

Report

Audit Committee

Part 1

Date: 21 September 2017

Subject Corporate Risk Register Update

Purpose To present an updated version of the Corporate Risk Register

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Ward All

Summary This report contains the latest update of the Corporate Risk Register.

- A full review of the risks included in the corporate risk register has been undertaken to ensure the risk register reflects the current risks that the council faces.
- The risk register identifies risks that may prevent the council achieving the objectives set out in the Corporate Plan and enables the council to continue to provide services to the citizens and communities of Newport. Robust management of these risks is imperative to the realisation of the council's objectives.
- The corporate risk register helps the council to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs by considering the sustainable development principle set out in the Wellbeing of Future Generations (Wales) Act 2015.
- There are 14 risks identified in the risk register; 4 remain from the previous update, 2 have been closed and 2 updated, in addition to this 8 new risks have been identified.
- There are 5 high risks and 9 medium risks.
- The detail and planned mitigating actions for each risk are provided below.

Proposal To note the contents of the Corporate Risk Register.

Action by Chief Executive, Strategic Directors and Heads of Service

Timetable Immediate

This report was prepared after consultation with:

- Cabinet
- Deputy Leader
- Audit Committee
- Corporate Management Team
- Head of Law and Standards
- Head of People and Transformation
- Head of Finance

Background

1. Corporate Assessment

As part of its governance arrangements the Council has a risk management strategy and a corporate risk register is monitored quarterly. Through the Corporate Assessment Review 2014 the WAO noted that *“The Council has improved its approach to and presentation of its corporate risk register. The risk register now includes a before and after mitigation risk score at an assessed date and a breakdown of the probability and impact of that risk. The register includes current actions to address each risk and assigns responsibility to senior officers, cabinet member and scrutiny committee”*.

2. Risk Management Strategy

The Risk Management Strategy was agreed by Cabinet in September 2014. It was updated to reflect a revised approach to risk management and improved processes for identifying and escalating risk. Potential benefits of an improved risk management approach are improved decision making, avoidance of shocks and the ability to mitigate threats and take advantage of opportunities.

The strategy includes six key areas where risks are identified and managed:

- Decision Making Process
- Revenue and Capital Monitoring
- Change and Efficiency Programme
- Service and Improvement Planning
- Horizon Scanning Activities
- Information Risk Management

The Risk Management Strategy will be reviewed to ensure that the sustainable development principle of the Wellbeing of Future Generations (Wales) Act 2015 are embedded in the process and frame each risk.

3. Role of Audit Committee

Since the introduction of the Local Government Measure 2011 the local authority's Audit Committee have a role in reviewing and assessing the risk management, internal control and corporate governance arrangements of the authority. Processes and Strategies about risk management should be reviewed by the Committee however the content of the risk register including setting and changing risks included in the register is *not* the role of the Audit Committee.

4. Risks updated in this report

A full review of the Corporate Risk Register has been undertaken and a revised risk register is contained in this report. The following 3 risks replace the 'Budget Challenge' and 'Aging Population' risks

Ref	Risk	Comments
5	In year financial management	These replace the previous risk of 'Budget Challenge' to reflect the complex financial landscape
6	Medium Term Planning	
7	Increased pressure on demand led services	This replaces 'Aging Population' to reflect the trends identified in the Wellbeing Assessment and how they will impact on the Council

5. New Risks

The following risks were added in the 2017 revision of the Corporate Risk Register

Ref	Risk	Comments
8	Risk of stability of external suppliers	This can impact the council's ability to provide services and links to risk 7
9	Increasing pressure on existing infrastructure	Also an opportunity as more people travel from and to Newport links to risk 13 and 7
10	Climate Change	Also reflected in the Community Risk Register
11	Increasing demands on IT Services and the modernisation agenda	Links to risk 6
12	Increasing risk of cyber attacks	Links to risk 11
13	Asset Management	Links to risks 5 and 6
14	Recruitment and retention of specialist professional staff	Links to risk 6

6. Closed Risks

The table below details the following closed risks from the Corporate Risk Register

Date	Risk	Closure Details
September 2014 - April 2015	<i>Risk Title: Delivering a Balanced Budget Risk Description: That the savings required to deliver a balanced budget in the following year cannot be achieved</i>	In November 2014 this risk was scored as probability 1 and impact 1. This was because a balanced budget was drafted and being progressed through the council's decision making hierarchy. A balanced budget was approved by Cabinet and Council in February 2015 and this risk is now considered to be closed.
September 2014 - June 2015	<i>Risk Title: Total Reward Risk Description: That the complex and contentious tensions inherent to the Single Status pay and grading review delays the project implementation.</i>	The Total Reward project has now been implemented and any remaining issues and risks can now be managed at a service area level
September 2014 - June 2015	<i>Risk Title: Information Governance Risk Description: That the council does not have adequate arrangements in place to protect the data in holds and that this results in significant fines and reputational damage</i>	This risk can now be managed at a service area level.
September 2015 – June 2016	<i>Risk Title: Legislative Requirements (Social Services) That new legislative requirements of the Social Services act potentially place significant duties on the Authority that it cannot fulfil</i>	Specific details and guidance for the Act now produced. Work across region to develop solutions to the challenges and locally we have a project team working on implementation of all regulations Big emphasis on prevention and early intervention – reshaping front door services in Adult Social Care – close working with Health Board – redistributed teams to be coterminous with Health Board Neighbourhood Care Networks

June 2016 - August 2017	<i>Investment in Friars Walk Development That the development does not realise its target value and the developer is unable to sell or re-finance the scheme to repay the loan</i>	This no longer poses a significant risk to the council and can be managed at service area level
June 2016- August 2017	<i>City Deal That the SE Wales region, which includes Newport CC, cannot conclude a city deal within the timescales and as a result misses the opportunity to secure investment to improve economic outcomes for the communities of the city</i>	The city deal has been agreed

Financial Summary

- There are no direct costs associated with this report

Risks

Risk	Impact of Risk if it occurs* (H/M/L)	Probability of risk occurring (H/M/L)	What is the Council doing or what has it done to avoid the risk or reduce its effect	Who is responsible for dealing with the risk?
That the strategy and process are not robust enough to capture all high risks	M	L	Reviewing, testing and embedding processes to ensure that they are fit for purpose	Heads of Service and Performance Team

* Taking account of proposed mitigation measures

Links to Council Policies and Priorities

Robust risk management practices increase the chances that all of the council's priorities and plans will be implemented successfully

Options Available and considered

1. To note the contents of the Corporate Risk Register
2. Not to note the contents of the Corporate Risk Register

Preferred Option and Why

1. To note the contents of the Corporate Risk Register.

Comments of Chief Financial Officer

There are no direct financial implications arising from this report. The corporate risk register forms an important part of the governance and budget setting arrangements for the council and the risk register is used to guide the internal audit plan

Comments of Monitoring Officer

The Council's corporate governance arrangements are an integral part of the risk management strategy, in ensuring that all decisions are made lawfully and constitutionally and that all risks are identified, assessed and mitigated. The absence of successful call-in and legal challenges demonstrates that

these arrangements are robust. However, as part of the review of the Constitution, improvements in the Report templates will be considered to further embed risk management principles within the decision-making processes. The Local Government (Wales) Measure 2011 required the Council to establish a stand-alone Audit Committee with statutory responsibility for reviewing and assessing the risk management, internal control and corporate governance arrangements of the authority. However, the identification of corporate risks, for inclusion within the risk register, is an executive decision for Cabinet.

Comments of Head of People and Business Change

There are no direct staffing implications arising from this report.

Risk management is a key element of the council's improvement programme and the Administration's commitment to ensuring strong corporate governance and robust performance management. The risk strategy and register allow the council to consider the longer term overarching risks to the council fulfilling its objectives and obligations and take action to mitigate the impact and probability of those risks.

This review provides an opportunity for the council to consider what key corporate risks face the council in the short medium and longer term.

Local issues

None

Scrutiny Committees

The Risk register is also considered by Audit Committee. Meetings with the committee have resulted in some changes in format and layout of the register.

Equalities Impact Assessment

Not applicable.

Children and Families (Wales) Measure

Not applicable.

Wellbeing of Future Generations (Wales) Act 2015

The guidance on the Act is clear – it requires public bodies to maximise their contribution to improving the wellbeing of Wales. The Act provides a framework for better decision making by ensuring public bodies take account of the **long term**, focus on **prevention**, take an **integrated** and **collaborative** approach, and **involve** people in policy making and planning and delivery of services.

