

Report

Cabinet



Part 1

Date: 19th September 2018

Item No: 9

Subject Corporate Risk Register Update

Purpose To present an update of the Corporate Risk Register

Author Head of People and Business Change

Ward All

Summary The corporate risk register identifies risks that may prevent the council achieving the objectives set out in the Corporate Plan and enables the council to continue to provide services to the citizens and communities of Newport. Robust management of these risks is imperative to the realisation of the council's objectives.

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

There are 14 risks identified in the risk register made up of 5 high risks and 9 medium risks. During this quarter the risk rating for Risk 12 – Increasing Risk of Cyber Attack has increased from 9 to 12 following recent Home Office advice. The rating for 8 of the risks has remained the same and 4 risk ratings have been reduced as a result of the mitigating actions in place.

Proposal Cabinet is asked to consider the contents of the Corporate Risk Register and request regular updates regarding the planned mitigating actions.

Action by Chief Executive, Strategic Directors and Heads of Service

Timetable Immediate

This report was prepared after consultation with:

- Cabinet
- Deputy Leader
- Audit Committee
- Corporate Management Team
- Head of Law and Regulation
- Head of People and Business Change
- Head of Finance

Signed

Background

1. Corporate Assessment

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

2. Risk Management Strategy

The Corporate Risk Management Strategy has been reviewed and revised to strengthen existing arrangements and support the delivery of the Corporate Plan. Anticipating and preparing for future challenges, trends, threats and opportunities is an essential part of the councils risk strategy and allows for better preparedness and the incorporation of mitigation into planned activities and policies.

The strategy aims to embed the sustainable development principle of the Wellbeing of Future Generations (Wales) Act 2015 into the process and framed each risk as shown below. This helps the council to take a longer-term strategic approach, and makes present policy more resilient to future uncertainty.

3. Role of Audit Committee

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

4. Community Risk Register

The council also has a Civil Contingencies unit which provides emergency planning and business continuity support services for the council. These plans are detailed on the council's website and are not included in the corporate risk register because they relate to risks to the community, rather than risks to the council achieving its objectives.

5. Summary of risks in this report

The corporate risk register identifies risks that may prevent the council achieving the objectives set out in the Corporate Plan and enables the council to continue to provide services to the citizens and communities of Newport. Robust management of these risks is imperative to the realisation of the council's objectives.

There are 14 risks identified in the risk register made up of 5 high risks and 9 medium risks. During this quarter the risk rating for Risk 12 – Increasing Risk of Cyber Attack has increased from 9 to 12 following recent Home Office advice. The rating for 8 of the risks has remained the same and 4 risk ratings have been reduced as a result of the mitigating actions in place. The tables overleaf provide a summary of risks in the report.

The appendices to the report outline the detailed risks, as monitored in the Council's performance monitoring and risk management system (MI Hub).

Appendix 1 contains the detail and planned mitigating actions for each risk. These take the form of screenshots from the Risk Management Report pages in MI Hub.

6. Summary of risks in this report

Ref	Risk	Brief Description	Probability x Impact = Score			DoT	Responsible Officer
			Probability	Impact	Score		
High Risks							
13	Asset Management – Carriageways and Buildings	This links to budget challenge and Government changes to financial settlement and grant funding. This refers to the council's ability to maintain assets in the short, medium and long term due to increasing budget pressures.	5	5	25	→	Strategic Director - Place
6	Balancing the Council's Medium Term budget	Risk of not meeting / funding key priorities.	4	4	16	→	Chief Executive
7	Increased pressure on demand led services	As the population grows and certain groups within the population increase this will affect many services across the council that deliver services to meet demand. The growing population also places pressures on universal services that are provided to everyone.	4	4	16	→	Strategic Director - Place Strategic Director - People
8	Risk of stability of external suppliers	Growing cost of delivering services and purchasing materials will impact on external supplier's ability to continue to fulfil contract obligations. Potentially short notice of inability to provide services.	4	4	16	✔	Strategic Director - People
9	Increasing pressure on existing infrastructure	The M4 Bridge tolls will be abolished for all vehicles at the end of 2018 with an interim reduction in tolls being introduced on the 8 th January 2018. This is a positive opportunity for the city but the council must consider the potential impact on existing infrastructure.	4	4	16	→	Strategic Director - Place

Direction of Travel - DoT

✔ Green tick - risk rating has decreased

✘ Red cross - risk rating has increased

→ risk rating remains the same

Ref	Risk	Brief Description	Probability x Impact = Score			DoT	Responsible Officer
			Probability	Impact	Score		
Medium Risks							
1	Legislative Requirements	That new legislative requirements potentially place significant duties on the Authority that it cannot fulfil (resulting in adverse judgements from regulators, significant fines and potential court proceedings and/or existing services are compromised), includes Well-being of Future Generations Act.	3	4	12	→	Chief Executive
10	Climate Change: Effects on future condition and availability of Council Infrastructure and reducing the future impact of further greenhouse gas emissions.	It is generally accepted that the effects of global warming will result in: · All areas of the UK get warmer and the warming is greater in summer than in winter; · Little change in the amount of precipitation (rain, hail, snow etc.) that falls annually but it is likely that more of it will fall in the winter with drier summers for much of the UK · Sea levels rise – more in the south of the UK than the North.	3	4	12	→	Strategic Director - Place
12	Increasing risk of cyber attacks	Data loss, disaster recovery, impact of possible fines	3	4	12	⚠	Chief Executive
2	Capacity and capability to meet the councils objectives	That there are not skills and or capacity within the workforce to deliver both operational services and also the pace of change needed to modernise services and balance the budget.	3	3	9	✔	Chief Executive
4	Brexit	That the financial implications of leaving the European Union have a negative impact on the council's financial position.	3	3	9	→	Chief Executive

Direction of Travel - DoT

✔ Green tick - risk rating has decreased

⚠ Red cross - risk rating has increased

→ risk rating remains the same

Ref	Risk	Brief Description	Probability x Impact = Score			DoT	Responsible Officer
			Probability	Impact	Score		
Medium Risks							
14	Recruitment and retention of specialist professional staff	Resilience of Council services and ability to retain specialist professional staff and attract new employees in a competitive market place.	3	3	9	↓	Chief Executive
3	Safeguarding	That the arrangements and the implementation of policies and procedures by the council (and its partners) are not adequate to protect vulnerable adults and children who may be at risk of significant harm.	2	4	8	→	Strategic Director - People
5	In year financial management	Overspending can undermine service delivery and medium term planning where significant mitigation means services need to defer spending to manage the overall budget.	2	4	8	↓	Chief Executive
11	Increasing demands on IT Services and the modernisation agenda	Increased demand for IT services with a reducing budget poses a risk to the future development of IT infrastructure and the development and delivery of the modernised council agenda.	2	3	6	→	Chief Executive

Direction of Travel - DoT

↓ Green tick - risk rating has decreased

↑ Red cross - risk rating has increased

→ risk rating remains the same

Financial Summary

There are no direct costs associated with this report.

Risks

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

* Taking account of proposed mitigation measures

Links to Council Policies and Priorities

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

Options Available and considered

1. To consider the contents of the Corporate Risk Register and request regular updates
2. To request further information or reject the contents of the risk register

Preferred Option and Why

1. To consider the contents of the Corporate Risk Register and request regular updates, this will give the cabinet 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. The corporate risk register forms an important part of the governance and budget setting arrangements for the council and the risk register is used to guide the internal audit plan.

Comments of Monitoring Officer

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. Although Audit Committee are responsible for reviewing and assessing the Council's risk management, internal control and corporate governance arrangements, the identification of corporate risks within the risk register and monitoring the effectiveness of the mitigation measures are matters for Cabinet.

Comments of Head of People and Business Change

There are no direct staffing implications arising from this report.

Risk management is a key element of the council's improvement programme and the Administration's commitment to ensuring strong corporate governance and robust performance management. The risk

strategy and register allow the council to consider the longer term overarching risks to the council fulfilling its objectives and obligations and take action to mitigate the impact and probability of those risks.

Comments of Cabinet Member

The Chair of Cabinet has been consulted and has agreed that this report goes forward to Cabinet for consideration.

Local issues

None

Scrutiny Committees

Audit Committee have a role in reviewing and assessing the risk management arrangements of the authority. Meetings with the committee have resulted in some changes to the processes used to compile and update the risk register, leading to clarity of detail within the report.

Equalities Impact Assessment

Not applicable.

Children and Families (Wales) Measure

Not applicable.

Wellbeing of Future Generations (Wales) Act 2015

Risk management is a key area to implementing the Wellbeing of Future Generations Act (Wales) 2015; the council must ensure that it considers risks in the short, medium and longer term and that it manages risks in a manner that protects current service delivery and communities as well as considering the longer term impact. It supports the delivery of the wellbeing objectives that are identified in the council's Corporate Plan by considering the risks to delivering these objectives and by defining and monitoring actions to mitigate those risks.

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

Crime and Disorder Act 1998

Not applicable.

Consultation

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

Background Papers

Corporate Risk Register, Cabinet, 17th January 2018

Corporate Risk Register, Audit Committee, 23rd January 2018

Corporate Risk Register, Cabinet, 23rd May 2018

Corporate Risk Register, Audit Committee, 24th May 2018

Dated: August 2018

Appendix 1.

Corporate Risks

RISK 01 - Legislative Requirements

Responsible Officer	Chief Executive
Lead Cabinet Member	Leader of the Council The Deputy Leader and Cabinet Member for Assets and Member Development

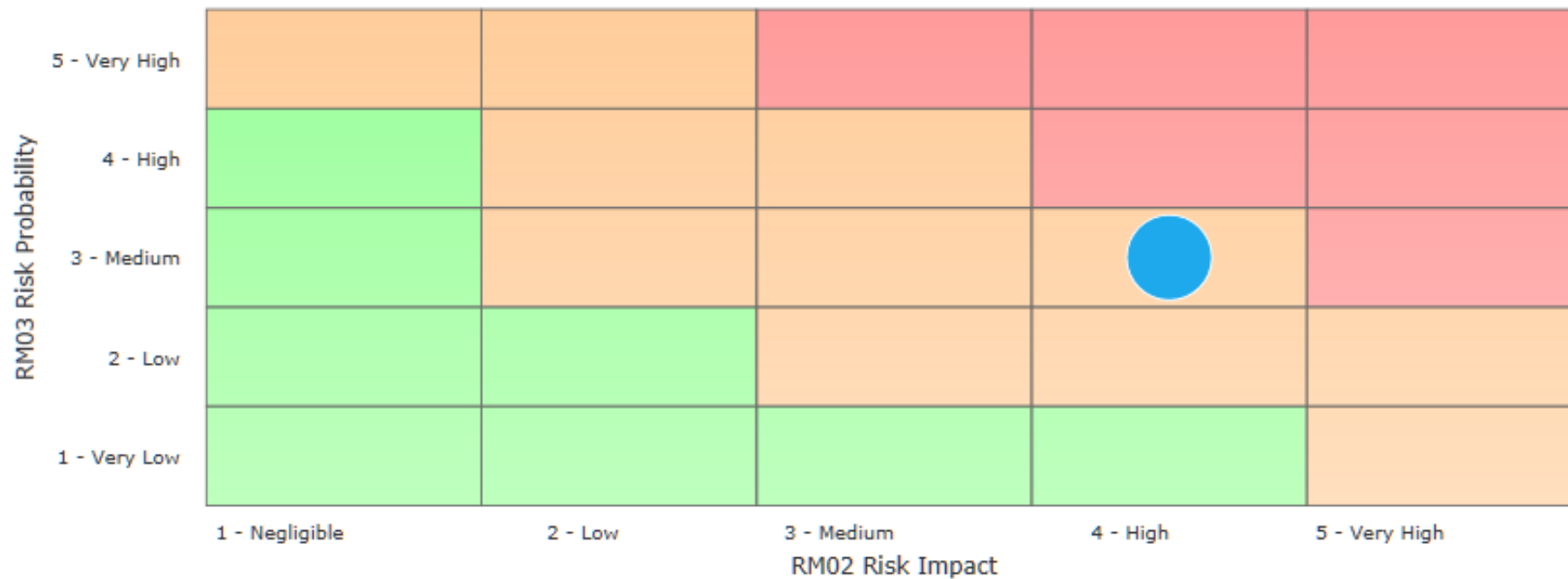
Risk rating prior to mitigation

August 2015 - high (16)

Risk	Description	Jun 2018	
		Identified	Links To
RISK 01 - Legislative Requirements	That new legislative requirements potentially place significant duties on the Authority that it cannot fulfil (resulting in adverse judgements from regulators, significant fines and potential court proceedings and/or existing services are compromised), includes Well-being of Future Generations Act.	Jun 2015	<ul style="list-style-type: none">Service Planning

Risk 01 - Description/Rationale

- That new legislative requirements potentially place significant duties on the Authority that it cannot fulfil (resulting in adverse judgements from regulators, significant fines and potential court proceedings and/or existing services are compromised), includes Well-being of Future Generations Act.
- Risk of not meeting increasingly challenging nationally set waste management targets.
- The Welsh Government is consulting on local government reform, it is likely that the Welsh Government will repeal or change the Local Government Measure 2009 which will mean changes to the way the council plans and manages its services.
- Welsh Government drive towards regionalisation and collaborative working - including possible legislation.
- Welsh Language Act - gaps in service provision remain, and this remains a reputational risk for the council.
- The General Data Protection Requirement (GDPR) enhances data protection requirements for bodies and offers further protection to individuals. Whilst similar to previous data protection legislation, there are new requirements which the Council will need to meet.



