

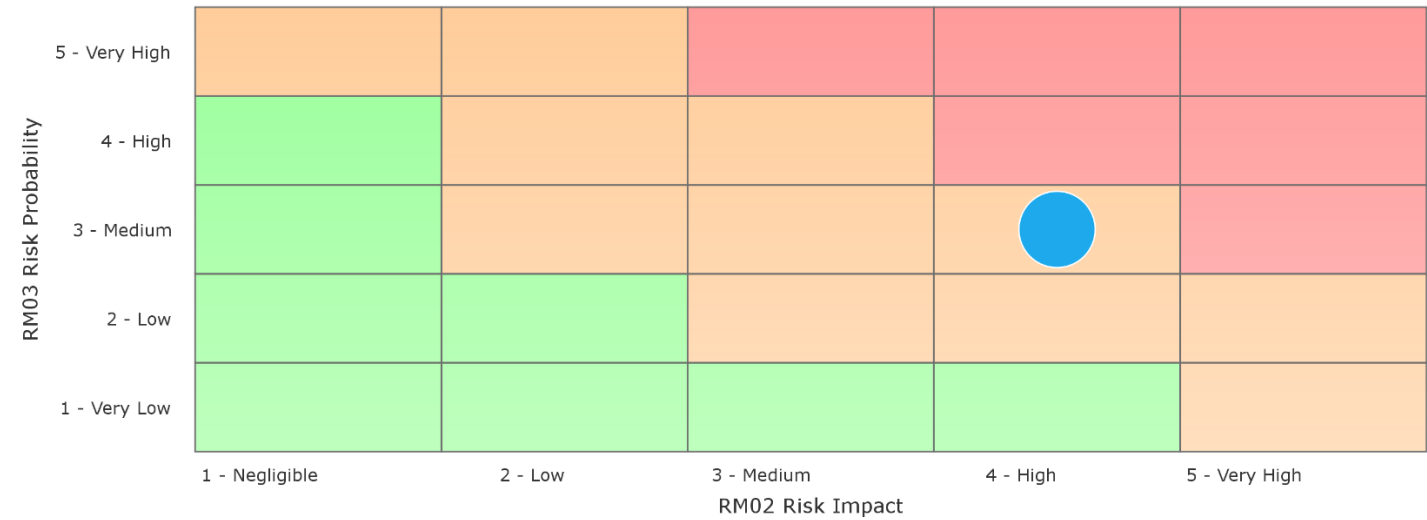


NCC Corporate Risk Register

2018/19 Quarter 3 Update

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



Dec 2018		Risk 01 - Assessment Date & Score								
Risk - Direction of Risk	Direction	Series								
The risk remains at 12 as the actions in place are still managing this risk. However, it is recognised that if non compliance does arise there is an impact on the Council's reputation and finance.	➔	Risk Score		Risk Rating						
		RM01 Risk Rating		Risk Score	Mar 2018	Jun 2018	Sep 2018	Dec 2018		
				Risk Rating						

Mitigating Action

All 12 selected

	Dec 2018	
	Planned Mitigation	Risk - Action Status/Control Strategy
<input checked="" type="checkbox"/> Risk 01.01	Welsh Language Act: Strategic Equalities Group monitors implementation supported by Welsh Language Group.	To reflect the significance of the Equalities Agenda the Strategic Equalities Group (SEG) now meets every other month, engaging with different Equalities Objective in each meeting. The group continues to be chaired by Deputy Leader who has responsibility for the equalities agenda. The group has ongoing representation from Trade Unions, Senior Management, and a members of the political opposition. The Welsh Language Implementation Group continues as the internal working group charged with the responsibility of delivering and implementing the Welsh Language Standards across the authority. The group is facilitated by the authority's Welsh Language Officer with support from senior management.
<input checked="" type="checkbox"/> Risk 01.02	Welsh Language Act: Action plans in place and being monitored. This has shown significant progress.	Welsh Language action plans are monitored and used to monitor progress, which will also form part of the annual report. A 'mystery shopper' exercise being developed over the next quarter will support, testing the provision in place and highlighting areas for future development.
<input checked="" type="checkbox"/> 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.	The authority has continued to promote awareness of Welsh Language Standards and has publicized the availability of guidance on the intranet and staff notice boards. Over the coming year, we will be looking to refresh this material to ensure we keep momentum in regards to Welsh Language Standards moving forward, the annual report will also reflect on this.
<input checked="" type="checkbox"/> 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.	The annual budget for welsh language and equalities funds posts on the corporate team to support the development of welsh language provision, including meeting welsh language standards. There is a service level agreement in place with Cardiff Council and this can be used by officers across the Authority to provide translation services on request. Cardiff Council's translation unit has proved able to accommodate the specific requirements of the authority, particularly in regards to the translation of the Newport City Council's Corporate Website. Advice and guidance continues to be provided to services, and where complaints or issues are raised these are investigated for lessons learned.
<input checked="" type="checkbox"/> Risk 01.05	Welsh Language Act: 5 year strategy developed through consultation.	The 5 Year Welsh Language Strategy is published and the Authority has demonstrated good progress in delivering on many of the actions established within. This has included work with education and the update of promotional materials through the 'Benefits of Bilingualism' campaign. Progress will be further reported in the annual Welsh Language Report at the end of the current year.

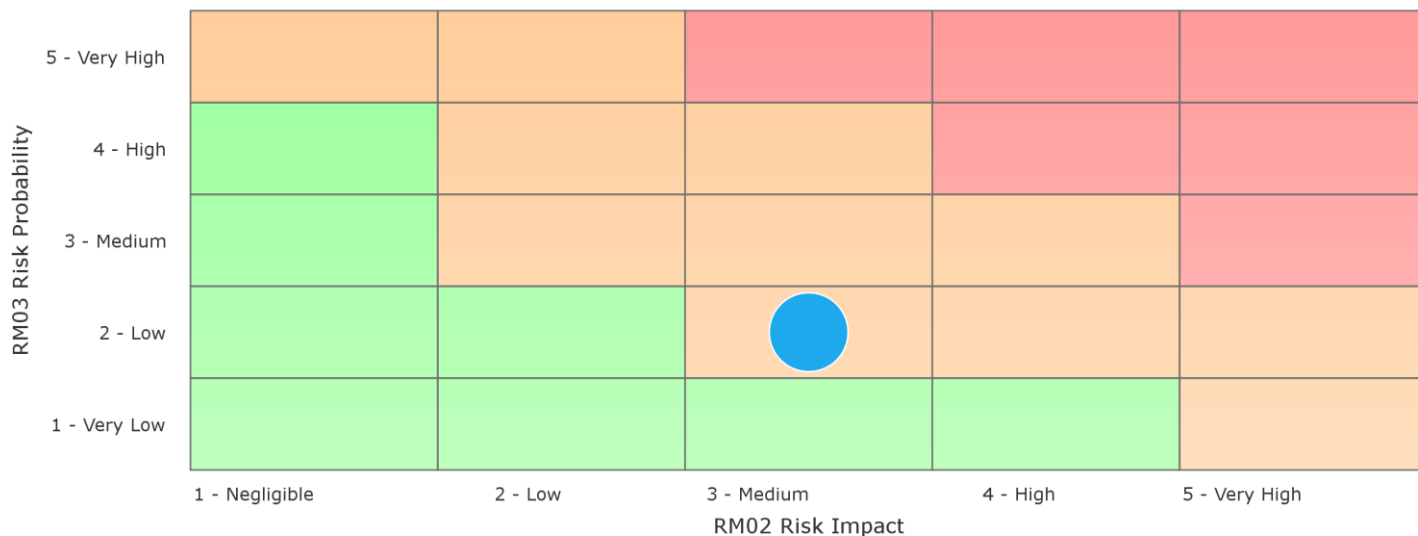
RISK 01 - Legislative Requirements

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

<input checked="" type="checkbox"/> 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.	Work on the mid year service plan reviews has reinforced the five ways of working, as have reviews by Wales Audit Office particularly around corporate plan progress. The annual report has been compiled and published supporting the developing work on wellbeing objectives. This has been used to complete the Future Generations Commissioner 'toolkit' to establish NCCs development of the principles of the Act.
<input checked="" type="checkbox"/> 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 updated to reflect the principles of the Act. Mid year service plan reviews have reinforced this, although this work needs to continue to evolve. WAO feedback following the recent review of the five ways of working will support this and can be used to develop work further. Head of People and Business Change comments on formal reports also provide assurance that the five ways of working of the WFG Act are considered in decisions. Work ongoing and may mean this risk is closed at year end.
<input checked="" type="checkbox"/> 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, focus currently on delivery of the Well-being Plan published May 2018. First year progress will be published in May 2019 including report to Scrutiny. Representation of all sectors are involved in delivery of the plan although formal performance reporting has not yet commenced. Newport's PSB is wider than the statutory participants and is providing an effective partnership forum for issues that impact across the city.
<input checked="" type="checkbox"/> 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.	Wellbeing assessment published and will be reviewed this year, work has commenced on updating the population data. Work programme reported to PSB, behind schedule owing to resource commitments. Development work with colleagues across the Gwent local authorities through the Gwent Strategic Well-being Assessment Group (GSWAG) officer group.
<input checked="" type="checkbox"/> Risk 01.10	Future Generations Act: Development of wellbeing objectives finalised, and aligned with performance reporting.	First combined annual report has been received by Cabinet. Scrutiny are also reviewing progress against the corporate plan and how this is reported - this will incorporate wellbeing objectives. This work will develop with service planning and work by WAO to review this area, as reported above.
<input checked="" type="checkbox"/> 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.	Diversion of municipal waste and other recycling activities in place to meet 18/19 recycling target; waste strategy with proposals to increase recycling long term fwere presented to Cabinet Member and Strategy and were approved on 28/12/19 - changes to be implemented from next financial year to ensure 19/20 target of 64% is met.
<input checked="" type="checkbox"/> 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.	The GDPR Task & Finish group has now been transitioned in to an on-going Data Protection Group led by Information Management, with continued representation across services. The GDPR Action Plan was updated in Quarter 2 and is monitored by this new Data Protection Group and the Information Governance Group. The GDPR action plan has been improved with more detailed actions and progress updates. Day to day data protection issues are managed by Information Management.