Risk management is a key area to implementing the Wellbeing of Future Generations Act (Wales) 2015, the council must ensure that it considers risks in the short, medium and longer term and that it manages risks in a manner that protects current service delivery and communities as well as considering the longer term impact.

The corporate risk register helps the council to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs by considering the sustainable development principle set out in the Wellbeing of Future Generations (Wales) Act 2015.

Key documents and processes have been revised so that they incorporate sustainable development and wellbeing principles. Over the last three years extensive public engagement has been undertaken in relation to setting service delivery priorities and identifying which services matter most to people, and contribute to their wellbeing. This will continue to inform future planning.

Crime and Disorder Act 1998

Not applicable.

Consultation

As above, the Risk Register is also considered by Audit Committee

Background Papers

Corporate Risk Register, Cabinet, 18th December 2015
Corporate Risk Register, Audit Committee, 28th January 2016
Corporate Risk Register, Cabinet, 14th March 2016
Corporate Risk Register, Audit Committee, 24th March 2016
Corporate Risk Register, Cabinet, 6th June 2016
Corporate Risk Register, Audit Committee, 23rd June 2016
Corporate Risk Register, Cabinet, 12th September 2016
Corporate Risk Register, Audit Committee, 22nd September 2016
Corporate Risk Register, Cabinet, 21st December 2016
Corporate Risk Register, Audit Committee, 26th January 2017
Corporate Risk Register, Cabinet, 24th April 2017
Corporate Risk Register, Audit Committee, 30th May 2017

Dated: September 2017

Risk Management Roles and Responsibilities

The roles and responsibilities of individuals and groups are set out below:

Role	Responsibility
Cabinet and Cabinet Members	To work with Strategic Directors and Heads of Service to define, assess and manage corporate risks. To work with Heads of Service to manage risks within their service delivery portfolios To consider corporate risks as part of the decision making process
Members	To be aware of the corporate risks and to consider risk management in scrutiny meetings and regulatory committees
Audit Committee	To take an overview of the processes involved in managing risk in the council To receive regular reports on the corporate risk register and risk management processes
Strategic Leadership Team	To work with Cabinet Members and Heads of Service to define, assess and manage corporate risks To monitor risks in the risk register To recommend additions and revisions to the risk register To initiate mitigating action for escalating risks To ensure risks are assessed accurately
Heads of Service	To work with Cabinet Members and Strategic Directors to define, assess and manage corporate risks To work with the Cabinet Member to manage risks To implement mitigating action for escalating risks To recommend mitigating action for corporate risks to the appropriate decision making body To ensure risks are assessed accurately
Senior Information Risk Owner (SIRO)	To lead and foster a culture that values, protects and uses information for the success of the organisation and benefit of its customers To own the organisation's overall information risk policy and risk assessment processes and ensure they are implemented consistently by Information Asset Owners (IAO's) To advise the Chief Executive or relevant accounting officer on the information risk aspects of the Council's annual governance statement To own the organisation's information incident management framework
Report Authors / Project Managers / Officers	To be aware of corporate risks and the service area risks that impact on their areas of work To consider the risk register when preparing project documentation and recommending action through decision making processes To recommend mitigating action for escalating risks To implement mitigating action for risks arising through the course of normal service delivery To ensure risks are assessed accurately

Assessing Risk

An assessment of the likelihood and impact of risk is important to measure, compare and monitor risks to ensure efficient use of resources and effective decision making. This assessment is carried out using the risk matrix as described below.

Risk Assessment Matrix

A Corporate Risk Register will contain the high level risks for the whole authority. In order to differentiate between these high level risks a 5x5 risk assessment matrix will be applied. The matrix is shown below and further detail is included in appendix one.

Risks are scored using the scoring system for probability and impact and assigned a rating based on the tolerances set out in the matrix below

Risk Scoring

Probability description	Score
Very Low probability	1
Low probability	2
Medium probability	3
High probability	4
Very high probability	5
Impact description	Score
Negligible	1
Low	2
Medium	3
High	4
Very High	5

Risk Matrix

Probability	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
		Impact				

Impact Matrix

Rating	Severity of impact	General description	Impact factors (and examples of what they might look like)							
			Strategic	Operational	Financial	Resources	Governance	Health & Safety	Reputational	
1	Negligible	Low impact. Localised effect		Minor disturbance of non-key area of operations	Unplanned budgetary disturbance <£100k	Loss of asset/money with value >£2k			Reportable (non-serious) accident affecting one employee/member of public/service user	Isolated complaint(s)
2	Low	Low impact for organisation as a whole. Medium localised impact		Minor disruption of a key area of operations or more significant disruption to a non-key area of operations	Unplanned budgetary disturbance £100-£500k	Loss of asset/money with value £2-10k	Mild WAO criticism in report. Mild criticism from a legal/regulatory authority. Isolated fraud	Reportable (non-serious) accident affecting small number of employees/members of public/service users	Formal complaints from a section of stakeholders or an institution	
3	Medium	Medium impact for organisation as a whole	Noticeable constraint on achievement of a key strategic objective	Major disruption of a service area for a short period or more minor disruption of a service area for a prolonged period	Unplanned budgetary disturbance £500k-£2M	Loss of asset/money with value £10-50k	Adverse WAO report. Significant criticism from a legal/regulatory authority requiring a change of policy/procedures. Small-scale fraud relating to a number of people or more significant fraud relating to one person	Reportable (non-serious) accident(s) affecting a significant number of employees/members of public/service users or a serious injury to a single employee/member of public/service user	Formal complaints from a wide range of stakeholders (e.g. several institutions), adverse local press, complaint/s upheld by Ombudsman	

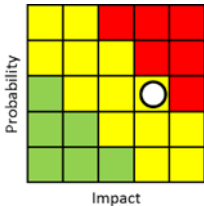
Rating	Severity of impact	General description	Impact factors (and examples of what they might look like)						
			Strategic	Operational	Financial	Resources	Governance	Health & Safety	Reputational
4	High	High impact for organisation as a whole	Severe constraint on achievement of a key strategic objective	Major disruption of a service area for a prolonged period or major disruption of several service areas for a shorter period	Unplanned budgetary disturbance £2-5M	Loss of asset/money with value £50-100k	Qualified account. Severe criticism from WAO/legal/regulatory authority requiring major overhaul of policy/procedures, Significant fraud relating to several employees	Serious injury of several employees/members of public/service users	Significant loss of confidence amongst a key stakeholder group. Adverse national press
5	Very High	Catastrophic	Failure of a key strategic objective	Major disruption of several key areas of operations for a prolonged period	Unplanned budgetary disturbance >£5M	Loss of asset/money with value >£100k	Severe service failure resulting in WAG intervention/special measures Widespread significant fraud	Death of employee(s)	Severe loss of confidence amongst several key stakeholder groups. Damning national press

Probability

Score	General Description	Definition
1	Very Low probability	2% chance of occurrence
2	Low probability	5% chance of occurrence
3	Medium probability	10% chance of occurrence
4	High probability	20% chance of occurrence
5	Very high probability	50% chance of occurrence

Corporate Risks

Risk 1

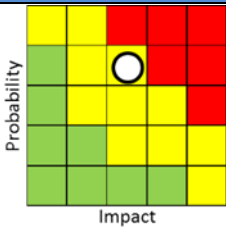
Risk name		Legislative Requirements				
Description/Rationale		<ul style="list-style-type: none"> That new legislative requirements potentially place significant duties on the Authority that it cannot fulfil (resulting in adverse judgements from regulators, significant fines and potential court proceedings and/or existing services are compromised) Risk of not meeting increasingly challenging nationally set waste management targets The Welsh Government is consulting on local government reform, it is likely that the Welsh Government will repeal or change the Local Government Measure 2009 which will mean changes to the way the council plans and manages its services. Welsh Government drive towards regionalisation and collaborative working – including possible legislation. Welsh Language Act - Gaps in service provision remain, and this remains a reputational risk for the Council. 				
Risk rating prior to mitigation		August 2015 – high (16)				
Links to		Service Planning				
Present Matrix	Assessment Date	Present Risk Score	Present Score Breakdown		Direction of Risk	Review Date
			Probability	Impact		
	August 2017	12	3	4	Unchanged ↔ There is continued pressure on the council to implement the new duties detailed by new legislation. Whilst significant work is underway, there remain major risk factors.	December 2017
	March 2017	12				
	December 2016	12	probability	impact		
	August 2016	12				

