

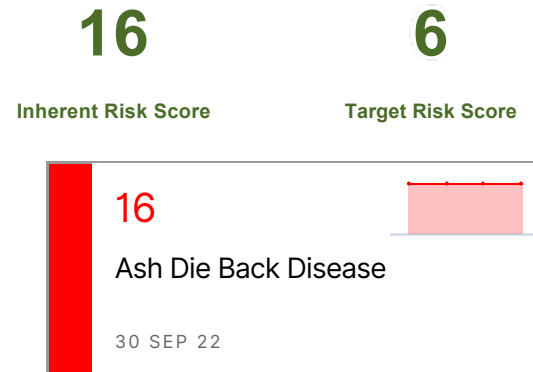
Corporate Risk Register

2022/23 Quarter 2 Update



Ash Die Back Disease

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



Existing Arrangements to Manage Risk

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

Direction of Risk

	DoR	Comment
Ash Die Back Disease	➡	Scale of work remains the same as major works will not begin until the Autumn.

Action Description	Period	Value
To undertake works removing diseased Ash trees that are owned by NCC.	Sep 2022	★

Balancing the Council's Medium Term Budget

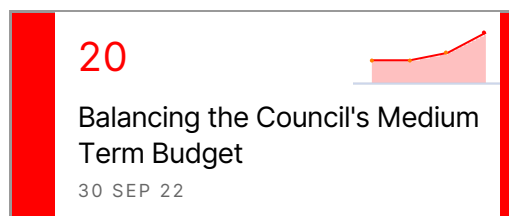
Risk Overview	To meet the Council's requirement of reducing the gap between Council spend and Budget allocation over the next 3-5 years
Parent Service(s)	Finance (sv)
Lead Cabinet Member(s)	Leader of the Council & Cabinet Member for Economic Growth & Investment

16

Inherent Risk Score

10

Target Risk Score



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> • Finance reported to key strategic boards on monthly basis e.g. Executive Board, Directorate Management Boards, Corporate Management Team, Service Area Management teams. • Finance updates reported to Cabinet on revenue and capital position. • Corporate Governance and Council Constitution sets roles and responsibilities of financial management.
Internal Controls & Processes	<ul style="list-style-type: none"> • Monthly finance (revenue and capital) forecasting of budgets to identify budget pressures and savings. • Finance Business Partners supporting budget holders / senior managers. • Budget setting process with senior officers / budget holders. Includes consultation with public and other key stakeholders.
Other Arrangements	<ul style="list-style-type: none"> • Regulatory / Audit Wales review of Council finances. • Internal Audit reviews of finance and financial controls. • Local authority network and reporting to Society of Welsh Treasurers and Welsh Government.

Direction of Risk

	DoR	Comment
Balancing the Council's Medium Term Budget		In line with the comments from the previous quarter, a significant budget gap is forecasted. Therefore, the Council will need to look at significant service area savings.

Action Description	Period	Value
Accountancy team to review corporate (non-service area) budgets and resources for any opportunities to identify savings or alternative approaches of utilising resources e.g. earmarked reserves.	Sep 2022	★
As a member of the Society of Welsh Treasurers, via Welsh Local Government Association, budget challenges, issues and pressures are escalated to Welsh Government, particularly the need for additional funding. Regular surveys of member local authorities to allow for comparisons of assumptions being made e.g. future pay awards.	Sep 2022	★
Deliver weekly budget meetings with the Council's Executive Board.	Sep 2022	★
Finance (Accountancy Business Partner teams) to support and review service area savings plans and business cases.	Sep 2022	★
Finance service area business partners to robustly review service area financial monitoring positions with the aim of identifying emerging issues that could impact upon the medium term outlook.	Sep 2022	●
Finance undertake challenge reviews of finance pressures submitted by service areas and to support service areas to reduce, remove and/or identify alternative approaches to address funding requirements.	Sep 2022	★
Procurement to support service area contract managers to review and challenge inflationary increases to contract arrangements to ensure value for money for the Council.	Sep 2022	★
Through Finance networks, we will regularly discuss with neighbouring and similar authorities regarding the finance assumptions being made in their budget planning, to ensure that NCC does not under/overstate inflationary pressures or omit potential solutions.	Sep 2022	★

