

Agenda



Cabinet

Date: Wednesday, 22 March 2023

Time: 4.00 pm

Venue: Council Chamber / Hybrid

To: Councillors J Mudd (Chair), D Batrouni, J Clarke, D Davies, Y Forsey, D Harvey, J Hughes, L Lacey and S Marshall

Item	Wards Affected
1	<u>Apologies for Absence</u>
2	<u>Declarations of Interest</u>
3	<u>Minutes of the Last Meeting</u> (Pages 3 - 16)
4	<u>Newport City Council Core TOMs (Themes, Outcomes and Measures) for Measuring Social Value in Contracts</u> (Pages 17 - 30)
5	<u>Corporate Risk Register Update (Quarter 3)</u> (Pages 31 - 74)
6	<u>Policy Review: Customer Feedback - Compliments, Comments and Complaints</u> (Pages 75 - 94)
7	<u>NCC External Pressures Update</u> (Pages 95 - 100)
8	<u>One Newport Summary Document</u> To view the One Newport Summary, please click on the following link: https://sway.office.com/Ve9K7TbLyBeroBUA?ref=Link
9	<u>Work Programme</u> (Pages 101 - 108)

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Date of Issue: 15 March 2023

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Minutes

Cabinet

Date: 15 February 2023

Time: 4.00 pm

Present: Councillors J Mudd (Chair), D Batrouni, J Clarke, D Davies, Y Forsey, D Harvey, J Hughes, L Lacey and S Marshall

1 Apologies for Absence

None.

2 Declarations of Interest

None.

3 Minutes of the Last Meeting

Minutes from 11 January were accepted as a true record.

4 Capital Strategy and Treasury Management Strategy - 2023/24

The Leader Introduced the annual report focusing on the Council's capital expenditure plans, the financial impact of those in terms of borrowing, and investment strategy for the year.

It was important to note that full Council ultimately approved the borrowing limits and prudential indicators contained within the report. Cabinet however, were requested to approve the detailed capital programme itself.

It was also important to note that the Governance and Audit Committee also considered the report in their most recent meeting and provided comments. In this case, their comments simply endorsed the proposed strategies, with no concerns raised.

In terms of the report itself, there were a number of key points highlighted:

- The Council was entering a new capital programme window, with the current programme ending in March of this year and a new five-year programme taking effect from April.
- Previously, the programme was reviewed once every five years, however the proposal was to move to a rolling approach to capital programme management, meaning that the overall programme, and borrowing affordability, be reviewed annually.
- This change would introduce more flexibility in managing the programme and was accompanied by strengthened governance arrangements, detailed in the report.
- Because of the extremely challenging financial context, the proposed programme contained only ongoing and previously approved schemes, which were being carried

forward from the existing programme, and annual sums, which included activities such as annual asset maintenance and fleet renewal.

- Whilst there were no new schemes being included, the programme, especially in years 1 and 2, was still significant and contained a number of the Cabinet's highest priority schemes.
- Due to the affordability challenges, there was no new borrowing headroom included in the strategy, meaning that capital headroom (used to pursue new schemes or address cost increases on existing schemes) was limited. As a result, every opportunity needed to be taken to boost the headroom via one-off sources to continue to respond to emerging pressures as and when they arose.
- Whilst there was no new borrowing included in this programme, previously approved borrowing would be incurred over the next few years, increasing the overall Capital Financing Requirement and the Council's level of debt.
- The borrowing limits proposed took this into account and the revenue consequence of additional borrowing (e.g. interest payable on loans) was already budgeted for, following a budget investment made in 2021/22. The programme proposed was therefore affordable, prudent and sustainable.
- In terms of Treasury Management, the report detailed the Council's approach to borrowing and investing.
- It confirmed that the Council would pursue an internal borrowing strategy, using available cash resources to defer external borrowing for as long as possible, and would only undertake borrowing in advance of need where there was a clear financial rationale for doing so.
- For investing, the Council would continue to prioritise security, liquidity and yield, in that order strike an appropriate balance between risk and return.
- A minimum investment balance of £10m was required and longer term investments, often with a higher return, would continue to be explored.

The Head of Finance commentary within the covering report directly addressed the question of affordability, prudence and sustainability and confirmed that the proposed strategy and programme met all of those criteria.

Comments of Cabinet Members:

- Councillor D Davies welcomed the new capital strategy and its ten-year context as there was so much change, the annual review was a good way forward. It was also good news that the Band B Capitol programme would also be completed.

Decision:

That Cabinet recommend to Council for approval

- The Capital Strategy (Appendix 2), including the proposed Capital Programme within it (shown separately in Appendix 1), and the borrowing requirements/limits needed to deliver the proposed programme.
- The Treasury Management Strategy and Treasury Management Indicators, the Investment Strategy and the Minimum Revenue Provision (MRP) policy for 2023/24. (Appendix 3)

As part of the above, Cabinet

- Noted the increasing debt, and corresponding revenue cost of this, in delivering the new Capital Programme, and the implications of this over both the short and medium-long term with regard to affordability, prudence and sustainability.
- Noted the Head of Finance comments that borrowing needed to be limited to that required to fund ongoing and previously approved schemes brought forward from the current Capital Programme only, and the recommended prudential indicators on borrowing limits to achieve this.
- Noted and commented on the proposal to prioritise annual sums funding over any new schemes, unless unavoidable.

Noted the feedback provided by the Governance and Audit Committee on 26 January 2023 (paragraph 5).

5 **December Revenue Budget Monitor**

The Leader introduced the next report to colleagues, this was the quarter three revenue update presented to Cabinet explaining the current forecast position of the Authority as at December 2022.

The report highlighted the current forecast position on the Council's revenue budget and the financial risks and opportunities that presented themselves.

Cabinet were asked to:

- (i) Noted the overall budget forecast position resulting from the issues included in this report and the outstanding uncertainties and risks still present.
- (ii) Agreed that the Chief Executive and the Executive Board continued to review and challenge service area forecasts in an attempt to manage the overall forecasts within the core revenue budget, including revenue budget contingencies.
- (iii) Noted the key risks identified throughout the report, particularly in relation to homelessness and social care placements.
- (iv) Noted the overall position in relation to schools, when compared to previous years, but also noted the risk that deficit positions could emerge in the future if good financial planning and management was not undertaken.
- (v) Noted the forecasted movements in reserves.
- (vi) Approved allocation of the 2021/22 underspend that remained unallocated at outturn as set out in section 4 of the report, noting the resulting level of the Council's general and earmarked reserves.

Against a net budget of £343 million, the December revenue position currently forecasted an underspend of £1.1million, which represented less than 0.4% variance against budget. This underspend was after the use of all revenue budget contingencies of £4.7million included in the 2022/23 revenue budget, as agreed by Cabinet in February 2022.

Despite having established these budget contingencies for the 2022/23 year to deal with covid legacy issues, there was significant overspending in some key demand areas and other emerging risks within service areas.

These were offset by savings against (i) revenue budget contingencies which were made available to the Council (ii) Council tax reduction scheme and (iii) other non-service budgets as set out within the report.

The forecasted position improved by £2.5 million since the last Cabinet update primarily from one off grant funding received from Welsh Government in respect of Elimination of profit funding for children's social care and No One Left Out Approach funding to support homelessness. Whilst the additional grant funding was welcomed, Cabinet was mindful to note the key areas of overspending within service areas as set out in the report and its appendices.

The key areas contributing to the £5million forecast overspend within service areas included:

- Increased demand across key social care areas including children's out of area and emergency placements. These two areas alone contributed an overspend of over £4 million to the overall service position.
- The impact of the 2022/23 NJC pay award, the average increase for Council staff would be in the region of 6.4% compared to only 4% provision in the budget. This represented a forecasted overspend of £2.4million for non-school based staff.
- Significant pressures were evident within Housing and Communities, in relation to homelessness. An overspend of £1.9million was forecasted after the additional in year grant funding was awarded.

The main issues were:

- a. The large number of individuals/ households accommodated in temporary accommodation, reflecting a continuation of the position from the Covid period.
 - b. The lack of suitable accommodation options resulting in significant use of hotel and B&B options at much higher cost than more traditional options.
 - c. The cap on Housing Benefit subsidy resulting in only a proportion of these costs being covered by the Department for Works and Pension (DWP).
- In addition to these continued risks, there were also issues that emerged this year that would continue to be closely monitored. These included, but were not restricted to, Education Special and SEN transport which was forecasting a £496k overspend due to higher operator costs due to inflation and £340k car parking income shortfall. The anticipated overspend in these areas of emerging risk was expected to be over £800k by the end of the financial year. Further pressures were evident within fleet maintenance as a product of rising fuel process as well as increasing costs associated with maintenance.
 - An anticipated shortfall against the delivery of 2021/22 and prior year savings of £541k, largely due to delays in progressing the necessary actions, some of which was a result of the pandemic.

The Leader was pleased to note, however, that all undelivered savings were expected to be delivered in full next financial year or proposed to be dealt with as part of the draft budget.

- Underspending against both the core revenue contingency budget and the other temporary contingencies provided mitigation against service area overspending. The forecast underspend of £4.7million was shown against non-service budgets. In addition, there was a forecast underspend of £2.3million against capital financing,

specifically on PFI interest and almost £1million forecasted saving against the council tax reduction scheme budget.

Schools were separately projected to overspend by £5.3million, a proportion of which was planned, and would reduce school reserves by that amount. As well as the impact of a higher pay award compared to the budget increase allowed for, schools were drawing down on reserves built up over the previous two years as they moved to catch up / strengthen provision after the impacts of Covid and catch up on maintenance / related improvements.

Robust monitoring needed to be maintained in this area, as whilst no schools have set a deficit budget, there were a couple of schools that entered an in-year deficit position following the impact of the pay award being reflected in individual school forecasts.

Overall, the current position on school balances represented an improvement from concerns evident in previous financial years. It did, however, remain necessary to closely scrutinise each position and ensure that recovery plans were in place and being delivered as intended to avoid a return to the previous position.

This must be balanced with trying to avoid a situation whereby balances could be considered excessive and would, therefore, be a key consideration when setting future revenue budgets and reviewing the medium-term financial plan.

As the Council was nearing the end of the financial year, many of the significant areas of overspending were known with reasonable certainty and the values attributed were realistic. As always, however, there was potential for the position to change and these areas continued to be monitored in the final months of the financial year.

Whilst the service area position improved following confirmed additional funding from Welsh Government, given the challenges that were likely to manifest themselves in the 2023/24 budget, there was a need to reduce service area overspending further, especially in the key areas set out. In addition, any new pressures needed to be managed within existing resources as much as was practicable.

As well as having a focus on the in-year position, it was important for services to understand any longer-term impacts of the challenges being faced and identify strategies for minimising those impacts. This was because there was already a challenging outlook for the medium term. Any further financial issues would only add to that challenge.

Comments of Cabinet Members:

- Councillor Marshall felt that this was a welcome addition and thanked staff for their hard work and contribution, as Newport was the only Council in Wales to receive the funding.
- Councillor D Davies referred to the education portfolio in relation to the use of reserves, where £5.3M was intended to be spent on capital projects and the huge delay due to covid, materials and planning permission. With this in mind, this did not mean that it would not be monitored closely by schools in the future, who also needed to be prudent in relation to this.
- Councillor Batrouni made two points; overall it was a positive revenue, but we should not be complacent, as there were some pressures in areas such as housing and children services and there was no short-term fix. This was grant funding from WG and was not an ongoing provision, we therefore needed to be prudent to ensure that the long-term issues were being addressed, not only in Newport but every council across the country. Secondly, in relation to the overspend on the pay budget, however, as Cabinet, we were proud that we gave on average a 6% rise in relation to inflation and giving one of the best

pay settlements to Council employees. Leader valued Councillor Batrouni's comments and expressed the Cabinet's commitment to public servants within Newport.

Decision:

That Cabinet

- Noted the overall budget forecast position resulting from the issues included in this report and the outstanding uncertainties and risks still present.
- Agreed that the Chief Executive and the Executive Board continued to review and challenge service area forecasts in an attempt to manage the overall forecasts within the core revenue budget, including revenue budget contingencies.
- Noted the key risks identified throughout the report, particularly in relation to homelessness and social care placements.
- Noted the overall position in relation to schools, when compared to previous years, but also noted the risk that deficit positions could emerge in the future if good financial planning and management was not undertaken.
- Noted the forecast movements in reserves.
- Approved allocation of the 2021/22 underspend that remained unallocated at outturn as set out in section 4 of the report, noting the resulting level of the Council's general and earmarked reserves.

Action by Cabinet Members / Head of Finance / Executive Board:

- Chief Executive and Executive Board continued to review the issues resulting in the current service area position and, with Heads of Service, continued to take robust action to manage overall forecasts in line with available core revenues budgets.
- Cabinet Members discuss financial forecasts and issues in their portfolio areas and agreed recommended action to bring those back in line with available budgets, as much as was possible.
- Heads of Service delivered agreed 2022/23 and previous year budget savings as soon as practically possible, but by the end of the financial year at the latest.
- Cabinet Members and Heads of Service promoted and ensured robust forecasting throughout all service areas.

6 December Capital Programme Monitoring and Additions Report

The Leader introduced the report which provided an overview of the updated capital budgets for this financial year, alongside the projected outturn position as at the end of March 2023.

This represented the third capital monitoring report of the 2022/23 financial year.

The last report received by Cabinet was the October Monitoring and Additions report. There were several additions and amendments made to the programme since then. Most of which related to the addition of specific grant-funded schemes. These total £8.283m, detailed in Appendix A, impacted across multiple financial years, with £1.4m added to 2022/23.

Cabinet were asked to approve these additions to the programme.

The total net impact of these additions and revisions would increase the total budget for 2022/23 to £89.8m.

Against the revised budget of £89.8m in 2022/23, expenditure totalling £61.3m was projected. This £28.5m variance was comprised of £27m of slippage and £1.5m of "true" net underspends and overspends.

The level of slippage increased by approximately £10m since the last report, due to delays and challenges across various schemes.

Cabinet was only asked to note the current forecast slippage, not to approve slippage at this stage of the year. Instead, slippage was being identified in each monitoring report and only in the final report of the year would Cabinet be asked to approve a total amount to be transferred to future years.

The report also outlined the current position in relation to the capital headroom which was made up of:

- £57k borrowing headroom.
- £258k capital expenditure reserve (this includes the potential commitment of £1.267m for band B)
- £1.474m of uncommitted capital receipts

The balance of headroom available took into accounts commitments already reflected within the Capital Programme, as well as provisional additional funding to take the overall Band B funding envelope to £90m, therefore, the capital headroom was currently £1.789m.

This overall amount of headroom, which steadily reduced over recent years, needed to be carefully managed and monitored in order to ensure that it was utilised when needed for the most critical issues over the medium term.

This need for careful monitoring and prioritisation of resources was heightened considering the challenges currently being faced in relation to rising construction industry costs and the competing priorities for capital resources.

Opportunities therefore, to add one-off contributions to the headroom needed to be taken as and when available, to ensure that the Council was able to react to emerging pressures and ensure that the full programme could be delivered.

Comments of Cabinet Members:

- Councillor Batrouni emphasised that the Council was still investing in the city, its services and schools. Cabinet budgeted an extra £39M for schools as well as £18M in economic regeneration for the city. This was a commitment to the regeneration projects and schools within Newport.

Decision:

That Cabinet

1. Approved the additions to the Capital Programme requested in the report (Appendix A).
2. Noted the predicted capital expenditure outturn position for 2022/23.

Noted the available remaining capital resources ('headroom') and the earmarked usage of that resourcing.

7 Final Budget and MTFP: Final Proposals - 2023/24

The Leader introduced the final proposals on the MTFP budget for 2023/24. The report followed the one considered at December's meeting, which was approved as the basis for the public consultation on the draft budget proposals. The consultation was concluded and the report outlined the responses received to the consultation, changes in budgetary assumptions in the intervening period and final proposals for consideration. This was one of

the most important reports of the year and was given careful consideration, especially considering the financial context within which the Council and residents were operating.

The Leader gave a backdrop to the budget, outlining that the report represented the culmination of an incredibly challenging period, which began with Cabinet considering the implications as we transitioned out of the worst of the COVID-19 pandemic. At the beginning of the year, there was concern about the lasting impacts of the pandemic and a temporary COVID contingency was created to mitigate some of the uncertainties ahead.

What had transpired however, was quite different to what was expected, high inflation represented the single biggest challenge facing the Council and the wider economy. This resulted in pay awards being much higher than anticipated, placing a significant in-year pressure on finances as well as a lasting one that was being addressed as part of this budget. Additionally, energy inflation was running at historic levels, this affected budget planning for next year. It was not only the costs incurred by the Council, but its service providers were also facing the same pressures, which was being passed on to us.

Demand for services was also high and there were a number of significant pressures emerging. One example related to homelessness services, where the continued high demand for temporary accommodation placed an extraordinary financial pressure upon the Council. This draft budget addressed the current level of overspend to the tune of over £4m and allowed us to continue supporting some of the most vulnerable people in our city.

As a consequence of these pressures, our December budget report highlighted an unprecedented budget gap and a number of strategies was outlined to address this gap, including a proposed Council Tax rise and savings from all services. In the meeting itself, we outlined a specific approach in relation to schools, whereby the Council would meet the cost of certain pressures, with schools themselves being asked to absorb others.

The proposals set out within the report were those that formed the basis of the consultation with the public that concluded earlier this month. This was an incredibly difficult process and the decisions to consult on those proposals were not taken lightly. The Leader was therefore, pleased to see the high levels of engagement that the residents of Newport, and other stakeholders, had in this consultation process, evidenced by the vast array of responses received.

The report highlighted the different sources of consultation responses that were received, with just under 1,800 responses in total. This represented a significant increase on previous years, aided in part by additional bus Wi-Fi responses, driven by increased passenger numbers. As well as this, several engagement exercises were conducted, including a pre-budget survey, engagement with the Fairness Commission, engagement with the Youth Council, public consultation events and events with users directly affected by proposals. Responses were received from trade unions, scrutiny committees and Schools' Forum.

Appendices 1 to 4 provided the details of responses received and the Leader highlighted some of the key messages coming through.