Planned Mitigation		Timescales	Current Action Status
Welsh Language Act	Strategic equalities group monitors implementation supported by Welsh Language group.	Annual cycle	Governance arrangements and implementation plans are in place
	Action plans in place and being monitored. This has shown significant progress.	Annual cycle	Action plans have been monitored and reported through the Welsh Language Annual Report to Cabinet. The council has made significant progress in terms of practices and positive attitudes. Actions not yet completed are being addressed through Welsh language task groups which report to the Welsh Language Implementation Group

Planned Mitigation		Timescales	Current Action Status
	Progress includes increasing awareness of the Welsh Language Standards across the authority. Leaflets, posters, desk prompts and video available.	Initial campaign March 2016, new roll out Sept 2017	The Welsh language publicity campaign has reach across the council, and all employees consulted in the Staff Conference were aware of the Standards and changes relating to their own work. A Welsh Language and Equalities Engagement Plan looks to measure and improve employee awareness, and thus increase the use of Welsh in the council. The "active offer" is implemented across social services.
	Partnership arrangements with another Council now in place and £280k budget allocated, additional resources now available to support service areas and work such as web site development now underway.	Ongoing	Translation and proofreading is readily available to all staff. A specific contract is in place to deliver translation of the council's web site. We are looking at opportunities to improve the service.
	5 year strategy developed through consultation	Approved Feb 2017 for 5 years	The 5 Year Welsh Language Strategy was consulted upon and approved by Council in February 2017. It will be implemented with partners alongside the Welsh in Education Strategic Plan
Future Generations Act	Cabinet reports updating members on progress and approach. Awareness raising sessions with officers and members completed and work with consultants to develop organisational readiness for the Act underway.	Autumn 2017	Awareness raising session held with members of new Performance Scrutiny – Partnerships in summer 2017 with further sessions to be included in member development programme in autumn 2017 together with further sessions for staff. Consultancy work on corporate readiness undertaken with report recommendations to be considered by senior management.
	Currently developing an impact assessment template that incorporates the sustainability principles. Formal report, service plan and business case templates updated to ensure the principles of the Act are reflected in all decision making.	Ongoing	Programme of any further work required to embed the Act will be developed following consideration by senior management of the corporate readiness report.
	Public Services Board established with agreed Terms of Reference, formal meetings are held at least quarterly.	Ongoing	The PSB has undertaken a partnership evaluation exercise and agreed an action plan. Following the local council election the PSB reviewed its terms of reference and invited existing members to remain on the PSB. Formal meetings held at least quarterly. Meeting papers, minutes and summaries of business published on One Newport website to aid transparency.

Planned Mitigation		Timescales	Current Action Status
	Draft Wellbeing Assessment in place in conjunction with the assessment required for the Social Services Act. Work being undertaken on a Gwent basis to inform the Wellbeing Assessment and Plan - funding secured from Welsh Government to support this work.	April 2018	Public Services Board has published its Well-being Assessment for Newport (Community Well-being Profile) and is progressing development of the Local Well-being Plan for Newport for publication April 2018. Work being undertaken on a Gwent-wide basis to identify possible Gwent priorities. Gwent funding is being utilised on: <ul style="list-style-type: none"> • piloting a well-being measurement tool (Happy Communities) ; • a future scenarios analysis to enhance understanding of likely future trends;
	Development of wellbeing objectives finalised, pending the redevelopment of the Corporate Plan in 2017.	October 2018	The Council published its Well-being objectives and Well-being Statement in March 2017. These are being incorporated into the Corporate Plan 2017-2022.
Waste Management Legislation/ targets	We commenced new contract last week with trade waste diverted for sorting to GD Environmental Services. Dates this financial year run from August 9 th 2017 through to March 31 st 2018 to divert approx. 2500 tonnes this year.	March 31 st 2018	The contract is in place and running. We will monitor monthly to ensure the target is reached.
Responsible Officer:		Chief Executive	
Responsible Cabinet Member(s):		Leader of the Council, Deputy Leader and Cabinet Member for Assets and Member Development	

Risk 2

Risk name	Capacity and capability to meet the councils objectives					
Description/Rationale	<p>That there are not skills and or capacity within the workforce to deliver both operational services and also the pace of change needed to modernise services and balance the budget.</p> <p>There are continued capacity and capability gaps across the council; these are more prevalent in some areas than others. Although there are a number of actions (see below) that are being undertaken to remediate this situation, there are still risks going forward which will potentially exacerbate this current situation; these include further required financial savings and issues with recruiting to key positions.</p>					
Risk rating prior to mitigation	August 2015 - Medium (12)					
Links to	Corporate Plan, People and Business Change Service Plan					
Present Matrix	Assessment Date	Present Risk Score	Present Score Breakdown		Direction of Risk	Review Date
			Probability	Impact		
	August 2017	12	4	3	Unchanged ↔	December 2017
	March 2017	12	High probability	Medium Governance impact		

Planned Mitigation	Timescales	Current Action Status
The Workforce Plan identifies objectives for future planning for all Service Areas.	Completed	Completed – a workforce planning template is available to assist service areas make informed decisions about their people requirements. Further work will be done by the HR service in relation to completing a workforce planning self-assessment tool to identify further areas for improvement. This is anticipated to be completed in Autumn 2017.
People and Business Change will pilot career pathway planning in Autumn 2017 to role model to other service areas	On track – December 2017	A restructure has taken place in HR and the creation of entry level posts into the profession have been created and filled with one internal appointment to facilitate internal progression.
Creation of an apprenticeship scheme was approved in June 2016 and recruitment is underway to the first cohort of apprentices due to start in September 2016, with a possible second intake due to start in January 2017.	Completed	The first cohort of apprentices completed their qualification in Summer 2017 and we are recruiting to the next wave at the end of August once prospective applicants have received their GCSE results and have made decisions about their future plans. It is our intention to continue recruiting apprentices into the Council in future years.

Planned Mitigation	Timescales	Current Action Status
Pilot taking place in Education Services for the roll out of greater NVQ/ILM opportunities for those in the workplace wanting to enhance current skill level. Intention to offer to wider workforce in 2017 linked to workforce planning for each service area	Completed – review of success by December 2017	This pilot has completed and several employees within the Education service achieved their qualifications. We will review the success and benefit brought to the Council in the coming months with a view to making future recommendations at the end of December 2017.
Mandatory training will be identified for each post and linked to job descriptions to set out the expectation of ability, skill and experience at the point of recruitment and to form a development path throughout induction, probation and longer term	Not started	This piece of work has not yet started but has been identified as a priority for 2018/19
Additional Investment in Project Management and business change resources	December 2017	BIP resources will be reviewed in line with the revised change program which will underpin the new corporate plan
Coaching, shadowing and mentoring opportunities delivered as part of the change programme	On track	The first cohort of ILM Level 5 in Coaching concluded in Summer 2017. We are currently reviewing the success of the programme and will make recommendations on wider roll-out in Autumn 2017.
Specific business support and training provided for business change, project and program management, continuous change and specific tools including business case development and project management	Ongoing	Project management and business case support building on the support and training provision already in place further development of support has been undertaken to widen the range of support offered to the organisation.
Training Master classes developed and number of managers attending measured green for 2015 with over 80% attending training to upskill	Completed	We are currently reviewing managerial training, but targets set in this area have consistently been achieved in recent years.
Action Learning Sets have been practised at Senior Management Forum and OD are collating requests from managers to create networks of peer coaching through the use of ALS. HR and Finance partners will be trained as facilitators to enable greater support to managers in identifying problems and creating their own solutions.	Completed	Feedback has shown that our current culture is not yet ready to roll out Action Learning Sets and instead we will be focusing on building our coaching skills as individuals.
Use of external resource / experts	Ongoing	Where there is a capacity constraint or capability gap, external expertise will be utilised on an as required basis.
Sampling of My Review has taken place in August 2016 by the HR/OD team and feedback will be provided to managers in September with a refreshed roll out of training on how to conduct appropriate appraisals between October and March 2017 in time for the next annual appraisal	Completed	In Summer 2016 this exercise was completed and the results fed back to the senior leadership team. Further work was then done on scoping possible alternatives to the outdated My Review system – further information is detailed below.