Risk 01 - Assessment Date & Score					
Series					
		Risk Score		Risk Rating	
		Sep 2017	Dec 2017	Mar 2018	Jun 2018
▶ RM01 Risk Rating	Risk Score	12	12	12	12
	Risk Rating	●	●	●	●

Jun 2018	
Risk - Direction of Risk	Direction
There is continued pressure on the council to implement the new duties detailed by new legislation. Whilst significant work is underway, there remain major risk factors.	➔

Planned Mitigation

Jun 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
✓ Risk 01.01	Welsh Language Act: Strategic Equalities Group monitors implementation supported by Welsh Language Group.	Governance arrangements are in place and the Strategic Equalities Group have reviewed the progress we have made on the Welsh Language for 17/18. Annual Report completed and published within Welsh Language Standards time scales.
✓ Risk 01.02	Welsh Language Act: Action plans in place and being monitored. This has shown significant progress.	Action plans have been reported on in the 17/18 Annual report. Progress on the work has been highlighted in the report.
✓ Risk 01.03	Welsh Language Act: Progress includes increasing awareness of the Welsh Language Standards across the authority. Leaflets, posters, desk prompts and video available.	There is a library of materials that are accessible to staff. Additional awareness campaigns and reminders are also carried out. Comms plan in place to ensure staff continue to mainstream Welsh Language into service delivery.
✓ Risk 01.04	Welsh Language Act: Partnership arrangements with another Council now in place and £280k budget allocated, additional resources now available to support service areas and work such as website development now underway.	Translation and proofreading arrangements have been rolled out to key users across the council. Key partners have also been able to access support for translation e.g. Newport Live. Additional projects are being developed with other partners.
✓ Risk 01.05	Welsh Language Act: 5 year strategy developed through consultation.	Completed the delivery of Yr 2 of the strategy. This work continues to be supported internally through the Welsh Language Implementation group.
✓ Risk 01.06	Future Generations Act: Cabinet reports updating members on progress and approach. Awareness raising sessions with officers and members completed and work with consultants to develop organisational readiness for the Act underway.	Awareness raising sessions held with service areas including RIH, Children's services and Newport Norse. Further sessions planned with other service areas as requested. Update on progress provided to CMT in July meeting. Follow up training with Members and others will be arranged over the next few months.
✓ Risk 01.07	Future Generations Act: Formal report, service plan and business case templates updated to ensure the principles of the Act are reflected in all decision making.	All report templates, service plans and business case templates now updated to reflect principles of the Act. PPI team continue to review reports for comments and provide advice and assistance where needed.
✓ Risk 01.08	Future Generations Act: Public Services Board established with agreed Terms of Reference, formal meetings are held at least quarterly.	Formal PSB meetings take place on a quarterly basis. Next meeting will be in October 2018. Membership extended to include Newport Live to ensure cultural sector representation on the PSB to ensure delivery of all aspects of the Well-being Plan.

Jun 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
✔ Risk 01.09	Future Generations Act: Draft Wellbeing Assessment in place in conjunction with the assessment required for the Social Services Act. Work being undertaken on a Gwent basis to inform the Wellbeing Assessment and Plan - funding secured from Welsh Government to support this work.	<p>The Newport Well-being Plan was published in May 2018. Work currently taking place on setting up the Intervention Boards and providing a delivery framework for the plan.</p> <p>Over the next six months the Well-being Assessment will be reviewed.</p>
✔ Risk 01.10	Future Generations Act: Development of wellbeing objectives finalised, and aligned with performance reporting.	<p>Well-being Objectives are incorporated into the Corporate Plan and the Service Plans.</p> <p>An Annual Report detailing progress of our achievements towards meeting the well-being objectives will be published by October 2018. This will form part of one annual report and reporting process for the well-being objectives and current improvement objectives.</p> <p>Further work is taking place to agree how the well-being objectives and steps will be monitored in future.</p>
✔ Risk 01.11	Waste Management Legislation/targets: We commenced new contract last week with trade waste diverted for sorting to GD Environmental Services. Dates this financial year run from August 9th 2017 through to March 31st 2018 to divert approx. 2500 tonnes this year.	<p>Currently NCC is on track to meet the 58% recycling rate target for 2018/19. However 2019/20 target of 64% (or further targets of 70%) will not be met without further significant measures. Officers have worked with WG to developed a strategy to meet 70%. This has been submitted to Scrutiny who will advise the Cabinet Member. If no action is taken during 18/19, NCC will fail to meet the 64% target next year, as performance will need to be over 64% for the whole of 2019/20.</p>
✔ Risk 01.12	General Data Protection Requirement (GDPR): The Council is ensuring compliance through the Information Governance Group and a cross-organisation Task and Finish Group, making recommendations and changes as required.	<p>The Council is ensuring compliance through the Information Governance Group and a cross-organisation Task and Finish Group, making recommendations and changes as required. Monitoring of progress is through the Information Governance Group, reporting through CMT and Cabinet Member. NCC follows best practice and undertakes an Annual Report, which is reported through the Scrutiny process.</p>

RISK 02 - Capacity and Capability to Meet the Council's Objectives

Responsible Officer

Chief Executive

Lead Cabinet Member

Cabinet Member for Community and Resources

Risk rating prior to mitigation

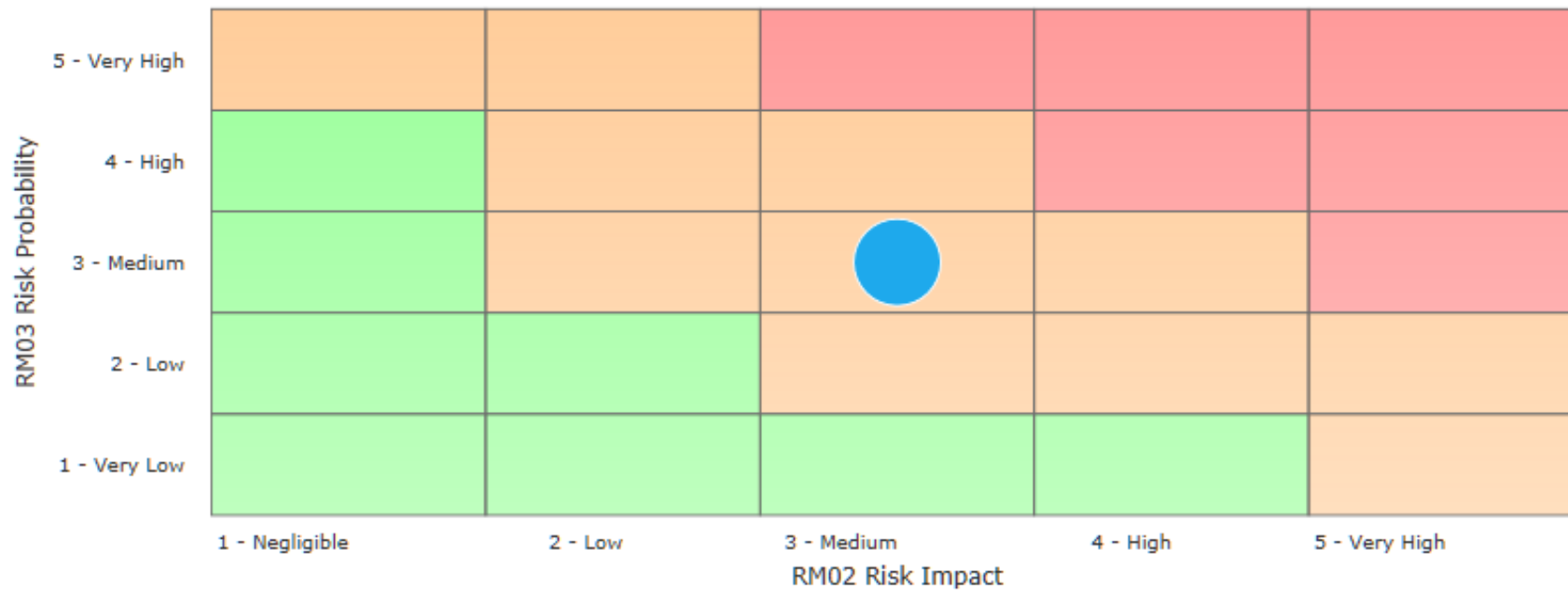
August 2015 - Medium (12)

Risk	Description	Jun 2018	
		Identified	Links To
RISK 02 - Capacity and Capability to Meet the Council's Objectives	That there are not skills and or capacity within the workforce to deliver both operational services and also the pace of change needed to modernise services and balance the budget.	Jun 2015	<ul style="list-style-type: none"> ▪ Corporate Plan ▪ People and Business Change Service Plan

Risk 02 - Description/Rationale

That there are not skills and or capacity within the workforce to deliver both operational services and also the pace of change needed to modernise services and balance the budget.

There are continued capacity and capability gaps across the council; these are more prevalent in some areas than others. Although there are a number of actions (see below) that are being undertaken to remediate this situation, there are still risks going forward which will potentially exacerbate this current situation; these include further required financial savings and issues with recruiting to key position.



Risk 02 - Assessment Date & Score					
Series					
		Risk Score		Risk Rating	
		Sep 2017	Dec 2017	Mar 2018	Jun 2018
▶ RM01 Risk Rating	Risk Score	12	12	12	9
	Risk Rating	●	●	●	●

Jun 2018	
Risk - Direction of Risk	Direction
Planning is underway to introduce a new Talent Management Framework to improve managerial capability. A new range of development opportunity is due to start in September 2018 and all 350 managers across the Council will be expected to engage in the new programme.	↓

Planned Mitigation

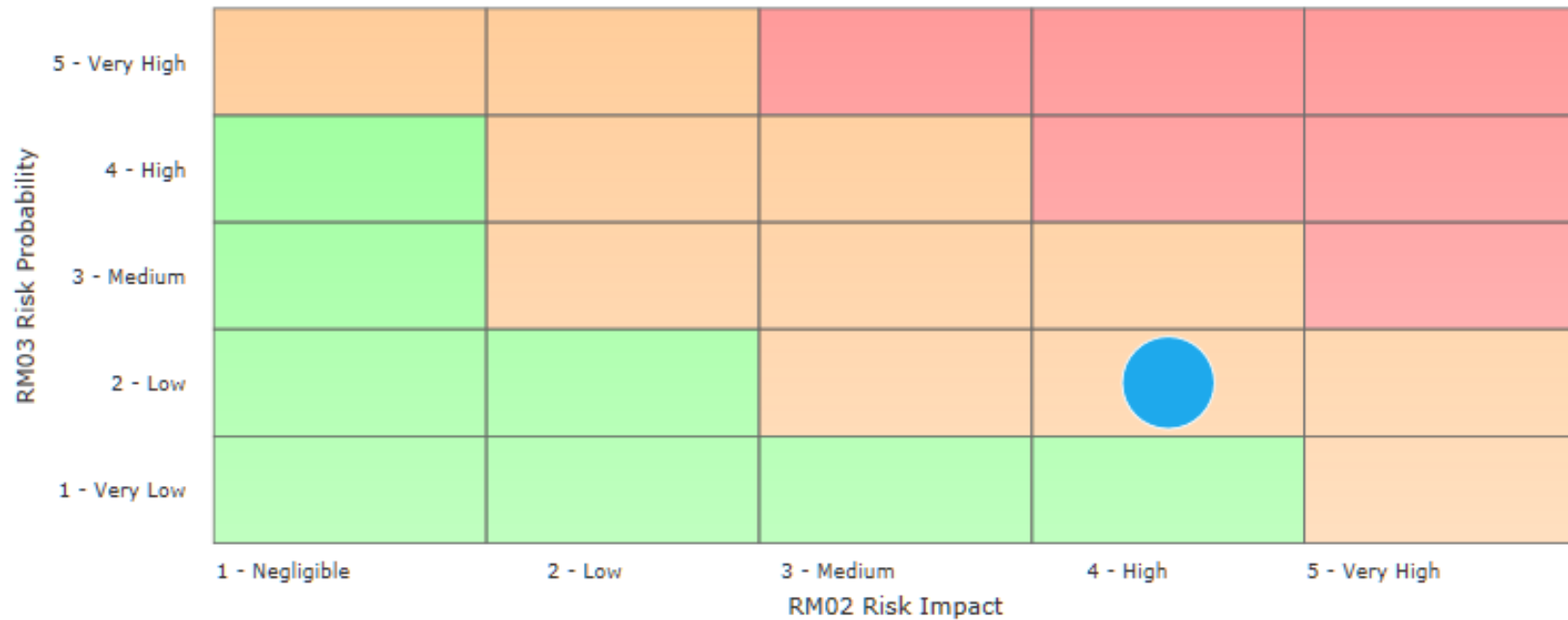
Jun 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
✓ Risk 02.02	People and Business Change will pilot career pathway planning in Autumn 2017 to role model to other service areas.	A restructure has taken place in HR and the creation of entry level posts into the profession have been created and filled with one internal appointment to facilitate internal progression. We are encouraging entry and intermediate level HR qualifications to all levels in the service.
✓ Risk 02.04	Pilot taking place in Education Services for the roll out of greater NVQ/ILM opportunities for those in the workplace wanting to enhance current skill level. Intention to offer to wider workforce in 2017 linked to workforce planning for each service area.	This pilot has been completed and several employees within the Education service achieved their qualifications. We will review the success and benefit brought to the Council in the coming months.
✓ Risk 02.05	Mandatory training will be identified for each post and linked to job descriptions to set out the expectation of ability, skill and experience at the point of recruitment and to form a development path throughout induction, probation and longer term.	This piece of work has not yet started but has been identified as a priority for 2018/19.
✓ Risk 02.06	Additional Investment in Project Management and business change resources.	BIP resources will be reviewed in line with the revised change program which will underpin the new corporate plan. BIP and HR have agreed a programme to work towards upskilling managers in these skills. A combination of e-learning, f2f training and learning exchanges have been discussed with a programme starting in April 2018.
✓ Risk 02.07	Coaching, shadowing and mentoring opportunities delivered as part of the change programme.	The first cohort of ILM Level 5 in Coaching concluded in Summer 2017. We have reviewed the progress and are working towards further programmes of both coaching and mentoring programmes for 2018/19.
✓ Risk 02.08	Specific business support and training provided for business change, project and program management, continuous change and specific tools including business case development and project management.	Project management and business case support building on the support and training provision already in place further development of support has been undertaken to widen the range of support offered to the organisation.
✓ Risk 02.14	People service plan to heavily focus on workforce planning and OD for next 12 months.	It is anticipated that the new People and Culture Strategy 2017-2022 will form the business unit actions for HR and OD in the coming 12 months. Two of the key priorities are OD and Workforce Planning.