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

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



Dec 2018		Risk 02 - Assessment Date & Score							
Risk - Direction of Risk	Direction	Series							
The programmes that are in place to mitigate this risk are underway. we will need to assess the impact of these programmes over the next 12 to 18 months.	↓	Risk Score		Risk Rating					
		RM01 Risk Rating		Risk Score	12	9	9	6	
				Risk Rating	●	●	●	●	

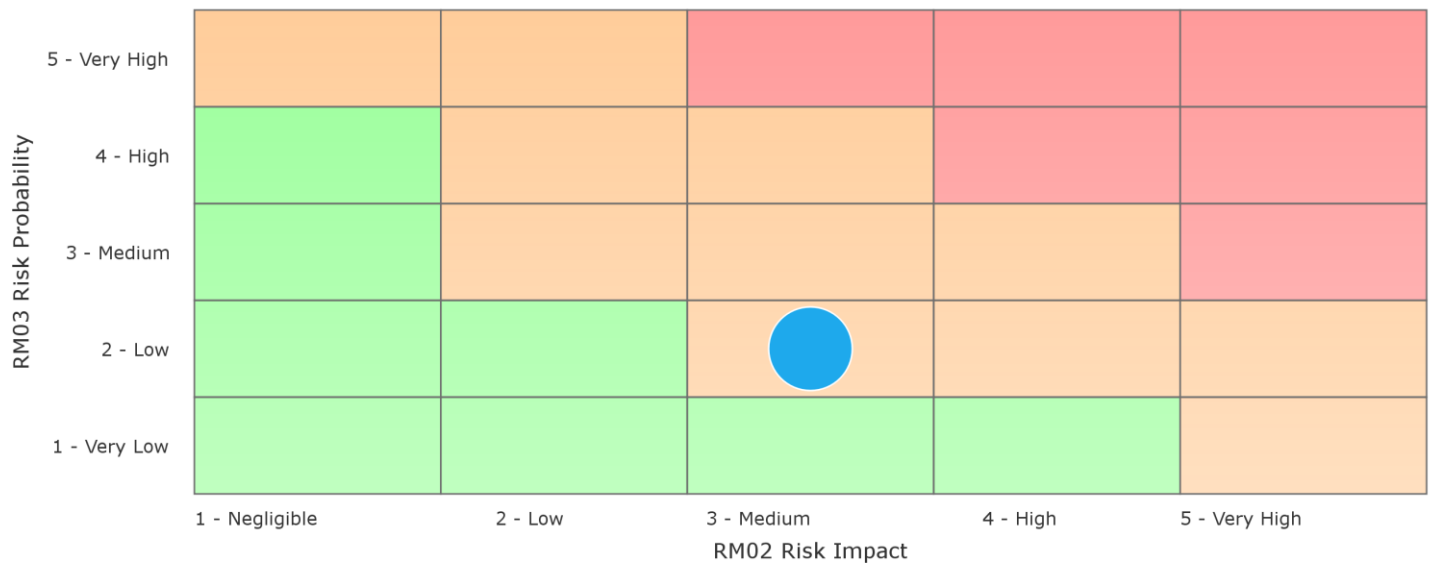
Mitigating Action






All 7 selected

Dec 2018		Planned Mitigation		Risk - Action Status/Control Strategy	
<input checked="" type="checkbox"/>	Risk 02.01	People and Business Change will pilot career pathway planning in Autumn 2017 to role model to other service areas.		Still in progress.	
<input checked="" type="checkbox"/>	Risk 02.02	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.		ILM continues to be offered and taken up by the workforce, with the latest offer of an ILM level 5 in Coaching and Mentoring due to start in January 2019. HR&OD Business Partners due to receive one day training on Workforce Planning in early February to develop skills set around supporting service areas to better plan for future workforce requirements.	
<input checked="" type="checkbox"/>	Risk 02.03	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.		Still in progress	
<input checked="" type="checkbox"/>	Risk 02.04	Additional Investment in Project Management and business change resources.		On hold pending report to Senior Leadership Team (SLT) on options	
<input checked="" type="checkbox"/>	Risk 02.05	Coaching, shadowing and mentoring opportunities delivered as part of the change programme.		ILM coaching and mentoring commences January 2019 with formal network to be established once first cohort of coaches have started.	
<input checked="" type="checkbox"/>	Risk 02.06	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.		Currently reviewing innovation and change management programme, for reporting back to SLT in Feb 2019. MI Hub is being developed to support organisational project management and we are sourcing management training on continuous innovation practices.	
<input checked="" type="checkbox"/>	Risk 02.07	People service plan to heavily focus on workforce planning and OD for next 12 months.		One day workshop on Workforce Planning to take place early February to support the development of future planning.	

RISK 03 - Safeguarding

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



Dec 2018		Risk 03 - Assessment Date & Score					
Risk - Direction of Risk	Direction	Series					
In addition to the work undertaken by the Council's safeguarding team, the recent Estyn Report did not raise any significant concerns / issues with the Council's safeguarding process. A Cabinet Report presented in February 2019 also highlighted the policies, processes in place to manage safeguarding. The risk score has been reduced to a 6 to reflect this work.		<div>Risk Score</div> <div>Risk Rating</div>					
				Mar 2018	Jun 2018	Sep 2018	Dec 2018
		RM01 Risk Rating	Risk Score	8	8	8	6
			Risk Rating				

Object Measure Name

All 7 selected

Dec 2018		Risk - Action Status/Control Strategy	
	Planned Mitigation		
<input checked="" type="checkbox"/>	Risk 03.01	Safeguarding Action Plan agreed and implementation underway.	Completed
<input checked="" type="checkbox"/>	Risk 03.02	Continuous review of policies and procedures.	Completed
<input checked="" type="checkbox"/>	Risk 03.03	Raising awareness of policies and procedures with staff.	<p>Corporate safeguarding statement in the intranet, with suite of policies and processed up to date also available</p> <p>We raised awareness within the Council on the intranet and stands in Civic and Information Station for the duration of national safeguarding week in November 2018.</p> <p>We also provided lunch time sessions each day for all Council staff to raise the profile of adults at risk and Child Sexual Exploitation (CSE).</p> <p>The Welsh Government theme was exploitation for the national safeguarding week, Newport's intranet pages included all messages and awareness raising for the week on all areas of exploitation for children and adults.</p> <p>We held a practitioner event to further raise awareness for all practitioners within Newport in social care and related services, with attendance of 82 practitioners.</p> <p>There will be a re-launch of the safeguarding policies and procedures after the first safeguarding Champion meeting in February 2019.</p> <p>Social Care staff are also directed to the Gwent safeguarding website for more information</p>

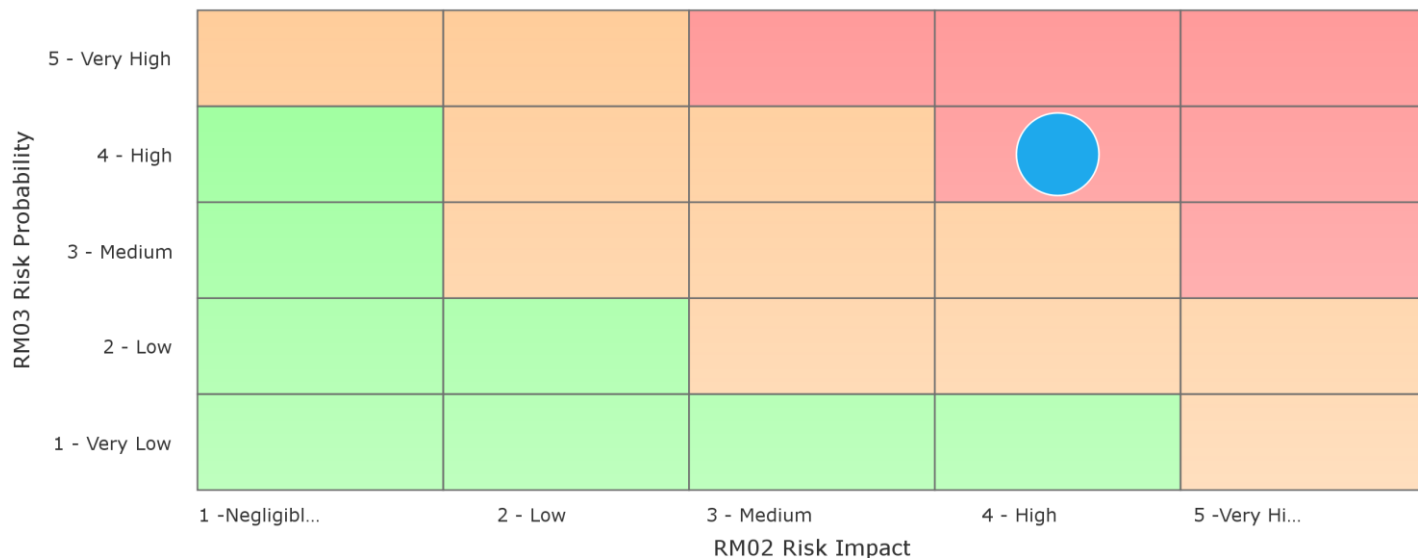
RISK 03 - Safeguarding

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

<input checked="" type="checkbox"/> Risk 03.04	Partnership working.	Partnership working continues to build within the Safeguarding HUB. Children and adult social services, Police, Independent Domestic Violence Advisor's (IDVA) and Prevention services are all in the central office, Education joined in December to pilot the 'encompass' model of communication between Police and attendance at domestic incidents with the schools the next morning. Children services are part of the RAG rating of information that goes to the schools. Single points of access (spoc) in place with other partners, Health, Probation, CRS, Gwent Drug and Alcohol Service (GDAS) and specialist services. Newport safeguarding Network meet 6/52 to share information updates from the regional safeguarding Board and local developments. National safeguarding week in November enabled stalls and lunch time sessions open to all council and partner agencies to attend. The week concentrated on exploitation and introduced the safeguarding champion role across the council.
<input checked="" type="checkbox"/> Risk 03.05	Establishment of Safeguarding Champions across the service areas.	The introduction of the safeguarding champions across the council was introduced during National safeguarding week and we now have a nomination from all areas of the Council. 1st champion meeting planned in early February 2019.
<input checked="" type="checkbox"/> Risk 03.06	Review Schools DBS procedure.	Disclosure & Barring Service (DBS) review for education staff is underway in collaboration with HR, starting with a scoping exercise of numbers of staff with a DBS over 3 yrs old and with a preparation of accurate information to be discussed with SLT regarding options going forward. Schools will be required to hold the information locally and update.
<input checked="" type="checkbox"/> Risk 03.07	Safeguarding Training to be provided to Council Members and staff	Councillors were invited to the lunchtime sessions raising awareness on safeguarding topics during safeguarding week. In the process of planning a schedule of training for Members, when their schedules allow. This will be confirmed for next quarter.