Planned Mitigation	Timescales	Current Action Status
OD strategy devised to enable the organisation to achieve faster cultural change and improved performance	Completed	The People and Culture Strategy 2017-2022 is in first draft and awaiting publication later in the Autumn. It contains the proposed strategic ambition for the OD function.
People service plan to heavily focus on workforce planning and OD for next 12 months	On track	Service planning has temporarily been postponed until the Corporate Plan is published. It is anticipated that the new People and Culture Strategy 2017-2022 will form the business unit actions for HR and OD in the coming 12 months. Two of the key priorities are OD and Workforce Planning.
Performance management process is currently being reviewed with a key objective for 2016/17 to be the roll out of a revised scheme, new performance management system to be piloted early 2017 to assess whether appropriate for organisation roll out	Completed	<p>As per the My Review comments, a new performance management system has been introduced to the Council – Clear Review. This tool was piloted over a 3 month period at the beginning of 2017 and has now been approved for wider roll out. Feedback suggests that this tool could significantly improve performance management across the Council.</p> <p>The new performance management strategy has been drafted which seeks to draw together all aspect of performance to enable employees and members to know what their responsibilities are</p>
Responsible Officer:	Chief Executive	
Responsible Cabinet Member(s):	Cabinet Member for Community & Resources	

Risk 3

Risk name	Safeguarding					
Description/Rationale	That the arrangements and the implementation of policies and procedures by the council (and its partners) are not adequate to protect vulnerable adults and children who may be at risk of significant harm					
Risk rating prior to mitigation	March 2017 – Medium 8					
Links to	Corporate Plan, Service Planning					
Present Matrix	Assessment Date	Present Risk Score	Present Score Breakdown		Direction of Risk	Review Date
			Probability	Impact		
	August 2017	8	2	4	Unchanged The level of risk is manageable because this is an area of absolute priority for the local authority. There are safeguarding manager roles across the council and we have strong links with national and regional safeguarding boards	December 2017

Planned Mitigation	Timescales	Current Action Status
Safeguarding Action Plan agreed and implementation underway.	November 2017	Implemented The first annual review of the Corporate Safeguarding Report is due to occur in November 2017- this review will establish how efficiently we have met the identified objectives within the safeguarding action plans both corporately and within the specific teams which encompass the Safeguarding Unit of Social Services since the establishment of the Corporate Safeguarding Report in 2016. Actions identified as outstanding or newly identified areas of improvement/ development will be identified as part of this review scrutiny cycle and will therefore be timetabled appropriately to address any unmet needs or deficit areas.
Continuous review of policies and procedures	November 2017	Implemented The suite of Corporate Safeguarding Policies applicable to all service areas within the council are currently under review to appropriately reflect legislative and procedural changes. These documents will have been fully reviewed, ratified, and disseminated via a re-launch of the "Safeguarding involves us all" campaign (the original campaign which launched the Corporate Safeguarding Report in November 2016) prior to the first annual review in November 2017. This ensures that all staff (including voluntary staff, elected

Planned Mitigation	Timescales	Current Action Status
	<p>Ongoing</p> <p>Ongoing- regional work plan of the protocol and procedures sub group is reviewed annually</p>	<p>members and contractors) are clearly aware of and understand their responsibilities in respect of 'safeguarding'.</p> <p>Within the practice of social work across Children and Adult Services where policies and procedures are identified as requiring review due to changes in legislation/ regulations these items are identifiable through CSMT and ASMT processes and Quality Assurance processes. Appropriate staff are identified to undertake the review or development of the required policy/ procedure and timescales are set in order to ensure the required work is completed, the policy is then launched and fully disseminated to the service area for practitioners to use and the documents are stored within the document library of the intranet for easy access.</p> <p>There is also the continuous review process of national and regional policies as identified by the SEWSCB, GWASB and VAWDASV safeguarding boards via the "protocols and procedures" sub group. Work is undertaken on a regional basis and the policies/ procedures/ guidance produced is then agreed and adopted by the 5 local authorities. This ensures a robust compliancy in terms of national policies/ procedures used within regional and local practice are up to date.</p>
Raising awareness of policies and procedures with staff	January 2018	<p>Implemented</p> <p>Within Children's Services there has been a review of the processes in how policies/ procedures are disseminated to staff and the current use of the document library for policies/ procedures currently available on the intranet. A Children's Services Hub Page is currently being developed by the Safeguarding Unit and SRS team to improve how staff locate and access the documents they require for practice. The Hub will be the focal access point for Children's Social Care staff to locate all relevant policies, procedures, forms- this will assist in version control of documents; the regular review and publication of new policies/ procedures/ guidance; and a central place for staff to locate all of the required information and documents. This project will therefore aid in raising awareness of policies and procedures with staff but will also provide a more robust approach to ensuring that the information being provided to staff is up to date and readily accessible.</p> <p>Future development of the Hub page will also be extended to include induction processes and team specific intranet pages which can host team</p>

Planned Mitigation		Timescales	Current Action Status
		Ongoing	blogs, news and updates. This project can also be replicated for Adult Services.
Partnership working		Ongoing	Implemented Development of the Multi Agency Safeguarding Hub (MASH). Newport is the pilot authority for this project which will bring together all public safeguarding services in a single point of entry where safeguarding referrals can be holistically assessed. The MASH model will facilitate earlier intervention and preventions to limit the need for a more intensive intervention at a later stage by managing cases in a co-ordinated manner. The MASH will also foster closer partnership working and clear accountability with agencies, providing faster, more co-ordinated and consistent responses to safeguarding concerns, ensuring citizens are kept safe with their well-being outcomes met.
		Ongoing	Strong links with the regional safeguarding boards are already in place and will continue. The regional service hosted by Health in regard to legislative requirements for Newport council under the Mental Capacity Act, continues to be delivered collaboratively for all Deprivation of Liberty Safeguards for citizens of Newport over the age of 18.
Service Manager for Safeguarding is in place		Completed	Implemented The Service Manager for safeguarding manages across adult, children and education services as well as the regional VAWDASV service.
Safeguarding role in Education		Completed	Implemented The role of the Safeguarding in Education Officer has been extended to encompass the line management of LACES (looked after children in education). Ensuring all schools have reviewed their safeguarding policies and procedures and that they are accessible for the whole school as well as parents and children has been completed over the last year. This will be under continual review
Responsible Officer:		Strategic Director -People	
Responsible Cabinet Member(s):		Cabinet Member for Social Services	

Risk 4

Risk name	Brexit					
Description/Rationale	That the financial implications of leaving the European Union have a negative impact on the councils financial position					
Risk rating prior to mitigation	Medium					
Links to	Corporate Plan, Service Plan					
Present Matrix	Assessment Date	Present Risk Score	Present Score Breakdown		Direction of Risk	Review Date
			Probability	Impact		
	August 2017	9	3	3	Unchanged	December 2017
			probability	impact	This risk remains unchanged as we await further discussion and timescales from the Welsh Government and Central Government	

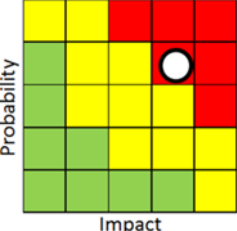
Planned Mitigation	Timescales	Current Action Status
<p>This is needs to be monitored carefully. The result of the referendum in June 2016 has resulted in further uncertainty for the overall financial outlook for the UK. This may have an impact on future funding for the council. (see risks 5 and 6 below)</p> <p>A good deal of our activity is also guided by EU regulation. It remains unclear when the UK will formally exit the EU and how these regulations may change</p> <p>This remains uncertain, further discussion and engagement from the Welsh Government and UK Government is needed to confirm timescales</p>		
Responsible Officer:	Strategic Director -Place	
Responsible Cabinet Member(s):	Leader of the Council	