RISK 03 - Safeguarding

Responsible Officer	Strategic Director - People
Lead Cabinet Member	Cabinet Member for Social Services

Risk rating prior to mitigation
 March 2017 - Medium (8)

Risk	Description	Jun 2018	
		Identified	Links To
RISK 03 - Safeguarding	That the arrangements and the implementation of policies and procedures by the council (and its partners) are not adequate to protect vulnerable adults and children who may be at risk of significant harm	Jun 2014	<ul style="list-style-type: none"> Corporate Plan Service Planning



Risk 03 - Assessment Date & Score					
Series					
Risk Score		Risk Rating			
		Sep 2017	Dec 2017	Mar 2018	Jun 2018
▶ RM01 Risk Rating	Risk Score	8	8	8	8
	Risk Rating	●	●	●	●

Jun 2018	
Risk - Direction of Risk	Direction
Unchanged.	➔
<p>The level of risk is manageable because this is an area of absolute priority for the local authority. There are safeguarding manager roles across the council and we have strong links with national and regional safeguarding boards.</p>	

Planned Mitigation

Object Measure Name

All 4 selected

Jun 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
✔ Risk 03.01	Safeguarding Action Plan agreed and implementation underway.	<p>Implemented</p> <p>The first annual review of the Corporate Safeguarding Report is due to occur in January 2018- this review will establish how efficiently we have met the identified objectives within the safeguarding action plans both corporately and within the specific teams which encompass the Safeguarding Unit of Social Services since the establishment of the Corporate Safeguarding Report in 2016/17. Actions identified as outstanding or newly identified areas of improvement/ development will be identified as part of this review scrutiny cycle and will therefore be timetabled appropriately to address any unmet needs or deficit areas.</p>

Jun 2018

	Planned Mitigation	Risk - Action Status/Control Strategy
<p>✔ Risk 03.02</p>	<p>Continuous review of policies and procedures.</p>	<p>Implemented</p> <p>The suite of Corporate Safeguarding Policies applicable to all service areas within the council are currently under review to appropriately reflect legislative and procedural changes. These documents will have been fully reviewed, ratified, and disseminated via a re-launch of the "Safeguarding involves us all" campaign (the original campaign which launched the Corporate Safeguarding Report in November 2016) prior to the first annual review in January 2018. This ensures that all staff (including voluntary staff, elected members and contractors) are clearly aware of and understand their responsibilities in respect of 'safeguarding'.</p> <p>Within the practice of social work across Children and Adult Services where policies and procedures are identified as requiring review due to changes in legislation/ regulations these items are identifiable through CSMT and ASMT processes and Quality Assurance processes. Appropriate staff are identified to undertake the review or development of the required policy/ procedure and timescales are set in order to ensure the required work is completed, the policy is then launched and fully disseminated to the service area for practitioners to use and the documents are stored within the document library of the intranet for easy access.</p> <p>There is also the continuous review process of national and regional policies as identified by the SEWSCB, GWASB and VAWDASV safeguarding boards via the "protocols and procedures" sub group. Work is undertaken on a regional basis and the policies/ procedures/ guidance produced is then agreed and adopted by the 5 local authorities. This ensures a robust compliancy in terms of national policies/ procedures used within regional and local practice are up to date.</p>

	Planned Mitigation	Risk - Action Status/Control Strategy
<p>✓ Risk 03.03</p>	<p>Raising awareness of policies and procedures with staff.</p>	<p>Implemented</p> <p>Within Children's Services there has been a review of the processes in how policies/ procedures are disseminated to staff and the current use of the document library for policies/ procedures currently available on the intranet. A Children's Services Hub Page is currently being developed by the Safeguarding Unit and SRS team to improve how staff locate and access the documents they require for practice. The Hub will be the focal access point for Children's Social Care staff to locate all relevant policies, procedures, forms- this will assist in version control of documents; the regular review and publication of new policies/ procedures/ guidance; and a central place for staff to locate all of the required information and documents. This project will therefore aid in raising awareness of policies and procedures with staff but will also provide a more robust approach to ensuring that the information being provided to staff is up to date and readily accessible.</p> <p>Future development of the Hub page will also be extended to include induction processes and team specific intranet pages which can host team blogs, news and updates. This project can also be replicated for Adult Services.</p>
<p>✓ Risk 03.04</p>	<p>Partnership working.</p>	<p>Implemented</p> <p>Development of the Safeguarding Intelligence Hub (SIH), Newport is the pilot authority in Gwent for this project which will bring together all public safeguarding services in a single point of entry where safeguarding referrals can be holistically assessed. The Intelligence hub model will facilitate earlier intervention and preventions to limit the need for a more intensive intervention at a later stage by managing cases in a co-ordinated manner. The Intelligence Hub will also foster closer partnership working and clear accountability with agencies, providing faster, more robust and co-ordinated and consistent responses to safeguarding concerns, ensuring citizens are kept safe with their well-being outcomes met.</p> <p>Strong links with the regional safeguarding boards are already in place and will continue.</p> <p>The regional service hosted by Health in regard to legislative requirements for Newport council under the Mental Capacity Act, continues to be delivered collaboratively for all Deprivation of Liberty Safeguards for citizens of Newport over the age of 18.</p>

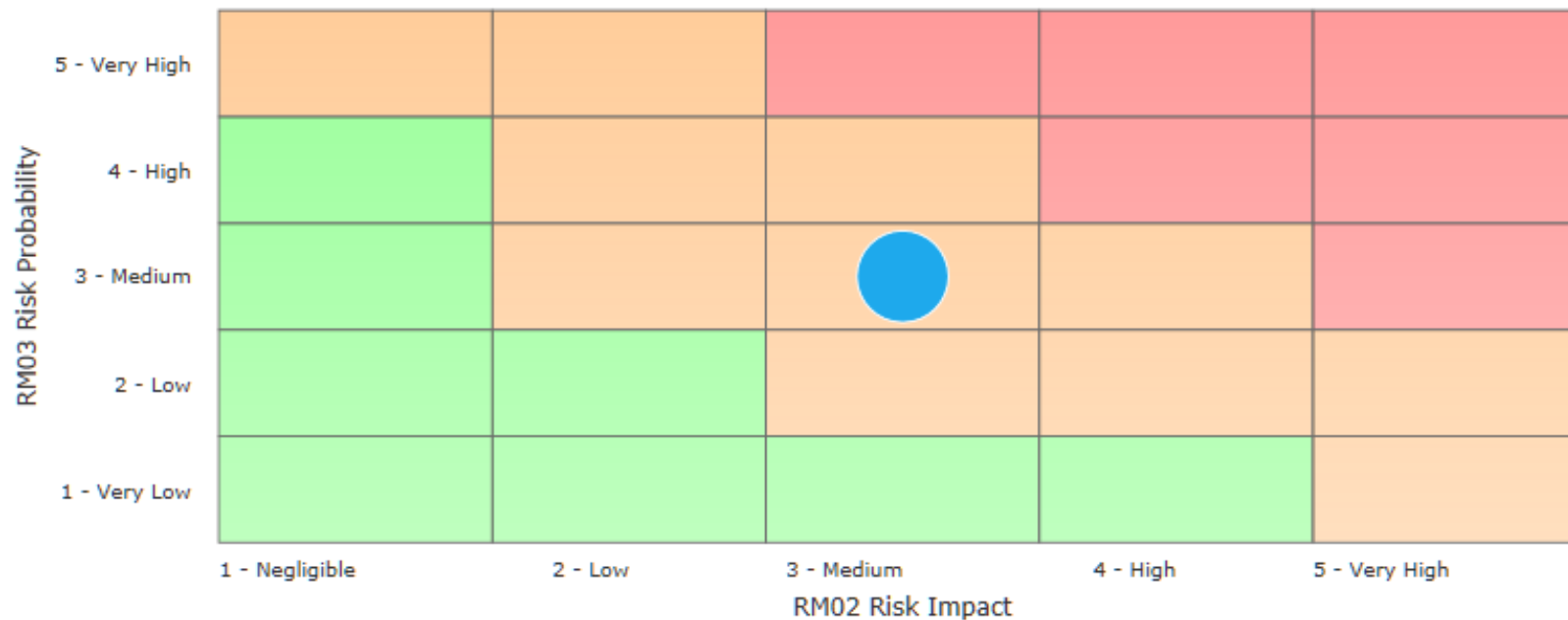
RISK 04 - Brexit

Responsible Officer	Chief Executive
Lead Cabinet Member	Leader of the Council

Risk rating prior to mitigation

August 2017 - Medium (9)

Risk	Description	Jun 2018	
		Identified	Links To
RISK 04 - Brexit	That the financial implications of leaving the European Union have a negative impact on the councils financial position.	Jun 2016	<ul style="list-style-type: none"> Corporate Plan Service Plans



Risk 04 - Assessment Date & Score					
Series					
Actual		Risk Rating			
		Sep 2017	Dec 2017	Mar 2018	Jun 2018
▶ RM01 Risk Rating	Actual	9	9	9	9
	Risk Rating	●	●	●	●

Jun 2018	
Risk - Direction of Risk	Direction
Unchanged.	→
The WLGA will shortly be facilitating a workshop with CMT to look at potential risks to the organisation following Brexit. Further mitigating actions may arise following this.	

Planned Mitigation

Jun 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
✓ Risk 04.01	This needs to be monitored carefully. The result of the referendum in June 2016 has resulted in further uncertainty for the overall financial outlook for the UK. This may have an impact on future funding for the council. (see risks 5 and 6).	The situation continues to be monitored. This may have an impact on future funding for the council (see risks 5 and 6).
✓ Risk 04.02	A good deal of our activity is also guided by EU regulation. It remains unclear when the UK will formally exit the EU and how these regulations may change.	A good deal of our activity is also guided by EU regulation. It remains unclear when the UK will formally exit the EU and how these regulations may change.
✓ Risk 04.03	This remains uncertain, further discussion and engagement from the Welsh Government and UK Government is needed to confirm timescales.	This remains uncertain, further discussion and engagement from the Welsh Government and UK Government is needed to confirm timescales.

Risk 05 - In Year Financial Management

Responsible Officer	Chief Executive Directors Heads of Service
Lead Cabinet Member	Leader of the Council

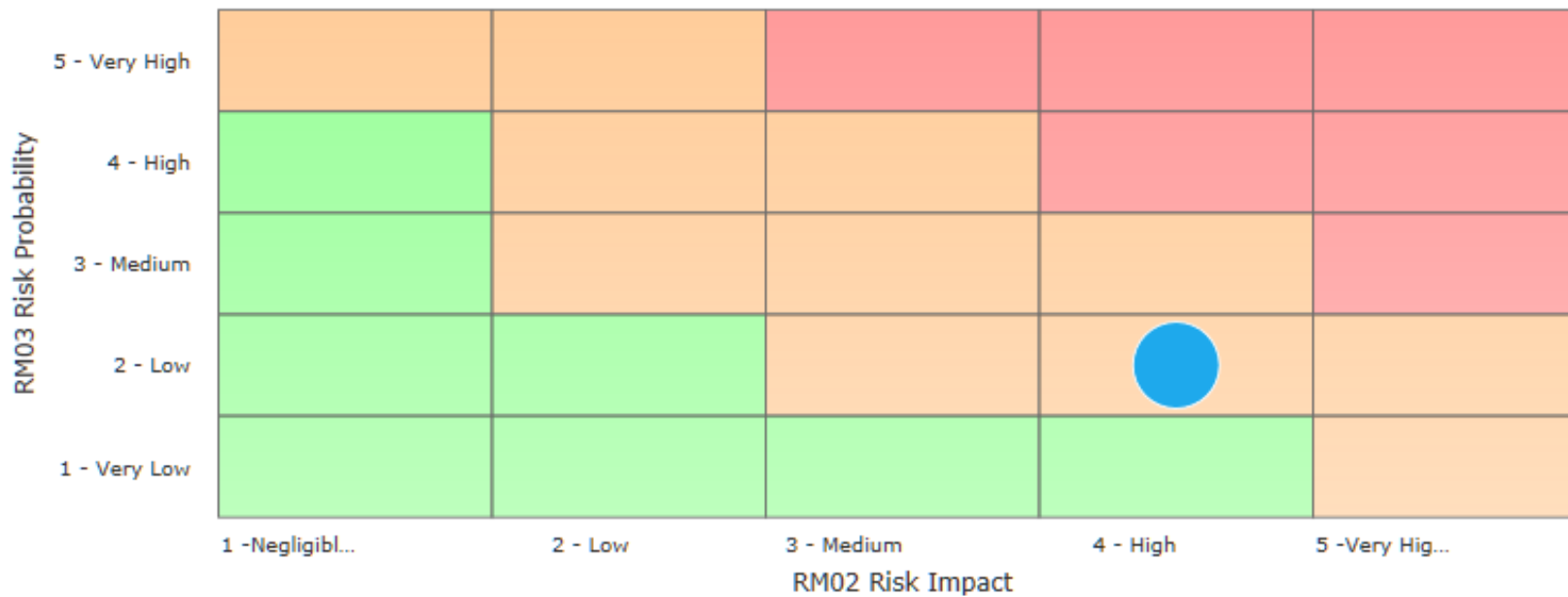
Risk rating prior to mitigation

August 2017 - Medium (12)

Risk	Description	Jun 2018	
		Identified	Links To
Risk 05 - In Year Financial Management	Overspending can undermine service delivery and medium term planning where significant mitigation means services need to defer spending to manage the overall budget.	Sep 2017	<ul style="list-style-type: none"> All services depending on severity & mitigation put in place

Risk 05 - Description/Rationale

- Historical overspending in key areas are increasingly difficult to mitigate - Community Care budgets, Children's out of area education and social care budgets in particular.
- Step change in level of overspending in 2016/17 and forecasted overspending in 2017/18 shows significantly worsening position.
- Level of overspending is significantly over and above revenue budget contingency and over current/previous year only mitigated from strong Council Tax collection due to accelerated house building - which cannot be guaranteed in future years and Council Tax reduction scheme underspending.
- Overspending can undermine service delivery and medium term planning where significant mitigation means services need to defer spending to manage the overall budget.
- Risk to requiring additional on-going budget in service areas affected which makes the 2018/19 and future budget challenge more difficult to manage/achieve.



Risk 05 - Assessment Date & Score					
Series					
Actual		Risk Rating			
		Sep 2017	Dec 2017	Mar 2018	Jun 2018
RM01 Risk Rating	Actual	12	12	9	8
	Risk Rating	●	●	●	●

Jun 2018	
Risk - Direction of Risk	Direction
Early monitoring indicates that there is a projected underspend for the in year budget. However, this is an early indication and decisions and situations may change through the year which may change this situation. Service area pressures are still significant and are showing a large overspend and we have been able to mitigate these through budget planning and some one-off savings.	✓

Planned Mitigation

	Jun 2018	
	Planned Mitigation	Risk - Action Status/Control Strategy
✓ Risk 05.01	CMT instigated targeted spending freeze on non-essential spending.	In place and on-going.
✓ Risk 05.02	Chief Executive and Head of Finance will be holding monthly meetings with adult social care management team to look and review actions for reducing spend.	In place and on-going.
✓ Risk 05.03	Head of Service for adults/children social care and education have reviewed and improved decision making panels who assess individual cases accessing services.	Initiated. Projects timetable to be confirmed.

