service into Info, Advice & Assistance hub - RAG	01 Apr 2021	31 Mar 2023	31 Mar 2023	●
☑ Redesign of Adult Services - RAG	01 Oct 2022	31 Mar 2024	31 Mar 2024	★

Pressure on Housing & Homelessness Services

Risk Overview	Increased pressures being faced by the Council's housing service as result of new legislative requirements, lack of affordable permanent accommodation, cost of living crisis and uncertainty over future financial grants from Welsh Government
Parent Service(s)	Housing & Communities (sv)
Lead Cabinet Member(s)	Cabinet Member for Strategic Planning, Regulation & Housing

20

Inherent Risk Score

12

Target Risk Score

20

Pressure on Housing & Homelessness Services

31 MAR 23

Existing Arrangements to Manage Risk

Governance	• Housing and Homelessness is being monitored through existing governance arrangements through the Directorate Management Board and Service Management Team. • Furthermore there are existing team arrangements to monitor and report the delivery of the service. • The Housing and Homelessness teams are also involved with the Strategic Housing Forum and its associated subgroups with Registered Social Landlords and Rough Sleeper Strategic Group.
Internal Controls & Processes	• Weekly meetings are held with the finance BP to discuss budgets and forecasting. • The Housing and Homelessness teams also submit monthly finance forecasts and produce quarterly performance measures to monitor performance. • There are also other operational performance measures monitored and reported through the teams. • The team also submit monthly Wales Housing statistics to Welsh Government.
Other Arrangements	• Welsh Government grants were received during 2022-23 which reduce the overall spend on the housing advice and temporary accommodation service. • WG has advised that additional grant funding will be forthcoming in future years but has given no indicative figures. • The Housing and Homelessness teams are also involved with the Strategic Housing Forum and its associated sub groups with Registered Social Landlords and Rough Sleeper Strategic Group. • NCC provides regular monitoring performance reports on its housing and homelessness position.

Direction of Risk

	DoR	Comment
Pressure on Housing & Homelessness Services	➡	Welsh Government's 'No one left out' policy continues to have an impact on the number of households whom the authority has a statutory duty to accommodate in temporary accommodation. Supply is not keeping pace with demand and the cost of living crisis has started to increase this demand further. A number of initiatives are being explored to increase the supply of temporary and permanent housing.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
Complete a Private Rented Sector Strategy	01 Oct 2022	31 Mar 2023	31 Mar 2023	●
Deliver Housing Support Programme Strategy (HSPS) and undertake review of actions	01 Oct 2022	31 Mar 2024	31 Mar 2024	●
Develop a cost-effective training program, quality standards & KPIs to support housing staff.	01 Jan 2023	31 Mar 2024	31 Mar 2024	★
Develop a methodology for assessing the impact of affordable housing on community well-being.	01 Oct 2022	31 Mar 2023	31 Mar 2023	●
Develop an overarching Corporate Housing Strategy.	01 Oct 2022	31 Mar 2024	31 Mar 2024	★
Develop initiatives to support an effective private rented sector.	01 Oct 2022	31 Mar 2024	31 Mar 2024	★
New on-call service is developed and introduced providing best value to citizens.	07 Nov 2022	31 Mar 2024	31 Mar 2024	★
Newport Housing Sector Programme - RAG	01 Oct 2022	31 Mar 2027	31 Mar 2027	★
Produce a Housing Prospectus	01 Oct 2022	31 Mar 2024	31 Mar 2024	★
Produce a Local Housing Market Assessment	01 Oct 2022	31 Mar 2023	31 Mar 2023	●
Recruit a Strategic Co-ordinator to take forward the Rapid Rehousing Transition Plan	01 Oct 2022	31 Mar 2023	31 Mar 2023	★
Review the Common Allocations policy in line with rapid rehousing.	01 Oct 2022	31 Mar 2024	31 Mar 2024	●
Review the Community Housing Protocol	01 Apr 2021	31 Mar 2023	31 Mar 2023	●
Work with RSL partners to apply for emerging funding streams for the development of accommodation	01 Oct 2022	31 Mar 2023	31 Mar 2023	★

Pressure on the Delivery of Children Services

Risk Overview	Children Services are facing pressures to manage to manage increase in volume of referrals and cases of children with complex needs. This is in a context of inflationary cost rises and budgets not being able to meet these cost increases; alongside recruitment and retention issues across the Social Care sector and in Newport.
Parent Service(s)	Children Services (sv)
Lead Cabinet Member(s)	Cabinet Member for Social Services