Risk 5

Risk name	In year financial management					
Description/Rationale	<ul style="list-style-type: none"> - Historical overspending in key areas occur each year and are increasingly difficult to mitigate - Step change in level of overspending in 2016/17 and forecasted overspending in 2017/18 shows significantly worsening position - Level of overspending is significantly over and above revenue budget contingency and over current / previous year only mitigated from strong C Tax collection due to accelerated house building – which cannot be guaranteed in future years - Overspending can undermine service delivery and medium term planning where significant mitigation means services need to defer spending to manage the overall budget - Risk to requiring additional on-going budget in service areas affected which makes the 2018/19 and future budget challenge more difficult to manage / achieve 					
Risk rating prior to mitigation	Medium					
Links to	In year overspending can affect all services depending on severity and mitigation put in place, including impacts on future year budgets					
Present Matrix	Assessment Date	Present Risk Score	Present Score Breakdown		Direction of Risk	Review Date
			Probability	Impact		
	August 2017	12	3	4	Not applicable until next update as this is a new risk	December 2017
			probability	impact		

Planned Mitigation	Timescales	Current Action Status
CMT instigated targeted spending freeze on non-essential spending	Now	In place and on-going
Chief Executive and HoF will be holding monthly meetings with adult social care management team to look and review actions for reducing spend	Sept onwards	
HoS for adults/children social care and education have reviewed and improved decision making panels who assess individual cases accessing services	Now	In place and on-going
Responsible Officer:	Chief Executive / Directors / Heads of Service	
Responsible Cabinet Member(s):	Leader as CM for strategic finance – in conjunction with Cabinet colleagues	

Risk 6

Risk name	Balancing the Council's Medium Term budget					
Description/Rationale	<ul style="list-style-type: none"> • Council does not have a change programme which addresses the financial shortfall in the Council's Medium Term Financial Plan. • Not balancing the budget over a longer timeframe than has currently been achieved may challenge and could damage the Council's on-going Financial Resilience • Risk of not meeting / funding key priorities • No specific or any reserves exist which are not already earmarked for other uses and therefore available to help 'balance the budget' in any one year. Use of these will potentially affect funding for those things that they are there to support/fund • The consequences of using 'reserves' to balance the budget in any one year are challenging / significant – both needing to find more savings in consequent years and repaying the reserve used • Lack of on-going medium term financial settlements from WG continue makes meaningful medium term financial planning more difficult. 					
Risk rating prior to mitigation	High					
Links to	The lack of a balanced medium term financial plan has potential impact on all Council services and priorities					
Present Matrix	Assessment Date	Present Risk Score	Present Score Breakdown		Direction of Risk	Review Date
	August 2017	16	4	4	Not applicable until next update as this is a new risk	December 2017
			probability	impact		

Planned Mitigation	Timescales	Current Action Status
On-going review and challenge to budget pressures within the MTFP	On-going	
Finalising list of first tranche of proposed budget proposals for discussion with informal Cabinet	Sept 17	
Complete service cost-benefit prioritisation exercise with informal Cabinet	Sept 17	
Responsible Officer:	Chief Executive / Directors / HoS	
Responsible Cabinet Member(s):	The Leader of the council	

Risk 7

Risk name	Increased pressure on demand led services
Description/Rationale	<p>Education</p> <p>As the population grows and certain groups within the population increase this will affect many services across the council that deliver services to meet demand. The growing population also places pressures on universal services that are provided to everyone.</p> <ul style="list-style-type: none">• That an increasing percentage of the population are over 65 putting an increasing strain on demand led services, particularly those that are statutory and raising the risk of unplanned significant budgetary overspends.• Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs.• Increasing population putting extra pressure on school places across Newport.• As children with complex needs live longer, the number of children requiring care will increase and the length of care that they require will increase• Growing population of highly vulnerable children• Increasing demand for refuse collection• Increasing number of households and highways <p>Social Services</p> <p>As the population grows and certain groups within the population increase this will affect many services across the council that deliver services to meet demand. The growing population also places pressures on universal services that are provided to everyone.</p> <ul style="list-style-type: none">• That an increasing percentage of the population are over 65 putting an increasing strain on demand led services, particularly those that are statutory and raising the risk of unplanned significant budgetary overspends.• Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs.• Increasing population putting extra pressure on school places across Newport.• As children with complex needs live longer, the number of children requiring care will increase and the length of care that they require will increase• Growing population of highly vulnerable children• Increasing demand for refuse collection• Increasing number of households and highways
Risk rating prior to mitigation	High This rated high for Education Services and Medium for Social Services an overall rating of High has been assigned.
Links to	corporate plan, service plans

Present Matrix	Assessment Date	Present Risk Score	Present Score Breakdown		Direction of Risk	Review Date
			Probability	Impact		
	August 2017	16	4	4	Not applicable until next update as this is a new risk	December 2017
			probability	impact		

Planned Mitigation	Timescales	Current Action Status
<p>Education Increasing population putting extra pressure on school places across Newport. One new school (due to open September 2017) and second new school (due to open September 2018). Both established largely through 106 funding. Additional school places have been established across the city through a capacity exercise. Where schools are being re-developed, (e.g. Bryn Derw, Caerleon Lodge Hill) additional places have been included. Three further new build schools are planned through 106 monies funding from 2019 – 2024 (NB: shortfall in funding that will need to be made up by Authority). Forecasts show that there is also a need for expansion on existing school sites, in specific areas of the city, with significant population growth. A Welsh Government 21st Century Band B' schools bid has been made which focusses on Newport's urgent need for additional school places as our key priority.</p> <p>•As children with complex needs live longer, the number of children requiring care will increase and the length of care that they require will increase The number of educational places within the city need to grow in order to provide provision for pupils with complex needs</p> <p>•Growing population of highly vulnerable children: The number of Learning Resources Bases across the city will</p>	<p>September 2017 – 2018</p> <p>2019 – 24</p> <p>2017-2019 (planning to completion)</p>	<ul style="list-style-type: none"> Plans are in place but are subject to funding from 21Century Schools funding and developers. Capacity exercise complete. Jubilee Park Primary is due to open September 4th 2017. Glan Lyn Primary is due to open September 2018. 21C schools bid has been submitted but as this is a national grant Wales is significantly over subscribed. Expansion of Maes Ebbw planned to cater for the increasing number of pupils already placed there. Plans to relocate the tertiary element of the school to further increase placements The ASD School, Ysgol Bryn Derw has been established and will open in September 2017. This has given additional spaces at Maes Ebbw. A Learning Resource Base will be included in all new and rebuilt school opening within city. Jubilee Park Primary LRB will open in September 2017. Lodge Primary and Glan Lyn Primary will include LRBs and are due to open in September 2018. An analysis of Out of County Placement is planned between August

Planned Mitigation	Timescales	Current Action Status
<p>expand to support increased demand of pupils with Special Educational Needs, allowing them to maintain mainstream school places.</p> <p>The total cost of Out of County placements continues to grow. Education Services will develop an analysis and forecast of Out of County Placements in order to facilitate a strategic plan of supporting these needs in the most affordable way over the next five years.</p>		<p>and September 2017. Forecasting will be derived from this. Aims and objectives for a Strategic Out of County Planning Group is being developed.</p>
<p>Adult and Community Services That an increasing percentage of the population are over 65 putting an increasing strain on demand led services, particularly those that are statutory and raising the risk of unplanned significant budgetary overspends.</p> <p><u>MANAGING DEMAND – PREVENTION EARLY INTERVENTION</u></p> <ul style="list-style-type: none"> • Older Person’s Pathway - joint initiative with Health, people identified from GP surgeries and offered a Stay Well Plan that is individualised and focused on maintaining well-being and health. • Reconfiguring a number of service pathways including Frailty & Reablement to reduce duplication, streamline provision, facilitate hospital discharge and provide services focused on maintaining independence. • Investment in preventative services including 2 Third Sector consortiums offering information , advice and assistance for any Newport citizen. • Investment into First Contact Team offering advice, assistance and signposting to a full range of services. • Utilisation of ICF for Community Connectors offering community based assistance to people who require support to access low level services <p><u>MARKET MANAGEMENT</u></p> <ul style="list-style-type: none"> • Domiciliary care and Residential and Nursing provision commissioned robustly. Working closely with providers to ensure services are fit for purpose in terms of quality and capacity. Relationship management ensures flexibility and responsibility • Ensuring in house services are cost effective and targeted at community need. 	<p>In Place</p> <p>Ongoing</p> <p>In Place</p> <p>In Place</p> <p>Ongoing</p>	<p>Currently in place in 11 out of 20 GP surgeries in Newport, further roll out planned.</p> <p>Further work required to establish new pathway. This will reduce duplication in the existing process and improve accessibility.</p> <p>Ongoing monitoring to identify impact of provision</p> <p>Social care workforce is complex and challenging. Budgetary restrictions are impacting Nationally. In Newport the ongoing relationship and commissioning oversight ensures stability and there is a focus on encouraging new providers to enter the market</p> <p>Continued delivery of in house provision will be reviewed on an ongoing basis.</p> <p>Annual fee negotiations – ongoing dialogue</p>