Risk 06 - Balancing the Council's Medium Term Budget

Responsible Officer	Chief Executive Directors Heads of Service
Lead Cabinet Member	Leader of the Council

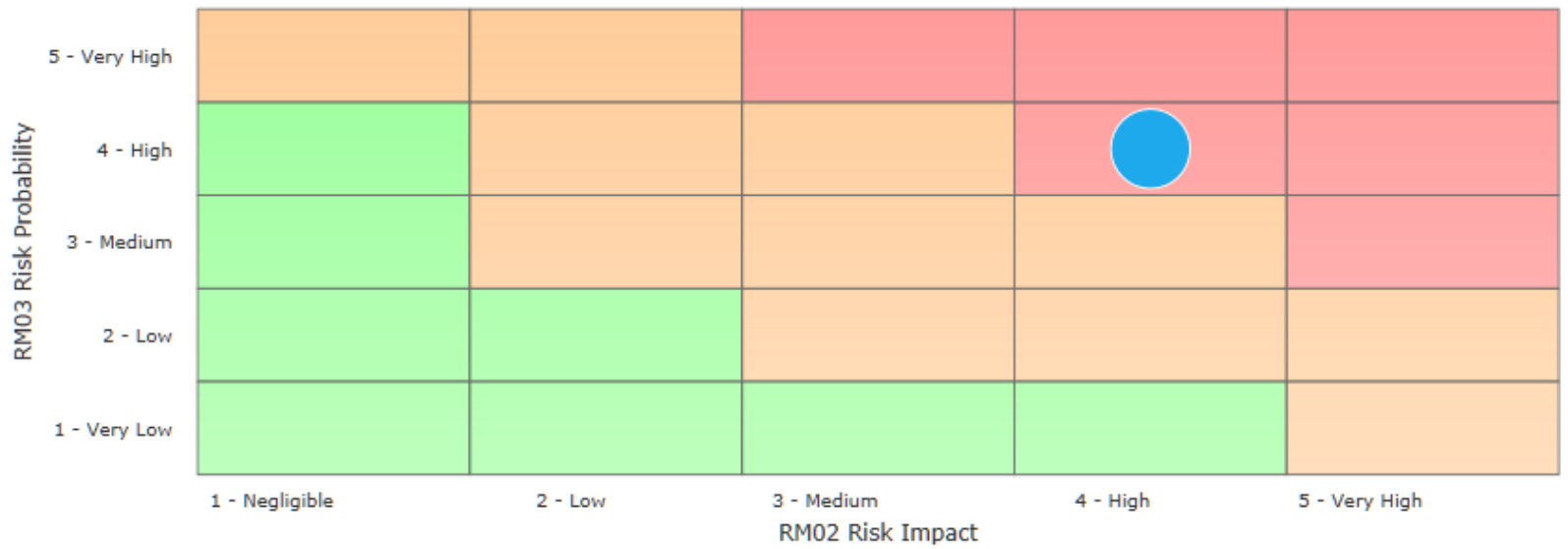
Risk rating prior to mitigation

August 2017 - High (16)

Risk	Description	Jun 2018	
		Identified	Links To
Risk 06 - Balancing the Council's Medium Term Budget	Risk of not meeting / funding key priorities.	Sep 2017	<ul style="list-style-type: none"> All council services and priorities

Risk 06 - Description/Rationale

- Council does not have a change programme which addresses the financial shortfall in the Council's Medium Term Financial Plan.
- Not balancing the budget over a longer timeframe than has currently been achieved may challenge and could damage the Councils on-going Financial Resilience.
- Risk of not meeting/funding key priorities.
- Using 'reserves' to balance the budget is time limited and require permanent savings to be identified in due course.
- Lack of on-going medium term financial settlements from WG continue makes meaningful medium term financial planning more difficult.



Risk 06 - Assessment Date & Score					
Series					
Actual		Risk Rating			
		Sep 2017	Dec 2017	Mar 2018	Jun 2018
▶ RM01 Risk Rating	Actual	16	16	16	16
	Risk Rating	▲	▲	▲	▲

Jun 2018	
Risk - Direction of Risk	Direction
Unchanged	→

Planned Mitigation

Jun 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
✓ Risk 06.01	On-going review and challenge to budget pressures within the MTFP	On-going.
✓ Risk 06.02	Discussions with SLT to review cash-limits for each service areas with view to identify savings and mitigation of pressures	In progress.
✓ Risk 06.04	Project initiated to draw up a medium term change programme by June 2018 latest.	In progress - discussions with SLT on scope and resourcing and organisation on-going.

Risk 07 - Increased Pressure on Demand Led Services

Responsible Officer	Strategic Director - People Strategic Director - Place
Lead Cabinet Member	Cabinet Member for Education and Skills Cabinet Member for Regeneration and Housing Cabinet Member for Social Services

Risk rating prior to mitigation

August 2017 - High (16). This rated high for Education Services and Medium for Social Services, an overall rating of High has been assigned.

Risk	Description	Jun 2018	
		Identified	Links To
Risk 07 - Increased Pressure on Demand Led Services	As the population grows and certain groups within the population increase this will affect many services across the council that deliver services to meet demand. The growing population also places pressures on universal services that are provided to everyone.	Sep 2017	<ul style="list-style-type: none"> ▪ Corporate Plan ▪ Service Plans

Risk 07 - Description/Rationale

Education

As the population grows and certain groups within the population increase this will affect many services across the council that deliver services to meet demand. The growing population also places pressures on universal services that are provided to everyone.

- That an increasing percentage of the population are over 65 putting an increasing strain on demand led services, particularly those that are statutory and raising the risk of unplanned significant budgetary overspends.

- Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs.
- Increasing population putting extra pressure on school places across Newport.
- As children with complex need live longer, the number of children requiring care will increase and the length of care that they require will increase.
- Growing population of vulnerable children.
- Increasing demand for refuse collection.
- Increasing number of households and highways.

Social Services

As the population grows and certain groups within the population increase this will affect many services across the council that deliver services to meet demand. The growing population also places pressures on universal services that are provided to everyone.

- That an increasing percentage of the population are over 65 putting an increasing strain on demand led services, particularly those that are statutory and raising the risk of unplanned significant budgetary overspends.
- Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs.
- Increasing population putting extra pressure on school places across Newport.
- As children with complex needs live longer, the number of children requiring care will increase and the length of care that they require will increase.
- Growing population of highly vulnerable children.
- Increasing demand for refuse collection.
- Increasing number of households and highways.

Community Regeneration

The changes to funding packages will have an impact on the level of services that we as an authority can deliver. The termination of Communities First has put pressure on existing statutory services and specifically community provisions as many projects were partnership arrangements with the Communities First programme. In addition Welsh Government has changed the way in which it administers various grants, providing local authorities the opportunity to distribute funding to areas it identifies as its priorities. Collectively the service area is grant funded, therefore any changes to future grants is a risk for many services, specifically statutory services who could be left to maintain high levels of users. Groups at risk are:

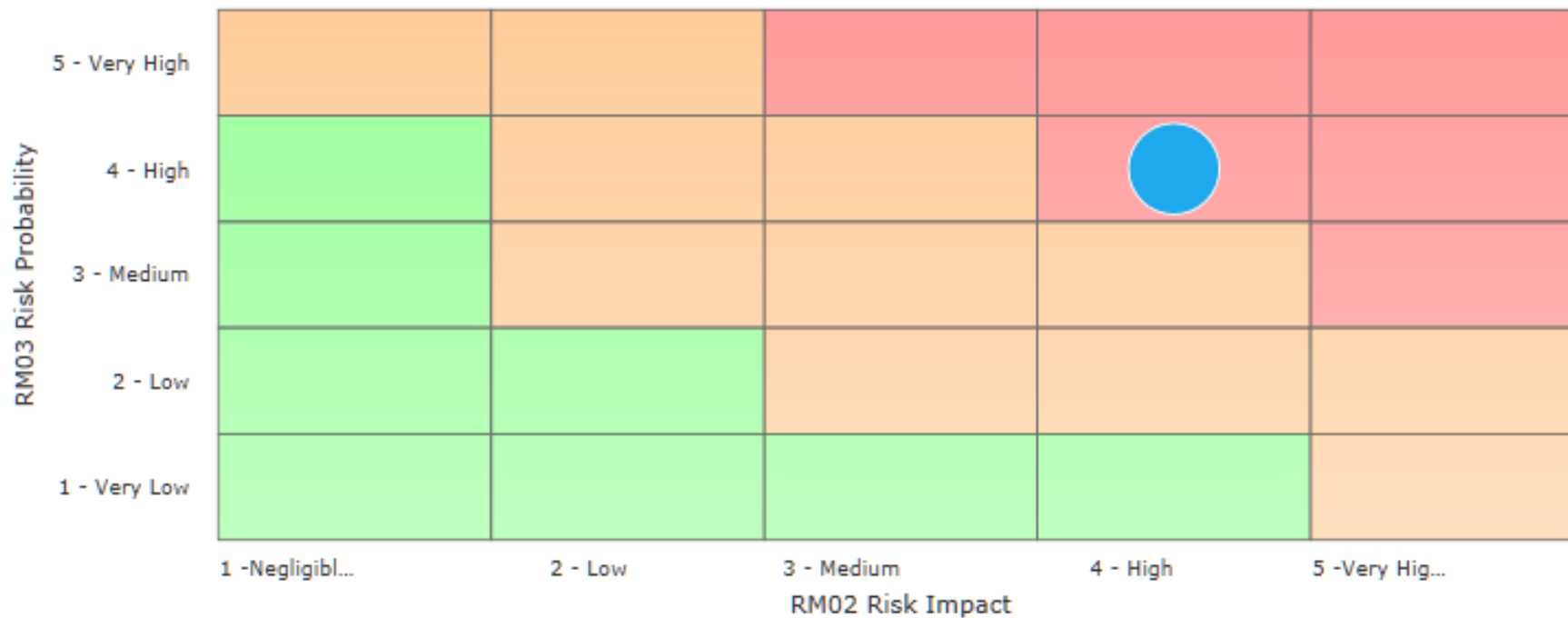
- Community centre groups - less services delivering from facilities.
- Young people - many of our services are reliant on grant funding.
- Work & Skills - all provision is reliant on grant funding.
- Children - all provision is reliant on grant funding.
- Community engagement/resilience - all provision is reliant on grant funding.

Housing

Population growth will see an inevitable rise in demand for housing and this will place further pressure upon housing services provided by Newport City Council in order to seek to meet this growth in demand;

- An increasing percentage of the population are over 65 putting an increasing strain on demand led housing services, particularly those that are statutory and raising the risk of unplanned significant budget overspends.
- Removal, reduction or more widely dissipated preventative housing services could impact on statutory services by increasing the demand and complexity of need.
- Increasing population growth will put extra pressure on demand for affordable housing and/or specialised housing solutions.
- Upward population of highly vulnerable children requiring housing solutions within the care system and those leaving the care system.
- Increasing shift away from owner occupation towards private renting, as well as increasing concerns about the standard and fitness within the existing housing stock in Newport.
- An expanding population of older people will increase demand for mandatory home adaptation services and increasing number of people choosing to remain living in their own homes will increase demand for mandatory home adaptation services.
- Implementation and effect of universal credit is still being calculated and affect being monitored, as well as further pressure upon household incomes due to welfare reform implementation measures.

- Increased level of rough sleeping throughout the City.
- Greater demand for homelessness and housing related services throughout all sectors of housing within NCC.



Risk 07 - Assessment Date & Score					
Series					
		Actual Risk Rating			
		Sep 2017	Dec 2017	Mar 2018	Jun 2018
▶ RM01 Risk Rating	Actual	16	16	16	16
	Risk Rating	▲	▲	▲	▲

Jun 2018	
Risk - Direction of Risk	Direction
Unchanged.	→
Main issues are maintaining experience staff and budget savings each year.	

Planned Mitigation

Planned mitigation

All 32 selected

Jun 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
<input checked="" type="checkbox"/> Risk 07.01	<p>Education</p> <p>Increasing population putting extra pressure on school places across Newport. One new school (due to open September 2017) and second new school (due to open September 2018). Both established largely through 106 funding. Additional school places have been established across the city through a capacity exercise. Where schools are being re-developed, (e.g. Bryn Derw, Caerleon Lodge Hill) additional places have been included.</p>	<p>Jubilee Park will expand to an additional 15 places per year group in September 2018. Glan Lyn Primary opening has been deferred until September 2018, however admissions data showed that there were reception 100 surplus pupil places in the catchment area. The Lodge Hill Primary development is on track to be completed for April 2019. A new capital bid has been made to Welsh Government to open a new Welsh Medium Primary School, creating an additional 420 places (2 form entry) and LRB. Approved capital will lead to the proposed establishment of a Welsh Medium Seedling School in September 2019.</p>

Jun 2018

	Planned Mitigation	Risk - Action Status/Control Strategy
<p>✔ Risk 07.02</p>	<p>Education Increasing population putting extra pressure on school places across Newport. Three further new build schools are planned through 106 monies funding from 2019 – 2024 (NB: shortfall in funding that will need to be made up by Authority). Forecasts show that there is also a need for expansion on existing school sites, in specific areas of the city, with significant population growth. A Welsh Government 21st Century Band B' schools bid has been made which focusses on Newport's urgent need for additional school places as our key priority.</p>	<p>07.02: The Band B Strategic Outline Programme has been approved by Welsh Government. Individual Business Cases will be progressed focussing on Band B school (including those in the centre and west of Newport where there is a demand for pupil places).</p>
<p>✔ Risk 07.03</p>	<p>As children with complex needs live longer, the number of children requiring care will increase and the length of care that they require will increase. The number of educational places within the city need to grow in order to provide provision for pupils with complex needs.</p>	<p>The Glan Lyn Primary opening has been deferred until September 2018. The LRB panel are consistently assessing LRB places. A temporary LRB may be considered if needed.</p>
<p>✔ Risk 07.04</p>	<p>Growing population of highly vulnerable children: The number of Learning Resources Bases across the city will expand to support increased demand of pupils with Special Educational Needs, allowing them to maintain mainstream school places.</p>	<p>A review of the Planning of School Places for pupils with SEN and ALN has begun. This will inform future provision requirements.</p>
<p>✔ Risk 07.05</p>	<p>The total cost of Out of County placements continues to grow. Education Services will develop an analysis and forecast of Out of County Placements in order to facilitate a strategic plan of supporting these needs in the most affordable way over the next five years.</p>	<p>The scoping / feasibility exercise to locate a new SEBD school continues and is due to conclude in October 2018.</p>

Jun 2018

	Planned Mitigation	Risk - Action Status/Control Strategy
✓ Risk 07.06	<p>MANAGING DEMAND – PREVENTION EARLY INTERVENTION</p> <p>Older Person's Pathway - joint initiative with Health, people identified from GP surgeries and offered a Stay Well Plan that is individualised and focused on maintaining well-being and health.</p>	Continuation of the project within Health, the independent evaluation demonstrates a positive impact on reducing demand for statutory services. The Pathway project is planned for implementation in all Newport GP surgeries.
✓ Risk 07.07	<p>MANAGING DEMAND – PREVENTION EARLY INTERVENTION</p> <p>Reconfiguring a number of service pathways including Frailty & Reablement to reduce duplication, streamline provision, facilitate hospital discharge and provide services focused on maintaining independence.</p>	Reablement integration has now been completed and I team provides a more cohesive service. The work around frailty is ongoing.
✓ Risk 07.08	<p>MANAGING DEMAND – PREVENTION EARLY INTERVENTION</p> <p>Investment in preventative services including 2 Third Sector consortiums offering information, advice and assistance for any Newport citizen.</p>	The consortium approach to preventative services continues to demonstrate effective demand management
✓ Risk 07.10	<p>MANAGING DEMAND – PREVENTION EARLY INTERVENTION</p> <p>Utilisation of ICF for Community Connectors offering community based assistance to people who require support to access low level services</p>	Intermediate Care Funding (ICF) continues to be available to resource the Community Connector Team who are now well established in the provision of low level support to Newport citizens. The team is made up of 8 staff with a range of specialisms. Strong links to third sector partners and community based services ensures that a wide range of needs can be accommodated across all client groups
✓ Risk 07.11	<p>MARKET MANAGEMENT</p> <p>Domiciliary care and Residential and Nursing provision commissioned robustly. Working closely with providers to ensure services are fit for purpose in terms of quality and capacity. Relationship management ensures flexibility and responsiveness.</p>	Robust commissioning processes are employed to ensure market capacity and sustainability are maintained. Ongoing dialogue with providers around fees and regular monitoring around quality.