City Centre Security & Safety

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

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Inherent Risk Score

8

Target Risk Score



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> The Protect Duty Act is currently going through Parliament, which will create a statutory duty for Counter Terrorism preparedness to be undertaken across all City Centres across the UK. Newport City Council along with the Wales Extremism Counter Terrorism Unit (WECTU), Heddlu Gwent Police and other emergency services have formed the Newport City Council Protectiveness Security and Preparedness Groups (PSPGs), chaired, and led by NCC. A key role of PSPGs will be the multi-agency assessment of current risk and vulnerabilities, and provision of effective mitigation in a proportionate manner. PSPGs will also ensure responsibilities under the new Protect Duty are discharged.
Internal Controls & Processes	<ul style="list-style-type: none"> Included in the NCC Infrastructure Service Area Plan is the objective to ensure Newport City Council is meeting its requirements under the Civil Contingencies Act, by developing and having in place effective governance and control arrangements to identify, prepare and respond to events in Newport. Supporting this objective, the Council has a well-established and integrated Corporate Emergency Management Plan, which outlines arrangements which are intended to assist the co-ordination of the Authority's response to any actual, or threatened incident, or emergency, while maintaining normal services as far as possible. The plan provides a flexible framework of procedures to enable a quick, effective and appropriate response to mitigate the effects of an incident or emergency that may have an impact on the Council's response. The Council's Emergency Management Structure provides a framework of integrated emergency management to ensure co-ordination within the Council and with external agencies. The structure enables the Council to respond at an operational, tactical and strategic level. At a strategic level in any incident a Gold Duty Officer (Chief Executive, Strategic Director, Head of Service) will be available to decide on what actions to take. Via the Civil Contingencies Duty Officer systems, the Council also provides a 365 24/7 incident response. Consideration to be given to incorporating structured and strategic conversations about security and counter terrorism into pre application stage of major developments.
Other Arrangements	<ul style="list-style-type: none"> Through the duties of the Civil Contingencies Act 2004, that Council also works in partnership with key responding agencies, including the emergency services, to ensure a timely and effective multi agency response to incidents. Multi Agency Plans and Procedures are developed via the Gwent Local Resilience Forum. Due to significant recent major incidents across the UK (Manchester Arena Bombing) the Council with its partners review any recommendations resulting from inquiries to ensure that where necessary appropriate learning is integrated into existing plans and procedures.

Direction of Risk

	DoR	Comment
City Centre Security & Safety	➡	No Change to the risk for Quarter 2.

Action Description	Period	Value
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.	Sep 2022	●
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.	Sep 2022	●

Demand for ALN and SEN support

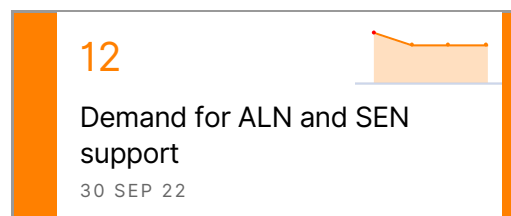
Risk Overview	Funding to cover Additional Learning Needs (ALN) and Special Education Needs (SEN) provision across the city is insufficient and does not meet the demand of increasing need.
Parent Service(s)	Education Services (sv)
Lead Cabinet Member(s)	Deputy Leader & Cabinet Member for Education & Early Years

20

Inherent Risk Score

6

Target Risk Score



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> • Schools Forum review and agree funding formulas and funding arrangements for school • Schools Forum Finance sub-group. • ALN Panel scrutinise pupil information to identify if a specialist placement is needed as part of their statutory duty.
Internal Controls & Processes	<ul style="list-style-type: none"> • ALN Implementation finance subgroup review and discuss a number of funding formula models and agree on the most appropriate to be presented firstly to the Schools forum Finance Sub-Group and if in agreement will be presented at Schools Forum for ratification. • ALN Panel scrutinise pupil information to identify if a specialist placement is needed as part of their statutory duty. • Specific OOC ALN Officer responsible for monitoring OOC provision and where possible look for local alternative provision.
Other Arrangements	<ul style="list-style-type: none"> • Newport LA has commissioned 14 places at Catch 22 a primary age Social, Emotional, Behaviour Difficulties Independent Education Provider to reduce the risk of pupils requiring OOC placements.