RISK 04 - Decision to leave the European Union (Brexit)

Responsible Officer	Chief Executive
Lead Cabinet Member	Leader of the Council



Dec 2018	Risk 04 - Assessment Date & Score				
Risk - Direction of Risk	Direction	Series			
A review of this risk was undertaken between SLT, and other strategic partners in the council. The Council has taken steps to establish an action plan to identify and manage the Brexit risk through the Task & Finish Group, Civil Contingencies at the Local Resilience Forum and to action / oversee the implementation of Brexit mitigations. The uncertainty over the final UK position reflects why this has increased to 16.		Actual	Risk Rating		
				Mar 2018	Jun 2018
				Sep 2018	Dec 2018
		RM01 Risk Rating	Actual	9	9
			Risk Rating		

Dec 2018	Planned Mitigation		Risk - Action Status/Control Strategy	
<input checked="" type="checkbox"/> Risk 04.01	Finance / Supplies & Services – The Council will closely monitor its financial position as part of its annual budget setting process and Medium Term Financial Planning. For Council activities and services which are EU funded there is ongoing discussions with the Welsh Government to put in arrangements after 2021.	The Council will be liaising with its strategic partners (Newport Norse / SRS / Newport Live) to assess the impact on its supplies and services. Also across the Council, service areas are being asked to identify their high risk / key contracts and to obtain the necessary assurances of any Brexit impact which could affect the availability and cost of supplies or services.	Following the Council's review of the Brexit risk and the establishment of the new Task & Finish Group this risk action has been updated in Quarter 3. The Council's Finance team is represented at the Task & Finish Group and work has been ongoing monitoring the Council's finances as part of its budget setting process and medium term financial planning.	
<input checked="" type="checkbox"/> Risk 04.02	Regulation / Legislation – The Council's Regulatory Services (Trading Standards and Licensing) will receive advice and guidance from the Home Office and work closely with Association of British Ports (ABP) to manage any impact on the service.		As a result of the Council's review of the Brexit risk and establishment of the Task & Finish Group, this risk action was updated in Quarter 3. The Council's Regulatory Services including Trading Standards have been receiving ongoing information and assurances from the Welsh Government Association of British Ports and the UK Government. Work is ongoing in the team to prepare for April 2019 and beyond.	
			The Local Resilience Forum (partnership wide group consisting of local authorities, Emergency services and other public sector groups) has also been involved in ensuring sufficient stores and arrangements are in place to mitigate any potential disruptions to the port and access routes.	

RISK 04 - Decision to leave the European Union (Brexit)

Responsible Officer	Chief Executive
Lead Cabinet Member	Leader of the Council

<input checked="" type="checkbox"/> Risk 04.03	Governance – The Strategic Director/Place is part of a Brexit group led by the WLGA working with other local authorities and other public sector bodies. Brexit is included as a standard agenda item at the Corporate Management Team (CMT) meeting. A Task & Finish Group has been established with service area experts to monitor and implement necessary actions in preparation of Brexit. Regular updates will be provided to the Senior Leadership Team (SLT) and Cabinet on the Council's Brexit preparations.	<p>Following a review of the Council's Brexit risk this action has been updated. In Quarter 3, the Council formally established the Brexit Task & Finish Group using guidance provided by the Welsh Local Government Association in November 2018. The Council also has Brexit as a standard agenda item at Senior Leadership Team and Corporate Management Team.</p> <p>The Director of Place has also been attending Meetings held by the Welsh LGA and the Local Resilience Forum with Civil Contingencies. Information and guidance from these meetings is being disseminated to all relevant officers in the Council.</p>
<input checked="" type="checkbox"/> Risk 4.04	<p>Human Resources - The Council will need to capture information on the number of existing staff members which are from the EU and ensure necessary arrangements are in place for new starters in the Council. Long term, the Council will monitor and liaise with service areas and partners on the impact of Brexit on resources and skill issues / opportunities as a result of leaving the EU.</p> <p>Guidance and advice will also need to be available to EU staff members on completing any residency applications.</p>	<p>This is a new risk which was raised as a result of the review undertaken in Quarter 3. As part of the Council's Brexit Task and Finish Group, a sub group meeting between the Council's Communication team, HR and Civil Contingencies took place. HR confirmed that an internal communication to staff has been drafted and being reviewed. It is planned for this to be issued in February 2019. Discussions on the Council's internal and external communications is being discussed at the Task & Finish Group.</p>
<input checked="" type="checkbox"/> Risk 4.05	Civil Contingencies - For regular updates to be provided to the Council and Brexit Task & Finish Group on Regional and National wide Brexit preparations. Regular updates from the Gwent Local Resilience Forum which includes local authorities, Police, Fire, Health as well as Welsh Government, WLGA and other strategic group updates will be included as part of this process.	<p>This is a new action following the review of the Council's Brexit risk. In the last quarter regular updates have been provided as part of the Council's involvement at the Gwent Local Resilience Forum, Welsh Government and WLGA groups. Government and non government agencies have been making preparations to manage different Brexit scenarios. Where applicable, this information is being shared with the Council's Brexit Task & Finish Group.</p>

Risk 05 - In Year Financial Management

Responsible Officer

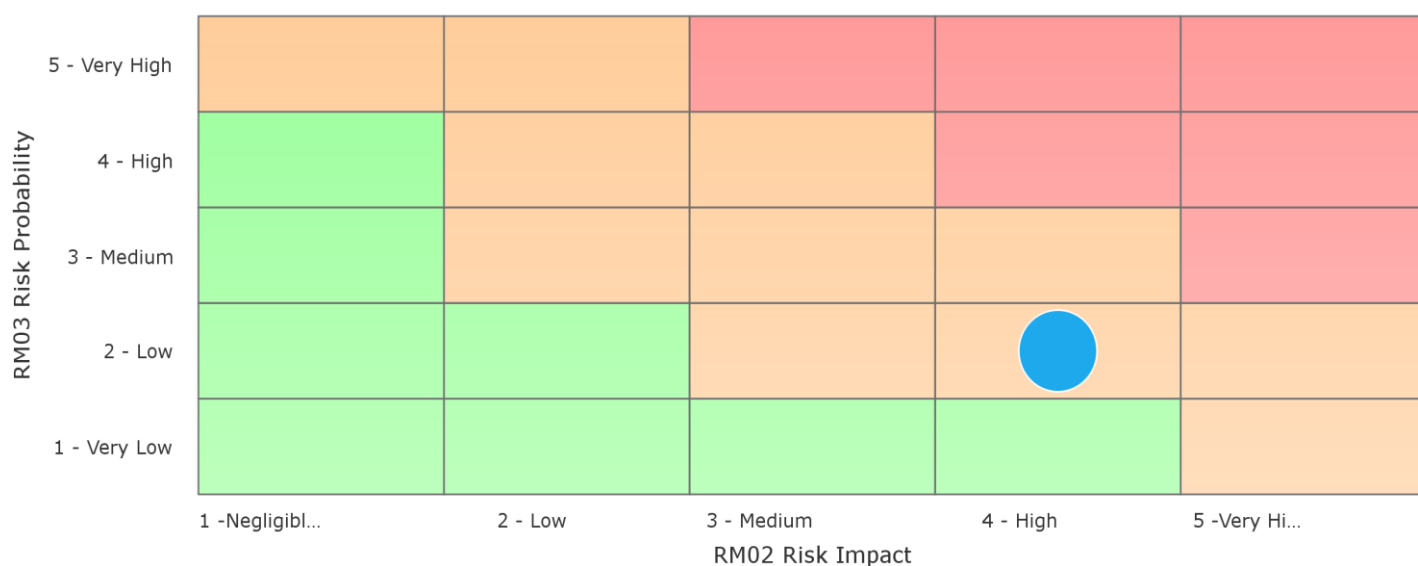
Chief Executive

Directors

Heads of Service

Lead Cabinet Member

Leader of the Council



Dec 2018		Risk 05 - Assessment Date & Score					
Risk - Direction of Risk	Direction	Series					
The October monitoring reported to Cabinet in December continued to show an underspend. A decision has been made to move £2m of this underspend to invest to save reserve for to support the medium term budget pressure.	➔						
		Actual	Risk Rating				
				Mar 2018	Jun 2018	Sep 2018	Dec 2018
		RM01 Risk Rating	Actual	9	8	8	8
		Risk Rating	●	●	●	●	

Dec 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
<input checked="" type="checkbox"/> Risk 05.01	CMT instigated targeted spending freeze on non-essential spending.	Mitigation action closed as completed.
<input checked="" type="checkbox"/> 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.	Mitigation action closed as completed.
<input checked="" type="checkbox"/> 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.	Mitigation closed as completed
<input checked="" type="checkbox"/> Risk 05.04	Heads of Service with their service managers, supported by corporate business partners will plan actions to mitigate and bring down overspends in the future.	Mitigating actions have been discussed with heads of service, and plans have been submitted in the MTFP for savings and pressures to balance the current position. Ongoing work will need to be carried out to ensure the savings proposals are achieved and costs stay within cash limits set in 19/20.
<input checked="" type="checkbox"/> Risk 05.05	Focus on forward planning to ensure early identification of potential overspending to enable early resolution and incorporate into medium term financial projections, where unavoidable, as appropriate.	Meetings with Directors and Heads of service to look at medium term financial projections which have been included in the MTFP. Demand models will need to be developed and updated on a regular basis with the MTFP updated accordingly. Going into 19/20 demand pressures have been identified and the 19/20 cash limits are being set accordingly.
<input checked="" type="checkbox"/> Risk 05.06	Ensure medium term planning based on robust information on key cost drivers and risk areas.	As 05.05 demand models need to be refined and developed on an ongoing basis to support the MTFP.