It was clear from the outcome of the consultation that there was a degree of understanding of the situation decision-makers within the Council face. A range of responses to specific proposals were provided, particularly visible within the statistical analysis, where a spread of views of certain proposals was evident. There was also clear support for some proposals, and this provided Cabinet with assurance that the feeling of residents was reflected when making such proposals.

Some of the qualitative comments made were pertinent and, as a listening council, these comments were taken seriously by Cabinet, with a commitment to acting on those as and where possible. It was understood that reducing services in areas such as Social Services

was not going to be popular, as these were the services that safeguarded some of our most vulnerable people. Our approach was to avoid reductions to the most critical services and only cease or reduce services where the impact could be managed. Difficult decisions were required, Cabinet was looking to balance the impact across services as best as possible.

In terms of Council Tax, it was clear and pleasing to see that there was recognition that increases were unavoidable and that increases in the rate of Council Tax could enable the most vital services to be protected.

The Leader wanted to assure the public and other stakeholders that feedback was taken on board and used in determining our final proposals. Cabinet would continue to review the way in which Council consulted and the information included within the budget proposals to ensure as many people could fully engage with the process.

The development of the budget was an ever-changing process year on year and there was a number of key changes since issuing the draft proposals in December. The most significant of these, as announced in the Cabinet meeting itself, was the announcement of the draft Welsh Government settlement, which provided an additional £11.7m of funding over and above that already assumed. In addition, Cabinet incorporated the draft contribution from schools, as well as a number of other positive changes to budgetary assumptions, such as reduced pressures in certain areas, new non-service savings and the availability of specific grant funding to offset pressures that were previously assumed to fall upon the Council.

Whilst these movements provided welcome mitigation to a significant budget gap, there was inevitably some movements that only added to the pressure, such as the need to increase the assumptions around future pay awards, as well as other emerging pressures in certain services. The reports listed the updated assumptions.

The culmination of these movements meant that a balance in hand of circa £2.5m now existed. The Leader detailed how it was intended to target the balance in hand as effectively as possible, having taken into account the consultation feedback.

It was clear from the feedback received that there was a strength of feeling towards the short breaks provision currently provided at both Oaklands and Spring Gardens. Cabinet recognised that vital services such as these, which supported some of the most vulnerable people, needed to be protected as much as possible. The Leader therefore announced that the proposal in relation to Oaklands was to be withdrawn at a cost of £485k. In terms of Spring Gardens, the proposal would be reduced by £300k on a permanent basis so that some provision continued and as well as this, Cabinet committed to a one-off sum of £200k from re-prioritised reserves for 2023/24, to provide capacity for further continued provision and give some time for a review of the service to be undertaken and move it to a more sustainable footing.

Also, having carefully considered the feedback received, the decision to withdraw the proposal to introduce car parking charges at four countryside car parks. In addition, there would be no replacement bin charges during 2023/24, having considered the impact on residents struggling the most with the cost of living crisis. The proposal would be reconsidered and reviewed and only be introduced in a future year, if felt it was fair on all residents. The cost of withdrawing these two proposals was £90k.

In relation to Council Tax, listening to the views of Newport residents on the proposed 9.5% increase, it was understood that an increase of this size was challenging for residents, at a time when costs of other household bills were increasing. The Council was also facing the same cost pressures, coupled with a comparatively low rate of Council Tax to other Welsh local authorities. Cabinet was however committed to doing what it could for residents and proposed to reduce the increase in Council Tax to 8.5% to ensure that it was less than the current rate of inflation. For Bands A to C, the most common in Newport, this equated to an

increase of £1.39-£1.85 per week. This would still leave Newport with one of the lower Council Tax rates across Wales and the UK and those residents who received help with their Council Tax bills through the 'Council Tax Reduction Scheme' would continue to do so as Cabinet was fully funding that to keep up with this increase and the Council already adopted to apply the Wales wide scheme in this respect.

As a result of reducing the increase in Council Tax, and withdrawing or reducing the savings proposals just outlined, it reduced the balance in hand to £937k. Cabinet believed the best use of this residual amount was to reduce the requirement for schools to contribute to the budget gap. Cabinet recognised that this still left schools with a challenge to face heading into 2023/24 and, to assist with this challenge, was committing to use nearly £1.9m of repurposed earmarked reserves to target financial support for those schools who needed it the most. Taking this into account, meant a commitment of £9m towards the pressures being faced by schools in 2023/24.

In addition to using re-purposed reserves to support Spring Gardens and schools, Cabinet intended to provide temporary support to Growing Space for the next two years and provide temporary support to the EAS to enable a partial deferral on the proposed saving on our annual contribution. Again, these savings allowed for service reviews and changes to take place which provided a better and more sustainable services to go forward, some of which supported our most vulnerable people.

As well as this, £150k of existing reserves would be used so that changes to services for people with a learning disability could be reviewed and tapered over the coming year.

Furthermore, for Cwtch and the Barnardo's partnership, officers worked to remodel the service using radical reform grant funding. The current staff and all their experience and skills would be part of this remodelling. This meant, in effect, that the savings proposal would be delayed by two years.

Re-purposed reserves would provide one-off further investment in the city centre, ensuring that we supported and sustained the recovery of the city centre coming out of the pandemic. This included the Council's support on Business Rates for those eligible businesses in the city centre so that in 2023/24, alongside the WG rate support scheme, they had no business rates to pay.

By allocating the balance in hand, it meant that Cabinet proposed a balanced budget for 2023/24, as per our legislative requirement. This was achieved without the general use of earmarked reserves to balance the budget. This was because the use of the re-purposed reserves would be for either one-off uses or to provide one to two years support only so that services could be reviewed and changed to both make savings in the future and be more sustainable whilst providing a better service and outcome. Some may question this approach, particularly considering some of the difficult savings that were put forward, however as a responsible council, financial management was taken very seriously. Use of reserves would be an easy option, although it would only store up problems for next year and beyond. The Council would still ultimately make the same level of savings, plus we would then have to replenish any reserves used. For this year, it was therefore right to act responsibly and ensure a sustainable financial footing for this Council.

Whilst the process of developing a budget for 2023/24 was incredibly challenging, unfortunately the outlook for the medium term did not look any easier. Oaklands, Appendix 7 to the report highlighted a potential budget gap of £15m in 2024/25 and another £12m in 2025/26. Whilst these figures were lower than the initial gap in 2023/24, there remained a significant amount of uncertainty, both in terms of ongoing inflationary pressure and demand for services, as well as the funding to be received from central government. Whilst Welsh Government provided an indicative settlement for 2024/25, this depended upon the settlement they received from UK Government, which was subject to change. There was a

possibility that the medium-term gap could be worse than modelled, additionally, it came against the backdrop of the challenging decisions already taken in readiness for 2023/24.

It was therefore highly likely that further challenging decisions around Council Tax and savings was needed in the future. To address this, it was a necessity for the Council to continue to reflect on the way it operated and look at ways to deliver services differently. Services needed to be transformed to deliver better experiences for citizens and service users, on a lower cost base. We needed to look at things differently to ensure a modernised, sustainable council, fit for the 21st century going forward.

The Leader reiterated it was an incredibly difficult process, thanked Cabinet colleagues and the officers who worked tirelessly to ensure that the proposals to the balanced budget. Under the circumstances, this was a fair, sustainable and responsible budget.

Only full Council could approve the overall rate of Council Tax for 2023/24. Cabinet were also asked to recommend an overall net budget and resulting Council Tax for approval at the Council meeting on 28 February 2023.

Comments of Cabinet Members:

- Councillor D Davies thanked those residents who participated in the consultation processed and also thanked officers who worked incredibly hard in support of this report. Cabinet had met with union leaders and teachers there were difficult decisions that had to be taken. It was hoped that they would agree that Cabinet listened carefully. The Deputy Leader advised that whilst there was a Council Tax increase, Newport had the lowest in Wales. At Council recently, the Council Tax Reduction Scheme was unanimously agreed, to allow council tax exemption for those in need; these were students, people that lived alone, carers and those with disabilities amongst others that were also eligible, including those on a low income. Finally, turning to Education, it was welcomed to see the extra £937,000 being given to support our schools and it was hoped that with careful scrutiny Newport schools would balance their budgets this year.
- Councillor Harvey met with residents who expressed their upset over the original proposals to Oaklands and the Cabinet Member advised them to complete the consultation form and was pleased that they did as a result this gave them a voice. It was pleasing to see that residents out the consultation and that people understood the budget pressure that the Council was under.
- Councillor Hughes mentioned that during the consultation period he and his Cabinet Member colleague had met with key services that faced the hardest of potential outcomes and therefore took the opportunity to thank all those who contributed to the consultation particularly those in Spiring Gardens and Growing Spaces. The Cabinet Member thanked the senior management team in social services and social workers. Individuals who contributed in the consultation such as the residents in Oaklands made an emotional impact and it showed that there was value to consultation in Newport and listening to their stories made a difference. The focus throughout was to protect the vulnerable and Councillor Hughes was therefore pleased to protect projects that meant so much to the people in Newport.
- Councillor Lacey welcomed the budget, which show that Cabinet had taken into account the public consultation, especially with regard to Spring Gardens and Oaklands. Whilst there was an 8.5% increase in Council Tax, by comparison to other councils particularly in England where the increase was over £100 by comparison to the average of £96.20 per year, the increase was lower. It also meant however that the increase would allow those who cannot afford to pay their Council Tax to be eligible for the Council Tax Reduction Scheme, as mentioned by the Deputy Leader. We were a listening council and listened to the most vulnerable residents.

- Councillor Marshall added that in considering the budget, it was warming to see collective work to protect education and social services. We listened to residents, parents and staff and scrutiny committees. There were some good suggestions put forward by residents during the public consultation. The Cabinet Members for Social Services were deeply thankful for contribution from the parents Oakland residents. Councillor Marshall also expressed his appreciation to all involved and as a result felt that we were in a fairer position as well as putting education and social services at the heart of what was being done.
- Councillor Forsey mentioned that the range of proposals was wide and that the decision made to produce this budget was difficult but logical and caring. When it came to considering the reduction of bin collection or keeping Oaklands open, there was no comparison. The Cabinet Member reminded everyone of the range of recycling facilities which would help towards the three weekly bin collection.
- Councillor Batrouni also supported the proposals to the budget report.
- Leader thanked Cabinet colleagues and officers who worked tirelessly to bring forward the budget proposed today. The Leader echoed sleepless nights as referred to by Councillor Davies and understood that was also how the officers also felt and thanked them once again. The budget was a fair, sustainable and responsible budget, which prioritised the most vulnerable.

Decision:

Cabinet in relation to Budget proposals and medium term plan (section 3-5)

1. Noted the formal consultation on the budget as outlined in section 4 and the feedback received, shown in Appendices 1 to 4.
2. Noted the equality issues and the Fairness and Equalities Impact Assessment (FEIA) on the budget proposals, shown in Appendix 9.
3. Reviewed and confirmed budget proposals (appendix 5 - 6), as summarised in the Council's Medium Term Financial Plan, with the exception of the following changes:
 - The proposal in relation to Oaklands will be withdrawn at a cost of £485k
 - In terms of Spring Gardens, the proposal will be reduced by £300k on a permanent basis so that some provision will continue and as well as this, we are committing a one-off sum of £200k from re-prioritised reserves for 2023/24 only, to provide capacity for further continued provision and give some time for a review of the service to be undertaken and move it to a more sustainable footing.
 - To withdraw the proposal to introduce car parking charges at four countryside car parks
 - To withdraw charges for a replacement bin
 - To reduce the requirement for schools to contribute to the budget gap by £937k
 - To make available, from re-purposed reserves a sum of £1.87m one-off to support schools that need it the most during 2023/24
 - Provide temporary support to Growing Space for the next two years at £100k and provide temporary support for 2023/24 only to the EAS at £79k to enable a partial deferral on the proposed saving on our annual contribution
 - Cwtch and the Barnardo's partnership, officers have worked to remodel the service using radical reform grant funding. This means, in effect, that the savings proposal will be delayed by 2 years
 - Re-purposed reserves will also provide one-off further investment in the city centre, to ensure that we support and sustain the recovery of the city

4. Agreed the 2023/24 fees and charges of the council shown in appendix 11.

Cabinet in relation to Overall revenue budget and resulting council tax 2023/24 (section 6 and 7)

5. Noted the significant risks and uncertainties within budget planning and specific issues highlighted in section 6 of this report and the mitigation in place to manage.
6. Reviewed and agreed the re-purposing of specific earmarked reserves as set out in Appendix 10a
7. Proposed to reduce the proposed increase in Council Tax to 8.5% to ensure that it is less than the current rate of inflation and which will fund their budget requirement.
8. Recommended an overall net budget and resulting council tax to full Council, noting that a formal resolution including the Police and Crime Commissioner for Gwent and Community Councils' precepts would be presented to Council on 28 February.

Approved expenditure and use of reserves in line with the summary shown in appendix 10b, noting they were based on detailed proposals reviewed by Cabinet in their December 2022 meeting.

8 **NCC External Pressures - Cost of Living**

The Leader introduced the latest update on the external pressures impact on Newport City Council's services, as well as providing a summary of actions taken with local partners.

This monthly report provided an overview of the current wider economic impact in the UK and Wales since the last report presented at Cabinet in January 2023.

For many residents this was one of the most difficult periods they had experienced, and Cabinet continued to do all it could in collaboration with key partners across the city.

With these pressures continuing, the Leader urged all residents experiencing difficulty to contact the council for information on the advice and support available to help with household bills and other financial obligations.

During times such as these, the ability to work in partnership to support our residents, businesses and staff was of utmost importance

The commitment of officers and our partners to work together to make a difference and support people to access help, advice and support was clear in all conversations taken with the Leader internally, locally, and nationally both in her role as Leader of the Council and as Chair of our OneNewport partnership.

This issue was being felt across Wales and wider. The Leader continued to raise the need for support at every opportunity and ensure, as a council, support for local and Welsh Government initiatives to maximise the help that Council and its partners were able to provide.

With the media reporting charities seeing an estimated 30% increase in those accessing food banks, the Council continued to work in partnership with GAVO to provide assistance to food banks across the city.

The report outlined how schools were maximising the funding and support they could access and provide to children and young people to help families in need across Newport.

During cold weather spells, residents were encouraged to access warm spaces across the city for warmth and for sources of support and advice.

As a city with a long history of welcoming people seeking sanctuary offering a place of safety for those fleeing conflict and persecution, the Council continued to support refugees to find accommodation and access support.

Comments of Cabinet Members:

- Councillor Davies mentioned half term next week and thanked WG for their voucher scheme, appreciating that it was difficult for families on low income and child care provision to cover the cost whilst schools closed for the week. Needed to focus on next summer school foundation phase, every child would be entitled to Free School Meals which would be rolled out in September.
- Councillor Lacey referred to support from GAVO and food banks and thanked Raven House and other food banks for their help within the city. There was an uptake of food banks and between both Always and Ringland wards Councillors Lacey and Harvey were covering 50 food parcels a week. There was also an uptake in other wards and Councillor Lacey stressed that if residents needed help with food parcels, they should not hesitate to contact any ward member, even if it was out of their ward.
- Councillor Hughes spent time in Isca Haven in Caerleon, this project ended today and therefore the Cabinet Member took opportunity to thank the thirty volunteers who helped from October to February with finance and energy issues. In addition, Councillor Hughes thanked a new agency recently set up in Caerleon, called Kindness Exchange for providing food past its sell by date to local community and wider public. Finally, if there were people in need of food or agencies that could provide support please do not hesitate to get in touch.
- Councillor Forsey mentioned the impact of Brexit, where residents were £1000 year poorer with an increased need for warm spaces.

Decision:

Cabinet considered the contents of the report on the Council's activity to respond to the external factors on Newport's communities, businesses, and council services.

9 Work Programme

This was the regular monthly report on the work programme.

Please move acceptance of the updated programme.

Decision:

Cabinet agreed the Work Programme.



Report

Cabinet

Part 1

Date: 22 March 2023

Subject **Newport City Council Core TOMs (Themes, Outcomes and Measures) for Measuring Social Value in Contracts.**

Purpose To request Cabinet approval on the core list of TOMs developed within NCC to measure and report on Social Value outcomes through procurement and contracting.

Author Head of Finance
Procurement Manager

Ward All

Summary The TOMs for social value is a measurement framework that allows for an unlocking of social value through its integration into procurement and project management. The methodology was developed in conjunction with the WLGA National Procurement Network and the National Social Value Task Force Wales, which is a cross-sector working group combining both public and private sector organisations. Cabinet approved the adoption of the overarching framework in early 2022, which allowed officers to develop a core suite of measures for use within NCC that aligns with corporate priorities and objectives and supports the delivery of the new Corporate Plan.

The NCC Core List will support the Council in the delivery of social value, supports our climate change work and will assist in the reporting of compliance with the Wellbeing of Future Generations (Wales) Act 2015.

Proposal **To approve the developed NCC Core List of TOMs for measuring Social Value delivery through Commissioning, Procurement and Contract Management and associated reporting.**

Action by HoF/Procurement Manager – put in place and maintain TOMs in Council procurement procedures and processes

All HoS – use appropriate TOMs in line with procurement guidance

Timetable Immediate

This report was prepared after consultation with:

- Leader
- Chief Executive
- Strategic Directors
- Heads of Service

Signed

Background

The Council's Corporate Plan and Well-being Objectives clearly demonstrates the Council's commitment to prioritising social, economic, cultural and environmental wellbeing for the City and our partners. The Council recognises that the way in which we manage our spend with suppliers, service providers and contractors can make a significant contribution to this priority.

The Council has a responsibility to manage public money with probity, to ensure that Value for Money is achieved and to manage it in such a way that wider Council objectives can be supported. The Council's Strategic Plan for Procurement (2020-2024) set an increased focus on recognising the value of using procurement to support its wider Cultural, Social, Economic and Environmental objectives, in ways that offer real long-term benefits to the community it serves and the people of Wales, whilst balancing the issues of Value for Money.