Planned Mitigation	Timescales	Current Action Status
<ul style="list-style-type: none"> • Cost control –negotiating sustainable fees with providers that offer value for money whilst protecting the social care workforce • Engagement with Regional workstreams to address National issues around the purchase of domiciliary and residential care services • Early engagement with Health to maximise CHC funding for people with Health needs 		<p>Workstreams are addressing the issues faced by all Welsh Local Authorities in the delivery of social care – budgets- stability of market</p> <p>Ongoing.</p>
<p>Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs.</p> <ul style="list-style-type: none"> • Investment in a consortium model of third sector preventative services to offer a single point of contact for all Newport citizens • Investment in a Third Sector mental health consortium in partnership with Health – offering a single point of contact for citizens in Gwent • Utilisation of ICF to deliver a Community Connector Service – offering community support for people to access services. • Utilisation of ICF to employ a Cares Development Officer 	<p>In Place</p> <p>In Place</p> <p>In Place</p> <p>In Place</p>	<p>Ongoing monitoring to measure effectiveness at managing demand and offering interventions and assistance to those who would not be eligible for statutory care but who need support.</p> <p>Ongoing monitoring to measure effectiveness at managing demand and offering interventions and assistance to those who would not be eligible for statutory care but who need support.</p> <p>Ongoing monitoring to measure effectiveness at managing demand.</p> <p>Working with Carers groups to ensure they are supported in their role and to minimise the instances of carer breakdown</p>
<p>Children and Family Services As children with complex needs live longer, the number of children requiring care will increase and the length of care that they require will increase.</p> <p>Growing population of highly vulnerable children</p> <p>Investment in developing preventative services to work with families to build resilience and to prevent children from being accommodated:</p> <ul style="list-style-type: none"> • Re-tendering for the Strategic Collaborative Partnership that delivers the Family Assessment Support Service (FASS) and Family Support Team (FST) • Tendering for short break services for families with 	<p>In place</p> <p>On going</p>	<p>Currently in process. When successful tenderer has been awarded contract work will commence with provider to develop service and be on going contract management</p>

Planned Mitigation	Timescales	Current Action Status
<p>Children with disabilities.</p> <ul style="list-style-type: none"> • Providing in house respite service for families with children with disabilities. • Carers Development Officer supports families with Children with disabilities <p>Engagement with Regional work streams to address developing a consistent framework around Continuing Health Care Process.</p> <p>Cost control –negotiating sustainable fees with providers that offer value for money whilst protecting the social care workforce</p>	<p>On going</p> <p>In place</p> <p>In place</p> <p>On going</p> <p>On going</p>	<p>Currently in process. When successful tenderer has been awarded contract work will commence with provider to develop service and be on going contract management</p> <p>Ongoing monitoring to measure effectiveness at managing demand</p> <p>Work streams are addressing national concerns raised by Welsh Local Authorities. Conclusion of the work will inform direction of travel.</p> <p>Continued fee negotiations with providers to ensure best value and to ensure best outcomes.</p>
Responsible Officer:	Strategic Director – People	
Responsible Cabinet Member(s):	Cabinet Member for Education and Skills Cabinet Member for Social Services	

Risk 8

Risk name	Risk of stability of external suppliers					
Description/Rationale	Growing cost of delivering services and purchasing materials will impact on external supplier's ability to continue to fulfil contract obligations. Potentially short notice of inability to provide services					
Risk rating prior to mitigation	High					
Links to	Change programme, service planning, corporate plan etc.					
Present Matrix	Assessment Date	Present Risk Score	Present Score Breakdown		Direction of Risk	Review Date
			Probability	Impact		
	August 2017	4	4	5	Not applicable until next update as this is a new risk	December 2017
			probability	impact		

Planned Mitigation	Timescales	Current Action Status
<p>Market Management Consultation and engagement with social care providers</p>	Ongoing	It is critical to maintain the momentum of dialogue with providers if we are to maximise our influence on the social care market. We have a responsibility to protect the sustainability of services and to ensure appropriate care is available at a fair cost to meet the needs of Newport citizens.
	Ongoing	Continuous dialogue with Providers to understand the real costs of care, helping them to operate efficiently and escalating identified pressures through the appropriate financial channels.
<p>Encouraging New Providers To Enter The Market The offer of block contracts for domiciliary care hours that provides incentive for new providers and creates a diverse market place.</p>	Ongoing	Particular progress in relation to understanding and managing the costs associated with Children's placements but more work needs to be done in this area as demand outstrips supply.
Open dialogue with providers interested in entering the market to ensure they are fully informed about service demand and future	Ongoing	Block contracts are offered for a period of 3 – 5 years but 3 domiciliary care agencies have given notice and ceased trading in Newport over the past year. Three new providers have entered the market as a result of successful

Planned Mitigation	Timescales	Current Action Status
<p>commissioning intentions</p> <p><u>Developing New Sustainable Models of Service & Maximising Alternative Funding</u></p> <p>Working with partners such as Housing and Health to develop new services that are more financially sustainable and offer better opportunities for people to live independently</p> <p><u>Working With Commissioning Partners</u> Working Regionally & Nationally to share knowledge, best practice, market intelligence and to develop commissioning strategies in both adults and children's services</p> <p>.</p> <p><u>Commissioning Function</u> Strong, well organised Commissioning function and agreed strategies that effectively oversees and controls all purchasing activity and understands the local market. The Commissioning team are fully sighted on market issues, have well developed relationships with providers and work closely with operational teams to source good quality sustainable services</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>	<p>bids for NCC contracts but the market remains difficult</p> <p>Ongoing work with new & existing providers to ensure they can develop their business in Newport and become sustainable.</p> <p>Ty Eirlys is a new supported living scheme for 13 people with Learning Disabilities in Newport, its success will offer further opportunity for more developments of its kind that are based on independent living and minimise the level of reliance on Community Care budgets</p> <p>Continued work with the 4C's Consortium in relation to sourcing appropriate placements for Children</p> <p>Engaged with the National Commissioning Board, set up by the Welsh Government to address issues within the residential care sector for older people</p> <p>Engaged with the National work-stream around domiciliary care to address the issues around workforce stability and market resilience</p> <p>Most providers operate in multiple local authority areas, so sharing intelligence with other commissioners is essential</p> <p>It is vital that we have a strong Commissioning Team in order to respond to challenges presented by the external market including poor provider performance, provider failure, providers giving notice on complex packages and providers exiting the market - failure to do so would put vulnerable people at risk.</p>

Planned Mitigation	Timescales	Current Action Status
	Ongoing	Effective commissioning of care and placements that require Providers to demonstrate sustainable staff recruitment and retention practices, including pay rates and training opportunities.
Responsible Officer:	Strategic Director -People	
Responsible Cabinet Member(s):	Cabinet Member for Social Services	

Risk 9

Risk name	Increasing pressure on existing infrastructure
Description/Rationale	<p>The M4 Bridge tolls will be abolished for all vehicles in 2018 this is a positive opportunity for the city but the council must consider the potential impact on existing infrastructure.</p> <p>Traffic at the Toll's is currently 'held' back and released creating a pulsing effect on traffic entering Wales.. Removal of this effect will result in more traffic reaching the 2 lane sections at Magor and the Brynglas tunnels quicker, with associated congestion.</p> <p>Although that is primarily a network management issue for the SW Trunk Road Agency, it is likely to result in rat running on alternative routes impacting on the city's network. Increased use of the Steelworks Access Road, SDR and Chepstow Road is anticipated as the main alternatives motorists will seek to use.</p> <p>We know this with some confidence due to the regular effect on our network of congestion, road collisions and roadworks on the M4 .</p> <p>The tolls are a barrier to logistics companies (some firms spend £200k per annum in toll fees); therefore many logistics and distribution firms locate on the English side of the bridge. Removal of the tolls is likely to result in a review of location, with the potential relocation in and around Newport increasing the impact on local networks</p> <p>House prices in Bristol are relatively expensive; therefore removal of the tolls could increase the attractiveness of living on the Welsh side and commuting to Bristol. This presents an opportunity for Newport, especially locations with good motorway access east of the tunnels but it will attract significant additional car journeys.</p> <p>Increased light and heavy vehicular usage will impact on the whole life of our highway assets and result in increased routine maintenance and associated revenue and capital investment.</p> <p>Any additional traffic will be detrimental to air quality – particularly within the city's existing AQMAs</p> <p>Impact on public transport and Council services</p> <p>Increased traffic on local roads will have a detrimental impact on journey time/reliability. It will also increase operating costs for public transport and council services that rely on road based delivery models. (the Welsh Assembly Enterprise and skills committee are undertaking an inquiry into the impact of congestion on bus services).</p> <p>Consideration of additional resources or different delivery models may be required as mitigation</p>
Risk rating prior to mitigation	High
Links to	Corporate Plan, service plan