Risk 06 - Balancing the Council's Medium Term Budget

Responsible Officer

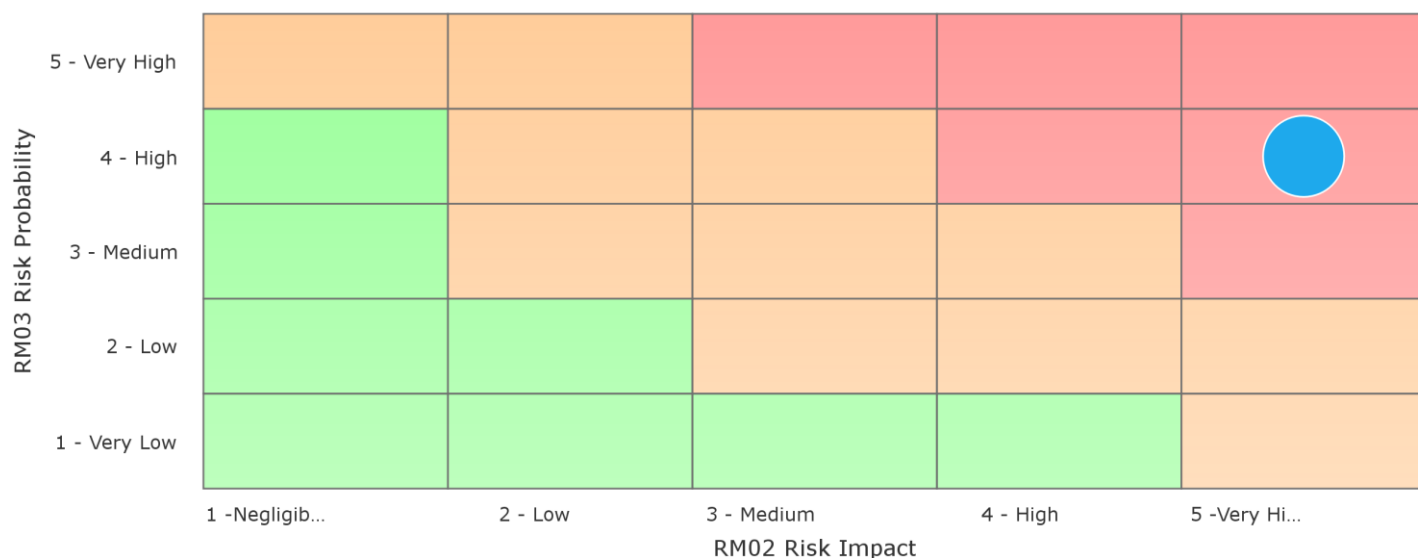
Chief Executive

Directors

Heads of Service

Lead Cabinet Member

Leader of the Council

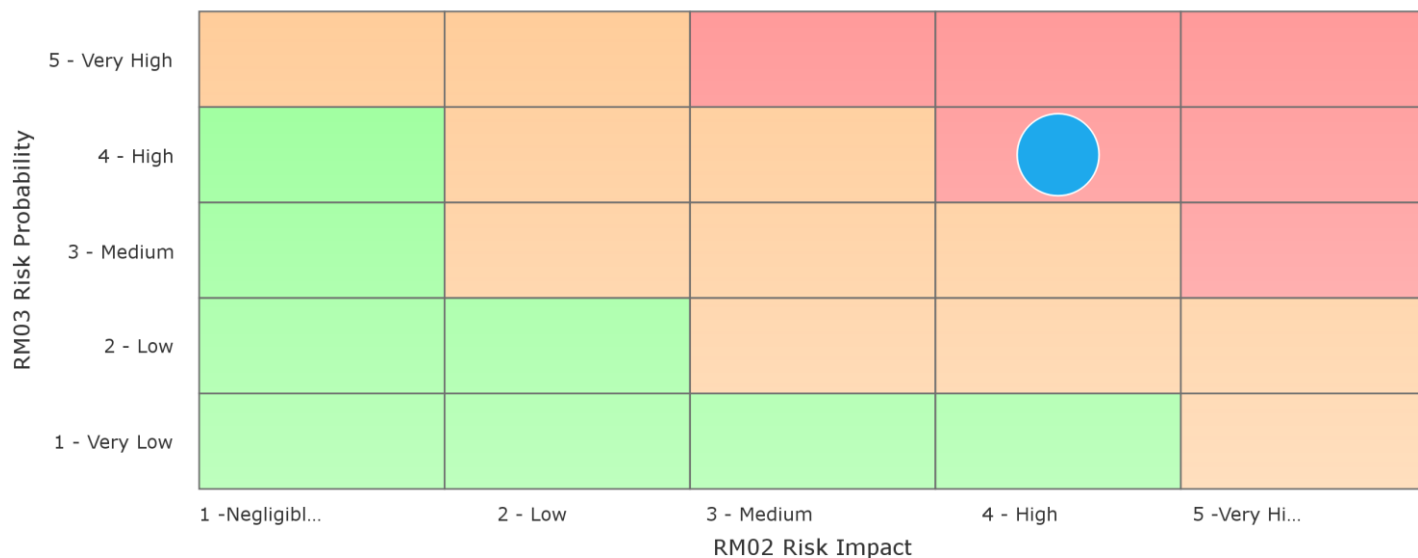


Dec 2018		Risk 06 - Assessment Date & Score							
Risk - Direction of Risk	Direction	Series							
The risk remains at 20 for this period which reflects the ongoing challenges in reducing the gap between the Council's funding and delivery of services in the medium to long term. Council Service Areas are being asked to review their services and activities to identify future savings and to meet the demand of our users which is overseen by the Council's Senior Leadership Team and Cabinet.	➔								
		Actual	Risk Rating						
				Mar 2018	Jun 2018	Sep 2018	Dec 2018		
		RM01 Risk Rating	Actual	16	16	20	20		
			Risk Rating	▲	▲	▲	▲		

Dec 2018		Risk - Action Status/Control Strategy				
	Planned Mitigation					
<input checked="" type="checkbox"/> Risk 06.01	On-going review and challenge to budget pressures within the MTFP	Meetings have been carried out with Heads of Service and Strategic Directors with Finance to agree forecasts for future pressures. These have highlighted a number of challenges for the future Medium Term Financial Plans (MTFP) which will need to be managed through the budget process. There remains a level of uncertainty on a number of the pressures which need to be regularly reviewed including demand on Special Education Needs (SEN) and comm care and uncertainty on funding including teachers pension increases.				
<input checked="" type="checkbox"/> Risk 06.02	Discussions with SLT to review cash-limits for each service areas with view to identify savings and mitigation of pressures	Final cash limit meetings have been carried out, and budgets have been set for 19/20 subject to Cabinet decision in February. There is still a medium term budget gap and the challenge now for the boards will be to come up with plans on how to reduce this gap over the medium term.				
<input checked="" type="checkbox"/> Risk 06.03	Project initiated to draw up a medium term change programme by June 2018 latest.	While there is a balanced budget for 19/20. Boards will need to come up with plans on how to manage the medium term budget gap, and come up with proposals early in the new year to work towards reducing the gap.				
<input checked="" type="checkbox"/> Risk 06.04	4 boards to discuss and draw up strategic projects that will deliver savings over the medium term to mitigate	Further discussions have taken place with SLT to agree cash limits for Service Areas which have now been included as part of the budget consultation by Cabinet.				

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



Dec 2018		Risk 07 - Assessment Date & Score						
Risk - Direction of Risk		Direction	Series					
The risk score should remain at 16 based upon the ongoing budget and demand pressures being placed on the Council's Children Services, Adult Services, Education Services and Housing. As part of the Council's ongoing strategic planning, performance and risk review, this risk will be reviewed for 2019/20.		➔	<div>Actual</div> <div>Risk Rating</div>					
					Mar 2018	Jun 2018	Sep 2018	Dec 2018
			RM01 Risk Rating	Actual	16	16	16	16
				Risk Rating	▲	▲	▲	▲

Planned mitigation

All 32 selected

Dec 2018		Planned Mitigation		Risk - Action Status/Control Strategy	
<input checked="" type="checkbox"/>	Risk 07.01	Education	Increasing population putting extra pressure on school places across Newport. One new school (due to open September 2017) and second new school (due to open September 2018). Both established largely through 106 funding. Additional school places have been established across the city through a capacity exercise. Where schools are being re-developed, (e.g. Bryn Derw, Caerleon Lodge Hill) additional places have been included.	The planning of school places (POSP) group meets once a term to consider surplus places and the pupil place challenge across the city. This provides forecast data and informs strategic planning. There are currently enough school places in both the primary and secondary phases to meet demand .	
<input checked="" type="checkbox"/>	Risk 07.02	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.	No further changes to date	
<input checked="" type="checkbox"/>	Risk 07.03		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.	Extension work o Maes Ebbw Special school will commence shortly , creating additional specialist provision for 3-19 year old pupils.	
<input checked="" type="checkbox"/>	Risk 07.04		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.	No further changes at present.	