The Welsh TOMs framework was designed around 7 themes (the 7 well-being goals of the Well-being of Future Generations (WFG) (Wales) Act 2015), 35 Outcomes and 93 Measures:

- Themes – The overarching strategic themes that an organisation is looking to pursue;
- Outcomes – The objectives or goals that an organisation is looking to achieve that will contribute to the themes;
- Measures – The measures that can be used to assess whether these Outcomes have been achieved. For the TOMs Framework, these are action based and represent activities that a supplier, service provider and contractor could complete to support a particular desired outcome.

The idea of the framework is that a number of measures are chosen where they are applicable to the nature of the service delivery (this could be just a few measures, or upwards of 20 measures) as well as considering the target marketplace and its ability to respond in a positive and constructive way. When tenders are then developed, a range of measures will be included in the document for tenderers to complete. Tenderers would then be able to select the measures they feel they can best deliver against and submit their offering in conjunction with their tender. The social value element of their tender would then be scored in conjunction with other quality and price criteria. The whole suite of measures within the TOMs framework exist as an options list, where measures are selected for each procurement or project, based on the procurements size and scope. It is neither the intention, nor the design of the framework to select all measures for each procurement or project.

In February 2022, Cabinet approved the National TOMs Framework for Wales to be used in NCC as the overarching framework for social value measurement and reporting on outcomes achieved through our third party contracting.

During 2022, a task and finish group made up of senior officers from across the Council Directorates reviewed the full suite of measures included in the framework and set about producing a core list of some 45 to 50 measures, which could be used in NCC, and which aligned to pledges and manifesto commitments of the new administration, the developing corporate aims and objectives of the Council, and the draft new Corporate Plan.

Following this work, a set of 45 Core Measures were developed and presented to the Corporate Management Team in late 2022 for initial agreement.

Please see Appendix A for the proposed NCC Core TOMs.

Going forward, social value outcomes will be monitored and reported to the Procurement Gateway Board, as well as a six monthly update report to Cabinet for outcomes achieved during the previous half yearly period. In addition, within approximately twelve months, it is envisaged that reporting will be required in line with the forthcoming Social Partnership & Public Procurement (Wales) Act requirements. This legislation is currently at Bill stage, and once implemented (late 2023/early 2024) will provide a

framework for future reporting by public bodies on social value outcomes through procurement and contracting.

Financial Summary (Capital and Revenue)

A budget provision was secured in 2022/23 to allow the Strategic Procurement Team to embed TOMs into NCC and liaise across the Council on their use and evaluation. The manpower budget now exists to take this work forward.

Risks

Risk Title / Description	Risk Impact score of Risk if it occurs* (H/M/L)	Risk Probability of risk occurring (H/M/L)	Risk Mitigation Action(s) What is the Council doing or what has it done to avoid the risk or reduce its effect?	Risk Owner Officer(s) responsible for dealing with the risk?
Not approving the NCC Core TOMs	L	L	Adoption and use of the TOMs is not mandatory, but currently discretionary for public bodies in Wales. All Councils in Wales are expected to comply with the WFG (Wales) Act 2015, and using the TOMs to measure social value will help when reporting against compliance with the Act, and the forthcoming Social Partnership & Public Procurement Act due in late 2023/early 2024.	Cabinet/Leader

* Taking account of proposed mitigation measures

Links to Council Policies and Priorities

Corporate Plan 2022-27

The council's new draft Corporate Plan sets out four well-being objectives: These are:

- Economy, Education and Skills - Newport is a thriving and growing city that offers excellent education and aspires to provide opportunities for all.
- Environment and Infrastructure – Newport is a city that seeks to protect and enhance our environment whilst reducing our carbon footprint and preparing for a sustainable and digital future.
- Quality Social Care and Community Services - Newport is a supportive city where communities and care are at the heart of what we do.
- An Inclusive, Fair and Sustainable Council - Newport City Council is an inclusive organisation that places social value, fairness and sustainability at its core.

These well-being objectives were developed to maximise the council's contribution to the WFG Act well-being goals. As mentioned above the TOMs framework is designed around the well-being goals and therefore will assist with the measurement of how our procurement activities are supporting the WFG Act. It will also enable us as a council to make procurement decisions that consider social value, the well-being goals and the WFG Act.

Living Wage Foundation – Real Living Wage

To support the Corporate Plan 2022-27, Well-being Objective 1 – Economy, Education & Skills, and the drive to become a Living Wage City, in addition to embedding TOMs into our procurement process, we will also include a statement in tenders that strongly encourages our suppliers to pay their staff at least the real living wage (as opposed to the legal minimum national living wage), and we will gather data through the TOMs on contractor performance in this regard. We will ensure fair work criteria is robust in our supplier selection, and ensure our suppliers are treating workers with fairness and equity.

Climate Change Plan 2022-27

The council's draft Climate Change Plan (add link) once approved will shape the council's future climate change mitigation and adaptation journey over the next five years. The plan sets out the proposed themes, priorities, actions and milestones that we need to take as a Council over the next five years to:

- Reach net zero as an organisation by 2030.
- Review the services we provide to ensure they support the city's journey to net zero and adaptation to climate change.

Within the 2021-22 financial year, the emissions from the goods and services that we purchase and our supply chain as a Council are estimated to be 40,231 tCO₂e which equates to 51% of our overall emissions. Within the Plan we have set out a 2030 Vision for:

Procurement to be at the heart of ensuring that our external contracting minimises the climate impact and carbon footprint of goods, works and services procured.

A social value tool will assist with the measurement and reduction of Council carbon emissions.

Options Available and considered

Newport City Council has the option to use the NCC Core List of TOMs or to not. If the decision is not to use the developed Core List, the Council could consider producing an alternative core list using the Welsh National TOMs framework, could seek out any alternative delivery models that may exist, or to develop its own measures and tools for social value delivery and reporting.

Preferred Option and Why

The preferred option is to adopt the NCC Core TOMs. Adopting the NCC Core TOMs will support the Council in the delivery of social value and assist in the reporting of compliance with the Wellbeing of Future Generations (Wales) Act 2015 and the forthcoming Social Partnership & Public Procurement Act due in late 2023 or early 2024. The overarching Welsh framework has been developed by a practitioner working group from across the Welsh Public Sector, supported by wider experts, and gives a uniform, consistent and standard approach when engaging external suppliers, being mirrored in many other Welsh Public Bodies. Seeking out or developing an alternative bespoke model would put Newport City Council in an isolated position, and out of sync with the wider public sector.

Comments of Chief Financial Officer

The adoption of the TOM's represents a significant opportunity to formally leverage social values in awarding and monitoring its contracts. It represents significant 'added value' in the Council's ability to secure tangible benefits within its communities.

The use of the TOM'S will be for service areas to manage and choose appropriate ones from the NCC 'long list' shown in this report. Their use needs to be carefully managed as there may be cost implications on future contract costs if they force additional financial costs on our suppliers and therefore a managed approach between cost and the wider social values needs to be exercised. The Council's 'Gateway Board' will review this process and approach on an on-going basis.

Comments of Monitoring Officer

There are no specific legal issues arising from the report and the proposed adoption of the NCC developed core list of TOMS as the Council's framework for measuring social value as part of the tender evaluation process for the award of contracts for the supply of utilities, work, goods and services. The NCC specific TOMs align with current administration's manifesto commitments and the objectives of the newly developed NCC Corporate Plan. The NCC Core TOMs provide a consistent, fair and transparent basis for quantifying social value measures, in addition to price and quality criteria, as part of the legal tender evaluation process prescribed by the Council's Contract Standing Orders and the forthcoming Social Partnership and Public Procurement Act due in the next 12 months. Although the strict legal processes are designed to ensure transparency and best value for contracts, the Council's Strategic Procurement Plan is based on more non-commercial factors, such as the delivery of Social Value, Sustainable Procurement and Local Supply Chain development. Section 17 of the Local Government Act 1988 originally prohibited any non-commercial matters in local authority procurement, but these restrictions were relaxed following the introduction of the "best value" duty in Wales and it is now permissible for the Council to have regard to non-commercial social benefit factors, when awarding and entering into contracts. This is also consistent with the strategic objectives of the Council's corporate plan, the well-being objectives and the Council's socio-economic duty.

Comments of Head of People, Policy & Transformation

In Wales, the term social value is in effect defined through the Well-being of Future Generations Act (Wales) 2015 which requires us as a public body to think about the long-term impact of our decisions, to work better with people, communities and other public bodies, and to prevent persistent problems such as poverty, health inequalities and climate change.

The seven well-being goals set out in the Act make it clear we must work to achieve all seven goals as a collective whole. The National TOMs Wales has been designed to deliver against the 7 goals of the Act through a single measurement and management framework.

Adopting the TOMs Social Value Tool will enable us as a council to measure and improve well-being, social value, tackle climate change and contribute to community wealth building through the goods and services that we procure.

Scrutiny Committees

N/A

Fairness and Equality Impact Assessment:

- **Wellbeing of Future Generation (Wales) Act**
- **Equality Act 2010**
- **Socio-economic Duty**
- **Welsh Language (Wales) Measure 2011**

The council has a number of legislative responsibilities to assess the impact of any strategic decision, proposal or policy on people that may experience disadvantage or inequality.

Summary of impact – Wellbeing of Future Generation (Wales) Act

The tool will be used to measure and improve the social value of the goods and services that we procure. The TOMs social value tool will create long term benefits for current and future generations and support a proactive approach to achieving the well-being goals and the council's well-being objectives. The tool takes an integrated approach and supports the achievement of all our well-being objectives and the well-being goals. Collaboration and involvement with our providers and procurement partners will also be key to ensure that the tool is effective and provides us with valid and useful information of the social value achieved.

Summary of impact – Equality Act 2010

The tool is designed around the well-being goals and will enable us as a council to ensure that we are considering the equality implications when we are procuring goods and services.

The tool sets out a set of measures that are designed to help measure the impact of social value relating to all the well-being goals but specifically for equalities “An Equal Wales”

Summary of impact – Socio-economic Duty

The tool is designed around the well-being goals and will enable us as a council to ensure that we are considering the socioeconomic disadvantages implications when we are procuring goods and services.

The tool sets out a set of measures that are designed to help measure the impact of social value relating to all the well-being goals but specifically for socioeconomic disadvantage “An Equal Wales” and “A Prosperous Wales”

Summary of impact – Welsh language

The tool is designed around the well-being goals and will enable us as a council to ensure that we are considering the Welsh Language implications when we are procuring goods and services.

The tool sets out a set of measures that are designed to help measure the impact of social value relating to all the well-being goals but specifically for Welsh Language “A Wales of vibrant culture and thriving Welsh Language”

Consultation

The proposal to introduce a social value tool was consulted on as part of the Council’s Climate Change Plan consultation process.

Background Papers

Corporate Plan 2022-27

<https://www.newport.gov.uk/en/Council-Democracy/About-the-council/Performance.aspx>

Climate Change Plan 2022-27 Consultation Draft



Climate Change Plan
Consultation Draft v4.

Strategic Plan for Procurement 2020 – 2024 [NCC Strategic Plan for Procurement 2020-2014 Final.pdf \(sharepoint.com\)](#)

Dated: 15 March 2023

APPENDIX A – NCC CORE TOMs LIST

National TOMs Wales / TOM's Cenedlaethol Cymru						
				Newport City Council Social Value Measures for Procurement CORE LIST		
Version 1.0 - October 2022				NTW1.1, NTW2.1, NCC 31, 32 & 34 bespoke to Newport City Council		
Theme/Goal	Outcome	WFG Outcome Measure	National TOMs Wales Ref	Measure	Unit	Proxy Value for Evaluation Purposes
A Prosperous Wales An innovative, productive and low carbon Society which recognises the limits of the global environment and therefore uses resources efficiently and proportionately (including acting on climate change); and which develops a skilled and well-educated	More people in employment	21	NTW1	No. of direct employees (FTE) hired or retained (for re-tendered contracts) on contract for one year or the whole duration of the contract, whichever is shorter that live within the Newport City Council boundary.	No. people FTE	£27,500.00
			NTW1.1	No. of direct employees (FTE) hired or retained (for re-tendered contracts) on contract for one year or the whole duration of the contract, whichever is shorter that live within the Cardiff Capital Region boundary. For details of areas covered see https://www.cardiffcapitalregion.wales/about-ccr/	No. people FTE	£27,500.00
		21	NTW2	% of direct employees (FTE) hired or retained (for re-tendered contracts) on contract for one year or the whole duration of the contract, whichever is shorter that live within the Newport City Council boundary.	%	Record only
			NTW2.1	% of direct employees (FTE) hired or retained (for re-tendered contracts) on contract for one year or the whole duration of the contract, whichever is shorter that live within the Cardiff Capital Region boundary. See https://www.cardiffcapitalregion.wales/about-ccr/	%	Record only

APPENDIX A – NCC CORE TOMs LIST

<p>population in an economy which generates wealth and provides employment opportunities, allowing people to take advantage of the wealth generated through securing decent work.</p>	<p>Fair Work</p>		<p>NTW5</p>	<p>Union recognition agreements (or equivalent worker representation) and collective bargaining are present and encouraged in the supply chain</p>	<p>Y/N - Provide relevant documents</p>	<p>Record only</p>
	<p>Improved skills for people</p>	<p>7a</p>	<p>NTW6</p>	<p>No. of staff hours spent on local school and college visits e.g. delivering careers talks, curriculum support, literacy support, safety talks (including preparation time) e.g. on STEM, social care and social sciences</p>	<p>No. staff hours</p>	<p>£14.63</p>
		<p>8</p>	<p>NTW7</p>	<p>No. of weeks of training opportunities on the contract (BTEC, City & Guilds, NVQ, HNC, RQF) that have either been completed during the year, or that will be supported by the organisation until completion in the following years - Level 2,3, or 4+</p>	<p>No. weeks</p>	<p>£285.41</p>
		<p>8</p>	<p>NTW8</p>	<p>No. of weeks of apprenticeships on the contract that have either been completed during the year, or that will be supported by the organisation until completion in the following years - Level 2,3, or 4+</p>	<p>No. weeks</p>	<p>£231.45</p>
	<p>More opportunities for local business and MSMEs (Micro, Small and Medium Enterprises)</p>	<p>9</p>	<p>NTW14</p>	<p>Total amount (£) spent in the supply chain through the contract, where goods or services provided by businesses in the Cardiff Capital Region. See https://www.cardiffcapitalregion.wales/about-ccr/</p>	<p>£</p>	<p>£0.59</p>
	<p>Resource efficiency and the circular economy are promoted</p>	<p>14</p>	<p>NTW18</p>	<p>£ spent with local partnerships to implement circular economy solutions</p>	<p>£</p>	<p>£1.00</p>

APPENDIX A – NCC CORE TOMs LIST

A Globally Responsible Wales A nation which, when doing anything to improve the economic, social, environmental and cultural well-being of Wales, takes account of whether doing such a thing may make a positive contribution to global well-being	Carbon emissions are reduced	14	NTW21	Savings in CO2 emissions on contract not from transport (specify how these are to be achieved).	Tonnes CO2e	£69.35
		41	NTW22	Policy and programme to achieve net zero carbon by 2030 including monitoring plan with specific milestones	Y/N - Provide relevant documents	Record only
		41	NTW24	Carbon Certification (Carbon Trust Standard, Planet Mark or equivalent independently verified) - achieved or to achieve for current year	Y/N - Provide relevant documents	Record only
	Ethical procurement is promoted globally	20	NTW25	Percentage of your contracts that include commitments to ethical employment practices in the global supply chain, including verification that there is zero tolerance of modern slavery, child labour and other relevant requirements such as elimination of false self-employment, unfair zero hours contracts and blacklists	% of contracts	Record only
A resilient Wales A nation which maintains and enhances a biodiverse natural environment with healthy functioning ecosystems that support social, economic and ecological	Green spaces and biodiversity are protected and enhanced	43 & 44	NTW28	Volunteering with initiatives working on environmental conservation and sustainable ecosystem management - resources invested including time, funds and in-kind contributions	£ invested including staff time	£1.00
		43 & 44	NTW30	Donations or investments towards expert designed sustainable reforestation or afforestation initiatives	£	£1.00
	Safeguarding the environment	15	NCC31	Percentage of waste generated by contractor that gets recycled (diverted from landfill or incineration) including metals, plastics, paper, glass and food	%	Record only

APPENDIX A – NCC CORE TOMs LIST

resilience and the capacity to adapt to change.		15	NCC32	Rate of Recycled or Reused materials used on contract, such as wood, remanufactured plastics and metals, and products with repaired and recycled content	%	Record only
			NTW33	Investment and support provided to local environmental education initiatives (e.g. Carbon Literacy Wales)	£ invested including staff time	£1.00
	Sustainable procurement is promoted		NCC34	Have systems in place for source segregated recycling of the different waste streams including cans/plastics, paper/cardboard, plastics, glass, food waste. Also any other waste stream generated by the specific contract activity that can be reused or recycled – eg electronic waste, textiles, wood waste, construction and demolition waste, metal, hard plastics etc.	Y/N - Provide description	Record only
		41	NTW36	Percentage of contracts with the supply chain requiring contractors to operate low or zero emission vehicles	%	Record only
		41	NTW37	Supply Chain Carbon Certification (Carbon Trust Standard for Supply Chain or equivalent independently verified) - achieved or to achieve for current year	Y/N - Provide relevant documents	Record only
A healthier Wales A society in which people's physical and mental well-being is maximised and in which choices	Creating a healthier community	34	NTW40	Initiatives to be taken to tackle homelessness (supporting temporary housing schemes, etc)	£ invested including staff time	£1.00
	Air Pollution is reduced	4	NTW42	Car miles saved on the project as a result of a green transport programme or equivalent (e.g. cycle to work programmes, public transport or car pooling programmes, etc.)	Miles saved	£0.03