	Planned Mitigation	Risk - Action Status/Control Strategy
✓ Risk 07.12	<p>MARKET MANAGEMENT</p> <p>Ensuring in house services are cost effective and targeted at community need.</p>	In house services are regularly reviewed to ensure they are cost effective and fit for purpose. Work to reduce the in house Supported Living Service is reduced from 4 properties to 2 is ongoing and improved provision sourced for existing tenants. A new partner is being sought for the delivery of the 4 Extracare schemes in Newport. The tender process is underway.
✓ Risk 07.13	<p>MARKET MANAGEMENT</p> <p>Cost control –negotiating sustainable fees with providers that offer value for money whilst protecting the social care workforce</p>	Fees have been agreed for 2018/19 following detailed negotiations with providers
✓ Risk 07.14	<p>MARKET MANAGEMENT</p> <p>Engagement with Regional workstreams to address National issues around the purchase of domiciliary and residential care services</p>	Workstreams are addressing the issues faced by all Welsh Local Authorities in the delivery of social care - budgets and stability of the market.
✓ Risk 07.15	<p>MARKET MANAGEMENT</p> <p>Early engagement with Health to maximise CHC funding for people with Health needs.</p>	Ongoing - CHC triggers, where identified are being taken through the appropriate channels. NCC is developing more robust approaches to ensure referrals are successfully progressed
✓ Risk 07.16	<p>Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs.</p> <ul style="list-style-type: none"> Investment in a consortium model of third sector preventative services to offer a single point of contact for all Newport citizens 	Ongoing monitoring of preventative services to measure effectiveness and value for money.
✓ Risk 07.17	<p>Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs.</p> <ul style="list-style-type: none"> Investment in a Third Sector mental health consortium in partnership with Health – offering a single point of contact for citizens in Gwent. 	Ongoing monitoring to measure effectiveness at managing demand and offering interventions to those who would not be eligible for statutory care but who need support to keep them well and maintain independence.

Jun 2018

	Planned Mitigation	Risk - Action Status/Control Strategy
<p>✓ Risk 07.18</p>	<p>Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs.</p> <ul style="list-style-type: none"> • Utilisation of ICF to deliver a Community Connector Service – offering community support for people to access services. 	<p>On going monitoring to measure effectiveness at managing demand</p>
<p>✓ Risk 07.19</p>	<p>Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs.</p> <ul style="list-style-type: none"> • Utilisation of ICF to employ a Carers Development Officer 	<p>The newly established carers network has enabled NCC to make contact with more carers across the city by providing more opportunities for communication and consultation.</p>
<p>✓ Risk 07.20</p>	<p>Growing population of highly vulnerable children Investment in developing preventative services to work with families to build resilience and to prevent children from being accommodated:</p> <ul style="list-style-type: none"> • Re-tendering for the Strategic Collaborative Partnership that delivers the Family Assessment Support Service (FASS) and Family Support Team (FST). 	<p>From June 2017 to March 2018 there was a significant increase in the number of looked after children. The reasons for the increase is multi factorial and is replicated in some neighbouring LAs. The number of children in care proceedings has doubled. The complexity of the presenting cases are significant is challenging. The pressure of the doubling of the court workload and the increasing numbers of looked after children is placing staff under exceptional strain. The demand is regularly reviewed but there is no indication that decision making has changed and both CAFCASS and the Judiciary are clear that the current cases are appropriate in terms of issue. The most common criticism from both CAFCASS and the Judiciary is that social workers have persisted too long in sustaining families and issuing earlier would for some be appropriate.</p>

Jun 2018

	Planned Mitigation	Risk - Action Status/Control Strategy
<p>✓ Risk 07.21</p>	<p>As children with complex needs live longer, the number of children requiring care will increase and the length of care that they require will increase.</p> <p>Investment in developing preventative services to work with families to build resilience and to prevent children from being accommodated:</p> <ul style="list-style-type: none"> • Full review of short break services for families with Children with disabilities. • Full review of providing house respite service for families with Children with disabilities. 	<p>Currently in process. When successful tenderer has been awarded contract work will commence with provider to develop service and be on going contract management.</p>
<p>✓ Risk 07.23</p>	<p>Investment in developing preventative services to work with families to build resilience and to prevent children from being accommodated:</p> <ul style="list-style-type: none"> • Carers Development Officer supports families with Children with disabilities. 	<p>On-going monitoring to measure effectiveness at managing demand. Newly established Carers Network ensures better communication and engagement with carer/parent groups.</p>
<p>✓ Risk 07.24</p>	<p>Engagement with Regional work streams to address developing a consistent framework around Continuing Health Care Process.</p>	<p>The concerns around accessing CHC are felt regionally and work is on-going to develop consistent processes to ensure challenge is effective.</p>
<p>✓ Risk 07.25</p>	<p>Cost control – negotiating sustainable fees with providers that offer value for money whilst protecting the social care workforce.</p>	<p>Continued fee negotiations with providers to ensure best value and to ensure best outcomes.</p> <p>Standard monitoring of pay rates, travel time etc. to encourage recruitment and retention within the independent sector.</p>

	Planned Mitigation	Risk - Action Status/Control Strategy
<p>✓ Risk 07.26</p>	<p>Community Regeneration Aligning services and grants into one programme (Neighbourhood Hubs) will support a rationalization process across all the grants, this process will help us to achieve smarter ways of working that could support a long term vision of sustainability. Processes such as;</p> <ul style="list-style-type: none"> • Staffing – the alignment of staff can reduce the requirement for current levels in finance and management functions. • Duplication – aligning programmes will support projects who share outcomes to end specific projects therefore reducing wasted expenditure. • Commissioning – a single commissioning model will provide the less duplication and savings in regards to management fees to other organisations. • Assets – The colocation and integration of teams through Neighbourhood Hubs will negate the requirement for different facilities and will provide greater focused usage in specific centres. 	<p>Project plans have been designed to implement reviews and changes to projects. Business plans have been drafted for consideration for Neighbourhood hubs and its facilities.</p>
<p>✓ Risk 07.27</p>	<p>Community Regeneration Work with funders to identify further opportunities to provide additional resource to community delivery.</p>	<p>There are applications submitted for funding to DWP, WG and WEFO to ensure we are able to enhance our community offer. We anticipate responses by December 2018.</p>

Jun 2018

	Planned Mitigation	Risk - Action Status/Control Strategy
<p>✓ Risk 07.28</p>	<p>Housing Services</p> <p>That an increasing percentage of the population are over 65 putting an increasing strain on demand led services, particularly those that are statutory and raising the risk of unplanned significant budgetary overspends.</p> <p>The number of older people in Newport is growing. More than 600 owner-occupiers aged over 55 currently have active applications for some form of affordable housing</p>	<p>The development in Beechwood is now allocated and occupied. The scheme in Gaer is nearing completion and allocations have now started. The scheme in St Julian's is due to start construction in September. Scheme in Rogerstone has obtained planning consent and planning applications are due for schemes in Ringland and Llanwern in next 2 months. Plans to remodel 2 existing schemes are ongoing.</p>
<p>✓ Risk 07.29</p>	<p>Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs.</p> <ul style="list-style-type: none"> • Increased resources provided to assist in homeless prevention and to secure additional staffing to meet need • Grant funding available from Welsh Government targeted to key demand areas of the homelessness prevention service across a range of partners • Links with third sector agencies in place and being developed to meet demand for services • Regional Homelessness Strategy under development in order to explore regional opportunities for service development/initiatives 	<p>Additional posts recruited to Housing Needs Unit to address growth in demand, ensuring that prevention services are maintained and delivered in line with statutory requirements.</p> <p>Regional Homeless Review completed.</p> <p>Strategy to be drafted and completed in 2018 in line with statutory requirements.</p> <p>Welsh Government grant funding targeted at key pressure areas and being monitored in line with grant requirements.</p> <p>Further preventative services being developed to address identified needs and pressures</p>

Jun 2018

	Planned Mitigation	Risk - Action Status/Control Strategy
<p>✓ Risk 07.30</p>	<p>Increasing population putting extra pressure on demand for affordable housing or specialised housing</p> <p>Increased pressure to deliver affordable housing, but in a climate when viability issues on sites regularly see the development industry reducing the percentage of affordable housing they are willing to deliver</p> <ul style="list-style-type: none"> • Homeless prevention work to secure alternative affordable accommodation options established and embedded within statutory services • Procurement of temporary accommodation for homeless households in place to meet the changing demands and needs for the service 	<p>In 2017/18 planning consent was obtained for 403 affordable homes, 264 of these are at Whiteheads.</p> <p>Developers continue to lobby for a reduction in affordable housing e.g. Llanwern Steelworks citing viability, reducing the authority's ability to meet its statutory duties.</p> <p>Continue to lobby Welsh Government and Cardiff City Region for mechanism to assist with addressing viability.</p>
<p>✓ Risk 07.31</p>	<p>Growing population of highly vulnerable children requiring housing solutions within the care system and once leaving the care system.</p>	<p>Working in partnership with Children Services to deliver innovative solutions for children and young people through different schemes (supported lodgings, private sector arrangements, partnerships with RSL's)</p> <p>Working with Social Services to look at developing appropriate bids for ICF funding to look at alternative housing solutions and opportunities to prepare for independence.</p>

	Planned Mitigation	Risk - Action Status/Control Strategy
<p>✓ Risk 07.32</p>	<p>Increasing shift away from owner occupation towards private renting</p> <p>A study for the Welsh Government into the fees charged by letting agents showed that Newport has a relatively high proportion, 36% of registered rental properties managed by agents, and was designated a high rent area and the total number of properties registered was 8,252. The study found that, although the work required and the costs incurred by the agents were similar in all areas, the fees charged to applicants varied considerably, according to the size of agency and the local housing market. Fees can make it difficult for low-income tenants to secure private rented housing, especially if they are obliged to move more frequently than owner-occupiers would when assured shorthold tenancies come to an end.</p>	<p>Preparation of new action plan on empty homes to try to encourage owners to let properties rather than leave them empty</p>
<p>✓ Risk 07.33</p>	<p>Increasing concerns about the standard and fitness within the existing housing stock</p> <p>Much of Newport's housing stock is pre-1920's and, in 2017, the council's Environmental Health team identified nearly 13,000 serious hazards in Newport homes, most of them privately rented.</p>	<p>Home improvement loans schemes being revised to include equity loans for the over 75's and the appointment of an accredited financial partner to administer owner-occupier loans</p>
<p>✓ Risk 07.34</p>	<p>An expanding population of older people along with increasing numbers of people choosing to remain living in their own homes will increase demand for mandatory home adaptation services</p> <p>Increasing pressure on the adaptations capital budget.</p>	<p>As before, ongoing monitoring of demand and budget management relating to costs and supply, with provision of smaller scale, preventative adaptations to mitigate future demand for more complex adaptation schemes.</p>

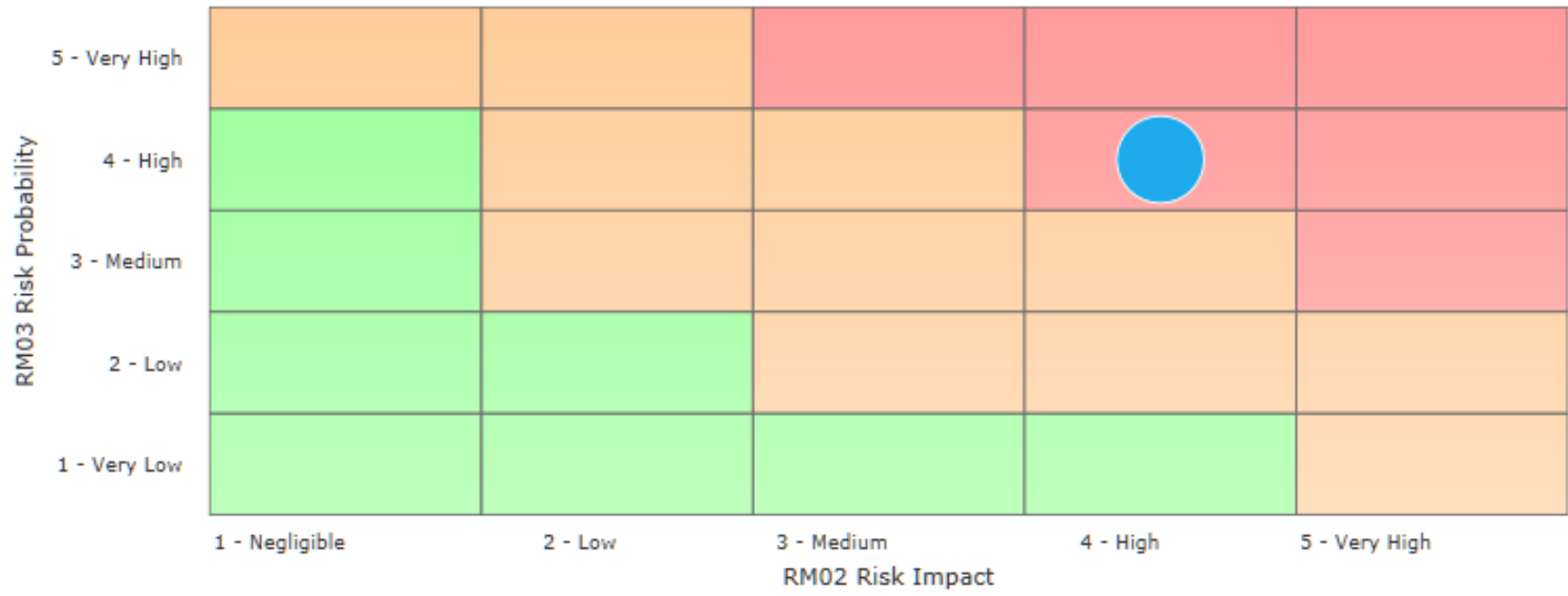
Risk 08 - Risk of Stability of External Suppliers