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

<input checked="" type="checkbox"/> Risk 07.05	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.	Out of County placement shave stabilised, no further overspend is reported.
<input checked="" type="checkbox"/> Risk 07.06	MANAGING DEMAND – PREVENTION EARLY INTERVENTION 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.	The Older Persons Pathway continues to operate out of GP's surgeries, identifying those at risk and offering a stay well plan to maintain health and well-being. The project has evidenced positive impacts on diverting the need for additional services and is part of a workstream led by Annuerin Bevan Unitary Health Board (ABUHB) that is developing well being networks across the city
<input checked="" type="checkbox"/> Risk 07.07	MANAGING DEMAND – PREVENTION EARLY INTERVENTION Reconfiguring a number of service pathways including Frailty & Reablement to reduce duplication, streamline provision, facilitate hospital discharge and provide services focused on maintaining independence.	The integration of reablement is now complete and offers a time limited intervention upon discharge and to those who may need short term assistance upon first referral to Social Services. The service maximises independence and prevents the need for longer term care and support.
<input checked="" type="checkbox"/> Risk 07.08	MANAGING DEMAND – PREVENTION EARLY INTERVENTION Investment in preventative services including 2 Third Sector consortiums offering information, advice and assistance for any Newport citizen.	A review of both Third Sector Consortiums will take place during 2019/20. They have been in operation for over 2 years and whilst they have offered significant benefits to citizens needing to access low level support it is now appropriate to re-vist the service model to establish if they continue to be the most effective and efficient way to meet demand.
<input checked="" type="checkbox"/> Risk 07.09	MANAGING DEMAND – PREVENTION EARLY INTERVENTION Utilisation of ICF for Community Connectors offering community based assistance to people who require support to access low level services	The Community Connectors continue to be resourced by the Intermediate Care Fund. Regular monitoring information is submitted to ABUHB in line with the funding requirements. A new full time member of the team has recently been appointed. There are 8 Connectors working a combination of full and part time hours.
<input checked="" type="checkbox"/> Risk 07.10	MARKET MANAGEMENT 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.	The Commissioning Team work closely with providers to ensure quality and cost effectiveness. Relationships are well developed and communication ongoing. The Contracts Officers visit establishments regularly on a cyclical basis and in response to specific issues.
<input checked="" type="checkbox"/> Risk 07.11	MARKET MANAGEMENT Ensuring in house services are cost effective and targeted at community need.	The Supported Living Service has now been reduced from 4 homes to 2. The tenants have been successfully moved on to new independent living arrangements that is more appropriate to their needs. The remaining 2 homes are now scheduled to close and alternative placements are being sourced for the remaining tenants. Staff consultation processes are underway and whilst not a guaranteed timescale it is possible that the whole service will be closed by the end of the financial year. The Extracare contract is close to finisation and implementation planning is underway in partnership with the new provider. A start date of 1st April 2019 is in scope.
<input checked="" type="checkbox"/> Risk 07.12	MARKET MANAGEMENT Cost control –negotiating sustainable fees with providers that offer value for money whilst protecting the social care workforce	Work is underway to establish a fee negotiation strategy for 2019/20 and discussions are taking place with providers.
<input checked="" type="checkbox"/> Risk 07.13	MARKET MANAGEMENT Engagement with Regional workstreams to address National issues around the purchase of domiciliary and residential care services	As previous quarters comments... NCC continues to engage with Regional workstreams around domiciliary and residential care. Specifically, work around the development of a pooled budget and common contracts are in progress and joint monitoring and intelligence exchange with Health and partner Authorities continue to develop.
<input checked="" type="checkbox"/> Risk 07.14	MARKET MANAGEMENT Early engagement with Health to maximise CHC funding for people with Health needs.	Ongoing - Where Continuing Healthcare Checklist (CHC) triggers are identified there is an established process to ensure referrals are progressed
<input checked="" type="checkbox"/> Risk 07.15	Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs. • Investment in a consortium model of third sector preventative services to offer a single point of contact for all Newport citizens	There is a £250k saving attached to the Third Sector budget in 2019/20. A review will take place to inform a re-design of preventative services in accordance with new developments around well being networks and community hubs
<input checked="" type="checkbox"/> Risk 07.16	Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs. • Investment in a Third Sector mental health consortium in partnership with Health – offering a single point of contact for citizens in Gwent.	The mental Health consortium is a Regional service mostly funded by Health. The service is being re-tendered to reflect changing service needs. Work will commence during 19/20 to re-define the specification and ensure a new service is in place from April 2020.

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

<input checked="" type="checkbox"/> Risk 07.17	Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs. • Utilisation of ICF to deliver a Community Connector Service – offering community support for people to access services.	There is a £250k savings target linked to the Third Sector budget for 2019/20. A full review will take place during the year to scope a re-commissioning exercise that fits with the wider and evolving preventative services agenda that includes the Community Connector Service
<input checked="" type="checkbox"/> Risk 07.18	Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs. • Utilisation of ICF to employ a Carers Development Officer	The Carers Network continues to grow and meetings are scheduled in March, June and October
<input checked="" type="checkbox"/> Risk 07.19	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: • Re-tendering for the Strategic Collaborative Partnership that delivers the Family Assessment Support Service (FASS) and Family Support Team (FST).	The family group conferencing initiative has been implemented across Childrens Services, staff have received training and the first Conference is scheduled on Monday February 4 The Barnardo's early intervention and prevention service will have access to WCCIS in March to improve the recording and sharing of information
<input checked="" type="checkbox"/> Risk 07.20	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. Investment in developing preventative services to work with families to build resilience and to prevent children from being accommodated: • 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.	The refurbishment of Oaklands has started and the service has been temporarily relocated to Brynglas Bungalow.
<input checked="" type="checkbox"/> Risk 07.21	Investment in developing preventative services to work with families to build resilience and to prevent children from being accommodated: • Carers Development Officer supports families with Children with disabilities.	The following has been agreed from the Transformation Fund around the preventative agenda 1. Additional posts to be based in NCC hub to work with families who are below the threshold for statutory provision 2. An additional Child and Adolescent Mental Health Support (CAMHS) worker 3. Further funding for the Family Intervention Service 4. Funding for a post-natal worker
<input checked="" type="checkbox"/> Risk 07.22	Engagement with Regional work streams to address developing a consistent framework around Continuing Health Care Process.	There is now an agreed pathway for Continuing Care cases. Complex Needs panel will initially screen CC cases and all that cannot be agreed will be referred to an Escalation Panel - The EP is attended by the 5 Heads of Service and ABUHB. This is a new process and will continue to be monitored.
<input checked="" type="checkbox"/> Risk 07.23	Cost control – negotiating sustainable fees with providers that offer value for money whilst protecting the social care workforce.	Please see previous Qtr comments. Fees are now being addressed for 19/20 to ensure early resolution of rates and maintain market stability
<input checked="" type="checkbox"/> Risk 07.24	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; • 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.	A consultant has been appointed to review all the grants within the new Flexible Fund. The consultant will review all the areas of concern and produce recommendations that will ensure that we do not duplicate services, refine commissioning processes and align staffing wherever possible. The assets are being reviewed through the NH programme and a group has been created to review this and manage any transition of centres from council ownership. The recommendations from these reviews should be available by March 2019.

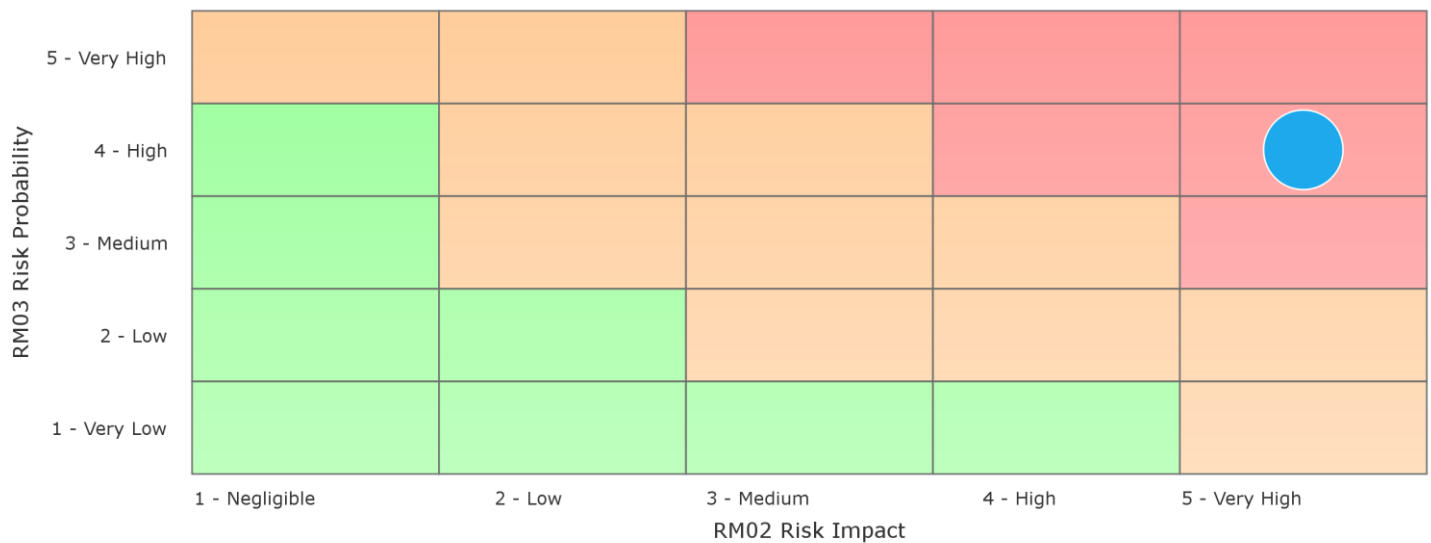
Risk 07 - Increased Pressure on Demand Led Services


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

<input checked="" type="checkbox"/> Risk 07.25	Community Regeneration Work with funders to identify further opportunities to provide additional resource to community delivery.	We have been working with Department for Work Pensions (DWP), Welsh Government (WG) and private contractors to identify opportunities to deliver work that will benefit our delivery model. To date we have engaged with People Plus who wish us to deliver employability opportunities in Newport, and Wales European Funding Office (WEFO) to deliver training opportunities to residents.
<input checked="" type="checkbox"/> Risk 07.26	Housing Services That an increasing percentage of the population are over 65 putting an increasing strain on demand led services, particularly those that are statutory and raising the risk of unplanned significant budgetary overspends. 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	We continue to work with housing association partners and Welsh Government to deliver new and re-modelled housing for older people, through the Planned Development Programme
<input checked="" type="checkbox"/> Risk 07.27	Removal of preventative services could impact negatively on statutory services by increasing the demand and complexity of needs. <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 	The Regional Homelessness Strategy and Action Plan for Gwent has been drafted to take forward a co-ordinated approach across neighbouring authorities
<input checked="" type="checkbox"/> Risk 07.28	Increasing population putting extra pressure on demand for affordable housing or specialised housing 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 <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 	As before As expected, the level of affordable housing being achieved on developments is below target
<input checked="" type="checkbox"/> Risk 07.29	Growing population of highly vulnerable children requiring housing solutions within the care system and once leaving the care system.	As before: We are still collaborating in partnership with Children Services to deliver innovative solutions for children and young people through different schemes (supported lodgings, private sector arrangements, partnerships with Registered Social Landlords (RSL's) Working with Social Services to look at developing appropriate bids for Integrated Care Fund (ICF) funding to look at alternative housing solutions and opportunities to prepare for independence.
<input checked="" type="checkbox"/> Risk 07.30	Increasing shift away from owner occupation towards private renting 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.	Changes to the private rented housing sector will be reviewed through the Local Housing Market Assessment and Local Housing Strategy
<input checked="" type="checkbox"/> Risk 07.31	Increasing concerns about the standard and fitness within the existing housing stock 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.	A Housing Improvement Loans Policy has been drafted for consideration as a framework for assistance to improve housing conditions in the private sector
<input checked="" type="checkbox"/> Risk 07.32	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 Increasing pressure on the adaptations capital budget.	The pressure on the housing adaptations service, and the mitigation activity, are ongoing

Risk 08 - Risk of Stability of External Suppliers

	to Dec 2018
Responsible Officer	Strategic Director - People
Lead Cabinet Member	Cabinet Member for Social Services



Dec 2018		Risk 08 - Assessment Date & Score					
Risk - Direction of Risk	Direction	Series					
The risk score has increased in the last period due to the potential impact of Brexit. There are potential risks which could impact on the stability of domiciliary and residential providers which provide services on behalf of the Council. There are potential impacts which could result in staff shortages, supply issues relating to medical and non medical supplies and potential future cost impacts which could be passed onto the Council.		<div>ActualRisk Rating</div>					
				Mar 2018	Jun 2018	Sep 2018	Dec 2018
		RM01 Risk Rating	Actual	20	16	16	20
			Risk Rating	▲	▲	▲	▲

Object Measure Name

All 6 selected

Dec 2018		Planned Mitigation		Risk - Action Status/Control Strategy	
<input checked="" type="checkbox"/>	Risk 08.01	Market Management Consultation and engagement with social care providers		The Commissioning Team have regular dialogue with providers around a range of issues. In the last quarter we have been in contact with a range of service providers to discuss their Brexit preparations. Whilst we have received assurances that they are preparing the best they can, there is still uncertainty in the health and social care sector on the overall impact of Brexit both in the short and long term. These assurances are being fed back to the Council's Brexit task and finish group and we continue to monitor and engage with our partners and other local authorities during this period of time. We also have our regional workstreams which is engaging domiciliary care and residential providers on their ongoing fees and quality of care being provided to our clients.	
<input checked="" type="checkbox"/>	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 contact method of engaging providers is working well in Newport. The market is stable and all requests are filtered through the Brokerage Team who have up to date market knowledge.	
<input checked="" type="checkbox"/>	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 Commissioning Team take every opportunity to talk to new providers. New services that are subject to tender are advertised and dialogue encouraged through supplier days.	