APPENDIX A – NCC CORE TOMs LIST

and behaviours that benefit future health are understood		4	NTW43	Number of low or no emission staff vehicles included on project as a result of a green transport programme (miles driven)	Miles driven	£0.02
		4	NTW45	% Fleet or construction vehicles on the contract that is at Least Euro 6 or LEV	%	Record only
			NTW46	Fleet emissions monitoring programme on the contract, including data collection (miles, type of vehicle, engine type, emission standard)	Y/N - Provide description	Record only
A more equal Wales A society that enables people to fulfil their potential no matter what their background or circumstances (including their socio economic circumstances)	More opportunities for disadvantaged people	19	NTW50	No. of employees (FTE) hired on the contract as a result of recruitment programme that have been unemployed for a minimum of 6 to a maximum of 12 MONTHS	No. people FTE	£16,224.00
		19	NTW50a	No. of employees (FTE) hired on the contract as a result of recruitment programme that have been long term unemployed for a minimum of 12 to a maximum of 24 MONTHS	No. people FTE	£18,146.00
		19	NTW50b	No. of employees (FTE) hired on the contract as a result of recruitment programme that have been long term unemployed for 24 MONTHS or longer	No. people FTE	£19,115.00

APPENDIX A – NCC CORE TOMs LIST

Page 28		22	NTW52	No. of employees (FTE) taken on who are not in employment, education or training (NEETS)	No. people FTE	£12,470.00
			NTW53	No. of employees (FTE) taken on who are rehabilitating young offenders (18-24 y.o)	No. people FTE	£22,162.00
			NTW54	No. of jobs (FTE) created for people with disabilities	No. people FTE	£14,980.00
	Improved employability of young people	10	NTW57	No. of weeks spent on meaningful work placements or pre-employment course; 1-6 weeks student placements (unpaid)	No. weeks	£158.23
		10	NTW58	Meaningful work placements that pay Minimum or National Living Wage according to eligibility - 6 weeks or more (internships)	No. weeks	£158.23
	Reducing inequalities	10	NTW61	Percentage of staff on contract that is paid at least the relevant Real Living wage as specified by Living Wage foundation	%	Record only
	A Wales of cohesive communities Attractive, safe,	More opportunities for the third sector and		NTW66	Equipment or resources donated to third sector and civil society organisations (£ equivalent value)	£ value

APPENDIX A – NCC CORE TOMs LIST

viable and well-connected.	civil society organisations (Voluntary, Community and Social Enterprises)		NTW67	Number of voluntary hours donated to support third sector and civil society organisations (excludes expert business advice)	No. staff volunteering hours	£14.63
			NTW68	Total amount (£) spent with third sector and civil society organisations within your supply chain	£	£0.12
	A workforce and culture that reflect the diversity of the local community		NTW71	Percentage of employees (FTE) BAME hired on the contract	%	Record only
	Social value embedded in the supply chain		NTW72	Percentage of contracts with the supply chain on which Social Value commitments, measurement and monitoring are required	%	Record only
	More working with the Community	26	NTW76	Donations or in-kind contributions to local community projects (£ & materials)	£ value	£1.00
		28	NTW77	No hours volunteering time provided to support local community projects	No. staff volunteering hours	£14.63
A Wales of vibrant shared culture and	The Welsh Culture is promoted	36	NTW80	Support and investment provided for people to learn and use Welsh (e.g. interactions and signage)	£ invested including staff time	£1.00

APPENDIX A – NCC CORE TOMs LIST

thriving Welsh Language	Native wildlife, nature and heritage sites are protected	35	NTW82	Support and investment provided for the protection of native wildlife and biodiversity as well as local heritage sites	£ invested including staff time	£1.00
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Report

Cabinet

Part 1

Date: 22 March 2023

Subject **Quarter 3 2022/23 Corporate Risk Register Update**

Purpose To present the Council's Corporate Risk Register for the end of quarter 3 (1st October to 31st December 2022).

Author Head of People, Policy and Transformation

Ward All

Summary The Council's Corporate Risk Register monitors those risks that may prevent the Council from achieving its strategic priorities or delivering services to its communities and service users in Newport.

At the end of quarter three, there were 14 risks recorded in the Corporate Risk Register that are considered to have a significant impact on the achievement of the Council's objectives and legal obligations.

Overall, there are 7 Severe risks (risk scores 15 to 25); 7 Major risks (risk scores 7 to 14); that are outlined in the report. In comparison to the quarter two Corporate risk register, there were no new and/or escalated risks, and no risks were closed. One risk had decreased its risk score; with the remaining 13 risks remaining the same score. No risks were escalated or de-escalated in quarter three.

As set out in the Council's Risk Management Policy, Cabinet reviews the Corporate Risk Register on a quarterly basis ensuring procedures are in place to monitor the management of significant risks. The Register is likely to change following the approval of the new Corporate Plan and priorities for service delivery.

Proposal Cabinet is asked to consider the contents of the quarter two update of the Corporate Risk Register.

Action by Executive Board and Heads of Service

Timetable Immediate

This report was prepared after consultation with:

- Executive Board
- Corporate Management Team

Signed

Background

The Well-being of Future Generations (Wales) Act 2015 requires Newport City Council to set Well-being Objectives in its Corporate Plan. As a public body, Newport Council is also responsible for delivering services (statutory and non-statutory) to residents, businesses, and visitors across Newport. We will inherently encounter opportunities and risks that may prevent, disrupt, impact or enhance the delivery of the Council services and achieve the objectives in the Corporate Plan. How the Council responds and manages these opportunities and risks is important to ensure resources are being used efficiently and effectively to maximise value for money and to minimise and/or prevent the risk impacting services, communities, and citizens in Newport.

The Council's Risk Management Policy provides an overview of the Council's approach and its appetite for managing opportunities and risk. To provide assurance on the Council's Risk Management approach, the Corporate Risk Register provides assurance on the most significant risks that the Council was managing in the last quarter.

Officers across the Council regularly manage risk in the course of their duties whether this is health and safety risks, civil contingencies, safeguarding risks to children, young people, adults and carers or risks to assets, buildings, and Council employees. The relevant service area(s) and professional disciplines will be assessing and managing these risks as required and reporting these through their own reporting mechanisms.

In accordance with the Council's Risk Management Policy, any new, escalated / de-escalated, and closed risks in the Corporate Risk Register are reviewed by the senior management team.

Corporate Plan 2022-27

In quarter 3, the Council re-assessed its risk registers (Corporate / Service Risks) considering their impact on the delivery of the Corporate Plan 2022-27. Additionally, service areas (risk owners) were asked to consider the external impacts of the Council's Medium Term Financial Plan (MTFP), increased demand / pressures on services and the cost of living on their risks.

The risk assessments (Corporate) were reviewed by the Council's senior management team will note that with some risks due to the external pressures and the financial pressures faced by the Council, that Target Risk scores have increased since the last report (quarter 2). This reflects the challenging position which the Council will have to accept (tolerate) more risk in some areas of the Council. Throughout the next year, the Council's senior management team will closely monitor the Council's risk position and as necessary re-assess risks.

Newport City Council – Quarter 3 Service Area Risk Summary

Appendix two of the report, provides an overview of the Council's overall risks reported at the end of quarter three. This includes corporate and service area risks across the Council's service areas. In summary, the Council had 47 risks of which:

Total Risks at Quarter 3	Risk Scores Increased since Q2	Risk Scores Decreased since Q2	No Change since Q2	New Risks Since Q2	Closed Risks Since Q2	Escalated Risks ¹	De-escalated Risks ²
47	0	5	42	11	6	0	0

Newport City Council Quarter 3 Corporate Risk Register Summary

At the end of quarter three, the Council's Corporate Risk Register included 14 of the 47 risks that are considered to pose the most risk to the delivery of Council services and achievement of its strategic priorities. The 14 Corporate Risks consisted of:

- 7 Severe risks (15 to 25)
- 7 Major Risks (7 to 14)

In comparison to the quarter two Corporate risk register, there were no new and/or escalated risks, and no risks were closed. One risk had decreased its risk score; with the remaining 13 risks remaining the same score. No risks were escalated or de-escalated in quarter three.

Change in direction of risk score (Quarter Three)

Risk	Lead Cabinet Member	Lead Directorate / Service Area	Q2 Risk Score	Q3 Risk Score	Commentary
Ash DieBack Disease	Cabinet Member for Climate Change & Biodiversity	Environment & Sustainability / Environment & Public Protection	16	12	Significant works on tree stock are underway.

See also Appendix 2 and 3.

Appendix 1 - Quarter 3 Corporate Risk Heat Map and Risk Profile

Appendix 2 – Quarter 3 NCC Service Area Risk Summary.

Appendix 3 – Newport Council’s Quarter 3 Corporate Risk Register (Attached separately).

Glossary – Risk Management terminology and Risk Score Assessment

Risks

Risk Title / Description	Risk Impact score of Risk if it occurs* (H/M/L)	Risk Probability of risk occurring (H/M/L)	Risk Mitigation Action(s) What is the Council doing or what has it done to avoid the risk or reduce its effect?	Risk Owner Officer(s) responsible for dealing with the risk?
The Council does not achieve its objectives as corporate level risks are not adequately managed and monitored.	M	L	Risk Management Strategy has been adopted and mechanisms are in place to identify, manage and escalate emerging and new risks / mitigation strategies. Audit Committee oversight of risk management process.	Directors, Heads of Service and Performance Team

* Taking account of proposed mitigation measures

Links to Council Policies and Priorities

Corporate Plan 2022-27

Service Plans 2022-24

Options Available and considered

1. To consider the contents of the Corporate Risk Register and to continue monitoring progress of actions taken to address the risks identified in the report.
2. To request further information or reject the contents of the risk register

Preferred Option and Why

To consider the contents of the Corporate Risk Register and monitor the progress of actions taken to address the risks identified in the report. This will give the Cabinet sufficient assurance and oversight of the main overarching risks that the council faces in delivering the objectives of the Corporate Plan.

Comments of Chief Financial Officer

There are no direct financial implications arising from this report itself. 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.

It is noted that overall, the corporate risk register remains largely unchanged since quarter 2 with one risk decreasing in score to reflect progress made in addressing the issue. The register will continue to be monitored closely and any increasing risk scores that may lead to financial pressures without mitigation will be reflected in established ongoing monitoring and MTFP arrangements.

There are a number of risks with either a direct or indirect financial impact. For example, the risk around balancing the medium term financial position is currently rated as severe, due to the high inflationary environment and increasing demand for services. Whilst a balanced budget for 2023/24 has now been achieved, the challenge of achieving that over the medium term remains, with further difficult decisions being required to do that. Although a balanced budget for 2023/24 is now in place, there remains a risk, as captured within the service risks, that overspends could arise during the year and close financial monitoring will be required in relation to this.

As well as risks specific to Finance, close attention will also need to be paid to risks within services such as Children's Services and schools, as they have the potential to result in additional financial pressure and the need to take action in order to ensure that services remain within the budgets that they have available both in 2023/24 and over the medium term. Any unmanageable impacts may need to be reflected within the Medium Term Financial Plan as an additional pressure, adding to the existing budget gap in the process.

Comments of Monitoring Officer

There are no specific legal issues arising from the report. As part of the Council's risk management strategy, the corporate risk register identifies those high-level risks that could impact upon the Council's ability to deliver its corporate plan objectives and essential public services. Governance & Audit Committee are responsible for reviewing and assessing the Council's risk management, internal control and corporate governance arrangements. However, the identification of corporate risks within the risk register and monitoring the effectiveness of the mitigation measures are matters for Cabinet. The report confirms that there have been no significant changes in the risk profile during the third quarter of this financial year, as compared with the second quarter, with no additional risks being added to the corporate risk register and no risks being escalated or de-escalated. For the most part, the individual risk scores have also remained the same, with two risk scores being decreased.

Comments of Head of People, Policy and Transformation

Effective monitoring and reporting against the Council's Corporate Risk Register is essential in minimising and preventing the likelihood and impact of risks against our objectives. The Council's risk management is a key area in the implementation of the Well-being of Future Generations Act (Wales) 2015.

The recent changes made to our risk management processes and system will ensure officers at all levels of the organisation have greater control and oversight of their risks taking the necessary action to mitigate their impact and escalate where necessary to senior management.

There are no specific HR issues arising from the report.

Comments of Cabinet Member

The Chair of Cabinet is consulted on the corporate risk register and has agreed that this report goes forward to Cabinet for consideration.

Local issues

None.

Governance and Audit Committee (GAC)

GAC received the quarter 2 risk report in January 2023. GAC acknowledged the quarter 2 update presented to them and recognised the increasing risk tolerance that the Council is having to accept in relation to the Financial position and increasing demand on services. No recommendations were raised by GAC to Cabinet.

Fairness and Equality Impact Assessment:

For this report, a full Fairness and Equality Impact Assessment has not been undertaken. This is because this report is not seeking any strategic decisions or policy changes, with its purpose being to update Cabinet on the current risk register.

Wellbeing of Future Generation (Wales) Act

Under the Well-being of Future Generations Act (Wales) 2015 and its 5 ways of working principles this report supports:

Long Term – Having effective risk management arrangements will ensure that the opportunities and risks that will emerge consider the long term impact on service users and communities.

Preventative – Identifying opportunities and risks will ensure the Council is able to implement necessary mitigations to prevent or minimise their impact on Council services and service users.

Collaborative – The management of risk is undertaken throughout the Council and officers collaborate together within service areas, Corporate Management Team and the Council's Cabinet to ensure decisions are made in a timely manner and are evidence based.

Involvement – The Council's Risk Management process involves officers across the Council's service areas and Cabinet Members.

Integration – Risk Management is being integrated throughout the Council and supports the integrated Planning, Performance and Risk Management Framework. The Framework ensures that planning activities consider the opportunities and risks to their implementation and overall supports the delivery of the Council's Corporate Plan and legislative duties.

Consultation

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

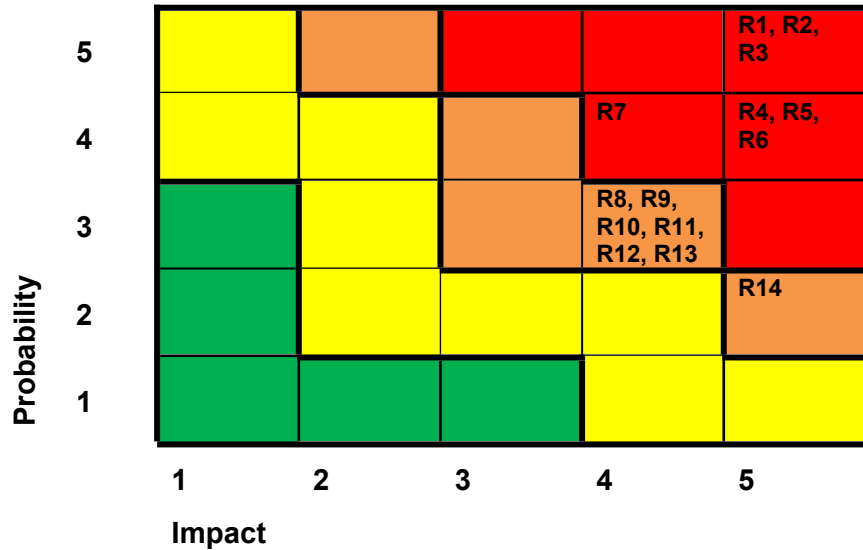
Background Papers

[Quarter 2 Corporate Risk Report \(December 2022\)](#)

[Risk Management Policy 2020-22](#)

Dated: 15 March 2023

Appendix 1 – Quarter 3 2022/23 Risk Heat Map



Corporate Risk Heat Map Key (Quarter 3 2022/23)	
R1 - Stability of Social Services Providers	R8 - Ash Die Back Disease
R2 - Pressure on Adult & Community Services	R9 - Cyber Security
R3 - Pressure on the delivery of Children Services	R10 - Schools Finance / Cost Pressures
R4 - Balancing the Council's Medium-Term budget	R11 - Demand for ALN and SEN support
R5 - Highways Network	R12 - Educational Out of County Placements
R6 - Pressure on Housing and Homelessness Service	R13 - Welsh Government's Net Carbon Zero Target by 2030
R7 - Newport Council's Property Estate	R14 - City Centre Security and Safety

Risk Score Profile between Quarter 4 2021/22 and Quarter 3 2022/23

Risk Reference	Risk	Lead Cabinet Member(s)	Lead Directorate / Service Area	Risk Score Quarter 4 2021/22	Risk Score Quarter 1 2022/23	Risk Score Quarter 2 2022/23	(Current) Quarter 3 2022/23	Target Risk Score Q2	Target Risk Score Q3
R1	Stability of Social Services Providers	Cabinet Members for Social Services	Social Services / Adult Services	25	25	25	25	6	12
R2	Pressure on Adult & Community Services	Cabinet Members for Social Services	Social Services / Adult Services	25	25	25	25	10	12
R3	Pressure on the delivery of Children Services	Cabinet Members for Social Services	Social Services / Children Services	20	20	25	25	6	12
R4	Balancing the Council's Medium-Term budget	Leader of the Council / Cabinet	Transformation & Corporate / Finance	9	12	20	20	10	10
R5	Highways Network / Infrastructure	Cabinet Member for Infrastructure & Assets	Environment & Sustainability / Infrastructure	20	20	20	20	15	15
R6	Pressure on Housing and Homelessness Service	Cabinet Member for Strategic Planning, Regulation & Housing	Environment & Sustainability / Housing & Communities	20	20	20	20	6	12
R7	Newport Council's Property Estate	Cabinet Member for Infrastructure & Assets	Transformation & Corporate / People, Policy & Transformation	16	16	16	16	9	12
R8	Ash Die Back Disease	Cabinet Member for Climate Change & biodiversity	Environment & Sustainability / Environment & Public Protection	16	16	16	12	6	6
R9	Information and Cyber Security	Cabinet Member for Organisational Transformation	Transformation & Corporate / People, Policy & Transformation	16	16	12	12	10	8

Risk Reference	Risk	Lead Cabinet Member(s)	Lead Directorate / Service Area	Risk Score Quarter 4 2021/22	Risk Score Quarter 1 2022/23	Risk Score Quarter 2 2022/23	(Current) Quarter 3 2022/23	Target Risk Score Q2	Target Risk Score Q3
R10	Schools Finance / Cost Pressures	Deputy Leader & Cabinet Member for Education & Early Years	Chief Executive / Education Services	9	9	12	12	6	12
R11	Demand for ALN and SEN support	Deputy Leader & Cabinet Member for Education & Early Years	Chief Executive / Education Services	12	12	12	12	6	6
R12	Educational Out of County Placements	Deputy Leader & Cabinet Member for Education & Early Years	Chief Executive / Education Services	12	12	12	12	4	4
R13	Welsh Government's Net Carbon Zero Target by 2030	Cabinet Member for Climate Change & Biodiversity	Environment & Sustainability / Environment & Public Protection	12	12	12	12	10	2
R14	City Centre Security and Safety	Cabinet Member for Infrastructure & Assets	Environment & Sustainability / Infrastructure	10	10	10	10	8	9

Appendix 2 – Quarter 3 NCC Service Area Risk Summary

Directorate	Service Area	Total Q3 Risks	Risk Scores Increased since Q2	Risk Scores Decreased since Q2	No Change since Q2	New Risks Since Q2	Closed Risks Since Q2	Escalated Risks* ₁	De-escalated Risks* ₂
Chief Executive	Education	5	0	0	5	0	2	0	0
	Regeneration & Economic Development	4	0	1	3	2	1	0	0
Environment & Sustainability	Environment & Public Protection	4	0	1	3	0	1	0	0
	Housing & Communities	4	0	0	4	2	0	0	0
	Infrastructure	5	0	1	4	0	0	0	0
Social Services	Adult Services	4	0	0	4	1	0	0	0
	Children Services	3	0	0	3	1	1	0	0
	Prevention & Inclusion	2	0	0	2	2	0	0	0
Transformation & Corporate	Finance	7	0	2	5	2	1	0	0
	Law & Standards	2	0	0	2	1	0	0	0
	People, Policy & Transformation	7	0	0	7	0	0	0	0
Total		47	0	5	42	11	6	0	0

*1 – Escalated Risks – Risks that have been escalated from Service area risk registers to Corporate Risk Register

*2 – De-escalated Risks – Risks that have been de-escalated from Corporate Risk Register to service area risk register

Glossary

This document provides an explanation of terminology used in this report and supporting documents.