Direction of Risk

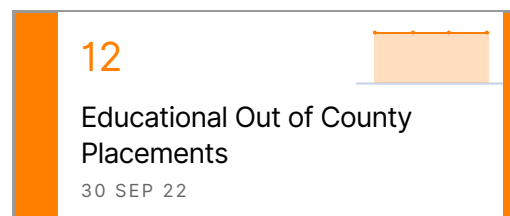
	DoR	Comment
Demand for ALN and SEN support	➡	The new ALN funding formula agreed by School's Forum was implemented for 2022-23 financial year. An ALN Implementation meeting was held in September for Primary Head Teacher representatives and secondary representatives to feedback on the impact of the change of formula. The consensus of the group was that the change had been positive and allowed schools to be more flexible to the needs of their pupils. They agreed for the formula to continue into next financial year.

Action Description	Period	Value
(Estyn Rec 5) Ensure that Welsh Medium (WM) provision is established to support pupils with Additional Learning Needs	Sep 2022	★

Educational Out of County Placements

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

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 Inherent Risk Score Target Risk Score



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> ALN Panel scrutinise pupil information to identify if a specialist placement is needed as part of their statutory duty. Procurement and Head of Service approval needed for OOC placements.
Internal Controls & Processes	<ul style="list-style-type: none"> ALN Panel scrutinise pupil information to identify if a specialist placement is needed as part of their statutory duty. Monthly budget monitoring and review of cost of planned OOC placements Procurement and Head of Service approval needed for OOC placements. Specific OOC ALN Officer responsible for monitoring OOC provision and where possible look for local alternative provision.
Other Arrangements	Newport LA has commissioned 14 places at Catch 22 a primary age Social, Emotional, Behaviour Difficulties Independent Education Provider to reduce the risk of pupils requiring OOC placements.

Direction of Risk

	DoR	Comment
Educational Out of County Placements	➔	The summer term saw an increase in the number of pupils requiring specialist Out of County (OOC) provisions. The number rose from 83 OOC placements to 94 in the summer however that has further increased to 101 placements. This is primarily linked to the lack of local Independent specialist SEBD providers. The LA will re-tender for the secondary SEBD provision contract early next year with a view to retain as many placements locally.

New Risk Mitigation Action Plan to be implemented from Quarter 3.

Highways Network / Infrastructure

Risk Overview	Failure to recognise current levels of under investment in the whole life of the city's highway network assets in the medium to long term will continue to compound existing maintenance backlog figures.
Parent Service(s)	Infrastructure (sv)
Lead Cabinet Member(s)	Cabinet Member for Infrastructure & Assets

20

Inherent Risk Score

15

Target Risk Score



Existing Arrangements to Manage Risk

Governance	<p>Highway Asset Management Plan</p> <ul style="list-style-type: none"> A quinquennial Highway Asset Management Plan (HAMP) is produced by City Services, which was last refreshed in 2019. It seeks to document the activities, processes, and information to support strategic investment decisions and long-term maintenance planning. It provides information on the assets we have responsibility for, monitors how they are performing, documents their depreciation and confirms levels of funding required to mitigate the demands placed upon them. <p>Highway Annual Status and Options Report</p> <ul style="list-style-type: none"> The highway Annual Status and Options report is a product of the HAMP that records the condition of the assets and seeks to identify and prioritise the funding need. The report sets out the status of our assets in terms of extent, value and condition and presents the projected outcome of identified investment options. <p>Highway Maintenance Manual</p> <ul style="list-style-type: none"> The Highway Maintenance Manual documents how the council manages the city's highway maintenance. It sets out how, as highway authority, it discharges its duties and the management of user risk.
Internal Controls & Processes	<ul style="list-style-type: none"> To ensure the asset condition, maintenance requirement and its associated risk to the highway user is understood, the service area undertakes the following internal controls and processes: <p>Reactive Safety Inspections</p> <ul style="list-style-type: none"> These are inspections undertaken in response to stakeholder notification of potential maintenance defects <p>Routine Inspections</p> <ul style="list-style-type: none"> This is a regime of planned safety inspections designed to identify defects that have the potential to cause harm to users and defects that require repair in order to prevent escalation of deterioration and increased (avoidable) maintenance needs. <p>Condition Surveys</p> <ul style="list-style-type: none"> These are both visual and specialist road condition "machine based" surveys, that record the condition of components of the asset to enable a programme of renewal/replacement to be prepared
Other Arrangements	<ul style="list-style-type: none"> The Highway Asset Management Plan projects an anticipated annual capital investment of £500k and an anticipated £1.86m revenue investment through to the end of the current plan in 2023/24.