Responsible Officer	Strategic Director - People
Lead Cabinet Member	Cabinet Member for Social Services

Risk rating prior to mitigation

August 2017 - High (20)

Risk	Description	Jun 2018	
		Identified	Links To
Risk 08 - Risk of Stability of External Suppliers	Growing cost of delivering services and purchasing materials will impact on external supplier's ability to continue to fulfil contract obligations. Potentially short notice of inability to provide services.	Sep 2017	<ul style="list-style-type: none"> Change Programme Corporate Plan Service Planning



Risk 08 - Assessment Date & Score					
Series					
Actual		Risk Rating			
		Sep 2017	Dec 2017	Mar 2018	Jun 2018
▶ RM01 Risk Rating	Actual	20	20	20	16
	Risk Rating	▲	▲	▲	▲

Jun 2018	
Risk - Direction of Risk	Direction
Unchanged.	✓

Planned Mitigation

Object Measure Name

All 6 selected

Jun 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
✓ Risk 08.01	Market Management Consultation and engagement with social care providers	Ongoing dialogue with providers, Commissioning and Contracts have regular communication, specifically around fees and in relation to monitoring and review processes. Also opportunities to make contact with new and prospective providers through supplier days and service forums.
✓ Risk 08.02	Encouraging New Providers To Enter The Market The offer of block contracts for domiciliary care hours that provides incentive for new providers and creates a diverse market place.	The spot contracting approach to domiciliary care continues to work well, the brokers offer packages and providers pick up the ones they have capacity to deliver. This approach means that we are in constant contact with providers and have developed an in depth understanding of their particular challenges and strengths.
✓ Risk 08.03	Encouraging New Providers To Enter The Market Open dialogue with providers interested in entering the market to ensure they are fully informed about service demand and future commissioning intentions.	The spot contracting approach means that NCC are able to offer work to new providers (subject to accreditation). We currently have 26 providers operating in Newport of varying size. NCC's fee negotiation strategy and approach to brokering packages has ensured market stability. The risks around recruitment and retention of staff still remains but the range of providers available in Newport ensures ongoing capacity to meet demand

Jun 2018

	Planned Mitigation	Risk - Action Status/Control Strategy
<p>✓ Risk 08.04</p>	<p>Developing New Sustainable Models of Service & Maximising Alternative Funding</p> <p>Working with partners such as Housing and Health to develop new services that are more financially sustainable and offer better opportunities for people to live independently.</p>	<p>Continuation of positive work with RSL's to develop more sustainable and appropriate accommodation for people with care and support needs. Centrica has been completed, resulting in a fully modernised and accessible respite facility for adults with learning disabilities. 7 new flats are due for completion in Bettws for adults with learning disabilities and will be the new home for 2 tenants from NCCs in house Supported Living scheme and 3 others, currently in unsuitable accommodation. Further new developments are planned for next year including 16 new self contained flats in Newport that will operate on the same basis as Ty Eirlys.</p>
<p>✓ Risk 08.05</p>	<p>Working With Commissioning Partners</p> <p>Working Regionally & Nationally to share knowledge, best practice, market intelligence and to develop commissioning strategies in both adults and children's services.</p>	<p>NCC are engaged in all regional workstreams including domiciliary care and the development of a common contract for residential care to support the establishment of a pooled budget. Regular information sharing with other LA commissioners is ongoing</p>
<p>✓ Risk 08.06</p>	<p>Commissioning Function</p> <p>Strong, well organised Commissioning function and agreed strategies that effectively oversees and controls all purchasing activity and understands the local market. The Commissioning team are fully sighted on market issues, have well developed relationships with providers and work closely with operational teams to source good quality sustainable services.</p>	<p>Consideration is being given to the development of an integrated People commissioning team operating consistently across adults, children's and education services. A mapping exercise is underway to identify the level of resource required to meet the future demands of a whole systems approach.</p>

Risk 09 - Increasing Pressure on Existing Infrastructure

Responsible Officer	Strategic Director - Place
Lead Cabinet Member	Cabinet Member for Streetscene

Risk rating prior to mitigation

August 2017 - High (16)

Risk	Description	Jun 2018	
		Identified	Links To
Risk 09 - Increasing Pressure on Existing Infrastructure	The M4 Bridge tolls will be abolished for all vehicles at the end of 2018 with an interim reduction in tolls being introduced on the 8th January 2018. This is a positive opportunity for the city but the council must consider the potential impact on existing infrastructure.	Sep 2017	<ul style="list-style-type: none"> ▪ Corporate Plan ▪ Service Plans

Risk 09 - Description/Rationale

The M4 Bridge tolls will be abolished for all vehicles at the end of 2018 with an interim reduction in tolls being introduced on the 8th January 2018. This is a positive opportunity for the city but the council must consider the potential impact on existing infrastructure.

Traffic at the Toll's is currently 'held' back and released creating a pulsing effect on traffic entering Wales.. Removal of this effect will result in more traffic reaching the 2 lane sections at Magor and the Brynglas tunnels quicker, with associated congestion.

Although that is primarily a network management issue for the SW Trunk Road Agency, it is likely to result in rat running on alternative routes impacting on the city's network. Increased use of the Steelworks Access Road, SDR and Chepstow Road is anticipated as the main alternatives motorists will seek to use. We know this with some confidence due to the regular effect on our network of congestion, road collisions and roadworks on the M4.

The tolls are a barrier to logistics companies (some firms spend £200k per annum in toll fees); therefore many logistics and distribution firms locate on the English side of the bridge. Removal of the tolls is likely to result in a review of location, with the potential relocation in and around Newport increasing the impact on local networks.

House prices in Bristol are relatively expensive; therefore removal of the tolls could increase the attractiveness of living on the Welsh side and commuting to Bristol. This presents an opportunity for Newport, especially locations with good motorway access east of the tunnels but it will attract significant additional car journeys.

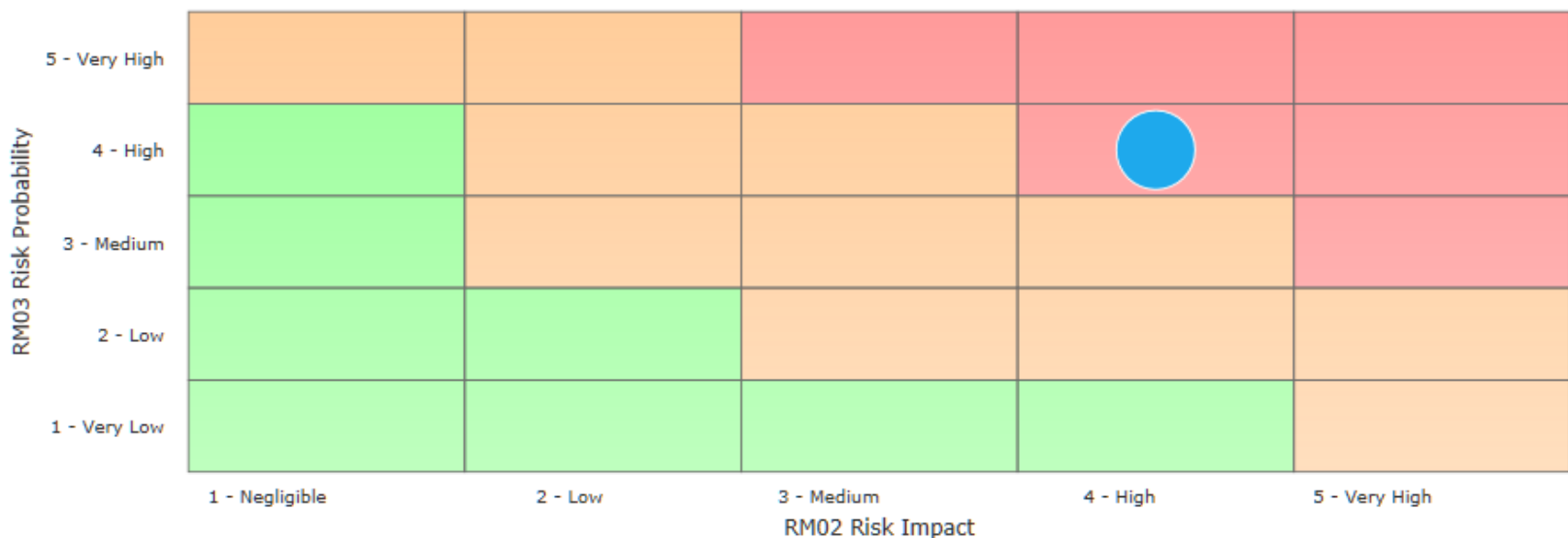
Increased light and heavy vehicular usage will impact on the whole life of our highway assets and result in increased routine maintenance and associated revenue and capital investment.

Any additional traffic will be detrimental to air quality – particularly within the city’s existing AQMAs

Impact on public transport and Council services

Increased traffic on local roads will have a detrimental impact on journey time/reliability. It will also increase operating costs for public transport and council services that rely on road based delivery models. (The Welsh Assembly Enterprise and skills committee are undertaking an inquiry into the impact of congestion on bus services).

Consideration of additional resources or different delivery models may be required as mitigation.



Risk 09 - Assessment Date & Score					
Series					
Risk Score		Risk Rating			
		Sep 2017	Dec 2017	Mar 2018	Jun 2018
▶ RM01 Risk Rating	Risk Score	16	16	16	16
	Risk Rating	▲	▲	▲	▲

Jun 2018	
Risk - Direction of Risk	Direction
Unchanged.	→

Planned Mitigation

Jun 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
✓ Risk 09.01	In the long term, the successful delivery of the proposed M4 would have the potential to mitigate the effects of the toll removal through Newport.	In the long term, the successful delivery of the proposed M4 would have the potential to mitigate the effects of the toll removal through Newport
✓ Risk 09.03	Improved links to existing M4.	Newport are currently working with WG on improving transport links, congestion and journey times through the Junction 28, Forge Road and Tredgar Park roundabouts reconfiguration works.

Risk 10 - Climate Change

Responsible Officer	Strategic Director - Place
Lead Cabinet Member	Cabinet Member for Streetscene The Deputy Leader and Cabinet Member for Assets and Member Development

Risk rating prior to mitigation

August 2017 - Medium (12). There are a number of risks within this document, each with an individual risk ranging from low to high. The average risk as a whole has been calculated as upper medium.

Risk	Description	Jun 2018	
		Identified	Links To
Risk 10 - Climate Change	<p>It is generally accepted that the effects of global warming will result in:</p> <ul style="list-style-type: none"> · All areas of the UK get warmer and the warming is greater in summer than in winter; · Little change in the amount of precipitation (rain, hail, snow etc) that falls annually but it is likely that more of it will fall in the winter with drier summers for much of the UK · Sea levels rise - more in the south of the UK than the North. 	Sep 2017	<ul style="list-style-type: none"> ▪ Civil Emergencies ▪ NCC Assets ▪ Severe Weather Emergency Plans ▪ Streetscene Service

Risk 10 - Description/Rationale

It is generally accepted that the effects of global warming will result in:

- All areas of the UK get warmer and the warming is greater in summer than in winter;
- Little change in the amount of precipitation (rain, hail, snow etc) that falls annually but it is likely that more of it will fall in the winter with drier summers for much of the UK
- Sea levels rise – more in the south of the UK than the North.

To tackle the challenge of climate change, Newport needs to act on two fronts;

- Prepare for the changes that are already happening because of the greenhouse gases which have already been released
- Reduce the greenhouse gases we emit through our operation by reducing and decarbonising our energy consumption

Preparing for the changes

Newport should consider how various climate change variables such as intense or prolonged rainfall; hotter temperatures and higher wind speed will impact on the type of highway assets that they manage and the likelihood of these events occurring. By doing this the greatest generic risks to network closure or restriction can be identified. These are likely to be;

- Flooding (pluvial, fluvial, groundwater and coastal)
- Snow
- Landslips
- Scour
- Wind damage
- Heat/ water and frost damage
- Disruption at interchanges with other transport modes such as rail and bus.
- Inadequate or over stretched resources to meet demand

Newport should review and apply the latest UK Climate Projections, as developed by the Met Office and Environment Agency, when assessing future risk and vulnerability. These projections for future changes to both average climatic conditions and also the frequency of extreme weather events, allow for an understanding of where risk levels may change, and the identification of new risks which may emerge as the climate changes. When applied alongside records of past incidents, and other information sources (such as flood maps), climate projections may also help to identify when and what action should be taken to adapt to the risks.

The locations where there is potential for these events to occur on the Network should be identified. This can be done using the highway asset inventory and records of past incidents of weather related damage or incidents such as flooding or landslips.

The local Flood Risk Management Plans should also be used to identify areas prone to flooding. Where possible, local knowledge should be used to validate the findings.