25

Inherent Risk Score

12

Target Risk Score

25
Pressure on the Delivery of Children Services
31 MAR 23

Existing Arrangements to Manage Risk

Governance	• Children Services delivered in accordance with Social Services and Well-being Act, Well-being of Future Generations and Children's Act. • There are governance arrangements in place at local, regional and national levels. • Directorate and Service Management Teams meet monthly to provide service and performance updates on the delivery of the service. This includes performance, finance and HR information to inform decision making. Additionally, the Council's Executive Board and Corporate Management Team has oversight in the delivery of services. • At a regional (Gwent) level, Heads of Service and Director of Social Services represent Newport Council at the Regional Partnership Board. Service pressures are reported here and collaborative working between agencies and other local authorities. • The Safeguarding Board and Children's Family Strategic Partnership Board collaboratively work at regional levels to monitor and manage demand issues.
Internal Controls & Processes	• The Council's Children Services teams deliver services in compliance with the Social Services and Well-being Act and Children's Act. Internal Controls and processes are established to meet these requirements under the different Acts. • WCCIS system monitors and records caseloads and case management across social services. Regular (Monthly) check ins and case management meetings are held between the Council's staff and managers to monitor and manage caseloads. • Collaborative and co-production working takes place between Children Services and other agencies to manage caseloads. This includes Foster Wales. • Human Resources – HR Business Partners support Managers with the recruitment and retention of staff including working the Council's Communications team to promote social care roles. • Finance – monthly forecasting and monitoring of finances across Children services. Mechanisms in place to escalate budget pressures and Finance Business Partners forecasting demand pressures / resources. Commissioning and procurement to find best value for residential placements. • Performance Management – Monthly reporting to Welsh Government and regular performance monitoring of services in Newport.
Other Arrangements	• Care Inspectorate Wales (External Regulator) and Internal Audit provide assurance of governance, internal control and risk management. • Third sector partnership working with Barnardos – prevention and statutory functions supporting families, MyST, residential homes provision, and Foster families.

Direction of Risk

	DoR	Comment
Pressure on the Delivery of Children Services	➡	Children Services continues to have high demand for services and a crisis in recruitment and retention. The current budget position is highly likely to have a huge impact on delivery of services moving forward.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
Access appropriate regional and National workforce development groups.	01 Oct 2022	31 Mar 2024	31 Mar 2024	🟠
Acquisition of new YJS intervention hub.	01 Oct 2022	31 Mar 2025	31 Mar 2025	⭐
Children Services - Support staff to access social care training to social work qualification.	01 Oct 2022	31 Mar 2024	31 Mar 2024	⭐
Develop support provided by the YJS incorporating robust early intervention and prevention work.	01 Apr 2022	31 Mar 2024	31 Mar 2024	⭐
Extend the Rapid Response team with an expanded evening and weekend crisis offer.	01 Oct 2022	30 Jun 2023	30 Jun 2023	🟠

Schools Finance / Cost Pressures

Risk Overview	Cost pressures of schools are not met resulting in increased deficit budgets
Parent Service(s)	Education Services (sv)
Lead Cabinet Member(s)	Deputy Leader & Cabinet Member for Education & Early Years

20
Inherent Risk Score

12
Target Risk Score

12
Schools Finance / Cost Pressures
31 MAR 23

Existing Arrangements to Manage Risk

Governance	• Structures within Education and Finance support the escalation of identified issues to senior officers, Heads of Services and Executive Board. • In addition, the Schools Forum is a statutory committee which acts as a consultative body in relation to any changes to the schools funding formula, and task and finish sub-groups are created to consider specific elements where necessary. • Schools Governors are also responsible for monitoring and reporting school finance positions.
Internal Controls & Processes	• The Finance Business Partners provide a key role through their relationships with schools, and support early identification of emerging issues. • Any issues are escalated to the Lead and Senior Finance Business Partners and the Assistant Head of Education to consider intervention and discussions around appropriate mitigating actions.
Other Arrangements	• Each school has a Service Level Agreement with the Council to support them in financial planning and monitoring, although schools have a choice in the level of service they wish to procure under these arrangements.

Direction of Risk

	DoR	Comment
Schools Finance / Cost Pressures	➡	The situation with school budgets remains very fragile. One primary school is expected to close the 2022/23 financial year in deficit, and it is likely that a number of schools will be unable to set a balanced budget for 2023/24 without either a licensed deficit or significant mitigating measures. The scale of this potential issue is still being modelled by schools with support from their nominated Finance Business Partners. A series of four support sessions were made available to schools during March 2023, but these were not well attended, particularly by primary schools. Once the positions for 2023/24 are confirmed, colleagues in Finance will work with schools to model the impact on future years.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
Monitoring of Primary, Secondary & Special Schools In-Year Budgets	01 Apr 2020	31 Mar 2022	31 Mar 2023	🟠
Review approved school budgets and investigate future spend plans…	01 Apr 2022	31 Mar 2024	31 Mar 2024	⭐

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
Monitoring of Primary, Secondary & Special Schools In-Year Budgets	01 Apr 2020	31 Mar 2022	31 Mar 2023	🟠
Review approved school budgets and investigate future spend plans…	01 Apr 2022	31 Mar 2024	31 Mar 2024	⭐

Stability of Social Services Providers

Risk Overview	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.
Parent Service(s)	Adult Services (sv)
Lead Cabinet Member(s)	Cabinet Member for Social Services