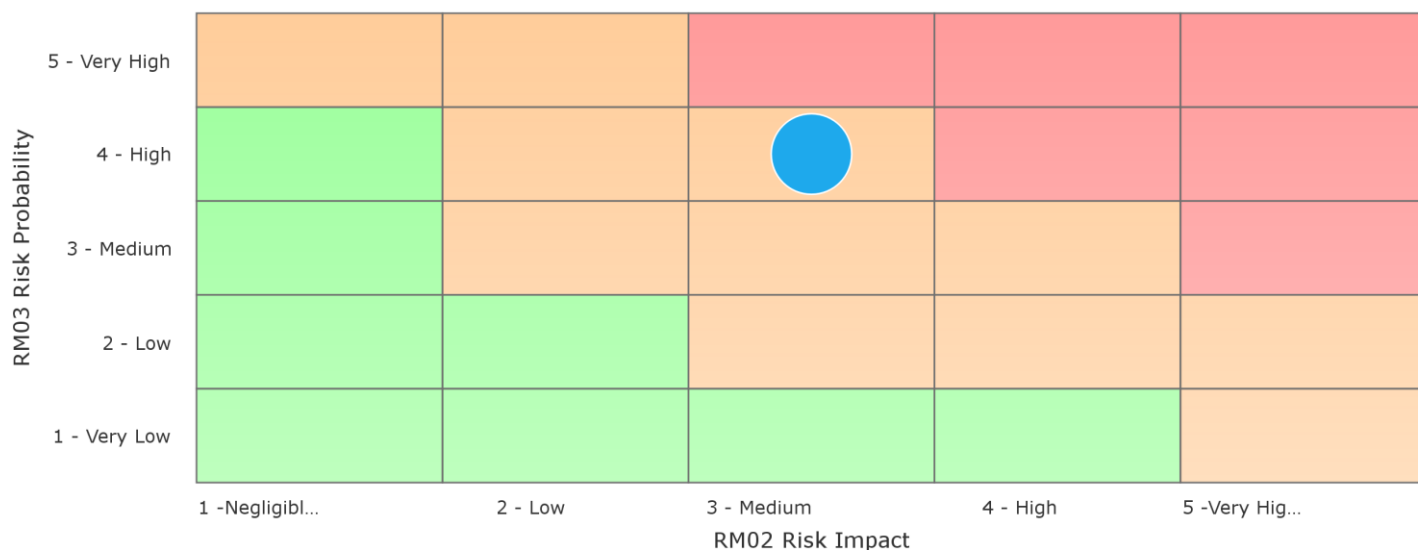
Risk 08 - Risk of Stability of External Suppliers

	to Dec 2018
Responsible Officer	Strategic Director - People
Lead Cabinet Member	Cabinet Member for Social Services

<input checked="" type="checkbox"/> Risk 08.04	<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>The Independent Living Strategy is now a live document that will inform the future development of new accommodation options for people with learning disabilities. This work is dependent upon strong partnerships with RSL's. The Council's in house supported living scheme is moving towards closure as better opportunities for the tenants are sourced.</p> <p>Plans are in place for 2 more schemes in 2020 - Kings Hotel and Emlyn Street. Both will allow people to live in single units rather than group homes.</p>
<input checked="" type="checkbox"/> Risk 08.05	<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>As identified in risk action 8.01 we are working with our commissioning partners, other local authorities and service providers to ensure that robust arrangements are in place for both adults and children services. In the last quarter we have also had dialogue with all of our strategic partners, service providers and local authorities regarding their Brexit arrangements. This work is ongoing and we are reporting any significant developments and changes to the Council's Brexit Task & Finish Group.</p>
<input checked="" type="checkbox"/> Risk 08.06	<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>Work has progressed in the development of a People Commissioning Hub.</p> <p>There are 3 new team members and childrens residential placements will become the sole responsibility of the hub from 1st March.</p> <p>Discussions are ongoing with Education to secure additional resource.</p>

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



Dec 2018	
Risk - Direction of Risk	Direction
Since the last quarter there has not been any significant change to this particular risk. The mitigation action demonstrates ongoing work being undertaken across the Council and further work will be undertaken in quarter 4 and beyond.	➔

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

Mitigating Action

All 8 selected

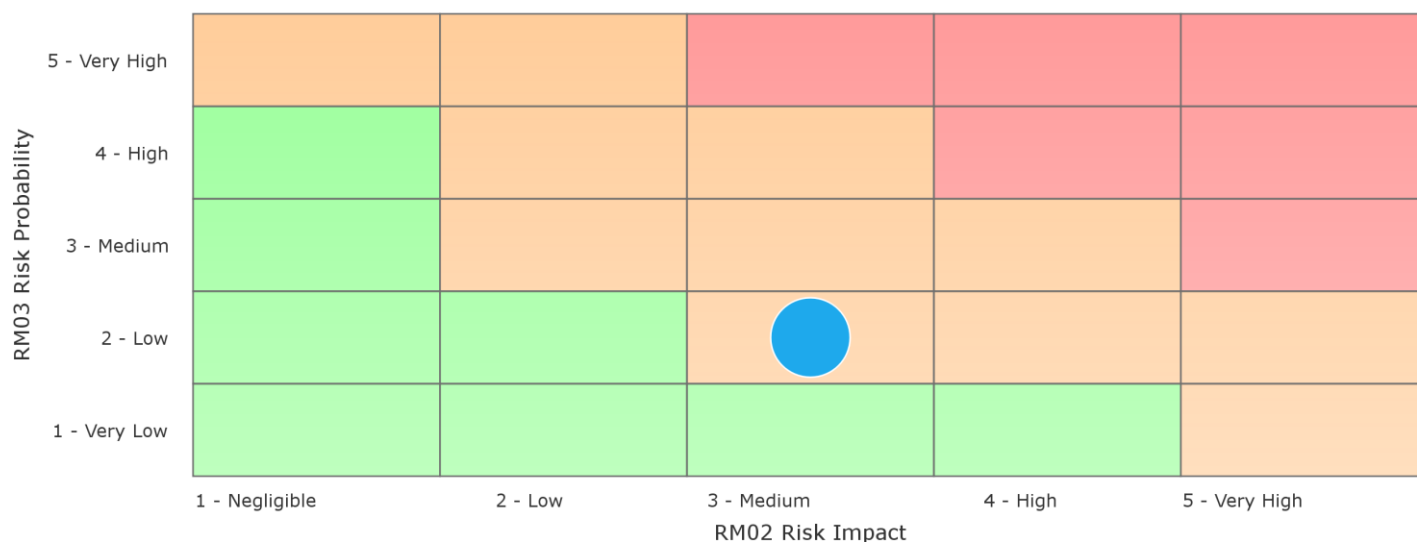
	Dec 2018	
	Planned Mitigation	Risk - Action Status/Control Strategy
<input checked="" type="checkbox"/> Risk 10.01	Produce and implement a Carbon Management and Implementation plan to set out a strategy, objectives and programme to reduce overall carbon emissions, provide investment opportunities and to mitigate against anticipated increases in energy supply costs.	A Carbon Management Plan document this will be put forward to members in Quarter 4. Projects to reduce carbon emissions and cost are proceeding; conversion of our existing streetlights to LED is starting imminently which when complete will reduce our overall carbon emissions by over 5% and reduce our energy spend by over £500k per year. Additionally, the Council are entering into a building energy efficiency programme to tackle carbon emissions from our estate.
<input checked="" type="checkbox"/> 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.	A policy on the procurement of zero carbon fuels will be built in to the Carbon Management plan to be adopted.
<input checked="" type="checkbox"/> 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.	Building related renewable energy schemes to be included in building energy efficiency programme which is now in development. - Further feasibility on a potential solar farm site is ongoing
<input checked="" type="checkbox"/> 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.	New legislation relating to Schedule 3 of the Flood and Water Management Act 2010 came into effect in Wales on 7 January 2019. This requires all new developments where the construction area is 100m2 or more to include Sustainable Drainage Systems (SuDS) that comply with WG national standards. Schedule 3 of the FWMA 2010 also places a duty on NCC as SuDS Approving Body (SAB) to adopt and maintain systems that are compliant as long as they are built and function in accordance with the approved proposals, including any SAB conditions of approval. NCC has set up a SuDS Approving Body (SAB) to undertake the statutory function of ensuring that drainage proposals on any construction site over 100m2 are designed, built and maintained in accordance with WG standards.