Risk Appetite – the amount of risk that Newport City Council is willing to seek or accept in the pursuit of the Council's long-term objectives.

Inherent Risk Score – The level of risk in the absence of any existing controls and management action taken to alter the risk's impact or probability of occurring.

Residual Risk Score – The level of risk where risk responses i.e. existing controls or risk mitigation actions have been taken to manage the risk's impact and probability.

Target Risk Score – The level of risk (risk score) that Newport City Council is willing to accept / tolerate in managing the risk. This is set in line with the Council's overall risk appetite.

Risk Mitigation Action – Actions identified by the Risk Owner to respond to the risk and reduce the impact and probability of the risk of occurring.

Risk Mitigation Action (Red Progress Score) – Significant issue(s) have been identified with the action which could impact on the ability of the action meeting its completion date. Immediate action / response is required resolve its status.

Risk Mitigation Action (Amber Progress Score) – issue(s) have been identified that could have a negative impact on the action achieving its completion date. Appropriate line manager(s) should be informed and where necessary action taken.

Risk Mitigation Action (Green Progress Score) – The action is on course for delivering to the agreed completion date and within the agreed tolerances.

How the Council Assesses 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 3.

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

Score	Description	Impact Measures						
		Strategic / Policy	Operational / Business Continuity	Financial	Governance / Legal / Regulatory	Health & Safety	Reputational	Project Delivery / Savings / Benefits
5 Page 41	Severe	Failure of a key strategic objective	Serious organisational / service failure that has direct impact on stakeholders including vulnerable groups. Service disruption over 5+ days.	<u>Corporate / Project</u> Unplanned and/or additional expenditure disturbance. Capital > £1M Revenue >£1M	Legislative / Regulatory breach resulting in multiple litigation / legal action taken on the Council (linked to Financial / Reputational Impacts).	Multiple major irreversible injuries or deaths of staff, students or members of public. (Linked to Financial / Reputational Impacts)	Severe and persistent National media coverage. Adverse central government response, involving (threat of) removal of delegated powers. Officer(s) and / or Members forced to Resign.	Project status is over 12 months from anticipated implementation date. Project(s) do not deliver the major benefits / savings identified in business case. This is linked to Financial / Strategic / Reputational Impacts
4	Major	Severe constraint on achievement of a key strategic objective	Loss of an important service(s) for a short period that could impact on stakeholders. Service disruption between 3-5 days.	<u>Corporate / Project</u> Unplanned and/or additional expenditure disturbance. Capital > £0.5M - £1.0M Revenue >£0.5M-£1M	Serious legislative breach resulting in intervention, sanctions and legal action. (Linked to Financial / Reputational Impacts)	Major irreversible injury or death of staff, student or member of public. (Linked to Financial / Reputational Impacts)	Adverse publicity in professional / municipal press, affecting perception / standing in professional /local government community Adverse local and social media publicity of a significant and persistent nature.	Project status is 6 to 12 months over from anticipated implementation date. Project(s) do not deliver major benefits / savings identified in business case. This is linked to Financial / Strategic / Reputational Impacts

Score	Description	Impact Measures						
		Strategic / Policy	Operational / Business Continuity	Financial	Governance / Legal / Regulatory	Health & Safety	Reputational	Project Delivery / Savings / Benefits
3 Page 42	Moderate	Noticeable constraint on achievement of a key strategic objective / Service Plan objective.	Loss and/or intermittent disruption of a service between 2-3 days.	<u>Corporate / Project</u> Unplanned and/or additional expenditure disturbance. Capital = £0.25M - £0.5M Revenue = £0.25M to £0.5M Revenue = £0.25M to £0.5M	Significant legislative breach resulting in investigation. (Linked to Financial / Reputational Impacts)	Major reversible injury to staff, student or member of public. Not life threatening. (Linked to Financial / Reputational Impacts)	Adverse local publicity / local public opinion including social media. Statutory prosecution of a non-serious nature.	Project status is 1 to 6 months over from anticipated implementation date. There is significant reduction on delivery of benefits / savings identified in business case. This is linked to Financial / Strategic / Reputational impacts.
2	Low	Constraint on achievement of Service Plan objective that does not impact on Corporate Strategy	Brief disruption of service that has a minor impact on the delivery of a service. Service disruption 1 day.	<u>Corporate / Project</u> Unplanned and/or additional expenditure disturbance. Capital = £0.1M - £0.25M Revenue = £0.1M – £0.25M	Moderate impact leading to warning and recommendations.	Some minor reversible injuries. (Linked to Financial / Reputational Impacts)	Contained within Directorate Complaint from individual / small group, of arguable merit	Project status is 1 to 4 weeks over from anticipated implementation date. There is minor reduction on delivery of benefits / savings identified in business case. This is linked to Financial / Strategic / Reputational impacts.

Score	Description	Impact Measures						
		Strategic / Policy	Operational / Business Continuity	Financial	Governance / Legal / Regulatory	Health & Safety	Reputational	Project Delivery / Savings / Benefits
1	Very Low	Constraint on achievement of Service / Team Plan objective	Minor disruption of a non-critical service.	<u>Corporate / Project</u> Unplanned and/or additional expenditure disturbance. Capital < £100k Revenue <£100k	No reprimand, sanction or legal action.	Some superficial injuries. (Linked to Financial / Reputational Impacts)	Isolated complaint(s) that are managed through the corporate complaints process and service area.	Project status is 1 week over from anticipated implementation date. There is insignificant / no impact on delivery of benefits / savings identified in business case. This is linked to Financial / Strategic / Reputational impacts.

Score	Probability	Criteria
5	Very likely 75% +	<p>Systematic Risks – Local evidence indicating very high probability of occurrence if no action / controls are in place. Risk is highly likely to occur daily, weekly, monthly, quarterly.</p> <p>Emerging Risks – National and Global evidence indicating very high probability of occurrence on local communities if no action / controls are taken. Risks are highly likely to occur within the next 5 years.</p>
4	Likely 51-75%	<p>Systematic Risks – Local evidence indicating high probability occur in most circumstances with near misses regularly encountered e.g. once or twice a year.</p> <p>Emerging Risks – National and Global evidence indicating high probability of occurrence on local communities if no action / controls are taken. Risks are likely to occur within the next 5-10 years.</p>
3	Possible 26-50%	<p>Systematic Risks – Local evidence indicating distinct possibility with circumstances regularly encountered and near misses experienced every 1-3 years.</p> <p>Emerging Risks – National and Global evidence indicating distinct probability of occurrence on local communities if no action / controls are taken. Risks are likely to occur within the next 10-15 years.</p>
2	Unlikely 6-25%	<p>Systematic Risks – Local evidence indicating low to infrequent near misses experienced every 3 + years.</p> <p>Emerging Risks – National evidence indicating low probability of occurrence on local communities if no action / controls are taken. Risks are likely to occur within the next 16-25 years.</p>
1	Very Unlikely	<p>Systematic Risks – Local evidence indicating risk has rarely / never happened or in exceptional circumstances.</p> <p>Emerging Risks – National evidence indicating very low probability of occurrence on local communities if no action / controls are taken. Risks are likely to occur within the next 16-25 years.</p>

Systematic Risks – Risks that are known or are becoming part of social, cultural, economic, and environmental systems that govern our lives.

Emerging Risks – Risks that are further away, less defined, and early stage of being known about.




Corporate Risk Register

2022/23 Quarter 3 Update






Corporate Risk Report Definitions

Direction of Risk

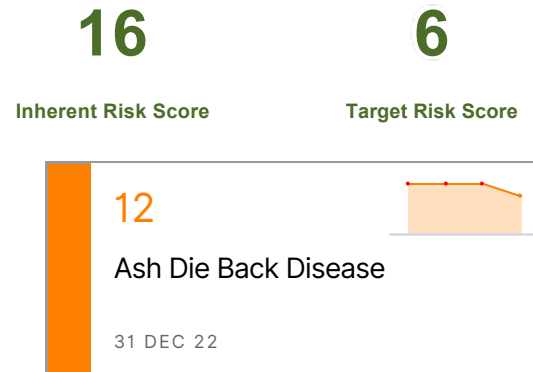
Direction of Risk	Definition
	The risk score has decreased / improved since the last quarter update.
	The risk score has increased / worsen since the last quarter update.
	The risk score has remained the same since the last quarter update.

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.

Ash Die Back Disease

Risk Overview	Ash Die back disease will affect tree population in Newport. The disease has already been identified in Newport and could kill the majority of Ash trees in the authority. The impact of no action will be significant numbers of tree failures that could see an increase in the number of people harmed by trees and property claims.
Parent Service(s)	Environment & Public Protection (sv)
Lead Cabinet Member(s)	Cabinet Member for Climate Change & Bio-diversity



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> Monthly and quarterly updates on the management of the Ash Dieback across Newport are provided by the Countryside Management team, this gets reported to the Head of Service and Cabinet Member via regular briefing meetings. The risk has been added to the risk register and is updated on a quarterly basis, with information presented to Scrutiny Committee as part of the performance review system in place.
Internal Controls & Processes	<ul style="list-style-type: none"> Environment & Public Protection has a cyclical inspection regime for all council owned trees and is able to identify, risk assess and remove trees that have Ash Dieback. This does not include management of third party trees. However we will undertake awareness raising to assist people in dealing with this and to help protect the public. NCC also has an emergency response protocol to deal with tree failures from third party land. The Council is aware following a recent independent assessment – known as the i-tree report, the authority needs to improve its tree coverage across the city to assist with drainage, biodiversity and air quality functions and new initiatives to replace trees will need to be undertaken. Due to the losses of Ash trees the Authority is implementing a significant tree replacement programme following the ash removal works.
Other Arrangements	<ul style="list-style-type: none"> NCC Countryside Management team and Tree team use specialist Arboriculture consultants who survey NCC land holdings and identify specimens with the disease at any of the four progressive stages. The team will risk assess the urgency of the work at a particular site based on its location, proximity to the public or property and the stage of the disease.

Direction of Risk

	DoR	Comment
Ash Die Back Disease	↓	Significant works on tree stock are underway.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Collaborative working with partners to identify locations to increase tree coverage.	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
 Developing an urban tree strategy to increase overall tree coverage	01 Apr 2022	31 Dec 2023	31 Dec 2023	★
 Identify suitable areas for tree planting to cover losses of Ash woodlands	01 Apr 2022	31 Dec 2023	31 Dec 2023	★
 Improve baseline data of tree cover across the local authority area.	01 Apr 2022	31 Dec 2022	31 Dec 2022	★
 Increase tree coverage on Council owned land.	01 Apr 2022	31 Mar 2030	31 Mar 2030	★
 Sustainability of tree stock by maximising locally sourced trees	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
 Undertake works removing Ash trees owned by NCC	01 Apr 2020	31 Mar 2025	31 Mar 2025	★

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



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	➡	The overall risk score has not been changed this quarter. Steps have been taken to balance the budget and Welsh Government issued a more positive than expected draft settlement too, which has helped the position.

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	●

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



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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 threatened 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	<ul style="list-style-type: none"> 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

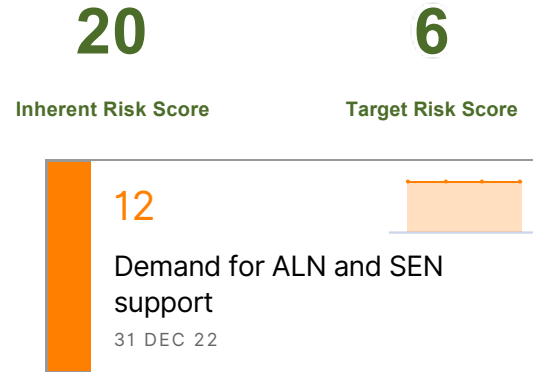
	DoR	Comment
City Centre Security & Safety	➡	Due to unforeseen operational requirements the primary work associated with the security and safety of the City Centre has yet to be delivered. However, through existing Council and Multi Agency Plans and Procedures, generic arrangements are in place to respond 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	

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



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	➡	In Q3 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.

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	★
 Education Service Rapid Review Programme - RAG	01 Oct 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

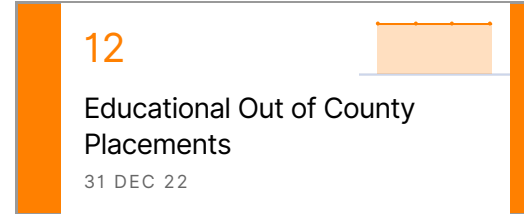
Risk Overview	Limited access to Newport City Council (NCC) provision for pupils who require complex and specialist placements which results on a reliance on Out of County (OOC) placements both day and residential.
Parent Service(s)	Education Services (sv)
Lead Cabinet Member(s)	Deputy Leader & Cabinet Member for Education & Early Years

20

Inherent Risk Score

4

Target Risk Score



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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

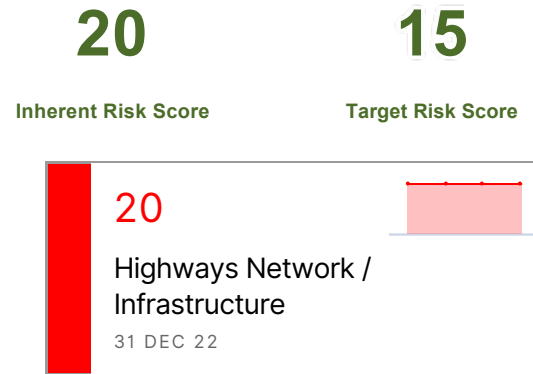
	DoR	Comment
Educational Out of County Placements	➡	The OOC risk has remained the same as the last quarter. We will re-tender for the secondary Social Emotional Behavioral Difficulties (SEBD) provision contract in the spring term and complete the consultation on the proposal to open a secondary Autism Spectrum Disorder (ASD) Base in 2023-24 with a view to retain as many pupil placements locally.

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	★
 Education Service Rapid Review Programme - RAG	01 Oct 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	★

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



Existing Arrangements to Manage Risk

Governance	<p>Highway Asset Management Plan</p> <ul style="list-style-type: none"> 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. <p>Highway Annual Status and Options Report</p> <ul style="list-style-type: none"> 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. <p>Highway Maintenance Manual</p> <ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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: <p>Reactive Safety Inspections</p> <ul style="list-style-type: none"> These are inspections undertaken in response to stakeholder notification of potential maintenance defects <p>Routine Inspections</p> <ul style="list-style-type: none"> 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. <p>Condition Surveys</p> <ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	➡	No change from last quarter

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

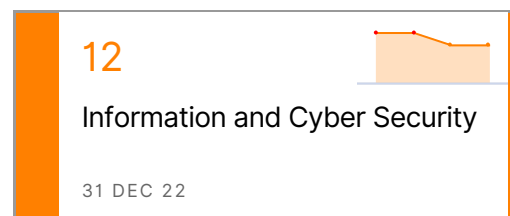
Risk Overview	Management and security of the Council's data to protect from being accessed and processed inappropriately. This includes preventing inappropriate access, loss, theft, and malicious attacks to maintain business continuity and integrity of our data.
Parent Service(s)	People, Policy & Transformation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

12

Inherent Risk Score

8

Target Risk Score



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	➡	Since quarter 2 there has not been any change to the risk score. The Council's Shared Resource Service are implementing a security operation centre and a security information and event management system (SOC/SEM) which will provide greater protection when it goes expected to go live in Quarter 4.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Annual Information Risk Report and other information risk management processes and organisation	01 Oct 2022	30 Sep 2023	30 Sep 2023	★
 Implement Security Information and Event Management (SIEM) system and Security Operations Centre.	01 Oct 2022	30 Sep 2023	30 Sep 2023	★
 Information and cyber awareness raising and training programme.	01 Oct 2022	31 Mar 2023	31 Mar 2023	★

Newport Council's Property Estate

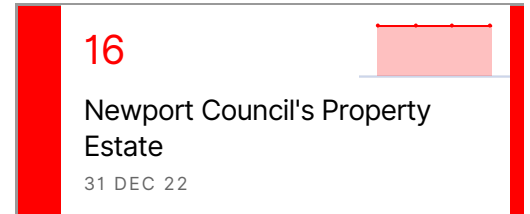
Risk Overview	NCC has a significant property estate covering over 170 operational buildings (circa) such as the Civic Centre, Telford Depot, and its school estate etc. The Council has to ensure the estate is maintained to required standards to enable access, safety, security and in the long term sustainable 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



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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

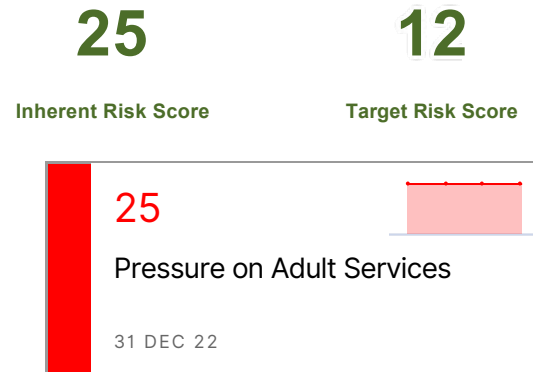
	DoR	Comment
Newport Council's Property Estate	➡	There have been no significant changes to the estate that would warrant a change in the risk score. The state of the estate is down to its age and lack of investment. The Council have begun on a significant rationalisation programme which will include discussions around targeted investment to reduce this 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



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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

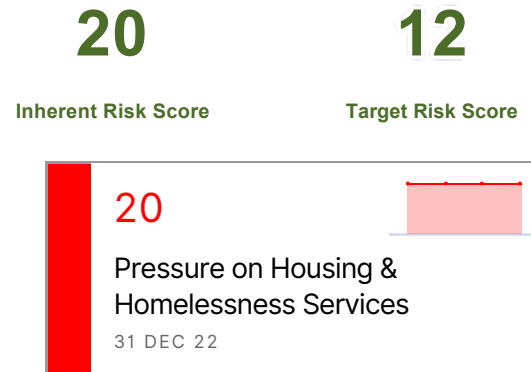
	DoR	Comment
Pressure on Adult Services	➡	The risk score for quarter 3 has not improved since quarter 2. The winter pressures on Adult services has continued on the workforce and complexity of need on service users. Workforce vacancies and inability to recruit is also impacting on the service. Budgetary pressures on the cost of living and provider costs also impact.