25
Inherent Risk Score

12
Target Risk Score

20
Stability of Social Services Providers
31 MAR 23

Existing Arrangements to Manage Risk

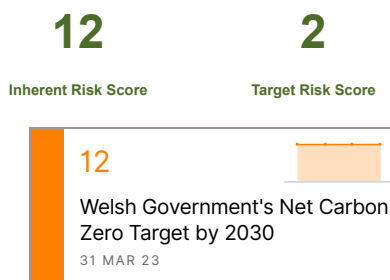| Governance	• Newport City Council is consistently reviewing and monitoring the provision of residential and non-residential care providers in the city and across the region. • Regular Directorate and Service area meetings are held including representatives from Finance to assess and forecast the Council's financial position. • Extensive work being undertaken regionally and nationally to support providers and to explore alternative models of provision. This includes Welsh Government officials and is linked to extensive focus and work with health colleagues to explore care in hospital settings and the need to provide community based care.
Internal Controls & Processes	• The Council undertakes regular monitoring and assessment of placements and care packages across Adult Services. • The Commissioning team are in weekly if not daily contact with providers in order to support packages of care. Similarly staff from the teams are in very regular contact with residential providers including links with Care Inspectorate Wales. • The Council's financial monitoring and reporting of care provision is also undertaken monthly. Contract management arrangements are in place to manage provision and ensure providers meet necessary requirements, standards and provide value for money.
Other Arrangements	• The focus on this area of work is extensive including external monitoring.

Direction of Risk

	DoR	Comment
Stability of Social Services Providers	⬇✓	Provider services remain vulnerable but we have some improvement and flow of brokered packages of care.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
Collaborate with residential/dom care providers to ensure fair & sustainable costs are maintained	01 Oct 2022	31 Mar 2024	31 Mar 2024	★
Increase the provision of accommodation for adults with learning disabilities.	01 Oct 2022	31 Mar 2024	31 Mar 2024	★

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
Collaborate with residential/dom care providers to ensure fair & sustainable costs are maintained	01 Oct 2022	31 Mar 2024	31 Mar 2024	★
Increase the provision of accommodation for adults with learning disabilities.	01 Oct 2022	31 Mar 2024	31 Mar 2024	★

Welsh Government's Net Carbon Zero Target by 2030

Risk Overview	Welsh Government has set a target for all public sector bodies to be net zero carbon by 2030. To achieve this target, NCC has a Climate Change Plan 2022-27 to deliver key actions and projects.
Parent Service(s)	Environment & Public Protection (sv)
Lead Cabinet Member(s)	Cabinet Member for Climate Change & Bio-diversity

12

Inherent Risk Score

2

Target Risk Score

12	
Welsh Government's Net Carbon Zero Target by 2030	
31 MAR 23	

Existing Arrangements to Manage Risk

Governance	• The Climate Change Plan is overseen by the Climate Programme Board. Six subgroups are in place to lead on each of the themes which reports to the Climate Programme Board. • Strategic Director (Environment & Sustainability) is the chair of the Climate Programme Board and lead officer of the Climate Change Plan. • Strategic Director (Transformation & Corporate) is Deputy Lead and Vice Chair.
Internal Controls & Processes	• Quarterly reports are reported to the Programme Board and Cabinet Member and half yearly reports are reported to Overview and Scrutiny Management Committee. • An Annual Report which includes council carbon emissions is reported to Cabinet each year. Action plans are reviewed on an annual basis to agree work for the following year.
Other Arrangements	• The council is working with partners to implement the Local Area Energy Plan which is the route map to a carbon net zero energy system by 2050 for the whole of the local authority area. • The council is also working with One Newport partners to develop a Newport-wide strategy.

Direction of Risk

	DoR	Comment
Welsh Government's Net Carbon Zero Target by 2030	➡	Further work quantified to model and cost the route to net zero carbon by 2030. Good progress being made to better understand our supply chain emissions.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
Accelerate the roll out of access to Electric Vehicle charging for residents (CCP & LAEP)	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
Engagement with Newport's industrial cluster to decarbonise (CCP & LAEP)	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
Identify and apply for funding to support actions across the Climate Change Plan.	01 Apr 2022	31 Mar 2024	31 Mar 2024	●
New buildings net zero and retrofit existing buildings (Climate Change Plan)	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
PPT support the Council's Climate Change Plan delivering Our Buildings, Our Land and Procurement	01 Oct 2022	31 Mar 2024	31 Mar 2024	★
PPT support the Council's Wider Role to achieve net zero in the Climate Change Plan.	01 Oct 2022	31 Mar 2024	31 Mar 2024	★
Support Cardiff Capital Region work on regional Domestic Energy Efficient schemes (CCP & LAEP)	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
Support reducing transport emissions and develop integrated network (Climate Change Plan)	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
Support reduction in emissions of goods and services the Council procures (Climate Change Plan)	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
Support to improve organisation Climate Change Culture & Leadership	01 Oct 2022	31 Mar 2024	31 Mar 2024	★
Support to reduce transport emissions and develop integrated network (Climate Change Plan)	01 Oct 2022	31 Mar 2024	31 Mar 2024	★