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

<input checked="" type="checkbox"/> Risk 10.05	Comprehensive and robust Adverse Weather Plans.	Highways adverse weather plans are currently in followed and weather patterns monitored
<input checked="" type="checkbox"/> Risk 10.06	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.	Green Infrastructure Strategy format has been circulated as a draft document, developed in conjunction with the Public Service Board Partners and in Particular Natural Resources Wales (NRW). It appears that the next revision of PPW will require authorities to undertake a Green Infrastructure Assessment to inform a GI strategy and from there a next step is to develop the plan into a full document to guide future LDP revision. Proposed development will be through the use of an interactive consultation tool. PSB using interactive tool developed by Sustrans. Has been agreed that the PSB and NCC will take ownership of a combined GI strategy.
<input checked="" type="checkbox"/> Risk 10.07	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.	Good asset management and timely intervention with preventative highway treatments seals surfaces from water ingress and the destructive actions of severe weather. The limited capital investment available is implemented to maximise sustainability of the highway asset through good asset management planning
<input checked="" type="checkbox"/> Risk 10.08	Maximise on available Welsh Government funding to improve the defence of the city against fluvial and coastal flooding.	NRW have completed works on the Flood Alleviation Scheme at Crindau Shaftesbury and NCC are negotiating the hand over of the works and associated infrastructure. NCC managed to secure funding for 'add on' Flood and erosion mitigation measures through the WG LTF and have installed protective sheet pile walling to rear of pugsley street allotments that ties in with the FAS.

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

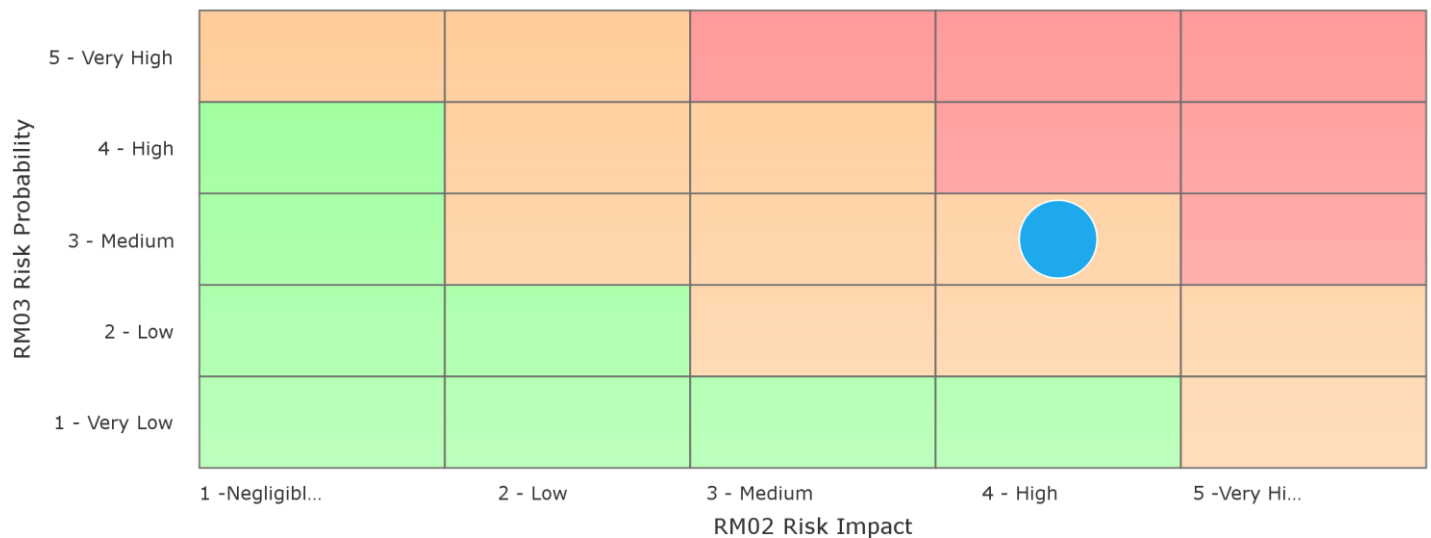


Dec 2018		Risk 11 - Assessment Date & Score					
Risk - Direction of Risk	Direction	Series					
Following a review of this risk in Quarter 3, it was confirmed that the score should remain at a 6 which is a reflection on the governance processes in place to oversee the delivery of IT projects.	➔	<div> <div>Risk Score</div> <div>Risk Rating</div> </div>					
				Mar 2018	Jun 2018	Sep 2018	Dec 2018
		RM01 Risk Rating	Risk Score	6	6	6	6
			Risk Rating	●	●	●	●

Dec 2018		
	Planned Mitigation	Risk - Action Status/Control Strategy
<input checked="" type="checkbox"/> Risk 11.01	The Digital Service was established with a new structure to support its client management role. The monthly Delivery Group meetings with the SRS has been established to review performance (financial and non-financial) and project updates. This also includes project and core planned work to be prioritised. Regular briefings also take place with the Cabinet Member responsible and to the Chief Executive via the Head of Service. The Council is represented on all the SRS Boards by relevant staff.	Following a review of the risk in Quarter 3, this action has been updated to reflect the ongoing work between the Council and its partners, Shared Resource Service (SRS). Governance arrangements to monitor and report on the delivery of key IT projects with SRS are in place and being strengthened. Regular updates to the Cabinet Member and SLT are also being provided.
<input checked="" type="checkbox"/> Risk 11.02	The Council's Programme Boards (Modernised Council, Thriving Cities, Resilient Communities, and Aspirational People) will provide the necessary oversight and scrutiny on the delivery of key Council projects involving IT services and infrastructure. The NCC Digital City Board was established to monitor the delivery of IT projects across the council with representation from SRS, Digital Service and council services. The Council will ensure that the necessary funding and financial monitoring and reporting controls are in place to ensure that the Council and SRS to deliver key projects and service delivery	This action has been updated following a review in Quarter 3. The Council's Programme Boards (Thriving City, Modernised Council, Resilient Communities and Aspirational People) are now established with regular monitoring and reporting on key IT projects being undertaken by the Boards. Each of these Boards are Sponsored by a member of SLT. The Council's Digital City Board is in place to also monitor and report the delivery of key IT projects with representatives from the SRS, Digital Services and other Council service areas.

Risk 12 - Increasing Risk of Cyber Attack

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

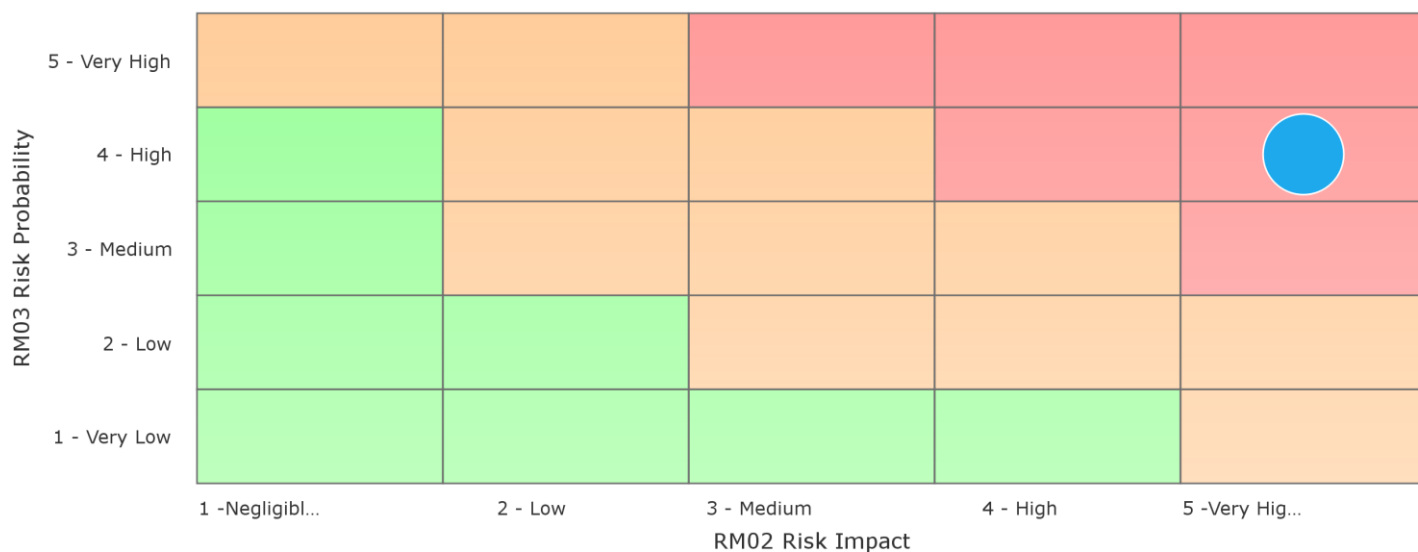


Dec 2018		Risk 12 - Assessment Date & Score					
Risk - Direction of Risk	Direction						
In Quarter 3 this risk was reviewed and new actions have been raised. In the last quarter the council achieved its PSN accreditation and is now working towards its cyber essentials accreditation. It was determined that this risk remains at a risk score of 12 for this quarter.	→	Series					
		Risk Score		Risk Rating			
				Mar 2018	Jun 2018	Sep 2018	Dec 2018
		RM01 Risk Rating	Risk Score	9	12	12	12
			Risk Rating				

Dec 2018		Risk - Action Status/Control Strategy					
	Planned Mitigation						
<input checked="" type="checkbox"/> Risk 12.02	<p>The Council is working Regular PSN accreditation and other IT security reviews such as the 'Minimum Cyber Security Standard' to be completed with findings / recommendations reported and monitored through the Information Governance Group.</p> <p>SRS will also undertake the necessary IT security updates on all new and existing IT infrastructure to minimise the risk of external and internal cyber threats. The Council's IT team to receive regular risk updates and notifications.</p>	This action has been updated following a review in Quarter 3. The Council has obtained its Public Services Network (PSN) accreditation in Q3 and are now in the process of under a cyber-essentials accreditation which will build upon the Council's IT security in the Council.					
<input checked="" type="checkbox"/> Risk 12.03	<p>Policies, procedures and guidance relating to IT Security will be updated to align with the new GDPR legislation and also current arrangements in relation to the management and monitoring of cyber risks.</p> <p>Training and guidance is provided to all Newport City Council staff, agency workers and consultants which access the IT Network. The Council's Data Protection online training will also be updated to reflect recent GDPR changes and staff will continue to be encouraged to attend the Council's information Security training. SRS will also continue to notify and provide guidance to staff where potential cyber threats are received.</p>	This is a new risk action following a review in Q3. Digital Services will be undertaking a review of all of its policies and procedures to ensure that it meets the necessary legislative and regulatory requirements. Ongoing training of staff is being undertaken in relation to Data Protection and Digital Services are providing updates on security issues to the Information governance group.					
<input checked="" type="checkbox"/> Risk 12.04	Disaster Recovery and business continuity processes between the Council and SRS will be reviewed and updated. These processes will be subject to regular testing with findings and recommendations fed back to the Council's Information Governance Group to ensure the necessary action(s) are completed.	This is a new risk action for Q3 following a review of the risk. This action will be monitored in Q3 and beyond.					