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

















Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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 is likely 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

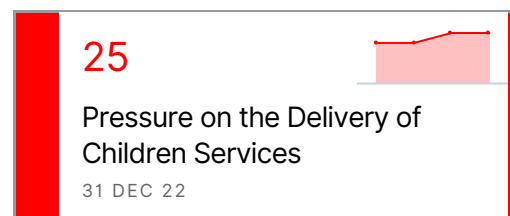
Risk Overview	Children Services are facing pressures to manage to manage increase in volume of referrals and cases of children with complex needs. This is in a context of inflationary cost rises and budgets not being able to meet these cost increases; alongside recruitment and retention issues across 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



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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 - Provide regular sessions for well-being and support for staff.	01 Oct 2022	31 Mar 2024	31 Mar 2024	
 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



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	➡	Colleagues in Finance have used the autumn term to work with schools to review their financial positions for 2022/23 and consider their sustainability into 2023/24. The situation remains very fragile and it is likely that at least one school will close the current year in deficit. There is a possibility of a number of schools being unable to set a balanced budget for 2023/24.

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	

Stability of Social Services Providers

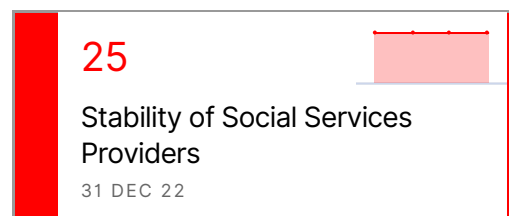
Risk Overview	The Council requires support from external providers to deliver care packages for children and adults (residential / Non Residential). The current marketplace for external providers is volatile due to the increasing costs to provide care, maintain homes, staffing meeting legislative and 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



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> The focus on this area of work is extensive including external monitoring.

Direction of Risk

	DoR	Comment
Stability of Social Services Providers	➡	Quarter 3 risk score remains the same as quarter 2. Commissioning team are continuing to support provider services to ensure carer support is available in the community and targeted on the most vulnerable.

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	

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














Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	➡	Whilst good progress is being made in all areas, a piece of work needs to be undertaken to establish the full scope of what is required to achieve Net Zero Carbon by 2030 across areas. This is taking place in 2023/24, including across our supply chain which represent over 50% of our emissions.

Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Our Buildings: Climate Change Plan building actions, incl. ensuring new builds are net zero carbon	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
 PPT support the Council's Climate Change Plan delivering 'Organisational Culture and Leadership'.	01 Oct 2022	31 Mar 2024	31 Mar 2024	★
 PPT support the Council's Climate Change Plan delivering 'Transport and Mobility'.	01 Oct 2022	31 Mar 2024	31 Mar 2024	★
 PPT support the Council's Climate Change Plan delivering 'Wider Role'.	01 Oct 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	★
 Procurement: Work with strategic procurement team to complete actions of the Climate Change Plan	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
 Transport: Climate Change Plan transport actions, incl. supporting fleet decarbonisation	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
 Wider Role – LAEP – Domestic: Support CCR on regional Domestic Energy Efficiency schemes	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
 Wider Role – LAEP – Industry: Engage with the industrial cluster in relation to decarbonisation	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
 Wider Role – LAEP – Transport: Accelerate the roll out of EV charging for residents.	01 Apr 2022	31 Mar 2024	31 Mar 2024	★
 Wider Role: Identify and apply for funding to support actions across the climate change plan	01 Apr 2022	31 Mar 2024	31 Mar 2024	★

Report

Cabinet

Part 1

Date: 22 March 2023

Subject **Policy Review: Customer Feedback - Compliments, Comments and Complaints**

Purpose To provide Cabinet with the updated Compliments, Comments and Complaints policy for review and approval.

Author Complaint Resolution Manager

Ward All

Summary The Compliments, Comments and Complaints policy is based on the model document published by the Complaints Standards Authority under the Public Services Ombudsman (Wales) Act 2019, together with other legislative and statutory requirements specified under the amendments. These principles underpin the complaints handling process. Changes are primarily to simplify and refine the existing policy. It has also been reviewed to ensure that the policy remains relevant and reflects the latest statutory and legislative requirements. This will ensure that feedback from residents is dealt with appropriately and equitably.

Performance is also reported to Cabinet annually in a separate report.

Proposal Cabinet is asked to review and approve the proposed amendments to the policy.

Action by Complaint Resolution Manager

Timetable Immediate

This report was prepared after consultation with:

- Cabinet Member (Organisational Transformation)
- Head of Finance
- Monitoring Officer
- Head of People, Policy and Transformation
- Heads of Service

Signed

Background

The primary driver for the amendments to the policy as attached to this Report is to simplify and refine the policy whilst clearly outlining how we administer Corporate and Social Services complaints. In September 2020, the Public Services Ombudsman for Wales (PSOW) wrote to all local authorities to confirm that the revised Statement of Principles, Model Complaint Handling Process and Guidance were in full effect. The PSOW requested that public bodies reflect on how their practices and procedures comply with the updated guidance and how they will ensure that all complaints are captured appropriately.

The PSOW model policy guidance recognises that organisations need to interpret it in a way which was appropriate to their own circumstances. However, it is explicit that the arrangements for managing complaints must be consistent. Due to the Covid Pandemic the Complaints Standards Authority were unable to support authorities with the practical implementation of the updated guidance and ensuring that complaints are fully recorded. The principles are that timescales and the number of stages should be consistent for all. The PSOW believes that local authorities are under-recording complaints and, where this is apparent, they will investigate further.

The policy has been reviewed to ensure that the policy remains relevant and reflect the latest statutory and legislative requirements. This will ensure that feedback from residents is dealt with appropriately and equitably. It was evident the early resolution (Stage 1) process needed review with further resource being spent to provide resolutions to residents – in some cases the PSOW querying why we had not taken residents through our formal process and instructing us to do so. By formalising the process, we manage resident's expectations from the outset and follow a clear complaints process.

The council values complaints and uses them as an opportunity to improve the services we provide. The absence of complaints does not necessarily indicate excellent services – just as an increase in complaints does not necessarily indicate poor services.

The policy has been informally reviewed by the PSOW Head of Complaints Standards and they are satisfied that our amendments align with the Complaints Standards Model Policy.

Amendments

The draft revised policy is attached to this Report, the amendments are:

- Simplification and refinements to the policy
- Refusal criteria detailed
- Clarity between processes for Corporate and Social Services Complaints
- A reduction in timeframe for accepting Corporate Complaints from 12 months to 6 months

Simplification and Refinement of the Policy

The existing policy from 2021 merged Corporate and Social Services Complaints resulting in a policy of significant size (21 pages). To ensure that the policy provides the essential information to citizens and staff, wording and layout of the policy has been fully reviewed. As a result, the policy content has been condensed to a more manageable size (14 pages). The policy has been checked for readability.

Refusal Criteria

It is necessary to be explicit what we are not able to progress as a complaint through the complaints process. Complaints Officers make reference to the reason within the correspondence to the resident. As a result of the review, we have included the following point as a reason to refuse a complaint:- A complaint which is being or has been investigated by the Public Services Ombudsman for Wales.

Process Clarity

The policy outlines the differences in how a Corporate Complaint and a Social Services Complaint is processed in accordance with Welsh Government Social Services Guidance for Complaints Handling.

Reduction in timeframe

As a result of call retention timescales held by the NCC Contact Centre and to align with neighbouring local authorities, corporate complaints will only be accepted within 6 months of the event rather than 12 months currently.

Legislation

The policy continues to comply with the following legislation.

- Public Services Ombudsman (Wales) Act 2019
- The Regulated Fostering Services (Services Providers and Responsible Individuals) (Wales) Regulations 2019
- RISCA (Regulation and Inspection of Social Care (Wales) Act 2016)
- Welsh Language Standards Regulations (No.7) 2018
- Challenging Bullying – Rights, respect, equality: Statutory guidance for local authorities (2019)

Revisions

The revisions to the policy have been developed through collaboration internally and with the Public Services Ombudsman for Wales.

Members are asked to consider and approve the Compliments, Comments and Complaints policy.

Performance Management

Comments, Compliments and Complaints are monitored and reported annually to Governance and Audit Committee and Cabinet, including comments, compliments and complaints data insight for all council areas.

Financial Summary

There are no direct financial impacts associated with these changes.

Risks

Failure to take appropriate action to update policies carries reputational and financial risk.

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?
Council does not take on board the comments/compliments/complaints and does not take actions as a result	M	L	<ul style="list-style-type: none"> • Communication of revised policy to staff • Publish revised policies on the internet and intranet • On-going training and guidance provided to staff • Regular reporting and monitoring in line with the policies 	Complaint Resolution Manager
Council doesn't have a consistent and effective complaints process	M	L	Adoption and implementation of the revised policy provides consistent and effective complaints responses with agreed targets and measures	Complaint Resolution Manager

* Taking account of proposed mitigation measures

Links to Council Policies and Priorities

Monitoring of complaints and successful resolution of those complaints contribute to the following Well-Being goals within the Well-being of Future Generations Act (Wales) 2015, as it supports the provision of higher quality and more effective services to the public across all service areas. In addition, monitoring provides information on the level of satisfaction of the services provided corporately by the Council. The result of the monitoring enables each department to focus on areas of concern, to improve services and to monitor performance, ensure that any trends or issues raised are identified and dealt with to be avoided in the future and to ensure that corporate complaints are dealt with consistently and fairly across all service areas.

- A prosperous Wales
- A resilient Wales
- A healthier Wales
- A more equal Wales
- A Wales of cohesive communities and thriving Welsh language
- A globally responsible Wales

Options Available and Considered

Option 1 – That Cabinet approve the revised Customer Feedback Compliments, Comments and Complaints Policy.

Option 2 – That the authority retains the existing Policy

Preferred Option and Why

Option 1 is the preferred option for the reasons stated within the report. This option ensures that complaints from residents are dealt with equitably and in line with the PSOW guidance.

Comments of Chief Financial Officer

This report has no direct financial implications. Any cost implications of future changes made to improve processes and learn from complaints will be met from existing resources.

Comments of Monitoring Officer

There are no specific legal issues arising from the Report. The revised Compliments, Comments and Complaints policy is consistent with the model complaints handling procedure required by the Public Services Ombudsman for Wales under section 38 of the Public Services Ombudsman (Wales) Act 2019 and the standards for complaints handling required by the Complaints Standards Authority. The proposed revisions to the previous policy provide a simplified version of the merged Corporate and Social Services policy and increased clarity around the differences between the two, refinement of the refusal of complaints criteria and a reduction in the time frame for accepting complaints.

Comments of Head of People Policy and Transformation

This report describes how the updates to the policy align with legislative and statutory requirements and closely links to the 5 ways of working and wellbeing goals of the Well-Being of Future Generations Act.

Changes and communication of this policy will enable us to better meet the needs of our residents and represents the objectives and principles of our Corporate Plan.

There are no direct human resource implications to this review, however our Human Resources and Organisational Development Teams will support the roll out and guidance for staff across the council.

Local issues

This report is relevant to all wards.

Equalities Impact Assessment and the Equalities Act 2010

Monitoring of complaints via the Corporate Complaints policy addresses the Council's statutory duties under the Equality Act 2010 (Statutory Duties) (Wales) Regulations 2011 and the Welsh Language Measure (Wales) 2011.

Children and Families (Wales) Measure

The policy specifies the arrangements and support available for young people in Newport who wish to provide feedback about Council services, or about schools. Although no targeted consultation takes place specifically aimed at children and young people, the Compliments, Comments and Complaints policy is relevant to all of residents regardless of their age.

Wellbeing of Future Generations (Wales) Act 2015

This report contributes to the Well-being Goals as set out in Links to policies above. It is consistent with the five ways of working as defined within the sustainable development principle in the Act in that the monitoring of the Council's handling of feedback across all service areas enables departments to focus on areas of concern. This supports service areas to improve services and to monitor performance to ensure that any issues raised are identified and dealt and are avoided in future.

- Prevention – addressing the comments and complaints from residents and others can assist the Council in preventing problems occurring or getting worse. The feedback provided is monitored for 'Lessons Learnt' and continuous improvement to services which helps to prevent similar issues happening again.
- Involvement – the ability of residents and others to submit compliments, comments and complaints provides another avenue by which they can be involved in decisions that affect them. This feedback is acted upon for the individual, but also helps to create a bigger picture of anonymised data that feeds into changes and decisions made about service provision.
- Integration – The Council's policy enables an integrated, consistent approach to handling comments and receiving feedback as required by a range of legislation. This creates one clear pathway that residents can access to provide feedback to the Council.
- Collaboration – Responding to feedback from residents requires collaboration across the Council. The specific arrangements for monitoring feedback provides a transparent framework for services to collectively consider what is important to residents and to agree on appropriate actions as a result of the feedback.

Consultation

Consultation was carried out internally and with the Public Services Ombudsman for Wales. Progress within the Annual Report was also discussed at Governance and Audit Committee and Cabinet.

Background Papers

Existing Compliments, Comments and Complaints Policy

Public Services Ombudsman for Wales Model Complaints Policy

Annual Reports: Cabinet, November 2022 and Governance and Audit Committee

Dated: 15 March 2023

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Newport City Council Customer Feedback Policy: Compliments, Comments and Complaints



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1.0 Introduction

1.1. Our Commitment

Newport City Council is committed to dealing effectively with any compliments, comments or complaints you may have about the services we provide.

1.2. Development of the Policy

The Policy and Guidance published by the Public Services Ombudsman for Wales under Section 36 of the Public Services Ombudsman (Wales) Act 2019 www.legislation.gov.uk was used as a basis for this policy.

This policy is for the information of customers, including people under the age of 18, council staff, councillors and staff in the council's partner organisations.

This policy covers complaints about all services provided by the council. Some of the special arrangements for complaints handling are set out below.

1.3. Principles

Newport City Council aims to follow six principles when dealing with complaints:

- Focus on the complainant at the centre of the complaint process
- Provide a clear and simple process for complainants
- Treat complainants fairly, equally and with dignity
- Respond promptly to complaints with a thorough reply
- Be honest and clear in responses to complaints
- Use feedback from residents to make improvements to services and decisions.

2. What Is Not A Complaint

The examples below would not progress through our formal complaints process: -

- The first reporting of a fault, for example if you are approaching the Council reporting a faulty streetlight
- An initial service request, for example, request collection of large household items. The Council will register your request, and this will be dealt with by the relevant service area.
- A first request for information, or explanation of the council's policies or decisions
- A means to seek change to legislation or a 'properly made' decision (when laws or policies have been correctly applied, e.g, the setting of rent payments).
- A means for lobbying groups/organisations to seek to promote a cause
- A request under the Freedom of Information Act 2000. More information about this can be found at [Freedom of information | Newport City Council](#)
- A complaint which has previously been investigated under this or the former complaints procedure.
- A complaint which is being or has been investigated by the Public Services Ombudsman for Wales.

3. Out of Scope of this Policy

1.1. Complaints That Are Not The Responsibility Of The Council

For example those that are for other organisations such as Health Boards are not dealt with by the Council.

1.1. Appeals Against a Decision

In some circumstances, you may have a right to appeal against a decision which the Council has made.

Some examples of these are:

- a refusal to grant you planning permission
- not giving your child a place in a particular school or nursery
- awards and decisions made regarding Housing Benefits
- reductions in provision of care
- the process for bidding for accommodation through Home Options
- decisions about Housing Benefits and The Council Tax Reduction Scheme.

When this is the case, we will explain to you how you can appeal.

3.3. Complaints About Councillors

These are not covered by this policy. Complaints against councillors can be made directly to the Public Services Ombudsman (Wales). The relevant contact details can be found at the end of this document.

3.4. Complaints Involving Other Legal or Disciplinary Proceedings

There are some circumstances where it is not appropriate for the Council to consider a complaint if such consideration would prejudice the conduct of certain proceedings or investigations. Those circumstances include:

- The complainant indicates in writing that they are taking or intend to start legal proceedings
- The council is considering legal proceedings for example, care proceedings or Court of Protection proceedings or enforcement notices
- The council is considering the complaint should be investigated under conduct procedures and/or proposing disciplinary proceedings against a staff member
- A prosecuting authority, for example, the police or the Care Inspectorate Wales, is investigating with a view to criminal prosecution
- If a complaint investigation may compromise any adult or child safeguarding process.