Decarbonising and reducing our energy consumption

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

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

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

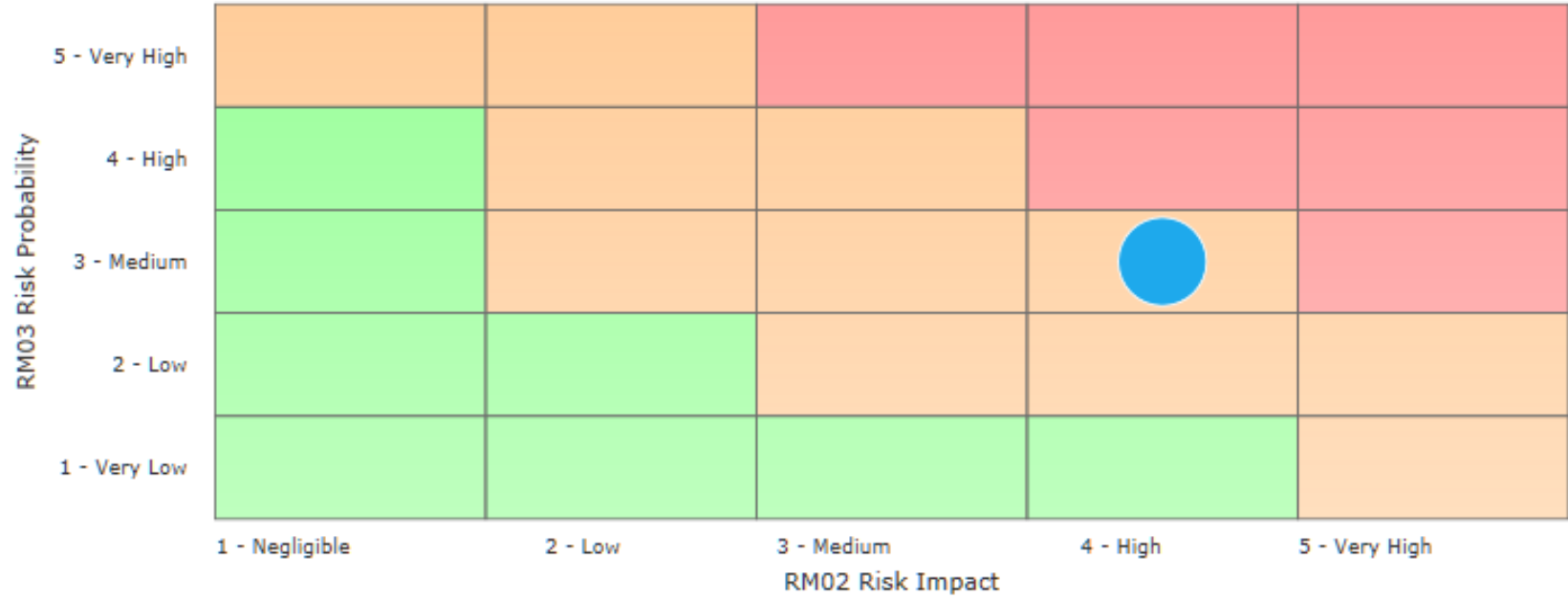
Newport City Council has limited renewable energy generation across our estate, increasing this significantly would be a major step towards meeting emission reduction targets. Potential locations for installations will be reviewed and options for implementation considered.

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

Welsh Government are currently consulting on the national actions required to meet the upcoming carbon budgets and are putting forward some major actions for the public sector. The requirements on the Local Authority to take action are only going to increase as the national requirements to decarbonise increase, measures currently being consulted on include:

- 1) **The public sector to baseline, monitor and report progress towards carbon neutrality** (including scope 3 emissions)
- 2) **All new cars and light goods vehicles in the Public Sector fleet are ultra low emission by 2025 and where practicably possible, all heavy goods are ultra low emission by 2030**, and the toughest of all,
- 3) **Public Sector buildings are supplied with low-carbon heat by 2030**. Which means a move away from traditional gas heating.

It is likely that there will ultimately be additional carbon taxes or penalties for not achieving reductions.



Risk 10 - Assessment Date & Score					
Series					
		Risk Score		Risk Rating	
		Sep 2017	Dec 2017	Mar 2018	Jun 2018
▶ RM01 Risk Rating	Risk Score	12	12	12	12
	Risk Rating	●	●	●	●

Jun 2018	
Risk - Direction of Risk	Direction
Unchanged.	➔

Planned Mitigation

Jun 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
✓ Risk 10.01	Produce and implement a Carbon Management and Implementation plan to set out a strategy, objectives and programme to reduce overall carbon emissions, provide investment opportunities and to mitigate against anticipated increases in energy supply costs.	Draft completed but not yet made final and published due to other priorities.
✓ Risk 10.02	Aim to get the best value for money from procurement of utilities through the National Procurement Service. Wherever possible purchase electricity backed by Renewable Energy Guarantee of Origin Certificates.	Electricity procurement contract recently renewed for 2 years including 100% renewable electricity.
✓ Risk 10.03	Undertake a full review of the Council's assets and their suitability for the application of renewable energy technologies to deliver Carbon and financial benefits.	<ul style="list-style-type: none"> - REW PV study completed - Renewable energy projects to be included in building energy efficiency programme - Potential Solar Farm feasibility underway
✓ Risk 10.04	Plan and deliver Sustainable Urban Drainage Systems (SuDS) - SuDS such as permeable surfaces, swales, wetlands and ponds can play an important role in managing local flood risk in urban areas since they replicate natural surface water drainage systems.	Consultation in respect to this item has now concluded. Schedule 3 of the Flood and Water Management Act (2010) officially comes into force on the 9 January 2019. Newport City Council is required to implement a SAB (SuDs Approval Body) by this time.
✓ Risk 10.05	Comprehensive and robust Adverse Weather Plans.	This risk item will involve a number of council officers. I would recommend that Alan Young and Martin Coombes are consulted from a highway management and civil contingencies perspectives.

Jun 2018

	Planned Mitigation	Risk - Action Status/Control Strategy
<p>✔ Risk 10.06</p>	<p>Plan and deliver green infrastructure - green infrastructure (trees, parks, open space etc) is important because it can help to keep cities cool in the summer, provide drainage routes for surface water and provide pathways through the urban environment for biodiversity to migrate as the climate changes.</p>	<p>The Green Infrastructure of the authority is monitored and managed primarily through overarching plans, policies and guidance such as LANDmap, the Local Development Plan, the Biodiversity Action Plan, the Fields in trust Standards and the assessment of Accessible Natural Greenspace provision.</p> <p>Develop the criteria for the Special Landscape Areas.</p> <p>Gwent Levels Landscape Character Assessment and Green Infrastructure assessment through the Living Levels project.</p> <p>Comprehensive management and replacement programmes for trees and woodlands.</p>
<p>✔ Risk 10.07</p>	<p>Selection of road surfacing materials that have a higher resistance to heat damage and /or heat reflectivity. Increased preventative maintenance to seal surfaces to water ingress and arrest disintegration.</p>	<p>Newport will continue to review the performance of materials and promote timely intervention to secure the whole life of assets. Advances in materials and technology will be embraced where and when applicable.</p>
<p>✔ Risk 10.08</p>	<p>Maximise on available Welsh Government funding to improve the defence of the city against fluvial and coastal flooding.</p>	<p>There are opportunities to receive funding from Welsh Government for capital schemes. Correspondence in such matters should be made to floodcoastalrisk@gov.wales</p> <p>Using Welsh Government funding, Newport City Council (in 2017) implemented outline business cases for Pillgwenlly and Home Farm, Caerleon. Upon implementation of these business cases, the business cases advised a positive cost/benefit ratio, particularly regarding the Pill Scheme. These schemes should be considered and explored further for potential design and construction.</p>

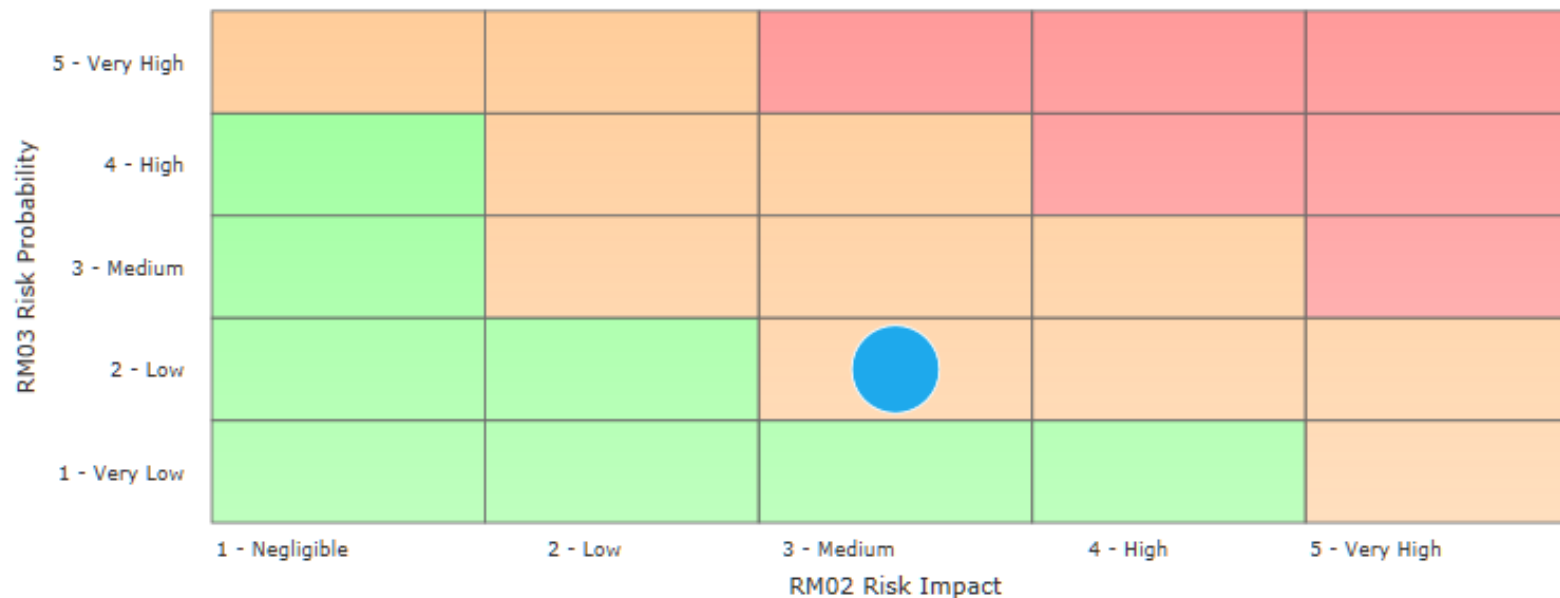
Risk II - Increasing Demands on IT Services and the Modernised Agenda

Responsible Officer	Strategic Director - Place
Lead Cabinet Member	Cabinet Member for Community and Resources

Risk rating prior to mitigation

August 2017 - Medium (6)

Risk	Description	Jun 2018	
		Identified	Links To
Risk II - Increasing Demands on IT Services and the Modernised Agenda	Increased demand for IT services with a reducing budget poses a risk to the future development of IT infrastructure and the development and delivery of the modernised council agenda.	Sep 2017	<ul style="list-style-type: none"> Corporate Plan Modernised Council Agenda People and Business Change Service Plan



Risk 11 - Assessment Date & Score					
Series					
Risk Score		Risk Rating			
		Sep 2017	Dec 2017	Mar 2018	Jun 2018
▶ RM01 Risk Rating	Risk Score	6	6	6	6
	Risk Rating	●	●	●	●

Jun 2018	
Risk - Direction of Risk	Direction
Unchanged.	→

Planned Mitigation

Jun 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
✓ Risk 11.01	Manage and develop effective IT services following transition to SRS by establishing strong retained client-side management arrangements, processes and procedures.	SRS Delivery Group meetings continue to manage planned work and projects as part of client side arrangements. Follow up session on SRS investment objectives planned. External review of IT/Digital service being commissioned to review SRS/Digital progress, identify strengths and weaknesses as well as identifying areas for future investment to enhance IT/Digital capabilities for the council.
✓ Risk 11.02	Development and implementation of digital by default by committing to move all transactional services online and fully digitising the back-office.	This is being managed on a strategic basis by the modernised Council Board chaired by the Chief Executive. This will feed in to the newly created Digital City Board. Successful roll out of online expenses system within the iTrent system.
✓ Risk 11.03	Monitoring of carefully considered data set to manage performance of the SRS arrangement/demand on services.	Performance measures for SRS are in place and monitored on a monthly basis. Performance of SRS provided to Scrutiny in April 2018. Monthly performance information provided by SRS reviewed at SRS Delivery Group and Digital Board. Dashboard created in MI Hub.

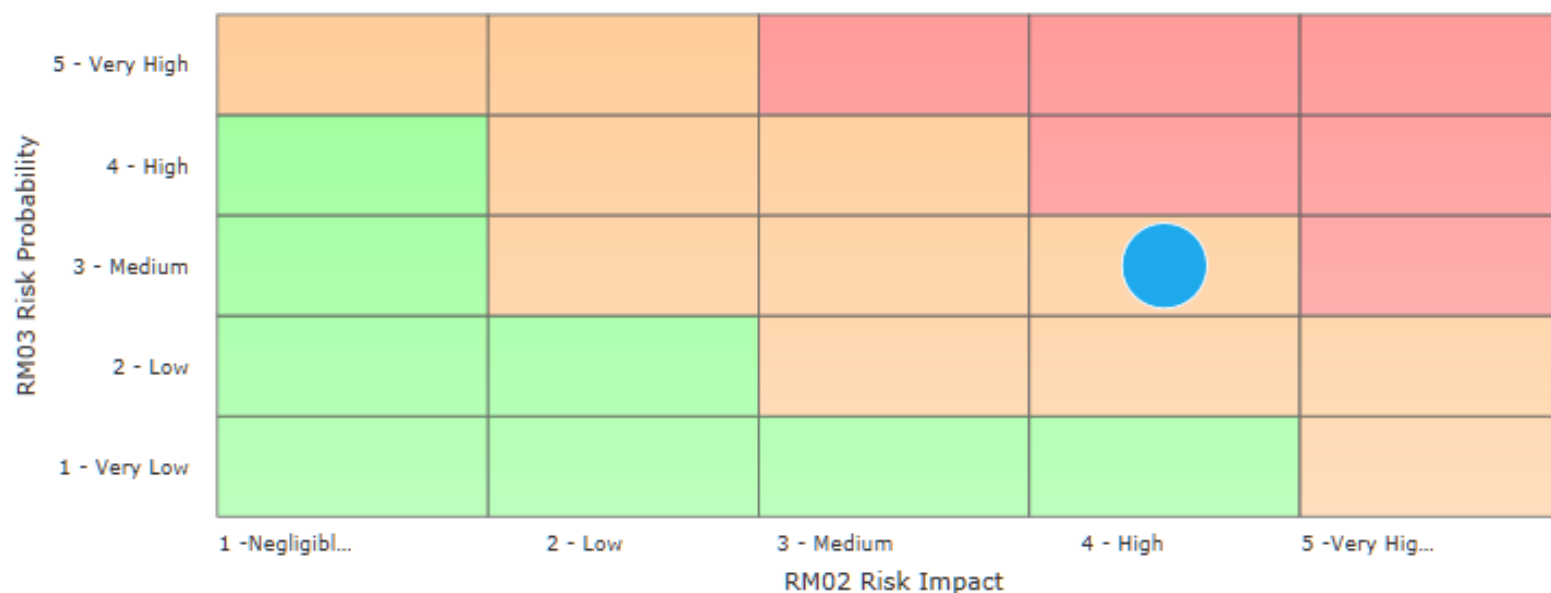
Risk 12 - Increasing Risk of Cyber Attack

Responsible Officer	Strategic Director - Place
Lead Cabinet Member	Cabinet Member for Community and Resources

Risk rating prior to mitigation

August 2017 - Medium (9)

Risk	Description	Jun 2018	
		Identified	Links To
Risk 12 - Increasing Risk of Cyber Attack	Risk of data loss, disaster recovery, impact of possible fines.	Sep 2017	<ul style="list-style-type: none"> Corporate Plan Modernised Council Agenda People and Business Change Service Plan



Risk 12 - Assessment Date & Score					
Series					
Risk Score		Risk Rating			
		Sep 2017	Dec 2017	Mar 2018	Jun 2018
▶ RM01 Risk Rating	Risk Score	9	9	9	12
	Risk Rating	●	●	●	●

Jun 2018	
Risk - Direction of Risk	Direction
The threat of cyber attack has previously been based on the impacts of fraudulent and illegal activity. Recent Home Office advice suggests that there needs to be further consideration of cyber attack originating from another State or terrorist organisation. The risk has therefore been updated.	✘

Planned Mitigation

Jun 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
✓ Risk 12.01	Using and Securing Data in line with the council's Digital Strategy. Numerous information risk management activities including the role of the Information Governance Group, Senior Information Risk Owner (SIRO), and Annual Information Risk Report. Also managing compliance, information security incident management, training and awareness raising.	Most information risk management activities are carried out on an on-going basis. Scheduling issues with the IT Annual Health Check have impacted on PSN submission and remediation action plan. Remediation action plan prioritised for the IT Service, SRS and part way through resolving vulnerabilities. Reduced number of information security incidents during 17/18. Lessons are learned from incidents. Further improvements to business continuity arrangements are scheduled. The Information Governance Group, SIRO and information governance team manage information risk on behalf of the council.
✓ Risk 12.02	Working with SRS to implement Office 365, including cyber security suite.	On-going.