Present Matrix	Assessment Date	Present Risk Score	Present Score Breakdown		Direction of Risk	Review Date
			Probability	Impact		
	August 2017	16	4	4	Not applicable until next update as this is a new risk	December 2017
			probability	impact		

Planned Mitigation	Timescales	Current Action Status
<ul style="list-style-type: none"> In the long term, the successful delivery of the proposed M4 would have the potential to mitigate the effects of the toll removal through Newport. 	Start date: spring 2018 End date: end 2022	This proposal is still at Public Enquiry stage
<ul style="list-style-type: none"> Improved Public Transport Measures (including Great Western Cities Initiative to improve rail connectivity between Newport, Cardiff and Bristol, Bus Rapid Transport and Metro). Improved links to existing M4 	Unknown Start date: March 2015 End date: 2018	Various feasibility studies have been commissioned to increase connectivity through the city and are waiting funding to progress. Newport are currently working with WG on improving transport links, congestion and journey times through the Junction 28, Forge Road and Tredegar Park roundabouts reconfiguration works.
Responsible Officer:	Strategic Director -Place	
Responsible Cabinet Member(s):	Cabinet Member for Streetscene	

Risk 10

Risk name	Climate Change: Effects on future condition and availability of Council Infrastructure and reducing the future impact of further greenhouse gas emissions.
Description/Rationale	<p>It is generally accepted that the effects of global warming will result in:</p> <ul style="list-style-type: none">· All areas of the UK get warmer and the warming is greater in summer than in winter;· Little change in the amount of precipitation (rain, hail, snow etc) that falls annually but it is likely that more of it will fall in the winter with drier summers for much of the UK· Sea levels rise – more in the south of the UK than the North. <p>To tackle the challenge of climate change, Newport needs to act on two fronts;</p> <ul style="list-style-type: none">• Prepare for the changes that are already happening because of the greenhouse gases which have already been released• Reduce the greenhouse gases we emit through our operation by reducing and decarbonising our energy consumption <p>Preparing for the changes</p> <p>Newport should consider how various climate change variables such as intense or prolonged rainfall; hotter temperatures and higher wind speed will impact on the type of highway assets that they manage and the likelihood of these events occurring. By doing this the greatest generic risks to network closure or restriction can be identified. These are likely to be;</p> <ul style="list-style-type: none">• Flooding (pluvial, fluvial, groundwater and coastal)• Snow• Landslips• Scour• Wind damage• Heat/ water and frost damage• Disruption at interchanges with other transport modes such as rail and bus.• Inadequate or over stretched resources to meet demand <p>Newport should review and apply the latest UK Climate Projections, as developed by the Met Office and Environment Agency, when assessing future risk and vulnerability. These projections for future changes to both average climatic conditions and also the frequency of extreme weather events, allow for an understanding of where risk levels may change, and the identification of new risks which may emerge as the climate changes. When applied alongside records of past incidents, and other information sources (such as flood maps), climate projections may also help to identify when and what action should be taken to adapt to the risks.</p> <p>The locations where there is potential for these events to occur on the Network should be identified. This can be done using the highway asset inventory and records of past incidents of weather related damage or incidents such as flooding or landslips. The local Flood Risk Management Plans should also be used to identify areas prone to flooding. Where possible, local knowledge should be used to validate the findings.</p>

Decarbonising and reducing our energy consumption

The Environment (Wales) Act 2016 requires that Wales reduce its carbon emissions by 80% by 2050; at the time of writing the Welsh Government are consulting on the Public Sector being Carbon neutral by 2030 as well as how targets and budgets will be implemented from now until 2050.

In 2016/17 Newport City Council was responsible for the direct (scope 1 and 2) green house gas emissions of 17,224 Tonnes of CO₂eq from our electricity and gas supply alone. Although a significant improvement on previous years, with fleet vehicles adding to this total, the impact of the day to day operation of the council is substantial. Indirect emissions, such as from procurement of goods and services, waste and employee commuting may also be considered in the future. Achieving the required reduction will be a challenge, but there is considerable potential for improvement with the correct investment.

The need for a greener national electricity system is contributing towards increasing energy costs for consumers. The UK Government (BEIS) mid-range forecast predicts that prices will increase at circa 4% per annum until 2025. This represents a significant increase in the cost of electricity for Newport City Council if no reductions are made.

Newport City Council has limited renewable energy generation across our estate, increasing this significantly would be a major step towards meeting emission reduction targets. Potential locations for installations will be reviewed and options for implementation considered.

Some of the risks may have the potential to be reduced by mitigation action. Such action could range from improved routine inspection or maintenance regimes to major asset improvement or replacement works. Options for mitigating the greatest risks should be explored with a view to prioritising those measures that will provide the greatest return on investment in terms of reduced risk. These measures should be integrated with the asset management plan with an appropriate weighting.

Risk rating prior to mitigation

Medium :
There are a number of risks within this document, each with an individual risk ranging from low to high. The average risk as a whole has been calculated as upper medium

Links to

NCC Assets, Streetscene Service , Civil Emergencies and Severe Weather Emergency Plans

Present Matrix	Assessment Date	Present Risk Score	Present Score Breakdown		Direction of Risk	Review Date
			Probability	Impact		
	August 2017	12	3	4	Not applicable until next update as this is a new risk	December 2017
			probability	impact		

Planned Mitigation	Timescales	Current Action Status
Produce and implement a Carbon Management and Implementation plan to set out a strategy, objectives and programme to reduce overall carbon emissions, provide investment opportunities and to mitigate against anticipated increases in energy supply costs.	Ongoing (spring 2018?)	Newport is currently evidence gathering and scoping carbon, energy and cost savings measures which could be delivered in 2018/19 and beyond.
Aim to get the best value for money from procurement of utilities through the National Procurement Service. Wherever possible purchase electricity backed by Renewable Energy Guarantee of Origin Certificates.	Ongoing	Continue to review energy supply options and secure the best value and lowest carbon energy supply for Newport.
Undertake a full review of the Council's assets and their suitability for the application of renewable energy technologies to deliver Carbon and financial benefits.	Ongoing	Review of all council assets using external expert support, feasibility studies and business cases will be put forward where appropriate.
Plan and deliver Sustainable Urban Drainage Systems (SuDS) - SuDS such as permeable surfaces, swales, wetlands and ponds can play an important role in managing local flood risk in urban areas since they replicate natural surface water drainage systems.	Ongoing	<p>Welsh Government is currently consulting on legislation for the Implementation of sustainable drainage systems on new developments. The primary aim of this legislation is;</p> <ul style="list-style-type: none"> - To encourage SUDS on new developments, such as swales, ponds, storage areas, etc. in order to manage drainage and surface water; - For a SAB (SUDS Approval Body) to be implemented within each council to review SUDS designs prior to construction; - For SAB'S (Local Authorities) to adopt and maintain SUDS over their lifetime.
Comprehensive and robust Adverse Weather Plans	Existing	<p>The plan will evolve to mitigate the effects of climate change as they start to impact on council services and assets</p> <p>Consideration needs to be given to the provision of a suitable co-ordination structure and associated resources to prepare for the impact.</p>
Plan and deliver green infrastructure - green infrastructure (trees, parks, open space etc) is important because it can help to keep cities cool in the summer, provide drainage routes for surface water and provide pathways through the	Existing	The Green Infrastructure of the authority is monitored and managed primarily through overarching plans, policies and guidance such as LANDmap, the Local Development Plan, the Biodiversity Action Plan, the Fields in trust Standards and the assessment of Accessible Natural Greenspace provision.