Risk 13 - Maintaining the Highways Network

to Dec 2018
Responsible Officer
Lead Cabinet Member
Strategic Director - Place
Cabinet Member for Streetscene
The Deputy Leader and Cabinet Member for Assets and Member Development

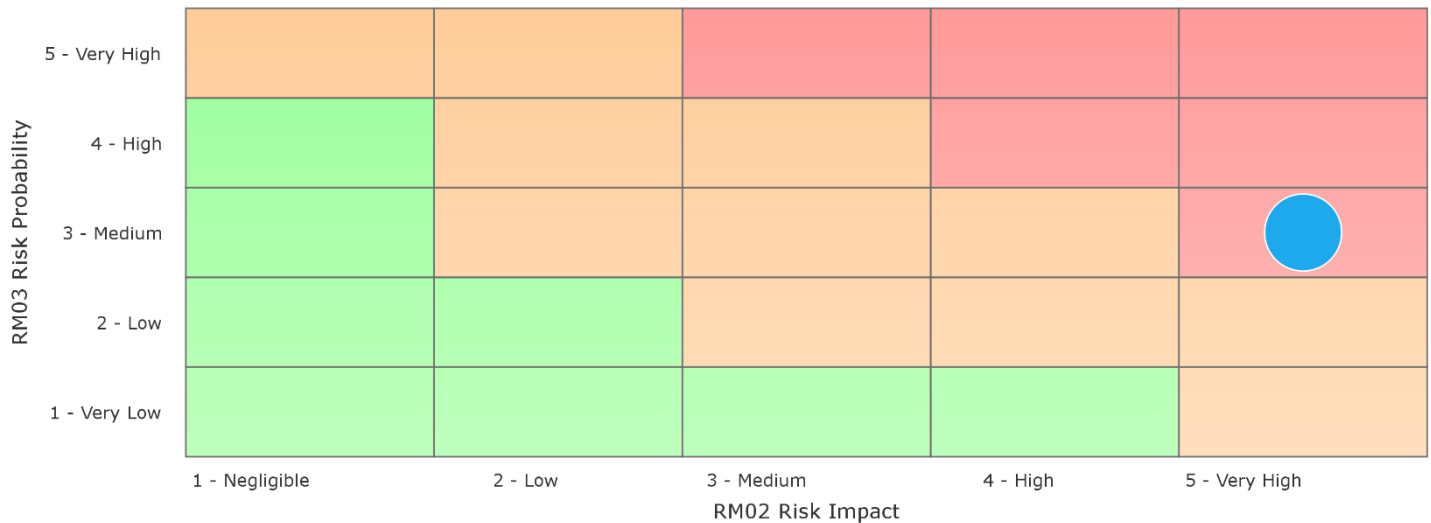


Dec 2018	Risk 13 - Assessment Date & Score				
Risk - Direction of Risk	Direction	Series			
In Quarter 3, this risk was subject to a review which resulted in building and highways assets being split into two separate risk areas. As a result of this review the risk has been scored 20 to reflect the removal of buildings from risk but also to reflect the ongoing pressure on the Council to maintain its infrastructure and the backlog of work that needs to be undertaken.	✓	Risk Score	Risk Rating		
				Mar 2018	Jun 2018
				Sep 2018	Dec 2018
		RM01 Risk Rating	Risk Score	25	25
			Risk Rating	▲	▲

Dec 2018	Risk 13 - Action Status/Control Strategy	
Planned Mitigation	Risk - Action Status/Control Strategy	
<input checked="" type="checkbox"/> Risk 13.01 The limited capital investment available is implemented to maximise sustainability of the highway asset through good asset management planning. However, asset condition continues to decline. The authority continues to lobby through WLGA and CSS(W) for recognition of asset decline and commensurate funding to address the backlog. The Highways Asset Management Plan (HAMP) will support this approach by: <ul style="list-style-type: none"> • Development of co-ordinated forward work packages for highway maintenance, operation and improvement • Maintenance strategies for the long term, based whole life costing • Calculating future funding requirements to maintain agreed levels of service • Managing risk of failure or loss of asset serviceability 	Following a review in Q3 this risk action has been updated to reflect the current financial and operational position of the Council. The Council is still raising to WLGA and Welsh Government the difficulties which it has in addressing the backlog of works. Additional funding from Welsh Government has been assigned for additional improvements to the infrastructure but this does not cover all of the works that need to be undertaken by the Council.	
<input checked="" type="checkbox"/> Risk 13.02 Robust inspection and repair regimes ensure that the safety and serviceability of assets are maintained and mitigate the risk of 3rd party claims against the authority as a result of failure of duty to maintain the highway under section 41 Highways act.	this risk action has been updated following a review in Q3. City Services has an inspection programme in place for its highways assets and is enabling the Council to undertake repairs / maintenance of assets which are at significant risk / harm to the public. This work is delivered through the Council's revenue budgets.	

Risk 15 - City Centre Security & Safety

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



Dec 2018		Risk 15 - Assessment Date & Score													
Risk - Direction of Risk		Direction		Series											
This is a new risk that has emerged for Quarter 3 and following approval at Senior Leadership Team, the risk score has initially been assessed as 12.		?		Risk Score		Risk Rating									
								Mar 2018		Jun 2018		Sep 2018		Dec 2018	
				RM01 Risk Rating		Risk Score		~		~		~		15	
						Risk Rating		»		»		»		▲	

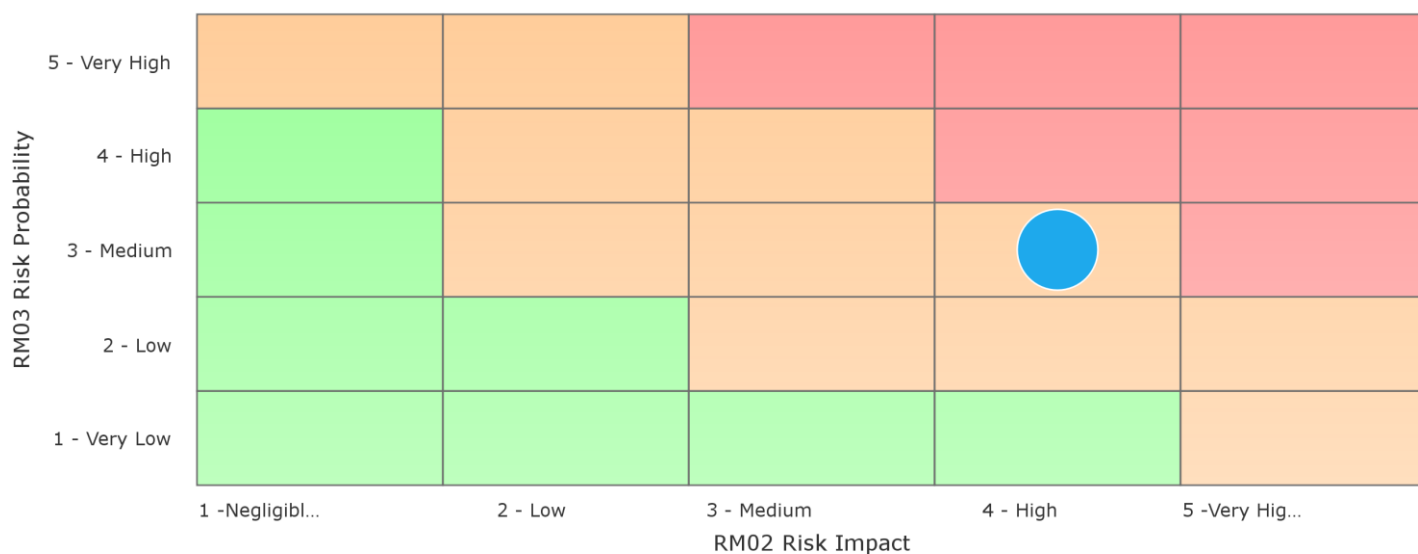
Mitigating Action

All 3 selected

	Dec 2018	
	Planned Mitigation	Risk - Action Status/Control Strategy
<input checked="" type="checkbox"/> Risk 15.01	Secure vehicle access and pedestrian separation. – City Services are currently working on a plan to identify what mitigation measures can be put in place around the city centre to protect densely populated areas.	This is a new action and an update will be provided in Quarter 4
<input checked="" type="checkbox"/> Risk 15.02	Training for those businesses operating within the city centre that may be affected by significant incidents – Gwent Police will lead on the training with the use of NCC channels to promote and raise initial awareness of the scheme.	This is a new action and an update will be reported in Quarter 4.
<input checked="" type="checkbox"/> Risk 15.03	Co-ordinated evacuation arrangements for the city centre – NCC will be working with all partner organisations such as the emergency services and private business within the city centre to construct a co-ordinated evacuation system.	This is a new action and an update will be reported in Quarter 4.

Risk 16 - Maintenance and improvement of Council buildings and assets.

	to Dec 2018
Responsible Officer	Strategic Director - Place
Lead Cabinet Member	Cabinet Member for Streetscene



Dec 2018	
Risk - Direction of Risk	Direction
This is a new risk following a review in Quarter 3 of the Asset management: Highways and buildings. SLT agreed for the risk to be split and a new risk score is 12. This reflects the ongoing budget pressures to address backlog of work to maintain and improve the council's buildings.	?

Risk 16 - Assessment Date & Score

Series

Risk Score	Risk Rating
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		Mar 2018	Jun 2018	Sep 2018	Dec 2018
RM01 Risk Rating	Risk Score	~	~	~	12
	Risk Rating	»	»	»	●

	Dec 2018	
	Planned Mitigation	Risk - Action Status/Control Strategy
☑ Risk 16.01	The Council through its Strategic Property Partners Newport Norse are undertaking condition surveys which have been enhanced from 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.	This is a new risk action which was raised as a result of the Q3 review. The Council is working with Norse undertaking condition surveys and help support the Council's strategic asset Management Plan.
☑ Risk 16.02	The Council's Building and Assets Evaluation matrix is regularly monitored and reported to the Capital Strategy and Asset Management Group.	This is a new risk action as a result of the Q3 review. The Asset Management Group regular convene and are receiving updated reports on the evaluation matrix and the work being undertaken between the Council and Norse to risk manage its estate.