If any of these circumstances apply, it may be necessary to put the investigation of a complaint "on hold" until the conclusion of those other proceedings. In circumstances where a legal judgement has already been decided, you may be directed back to the Courts. You may come back to us when court proceedings have concluded.

3.5. Welsh Language and Equalities

The Equality Act 2010 makes it unlawful to discriminate against someone because of one or more protected characteristics. These are: - age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

If you feel that you have been treated unfairly or disadvantaged in any way by a service, or by a lack of service from the council, we would like to hear from you so that we can put it right. However, the Council's complaints procedure would not be able to conclude if any discrimination has occurred under the Equality Act 2010.

If you think your complaint involves the Council not meeting its duties under the Equality Act 2010, you can seek support and advice from [Citizens Advice](#)

The Council cannot investigate itself for allegations of discrimination.

The Council takes allegations of discrimination very seriously. If you feel, you are being discriminated against, the Council advises you to seek independent legal representation. You can seek support regarding this particular issue by making contact with the Newport Citizens Advice Bureau via phone: 01633 222622, online: <https://www.newportca.org.uk/> or by mail: 8 Corn Street, Newport, NP20 1DJ.

If you wish to seek legal representation, your solicitors will need to contact our Legal Team to take this matter forward. They can be contacted in writing: Law and Standards, Newport City Council, Civic Centre, Newport, NP20 4UR.

[The Welsh Language Measure 2011](#) and [the Equalities Act 2010](#) require the Council to record, respond to, monitor and report on complaints on Welsh language and equality matters. Further information on Equalities and the Welsh Language can be found [here](#)

The Council maintains records on complaints received. We report annually on equalities and Welsh language.

The Council will respond to complaints made in Welsh in the same language, and to the same timescales and quality as an English language complaint. If you wish to discuss a concern with a member of staff, you can do so in Welsh. If a Welsh speaking member of staff is unavailable, we will offer simultaneous translation.

The Council encourages people to contact us first regarding any complaint, so that we can deal with the matter promptly and have the chance to put things right if dissatisfied with the standard of the Welsh language service received. A complaint can also be made directly to the [Welsh Language Commissioner](#). The Commissioner's contact details can be found in the Ombudsman and Welsh Language Commissioner's section. The Welsh Language Commissioner expects such complaints to be made within 12 months of you becoming aware of the problem.

3.6. Safeguarding Complaints

Complaints regarding safeguarding are subject to specific procedures. If the nature of your complaint is subject to the [Gwent Safeguarding Board](http://www.gwentsafeguarding.org) Complaints Procedure www.gwentsafeguarding.org we will advise you of this and refer your concerns to the Board.

Complaint investigations may be put on hold whilst safeguarding investigations are ongoing. However, we will explain this and advise you when your complaint can be considered, if appropriate, following the safeguarding investigations.

3.7. Service Providers and Partners

The council will at times ask other organisations to act on their behalf, or to provide a service to you. The council will ensure that any partners or providers providing services on our behalf of the council deal with your complaint appropriately. In the first instance, we will encourage the service provider to put right any concerns you may have. However, if you feel this has not been resolved we will work with the partner or service provider to consider your complaint.

How this is handled will be agreed between the council and service provider. Specific arrangements for each partner or service provider will be publicised in an appropriate way, for example, on the service provider's website. If you are not sure where your complaint should be directed, please contact the council for advice.

3.8. Schools

Services provided by schools are subject to separate policies within each school. If you have a complaint regarding a school please approach the head teacher of the school in the first instance – further details about school complaints can be found [here](#)

Newport City council is committed to ensuring that all schools comply with our statutory duties when dealing with your complaint. If you feel that the school have not handled your complaint in accordance with their complaints policy, you can ask us to look at this for you. This includes complaints about bullying. Please ask the school to share their Bullying Policy with you if you have any concerns regarding bullying.

More information can be found [here](#)

3.9. Coroner Service Complaints

The Coroner Service is subject to specific legal and complaints procedures, dependent on the nature of the complaint. You may choose to raise a complaint or concern regarding the service with the council. If we cannot deal with your complaint or concern, we will advise you of who can, and how you can contact them.

We would encourage any concerns about decisions made by the Coroner to be discussed with the Coroner or Coroner's Office in the first instance where your concerns and questions can be dealt with informally. If you feel you have exhausted this option then the [Guide to Coroner Services for Bereaved People \(publishing.service.gov.uk\)](http://publishing.service.gov.uk) will assist you further.

3.10. Civil Parking Enforcement Complaints

If you are dissatisfied with the service you received from a civil parking enforcement (CPE) officer or any other aspect of the CPE service, you can raise your concerns with the council. Where you wish to dispute or challenge a fine, you will need to direct your concerns to [South Wales Parking Group](#)

4. Definitions

4.1. Compliments

A compliment may be "an expression of praise concerning a high level of service delivery and/or customer care received"

Lessons learned as a result of compliments received are recorded and feedback provided, if appropriate, within 10 working days.

4.2. Comments

Comments may be "proposals to help the council improve its service delivery and/or aspects of customer care".

Comments and compliments will be recorded and monitored in line with arrangements set out below. If it is appropriate, a response will be provided within 10 working days.

4.3. Complaints

The council has adopted the following definition of a complaint suggested by the Public Services Ombudsman (Wales):

- An expression of dissatisfaction or concern
- Written or spoken or made by any other communication method
- Made by one or more members of the public
- About a public service provider's action, or lack of action, or the standard of service provided
- Something which requires a response.

5. Complaints Process

There are two variations on the complaints process, depending upon whether it is a corporate or Social Services complaint. Social Services Statutory Guidance outlines a legislative process. However, both of these processes can have up to 2 stages. There are also some differences in the time to respond to complaints.

4.1. Complaints Stages - Stage 1 Local Resolution & Stage 2 Investigation

There are two stages to the council's complaints process. This policy encompasses both corporate and social services complaints.

Corporate Complaints - Stage 1	Social Services Complaints - Stage 1
<p>We aim to acknowledge within 2-5 working days.</p> <p>Complaint response issued within timescale of ten working days of receipt of complaint.</p>	<p>Acknowledgement within two working days</p> <p>Complaint response issued within ten working days of receipt.</p> <p>(Additional five working days permitted if a meeting has taken place during the ten working days)</p>

Corporate Complaints - Stage 2	Social Services Complaints - Stage 2
<p>Confirmation of concerns and required outcome established by Complaint Resolution Officer and passed to relevant service manager</p> <p>Response timescale target is 20 working days from receipt of complaint.</p> <p>*Extension up to 65 days</p>	<p>Acknowledgement timescale two working days</p> <p>Confirmation of concerns and required outcome established by Complaint Resolution Officer and passed to Independent Investigator and/or Independent Person</p> <p>Response timescale 25 working days of appointment of Independent Investigator and/or Independent Person and agreement of complaints to be taken forward</p> <p>*Extension up to 65 days with agreement of director of Social Services</p>

In some instances, we may ask to meet you to discuss your concerns. Occasionally, we might suggest mediation to try to resolve matters.

A Stage 2 complaint may commence if:

- the seriousness of the complaint means that it is inappropriate to deal with at Stage 1
- the complainant remains dissatisfied at the end of the Stage 1
- the complainant can request that their complaint be progressed immediately to Stage 2 (without consideration at Stage 1).

If you feel the complaint has not been properly considered or resolved, you can request a Stage 2 Investigation. Before a Stage 2 complaint can be considered, you may be asked to outline what you feel has not been properly considered or resolved at Stage 1.

The extent of the investigation will depend on how complex and how serious the issues you have raised are. The person looking at your complaint may need to see files we hold relevant to your complaint. If you don't want this to happen, it is important that you tell us.

Council officers and/or independent investigators assigned to investigate your complaint will look at relevant evidence. This could include files, notes of conversations, letters, e-mails or whatever may be relevant to your particular complaint. If necessary, they will talk to staff or others involved and look at our policies and procedures, and any legal entitlement and guidance.

4.2. Corporate Complaints

All complaints will that do not relate to Social Services (see following section) will be classed as Corporate Complaints

4.3. Social Services Including Fostering Services

We are committed to ensuring our services are of a high standard. If we have done something wrong or you want to tell us what we have done well, we want to hear from you.

This policy explains how you can share your compliment, comment or complaints about the service we have provided to you, or service you are entitled to receive.

You will be listened to and provided advice or support, where needed. We will tell you how we will look into your complaint or share your feedback.

We adhere to specific legislation and regulations to ensure we can meet specific standards and use feedback to improve services.

The Policy incorporates the legislation of Social Services Complaints Regulations (Wales) 2014 for all social services functions, in accordance with the Social Services and Wellbeing (Wales) Act 2014 www.legislation.gov.uk.

The Policy has considered the regulations as set out in the Code of Practice for the Local Authority Fostering Service (Wales) Regulations 2018 [Code of Practice](#) specifically regulation 39.

This Policy supports residential services to comply with the [Regulation and Inspection of Social Care \(RISCA\) \(Wales\) Act 2016](#) and comply with the [Social Services and Wellbeing Act 2014](#)

Services that are required to comply with the RISCA regulations are as follows:

- care home services
- secure accommodation services
- residential family centre services
- domiciliary support services

Further information on the council's regulated service can be found at www.newport.gov.uk, telephone [01633 656656](tel:01633656656) or email info@newport.gov.uk

4.4. How To Make a Complaint

- You can ask for a copy of our complaint form from the person with whom you are already in contact.
- You can use the form on our website at: www.newport.gov.uk/complaints
- You can e-mail us at: complaints@newport.gov.uk
- You can call on: 01633 656 656
- You can write a letter to us at the following address: Complaint Resolution Team, Newport City Council, Civic Centre, Godfrey Road, Newport NP20 4UR. Feedback is welcomed in Welsh, English or other languages.

Copies of this Policy and the complaint form are available in Welsh, and in alternative languages upon request, as well as audio, large print and Braille.

4.5. Timescales

We can only look at complaints if you inform us within 6 months for corporate complaints & 12 months for social services, unless there are exceptional circumstances. Depending on the nature of your concern, your complaint may be dealt with under another process, for example, where a person may be at risk. Any decision to investigate your concern under an alternative process will be discussed with you.

Anonymous compliments, comments and complaints are recorded but responses are not provided.

4.6. What We Expect from You

We believe that all complainants have the right to be heard, understood and respected. However, we also consider that council staff have the same rights. We therefore expect you to be polite and courteous in your dealings with us. We accept that circumstances leading to a complaint may have been upsetting or distressing, but we will not tolerate aggressive or abusive behaviour, unreasonable demands or unreasonable persistence.

When we find that someone's actions are unacceptable, our [Unacceptable Actions by Customers Policy](#) will apply.

4.7. What If I Need Help?

Our staff will aim to help you make your concerns known to us. If you need extra assistance, we will try to put you in touch with someone who can help. We will pay particular regard to your personal circumstances.

If for any reason we cannot accept your complaint or we do not consider that investigation is appropriate, we will write to you explaining why. If possible, we will identify any further action you can take and/or advise you of other organisations who may be able to help you.

- We will ask you to tell us how you would like us to communicate with you and establish whether you have any particular requirements
- We will deal with your concern in an open and honest way
- We will make sure that your dealings with us in the future do not suffer just because you have expressed a concern or made a complaint
- We will record your complaint within our recording system and provide you with a reference number.

4.8. Representing Somebody Else and Advocacy

Any representative may make a complaint on behalf of someone else in the following circumstances:

- They have been asked to do so by the person they are representing
- The person they are representing is a child
- When the local authority has a duty to provide an advocate
- The person they are representing lacks capacity as defined by the [Mental Capacity Act 2005](#)
- The person they are representing is ill or has died (in appropriate circumstances).
- Where [Power of Attorney](#) applies

If you are expressing a concern on behalf of someone else, we will need confirmation of their agreement to you acting on their behalf, we will ask you to complete a consent form, or provide a copy of power of attorney documentation.

The complaints resolution team will signpost to relevant advocacy services if needed.

If you are complaining as an organisation or group, we will ask that we have a sole point of contact who will represent the group.

4.9. Outcome & Putting Things Right

If we did not provide a service, you should have received, we will aim to provide it.

If we did not do something well, we will aim to put it right. If you have lost out as a result of a mistake on our part, we will try to put you back in the position you would have been in.

As a minimum standard we expect the response to:

1. Offer an apology where appropriate
2. Advise what action is to be taken to put things right
3. Identify any lessons learnt
4. Provide information on what to do if you remain dissatisfied

4.10. What If There Is More Than One Professional Body or Organisation Involved?

If your complaint covers more than one organisation, for example, Newport City Council and Gwent Police we will usually work with the other organisation to decide who should take a lead in dealing with your concerns. You will then be given the name of the person responsible for communicating with you while we consider your complaint.

If the complaint is about an organisation working on our behalf, you may wish to raise the matter informally with them first. However, if you want to express your concern or complaint formally, we will look into your complaint ourselves, unless we have agreed a contractual complaints process within the organisation providing the service. If a contractual complaints process is in place, we will still monitor complaints received and how the contractor deals with them.

5.11 Learning Lessons

We take your concerns and complaints seriously and try to learn from any mistakes we've made. A summary of all feedback, including those received about the council's compliance against Welsh Language Standards, is shared annually with the Governance and Audit Committee. This includes any themes identified, and lessons learned.

Where there is a need for change, we will develop an action plan setting out what we will do, who will do it and when we plan to do it by.

5.12 Performance Management

Comments, Compliments and Complaints are monitored and reported annually including comments, compliments and complaints data insight for all council areas.

5.13 Privacy Notice

Our [Privacy Notice](#) will provide you with information on how we use your data, and who we may need to consult with regarding your complaint, where appropriate.

If you do not wish for certain aspects of your information to be used or forwarded to others, you will need to let us know. However, please be advised that this may impact on an investigation, as we may not be able to consider all information.

Anonymised quarterly complaints data is shared with the Public Services Ombudsman for Wales.

The Council will provide a summary of complaints, responses and any subsequent action taken to Welsh Ministers within 28 days upon request.

5.14 What If I Am Still Not Satisfied? Role of Public Services Ombudsman for Wales

Should you remain dissatisfied after exhausting the council's formal complaints process, you may complain to the [Public Services Ombudsman for Wales](#). The Ombudsman is independent of all government bodies and can look into your complaint if you believe that you personally, or the person on whose behalf you are complaining:

Feedback Policy Version 1.4

- have been treated unfairly or received a bad service through some failure on the part of the organisation providing it
- have been disadvantaged personally by a service failure or have been treated unfairly.

The Public Services Ombudsman for Wales expects you to bring your concerns to the Council's attention first and to give us a chance to put things right. You can contact the Public Services Ombudsman by:

Phone	Email	Website	In Writing
0300 790 0203	ask@ombudsman.wales	Public Services Ombudsman for Wales	1 Ffordd yr Hen Gae Pencoed CF35 5LJ



Report

Cabinet

Part 1

Date: 22 March 2023

Subject **Newport City Council response to external pressures impacting Council services**

Purpose To present an update to Cabinet on Newport City Council's response to external factors impacting on delivery of Council services.

Author Policy and Partnership Manager

Ward All

Summary This month's report provides an update on the main external pressures being faced by the council and our communities. The report is provided in the context of increased demand on the council and our staff through increased demand and own increased costs.

In addition to highlighting the key pressures being faced by our communities and services, this report provides information on how collaborative working with our partners and communities is providing as much support, advice, and guidance as possible.

Proposal Cabinet to consider the contents of the report on the Council's activity to respond to the external factors on Newport's communities, businesses, and council services.

Action by Executive Board and Corporate Management Team

Timetable Immediate

This report was prepared after consultation with:

- Executive Board
- Corporate Management Team

Signed

Background

The multi-faceted pressures being faced by the council and the citizens of Newport are continuing to adversely affect our communities, local businesses, and the services being provided. Therefore, it is important for Cabinet members to receive regular updates on the issues and the support available.

The Cost-of-Living crisis is having the biggest impact locally and nationally and as a council we are working with our partners and citizens to respond in a way that meets the needs of our communities across the city as much as possible. As with previous reports, residents experiencing difficulty in paying their council tax or who have fallen into arrears are encouraged to contact the Council to discuss how we can help.

Cost of Living Crisis

Inflationary / cost of living pressures are continuing to persist and costs in energy, food and other living costs are continuing to impact on household budgets.

In the last 12 months, The Office of National Statistics (ONS) has reported costs of food and non-alcoholic beverages have increased by 16.8%. The ONS [‘Public Opinions and Social Trends’](#) survey also reported 95% of responses stated their cost of living had increased because of the price of food shopping with 79% stating their cost of living had increased because of gas or electricity bills. Other national surveys and market analysis have also reported similar findings with inflationary prices affecting prices of basic basket of food items, a recent article showed the cost of [The Food Foundation’s Basic Basket](#) has increased by approximately 17- 22% since March 2022.

More recently supermarkets have reported supply chain issues with fresh produce and suppliers reporting increasing energy bills, and poor weather affecting crops.

The Council’s Cost-of-Living officer Task and Finish Group are continuing to collaboratively work with partners to support residents and are planning the next community cost of living event in the City. Below are some of the work and activities which the Council’s front-line services have reported.

Collaboration with GAVO continues to support Community Food Organisations in Newport. To date 30 grants have been allocated through the grant schemes and GAVO are continuing to support organisations. As reported above, the supply chain impacts are also impacting Community Food Organisations and projects which rely on supermarket surplus that is collected at stores whilst those who use Fare Share (as a direct supplier) have reported a decline in the quality of stock being delivered. From March 2023 the work will focus on developing a long-term sustainable food network for Newport.

The Council’s Housing service alongside its Housing partners are continuing to see households (homeowners and rental) who are at risk of eviction or becoming homeless approach the Council. The Financial Inclusion team are also seeing increased issues with housing benefits. Additionally there are currently 350 children in temporary accommodation across Newport.

The signposting of residents to additional support, including promoting access to the Money Guiders Programme aimed at maximising income and reducing debt remains a key priority, along with practical financial support such as winter fuel payments for 2022-23 prior to the scheme closing at the end of February.