Planned Mitigation	Timescales	Current Action Status
urban environment for biodiversity to migrate as the climate changes.		<p>Develop the criteria for the Special Landscape Areas.</p> <p>Gwent Levels Landscape Character Assessment and Green Infrastructure assessment through the Living Levels project.</p> <p>Comprehensive management and replacement programmes for trees and woodlands.</p>
Selection of road surfacing materials that have a higher resistance to heat damage and /or heat reflectivity. Increased preventative maintenance to seal surfaces to water ingress and arrest disintegration	Under review	Newport will continue to review the performance of materials and promote timely intervention to secure the whole life of assets. Advances in materials and technology will be embraced where and when applicable.
Maximise on available Welsh Government funding to improve the defence of the city against fluvial and coastal flooding	Ongoing	Newport will continue to work with all relevant partners to secure funding to mitigate these risks. However, lack of capital funding to meet the authority's contribution (circa 25%) can be a barrier.
Responsible Officer:	Strategic Director –Place	
Responsible Cabinet Member(s):	Deputy Leader / Cabinet Member for Assets Cabinet Member for Streetscene	

Risk 11

Risk name	Increasing demands on IT Services and the modernisation agenda					
Description/Rationale	Increased demand for IT services with a reducing budget poses a risk to the future development of IT infrastructure and the development and delivery of the modernised council agenda.					
Risk rating prior to mitigation	Medium					
Links to	Corporate Plan, People and Business Change Service Plan, modernised council agenda					
Present Matrix	Assessment Date	Present Risk Score	Present Score Breakdown		Direction of Risk	Review Date
			Probability	Impact		
	August 2017	6	2	3	Not applicable until next update as this is a new risk	December 2017
			probability	impact		

Planned Mitigation	Timescales	Current Action Status
Manage and develop effective IT services following transition to SRS by establishing strong retained client-side management arrangements, processes and procedures	On-going	Arrangements in place to monitor planned work and projects. More strategic issues being addressed following transfer of service.
Development and implementation of digital by default by committing to move all transactional services online and fully digitising the back-office	On-going	Strategic aims and objectives being developed and will be managed in line with work on 'Modernising Council'. Also monitored by the council's Digital Board
Monitoring of carefully considered data set to manage performance of the SRS arrangement/demand on services	On-going	The measures are in place and will be monitored on a quarterly basis
Responsible Officer:	Strategic Director –Place	
Responsible Cabinet Member(s):	Cabinet Member for Community & Resources	

Risk 12

Risk name	Increasing risk of cyber attack					
Description/Rationale	Risk of data loss, disaster recovery, impact of possible fines					
Risk rating prior to mitigation	Medium					
Links to	Corporate Plan, People and Business Change Service Plan, modernised council agenda					
Present Matrix	Assessment Date	Present Risk Score	Present Score Breakdown		Direction of Risk	Review Date
			Probability	Impact		
	August 2017	9	3	3	Not applicable until next update as this is a new risk	December 2017
			probability	impact		

Planned Mitigation	Timescales	Current Action Status
Using and Securing Data in line with the council's Digital Strategy. Numerous information risk management activities including the role of the Information Governance Group, Senior Information Risk Owner (SIRO), and Annual Information Risk Report. Also managing compliance, information security incident management, training and awareness raising.	Most of these activities are carried out throughout the year	Most of the activities are carried out on an on-going basis. Vulnerabilities identified by the Annual IT Health Check are being addressed in line with Public Services Network (PSN) accreditation. Lessons have been learned as a result of previous incidents and improvements are being made to business continuity arrangements.
Responsible Officer:	Strategic Director –Place	
Responsible Cabinet Member(s):	Cabinet Member for Community & Resources	

Risk 13

Risk name	Asset Management – Carriageways and Buildings
Description/Rationale	<p><u>Carriageways</u></p> <p>It is acknowledged throughout Wales that current funding levels fail to ensure a minimum of steady state in highway condition and untreated highway assets continue to deteriorate. Although Newport has proactively used its powers to fund highway condition improvements through prudential borrowing and has benefited from Welsh Government's Local Government Borrowing Initiative (LGBI), the cessation of the Welsh Governments Road Maintenance Grant has resulted in under investment into the city's carriageway asset stock since 2014/15.</p> <p>Carriageway condition is a Public Accountability Measure within the council's suite of performance indicators. Using the Horizons asset management tool, highway condition can be forecasted for future years against differing levels of capital funding. Using a zero capital budget scenario, the condition evaluations are:</p> <ul style="list-style-type: none">▪ Cost (over 5 year period) to bring the network up to standard (clear maintenance backlog) = £31.8M.▪ Cost (over 5 year period) to keep the PIs PAM 020,021 and 022 at a steady state (maintain current network condition) = £13.4M.▪ Gross replacement cost £646M. <p><u>Buildings</u></p> <p>Newport City Council has a significant property estate, many of which have suffered from a lack of annual and cyclical repair, maintenance and investment. £1.5M is invested annually within the NCC estate from the Capital Maintenance Programme, however, this is not enabling a meaningful impact in reducing the maintenance backlog, which is estimated to be at a value of £50M (<i>dated May 2017</i>). NCC is investing its repair and maintenance programme at a rate of £105/m² which is particularly low compared to adjacent authorities and public sector organisations.</p> <p>The majority of backlog is contained within building elements such as roofs, timber windows, boilers and electrical works. Based on a maintenance backlog estimate of £50M and assuming a £3M annual depreciation across the estate an investment of £8M per annum would be required.</p>
Risk rating prior to mitigation	High
Links to	Streetscene Service Plans since 2014/15. Corporate Property Strategy and Strategic Asset Management Plan 2013-2018 Corporate Asset Management Plan 2018-2023

Present Matrix	Assessment Date	Present Risk Score	Present Score Breakdown		Direction of Risk	Review Date
			Probability	Impact		
	August 2017	20	5	4	Not applicable until next update as this is a new risk.	March 2018
			probability	impact		

Planned Mitigation	Timescales	Current Action Status
Carriageways – The limited capital investment has been implemented to maximise the safety, serviceability and sustainability of the highway asset. However, asset condition continues to decline	Annual	This limited intervention will continue as long as funding can be apportioned out of the Streetscene Capital Annual Sums
Carriageways – Robust highway inspection and repair regimes mitigate the risk of 3 rd party claims as a result of failure of duty to maintain the highway under Section 41 Highways Act	Continual	This work is ongoing but although it ensures highway safety, it has no impact on the mitigation of the initial risk to the whole life of the asset
Carriageways – Support WLGA in its lobbying of Welsh Government for the reintroduction of funding through another round of LGBI	Continual	There is no indication that any additional funding will be made available in the foreseeable future
Buildings – Condition surveys are being enhanced for 2017/18 and 2018/19 to better understand the entire estate, with a reduced commitment for each year thereafter for cyclical condition surveys and specialist surveys to accompany.	Annual	Tendering, evaluation and commissioning of condition surveys due to take place before October 2017.
Buildings – A greater level of programming and prioritisation of the Capital Maintenance Programme for delivery to include life expectancy, building sufficiency and suitability, as well as backlog value.		
Responsible Officer:	Strategic Director - Place	
Responsible Cabinet Member(s):	Cabinet Member for Streetscene Deputy Leader / Cabinet Member for Assets	

Risk 14

Risk name	Recruitment and retention of specialist professional staff					
Description/Rationale	Resilience of Council services and ability to retain specialist professional staff and attract new employees in a competitive market place					
Risk rating prior to mitigation	Medium					
Links to	Corporate Plan					
Present Matrix	Assessment Date	Present Risk Score	Present Score Breakdown		Direction of Risk	Review Date
			Probability	Impact		
	August 2017	12	4	3	Not applicable until next update as this is a new risk	December 2017
			probability	impact		

Planned Mitigation	Timescales	Current Action Status
Review of equal pay audit in March 2018 to ensure integrity of the Council's pay and grading system	March 2018	
Effective succession planning practices demonstrated in key service areas where risk is perceived to be high	Ongoing	Heads of Service will be required to effectively succession plan to ensure internal talent is being developed in order to successfully appoint to key positions when vacancies arise due to external progression. Heads of Service will need to work closely with their HR Business Partner to identify their individual risks and what development needs exist within their current workforce.
Responsible Officer:	Chief Executive	
Responsible Cabinet Member(s):	Cabinet Member for Community and Resources	