Risk 13 - Asset Management: Carriageways and Buildings

Responsible Officer	Strategic Director - Place
Lead Cabinet Member	Cabinet Member for Streetscene The Deputy Leader and Cabinet Member for Assets and Member Development

Risk rating prior to mitigation

August 2017 - High (20)

Risk	Description	Jun 2018	
		Identified	Links To
Risk 13 - Asset Management: Carriageways and Buildings	This links to budget challenge and Government changes to financial settlement and grant funding. This refers to the council's ability to maintain assets in the short, medium and long term due to increasing budget pressures.	Sep 2017	<ul style="list-style-type: none"> ▪ Corporate Asset Management Plan 2018-2023 ▪ Corporate Property Strategy and Strategic Asset Management Plan 2013-2018 ▪ Streetscene Service Plan

Risk 13 - Description/Rationale

Carriageways

It is acknowledged throughout Wales that current funding levels fail to ensure a minimum of steady state in highway condition and untreated highway assets continue to deteriorate. Although Newport has proactively used its powers to fund highway condition improvements through prudential borrowing and has benefited from Welsh Government's Local Government Borrowing Initiative (LGBI), the cessation of the Welsh Government's Road Maintenance Grant has resulted in under investment into the city's carriageway asset stock since 2014/15.

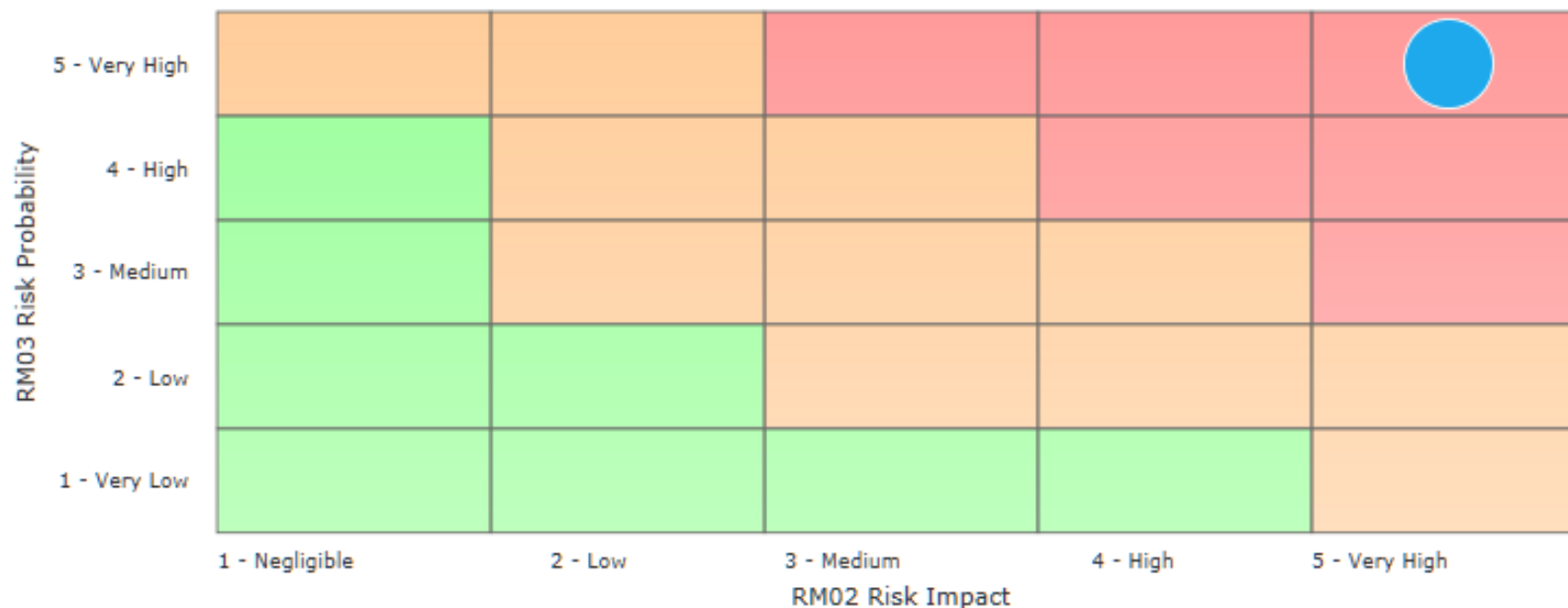
Carriageway condition is a Public Accountability Measure within the council's suite of performance indicators. using the Horizons asset management tool, highway condition can be forecasted for future years against differing levels of capital funding. Using a zero capital budget scenario, the condition evaluations are:

- Cost (over 5 year period) to bring the network up to standard (clear maintenance backlog) = £31.8M.
- Cost (over 5 year period) to keep the PIs PAM 020,021 and 022 at a steady state (maintain current network condition) = £13.4M.
- Gross replacement cost £646M.

Buildings

Newport City Council has a significant property estate, many of which have suffered from a lack of annual and cyclical repair, maintenance and investment. £1.5M is invested annually within the NCC estate from the Capital Maintenance Programme, however, this is not enabling a meaningful impact in reducing the maintenance backlog, which is estimated to be at a value of £50M (dated May 2017). NCC is investing its repair and maintenance programme at a rate of £105/m² which is particularly low compared to adjacent authorities and public sector organisations.

The majority of backlog is contained within building elements such as roofs, timber windows, boilers and electrical works. Based on a maintenance backlog estimate of £50M and assuming a £3M annual depreciation across the estate an investment of £8M per annum would be required.



Risk 13 - Assessment Date & Score					
Series					
		Risk Score		Risk Rating	
		Sep 2017	Dec 2017	Mar 2018	Jun 2018
▶ RM01 Risk Rating	Risk Score	20	20	25	25
	Risk Rating	▲	▲	▲	▲

Jun 2018	
Risk - Direction of Risk	Direction
Buildings - Pressure upon the Council's annual capital maintenance programme continues and this is being managed in-year by the Capital Strategy and Asset Management Group.	➔
Carriageways - despite mitigating actions in place the condition of carriageways continues to decline, this risk is now rated as very high.	

Planned Mitigation

Jun 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
✓ Risk 13.01	Carriageways – The limited capital investment has been implemented to maximise the safety, serviceability and sustainability of the highway asset. However, asset condition continues to decline.	Carriageways - Insufficient funding continues to impact of highway condition. Refinements in the way that highway authorities road condition is forecasted shows that current maintenance backlog for 2018/19 is predicted to be approximately £24m and is predicted to rise to £28m during 2022/23.
✓ Risk 13.02	Carriageways – Robust highway inspection and repair regimes mitigate the risk of 3rd party claims as a result of failure of duty to maintain the highway under Section 41 Highways Act.	Carriageways – Robust highway inspection and repair regimes mitigate the risk of 3rd party claims as a result of failure of duty to maintain the highway under Section 41 Highways Act.
✓ Risk 13.03	Carriageways – Support WLGA in its lobbying of Welsh Government for the reintroduction of funding through another round of LGBI.	Welsh Government have confirmed £1m one off grant for highway capital maintenance in 2018/19. Asset condition has been recalculated following this investment. However, although welcome, considering the level of maintenance backlog, little impact is anticipated on whole life of network
✓ Risk 13.04	Buildings – Condition surveys are being enhanced for 2017/18 and 2018/19 to better understand the entire estate, with a reduced commitment for each year thereafter for cyclical condition surveys and specialist surveys to accompany.	Buildings - Surveys throughout the estate continue and are being presented to Capital Strategy and Asset Management Group (CSAMG) for incorporation within the annual Capital Maintenance Programme.
✓ Risk 13.05	Buildings – A greater level of programming and prioritisation of the Capital Maintenance Programme for delivery to include life expectancy, building sufficiency and suitability, as well as backlog value.	Buildings - A prioritisation matrix based on a number of factors with proportionate weighting has been implemented for evaluation purposes and provides the Capital Strategy and Asset Management Group (CSAMG) with the intelligence to make informed decisions. CSAMG are regularly briefed at the meetings, and outside of meetings as determined by the level of priority.

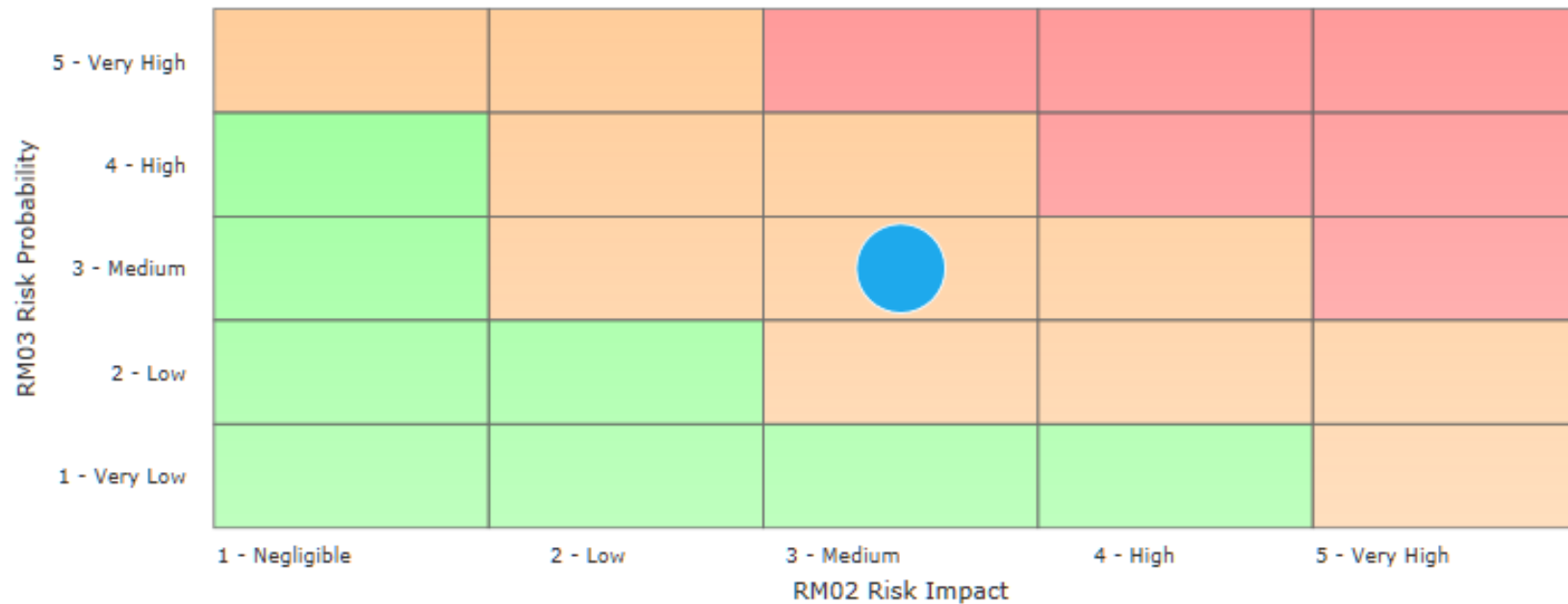
Risk 14 - Recruitment and Retention of Specialist Professional Staff

Responsible Officer	Chief Executive
Lead Cabinet Member	Cabinet Member for Community and Resources

Risk rating prior to mitigation

August 2017 - Medium (12)

Risk	Description	Jun 2018	
		Identified	Links To
Risk 14 - Recruitment and Retention of Specialist Professional Staff	Resilience of council services and ability to retain specialist professional staff and attract new employees in a competitive market place.	Sep 2017	<ul style="list-style-type: none"> Corporate Plan



Risk 14 - Assessment Date & Score					
Series					
Risk Score		Risk Rating			
		Sep 2017	Dec 2017	Mar 2018	Jun 2018
RM01 Risk Rating	Risk Score	12	12	12	9
	Risk Rating	●	●	●	●

Jun 2018	
Risk - Direction of Risk	Direction
Two pieces of work have completed since the last update; gender pay gap reporting and an equal pay audit, both of which report favourably in terms of the pay and employment of women in the Council. Whilst there remain specific difficulties in attracting key professions into the Council, this will remain a challenge in the geographical area with Cardiff and Bristol being equally commutable.	✔

Planned Mitigation

Jun 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
✔ Risk 14.01	Review of equal pay audit in March 2018 to ensure integrity of the Council's pay and grading system.	This action has been completed and the equal pay audit did not identify any key issues requiring attention.
✔ Risk 14.02	Effective succession planning practices demonstrated in key service areas where risk is perceived to be high.	Heads of Service will be required to effectively succession plan to ensure internal talent is being developed in order to successfully appoint to key positions when vacancies arise due to external progression. Heads of Service will need to work closely with their HR Business Partner to identify their individual risks and what development needs exist within their current workforce.

Appendix 2

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

Risk Scoring

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

Risk Matrix

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

Appendix 3

Impact Matrix

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

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

Probability

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