The Council will also be supporting and facilitating the UK’s Energy Bills Support Scheme aimed at households who do not have their own energy supplies such as those in ‘off grid’ properties, park homes and temporary accommodation.

Newport schools continue to see the impact of the cost-of-living crisis on pupils and families and are working closely to support families in need. A range of initiatives were outlined in last month’s report and additionally secondary schools are supporting a ‘nearly new’ uniform shop and are looking to link school-based food banks with those already existing across the city.

Adult Services teams are reporting an increasing trend with mental health issues. Childrens Services are experiencing increased requests for food, clothing, furniture, and other household needs including children's birthday gifts.

Warm Centres

Warm Centres offer safe spaces for citizens to go to stay warm and to access advice and guidance on further support available. Newport's Warm Centres programme commenced at the beginning of December 2022. GAVO have been administering the Welsh Government grant take up has been quite high and positively received in general.

Currently 19 Warm Centres across the city have been funded and provided with support through the partnership with GAVO, with an additional 3 centres being given further guidance to meet requirements to access funding. The NCC Cost-of-Living task and Finish Group will begin planning for the winter of 2023-24 in the summer to ensure maximum impact for our citizens during the colder period.

Ukrainian Refugee Support

Newport has a long history of welcoming people seeking sanctuary and will continue to offer a place of safety for those fleeing conflict and persecution. Within Newport there are 175 Ukrainian nationals being accommodated through the Homes for Ukraine scheme (119 individuals) and the Welsh Government's Super Sponsor scheme (56 individuals).

Services across Newport City Council continue to provide resettlement support for all arrivals on both schemes. Cost of living impact has been noticed through reductions in offers for accommodation on the Homes for Ukraine scheme, along with withdrawn sponsorship agreements, owing to the rising cost of fuel bills.

In addition to the pressures experienced through reduced sponsorship offers, we are working towards closure dates for the initial accommodation sites at Newport hotels, with support being given to guests in both to find secure and safe move-on options.

Risks

Newport Council will be reviewing the Council's Corporate and service area risks as part of the new Corporate Plan.

Risk Title / Description	Risk Impact score of Risk if it occurs* (1-5)	Risk Probability of risk occurring (1-5)	Risk Mitigation Action(s) What is the Council doing or what has it done to avoid the risk or reduce its effect?	Risk Owner Officer(s) responsible for dealing with the risk?
Cost of Living impact on Council services	4	4	See this report on the Council's response to the cost-of-living crisis.	Corporate Management Team
Supporting refugees to settle in Newport.	4	2	See this Report on the Council's response to re-settlement programmes.	Corporate Management Team, Head of Housing and Communities, Director of Social Services

* Taking account of proposed mitigation measures

Links to Council Policies and Priorities

Corporate Plan
Strategic Equalities Plan

Options Available and considered

1. To consider and note the contents of the report on the Council's response.
2. To request further information or reject the contents of the report

Preferred Option and Why

1. To consider and note the contents of the report on the Council's response.

Comments of Chief Financial Officer

The report highlights the various factors which are putting pressure on Council services to help and respond, with the report highlighting the support which is available. Whilst a significant amount of this specific support is funded from UK Government and Welsh Government, certain factors are having an impact on the Council's in-year financial position and affecting the medium-term financial outlook.

There are some specific financial risks highlighted, such as the potential that the pressure on the Housing service will increase and result in increased demand for temporary or emergency accommodation. This is an area that is already significantly overspent but is proposed to be addressed with investment in the 23/24 budget. Another example is the challenge being experienced in terms of collecting debt and the potential for an increase in demand for Council Tax reduction, which could manifest itself in lost income or overspending against the CTRS budget.

Issues and risks such as those highlighted above, have the potential to impact the Council's financial position over the medium term, especially in the context of an extremely challenging medium-term horizon. Budget managers and Heads of Service will be expected to continue to monitor the impact of the external factors included in this report, especially in areas where grant funding ends, and work with Finance colleagues to escalate any material financial implications and report them where relevant. This will need to also include plans to mitigate any issues, as far as is possible.

Comments of Monitoring Officer

There are no legal issues arising from the report. Any specific legal implications will be addressed as part of the Council's operational responses to the key issues identified in the report.

Comments of Head of People, Policy and Transformation

The report provides an update on the impact and support available resulting from the key pressures being faced by our communities, residents, workforce, and staff. Although this has a detrimental effect on many of our residents and communities, we know this will have an inequitable impact on our most disadvantaged and vulnerable residents. The support being provided via all areas of the council and our partners is hoped to mitigate this as much as possible.

The impact on our residents and our officers during a time of increased demand at a time of budgetary pressures is of particular concern. The council is considering HR implications and working with all service areas closely during this period.

Scrutiny Committees

Not applicable as this an information only report and no decision is required from the Council.

Fairness and Equality Impact Assessment:

Not applicable as this is an information only report and no decision is required.

Wellbeing of Future Generations

Long Term – The short term actions the Council is taking now is considering the longer-term impacts which the cost of living is having on communities and businesses in Newport. Newport Council alongside partners are providing financial and non-financial support to help households and businesses.

Collaborative – Newport Council is working collaboratively across the organisation and also our external partners from Aneurin Bevan University Health Board, schools, Welsh Government and other local partners to support cost of living support.

Integration – The actions that the Council and is taking supports the Council's organisational priorities for community cohesion, early intervention, and prevention. This also supports the Welsh Government's priority for Wales being a nation of sanctuary.

Involvement – We are involving communities and residents who are providing vital front-line support and helping vulnerable / disadvantage households, and refugees. The Council is also providing regular updates and communications to those impacted by the cost-of-living crisis.

Prevention - The short term actions the Council is taking now is considering the longer-term impacts which the cost of living is having on communities and businesses in Newport. Newport Council alongside partners are providing financial and non-financial support to help households and businesses.

Consultation

Not Applicable

Background Papers

Monthly reports to Cabinet.

Dated: 15 March 2023

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Report

Cabinet

Part 1

Date: 22 March 2023

Subject Cabinet Work Programme

Purpose To report and agree the details of the Cabinet's Work Programme.

Author Governance Team Leader

Ward All Wards

Summary The purpose of a work programme is to enable Cabinet to organise and prioritise the reports and decisions that are brought to each meeting. Effective forward planning by Cabinet also impacts positively upon the Council's other Committees, in particular Scrutiny, because work needs to be coordinated on certain reports to ensure proper consultation takes place before a decision is taken.

The current work programme runs to May 2023, but it is a working document. It is important that the work programme is owned and prioritised by Cabinet Members directly, so each month the Cabinet Office Manager brings a report updating Cabinet on any changes, so that the revised programme can be formally approved.

The updated work programme is attached at Appendix 1.

Proposal To agree the updated work programme for 2022/23

Action by Governance Team Leader

Timetable Immediate

This report was prepared after consultation with:

- Chief Officers
- Monitoring Officer
- Head of Finance
- Head of People and Business Change

Background

The purpose of a work programme is to enable Cabinet to organise and prioritise the reports and decisions that are brought to each meeting. Effective forward planning by Cabinet also impacts positively upon the Council's other Committees, in particular Scrutiny, because work needs to be coordinated on certain reports to ensure proper consultation takes place before a decision is taken.

The Wales Audit Office's Corporate Assessment of Newport City Council, published in September 2013, highlighted the need to "strengthen committee work programming arrangements to ensure they are timely, meaningful, informative, transparent, balanced, monitored, and joined up". Since that report was published, these monthly reports have been introduced to provide Cabinet with regular updates on its work programme, and the opportunity to comment upon and shape its priorities as an executive group. The Democratic Services team have also been working to improve the links between this and other work programmes under its management (eg Council, Scrutiny, Audit) to ensure the various programmes are properly coordinated.

The current work programme runs to May 2023, but it is a working document. It is important that the work programme is owned and prioritised by Cabinet Members directly, so each month the Cabinet Office Manager brings a report updating Cabinet on any changes, so that the revised programme can be formally approved.

The updated work programme is attached at Appendix 1.

Financial Summary

There is no direct cost to adopting a programme of work.

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?
No action taken	M	L	Work programming arrangements are in place to ensure they are timely, meaningful, informative, and transparent, balanced, monitored, and joined up.	Head of Democratic Services
The process is not embraced by report authors and members	M	M	If there is proliferation of unplanned or late items, the opportunity to ensure work programming is timely, meaningful, informative, and transparent, balanced, monitored, and joined up will diminish	Head of Democratic Services

Links to Council Policies and Priorities

These proposals will help the Council provide the best possible service to members and will provide information to the public and elected members.

Options Available and considered

- To adopt the process and adopt or amend the work programme
- To consider any alternative proposals raised by Cabinet members
- To take no action

Preferred Option and Why

To adopt the proposals which should help to ensure work programming arrangements are timely, meaningful, informative, and transparent, balanced, monitored, and joined up.

Comments of Chief Financial Officer

There are no financial implications in adopting a programme of work.

Comments of Monitoring Officer

There are no legal implications in adopting a programme of work.

Staffing Implications: Comments of Head of People and Business Change

There are no specific staffing implications in adopting a programme of work.

Comments of Cabinet Member

The Chair has approved the report for consideration by cabinet.

Local issues

There are no local issues as this report relates to the Council's processes

Scrutiny Committees

Monthly update reports allow the Scrutiny and Cabinet work programmes to be better coordinated. The Scrutiny team and Members are currently developing new ways of working through the new Committees, and continually reviewing the work programmes to focus more on risk and ensure all scrutiny activity has a defined purpose and constructive outcome.

Equalities Impact Assessment and the Equalities Act 2010

This does not apply to this procedural report.

Children and Families (Wales) Measure

This procedural report does not impact on Children and Young People although certain reports contained in the programme may do and will need appropriate consultation and comment when they are presented to cabinet.

Wellbeing of Future Generations (Wales) Act 2015

This is a procedural report but reports contained within the programme will need to show how consideration has been given to the five things public bodies need to think about to show they have applied the sustainable development principle put into place by the Act.

Crime and Disorder Act 1998

This does not apply to this procedural report

Consultation

As set out above

Background Papers

Dated: 15 March 2023

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Cabinet

Work Programme: June 2022 to May 2023

Meeting	Agenda Items	Lead Officer
Cabinet 15/06/22	<ul style="list-style-type: none"> ▪ Corporate Risk Register Update (Q4) ▪ Local Area Energy Plan ▪ Information Station Project ▪ Levelling Up Fund ▪ 2021/22 Treasury Management Year End Report ▪ Covid Recovery ▪ NCC External Pressures - Cost of Living - Cost of Living ▪ Work Programme 	<ul style="list-style-type: none"> ▪ HPP&T ▪ HPP&T ▪ HR&ED ▪ HR&ED ▪ HoF ▪ CX/HPP&T ▪ CX/PP&T ▪ GTL
Cabinet 13/07/22	<ul style="list-style-type: none"> ▪ 2021/22 Revenue Budget Outturn ▪ 2021/22 Capital Outturn and Additions ▪ Shared Prosperity Fund ▪ RDLP – Vision, Issues and Objectives ▪ Welsh Language Annual Report ▪ Welsh Government Consultation, One Network, One Timetable, One Ticket: Planning buses as a public service for Wales – NCC Response ▪ NCC External Pressures - Cost of Living - Cost of Living ▪ Work Programme 	<ul style="list-style-type: none"> ▪ HoF ▪ HPP&T ▪ HR&ED ▪ HPP&T ▪ HPP&T ▪ HCS ▪ CX/HPP&T ▪ GTL
Council 13/07/22	<ul style="list-style-type: none"> ▪ Council Appointments ▪ 2021/22 Treasury Management Year End Report ▪ Welsh Language Annual Report ▪ PSPO: Dog Control 	<ul style="list-style-type: none"> ▪ GTL ▪ HoF ▪ HPP&T ▪ SD: ES
Cabinet 14/09/22 CANCELLED	Agenda items moved to October Cabinet.	
Council 27/09/22	<ul style="list-style-type: none"> ▪ Council Appointments 	<ul style="list-style-type: none"> ▪ GTL
Cabinet 12/10/22	<ul style="list-style-type: none"> ▪ Revenue Budget Monitor ▪ Capital Budget Monitor ▪ Corporate Risk Register Update (Quarter 1) ▪ Corporate Plan ▪ Strategic Equality Plan Annual Report ▪ Climate Change Plan Annual Report ▪ RPB Market Stability Report ▪ NCC External Pressures - Cost of Living ▪ One Newport Summary of Business 	<ul style="list-style-type: none"> ▪ HoF ▪ HoF ▪ HPP&T ▪ HPP&T ▪ HPP&T ▪ HPP&T ▪ HPP&T ▪ CD: SS ▪ CX/HPP&T ▪ HPP&T

	<ul style="list-style-type: none"> ▪ Work Programme 	<ul style="list-style-type: none"> ▪ GTL
Cabinet 16/11/22	<ul style="list-style-type: none"> ▪ NCC External Pressures - Cost of Living ▪ Annual Compliments, Comments and Complaints ▪ Annual Safeguarding Report ▪ Corporate Plan Annual Report 2021/22 ▪ Corporate Plan Final Report 2022/27 ▪ Cost Sharing Agreement with Coleg Gwent ▪ Work Programme 	<ul style="list-style-type: none"> ▪ CX/HPP&T ▪ Customer Services Manager ▪ CD: SS ▪ HPP&T ▪ HPP&T ▪ HRED ▪ GTL
Council 22/11/22	<ul style="list-style-type: none"> ▪ Council Appointments ▪ Corporate Plan 2022/27 ▪ Strategic Equality Plan Annual Report ▪ Climate Change Plan Annual Report ▪ RPB Market Stability Report ▪ Democratic Services Annual Report ▪ Standards Committee Annual Report 	<ul style="list-style-type: none"> ▪ GTL ▪ HPP&T ▪ HPP&T ▪ SD: E&S/HE&PP ▪ SD: SS ▪ HL&S ▪ HL&S
Cabinet 14/12/22	<ul style="list-style-type: none"> ▪ Revenue Budget Monitor ▪ 2023/24 Revenue Draft Budget and MTFP: Final Proposals ▪ Capital Budget Monitor and Additions ▪ Treasury Management Report ▪ Corporate Risk Register Update (Quarter 2) ▪ Gwent Wellbeing Plan ▪ Norse Joint Venture ▪ Regional Integration Fund Financial Plan ▪ Director of Social Services Annual Report ▪ NCC External Pressures - Cost of Living ▪ Work Programme 	<ul style="list-style-type: none"> ▪ HoF ▪ HoF ▪ HoF ▪ HoF ▪ HPP&T ▪ HPP&T ▪ HPP&T ▪ HPP&T ▪ SD: SS ▪ SD: SS ▪ CX/HPP&T ▪ GTL
Cabinet 11/01/23	<ul style="list-style-type: none"> ▪ Replacement Local Development Plan ▪ Western Gateway ▪ NCC External Pressures - Cost of Living ▪ Work Programme 	<ul style="list-style-type: none"> ▪ HR&ED ▪ HR&ED ▪ CX/HPP&T ▪ GTL
Council 24/01/23	<ul style="list-style-type: none"> ▪ Council Appointments ▪ 2022/23 Treasury Management 6 monthly report ▪ Council Tax Reduction Scheme ▪ Director of Social Services Annual Report ▪ Annual Safeguarding Report ▪ Schedule of Meetings 2023/24 ▪ Mayoral Nomination 2023/24 	<ul style="list-style-type: none"> ▪ GTL ▪ HoF ▪ HoF ▪ CD: SS ▪ CD: SS ▪ GTL ▪ GTL
Cabinet 15/02/23	<ul style="list-style-type: none"> ▪ 2023/24 Capital Strategy and Treasury Management Strategy ▪ Revenue Budget Monitor ▪ Capital Budget Monitor ▪ 2023/24 Revenue Final Budget and MTFP: Final Proposals ▪ NCC External Pressures - Cost of Living ▪ Work Programme 	<ul style="list-style-type: none"> ▪ HoF ▪ HoF ▪ HoF ▪ HoF ▪ CX/HPP&T ▪ GTL

Council 28/02/23	<u>Budget:</u> <ul style="list-style-type: none"> ▪ Council Appointments ▪ 2023/24 Council Tax and Budget ▪ 2023/24 Capital Strategy and Treasury Management Strategy ▪ National Non-Domestic Retail, Leisure and Hospitality Relief Scheme 2023/24 ▪ Gwent Wellbeing Plan ▪ Ward Meetings ▪ Scrutiny Annual Report 2021/22 	<ul style="list-style-type: none"> ▪ GTL ▪ HoF ▪ HoF ▪ HoF ▪ HPP&T ▪ DE&ES Manager ▪ DE&ES Manager
Cabinet 22/03/23	<ul style="list-style-type: none"> ▪ NCC Core (Themes, Outcomes, Measures) TOMs for Measuring Social Value in Contracts ▪ Corporate Risk Register Update (Quarter 3) ▪ Complaints Policy ▪ NCC External Pressures - Cost of Living ▪ Work Programme 	<ul style="list-style-type: none"> ▪ HoF ▪ HPP&T ▪ HPP&T ▪ CX/HPP&T ▪ GTL
Cabinet 12/04/23	<ul style="list-style-type: none"> ▪ Pay and Reward Statement 2023/24 ▪ Digital Strategy ▪ NCC External Pressures - Cost of Living ▪ One Newport Summary Document (for information/ awareness) ▪ Work Programme 	<ul style="list-style-type: none"> ▪ CX/HPP&T ▪ HPP&T ▪ HPP&T ▪ HPP&T ▪ GTL
Council 25/04/23	<ul style="list-style-type: none"> ▪ Council Appointments ▪ Pay and Reward Statement 	<ul style="list-style-type: none"> ▪ GTL ▪ HPP&T
Cabinet 10/05/23	<ul style="list-style-type: none"> ▪ NCC External Pressures - Cost of Living ▪ Work Programme 	<ul style="list-style-type: none"> ▪ CX/HPP&T ▪ GTL
Council 16/05/23	<u>AGM:</u> <ul style="list-style-type: none"> ▪ Council Appointments 	<ul style="list-style-type: none"> ▪ GTL

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