Direction of Risk

	DoR	Comment
Highways Network / Infrastructure	➡	No change to this risk rating

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

Information and Cyber Security

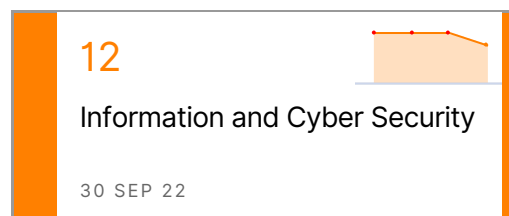
Risk Overview	Management and security of the Council's data to protect from being accessed and processed inappropriately. This includes preventing inappropriate access, loss, theft, and malicious attacks to maintain business continuity and integrity of our data.
Parent Service(s)	People, Policy & Transformation (sv)
Lead Cabinet Member(s)	<ul style="list-style-type: none"> ▪ Cabinet Member for Infrastructure & Assets ▪ Deputy Leader & Cabinet Member for Education & Early Years

20

Inherent Risk Score

10

Target Risk Score



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> • Existing governance is documented in the council's information risk management policy. This includes internal groups such as the Information Governance Group chaired by the Director – Transformation and Corporate and the Data Protection Group. It also includes roles of Senior Information Risk Owner (SIRO), Data Protection Officer (DPO), the Information Management team and a designated Cabinet Member with this strategic responsibility. • The Annual Information Risk Report is formally reviewed by Overview Scrutiny Management Committee and Cabinet Member – Organisational Transformation. • Existing Organisation / Service Area management structure to report and escalate issues to senior officers. Also could be a Programme / Project Board, Task & Finish Group or other governance group which are aware and have oversight of the risk.
Internal Controls & Processes	<ul style="list-style-type: none"> • An Annual IT Health Check is carried out in line with requirements of the Public Services Network (PSN). Regular hardware and software updates are carried out by the IT Service. • Technical controls are in place including the use of endpoint protection, firewalls, encryption, backups, security certificates, mobile device management etc. • Physical security measures are in place to prevent inappropriate access. • Data Protection Impact Assessments (DPIA's) are carried out and an Information Risk Register is managed. • The council's IT Service, the Shared Resource Service (SRS), has a security function complementing council staff as well as security embedded in various roles. • The council has processes for out of hours incidents including the SRS.
Other Arrangements	<ul style="list-style-type: none"> • Audit Wales conducts independent reviews including on cyber security. The council is a member of the Warning and Reporting Point (WARP). • Shared Resource Service is responsible for the Council's management of systems and processes.

Direction of Risk

	DoR	Comment
Information and Cyber Security		<p>Whilst the potential impact remains the same as previously, it is believed that the mitigation measures in place are such that the likelihood is less than previously, despite international tensions due to war in Ukraine.</p> <p>Existing governance is documented in the council's information risk management policy including the Information Governance Group and the Annual Information Risk Report.</p> <p>An Annual IT Health Check is carried out in line with requirements of the Public Services Network (PSN). Regular hardware and software updates are carried out by the IT Service.</p> <p>The council's IT Service, the Shared Resource Service (SRS), has a security function complementing council staff as well as security embedded in various roles. The council has processes for out of hours incidents including the SRS.</p>

Action Description	Period	Value
Development of a new Digital Strategy that supports the future direction of IT services and infrastructure of the Council.	Sep 2022	★
To explore and purchase a Policy Management System that will ensure staff across the business undertake necessary training before being able to access IT systems.	Sep 2022	✔

Newport Council's Property Estate

Risk Overview	NCC has a significant property estate covering over 170 operational buildings (circa) such as the Civic Centre, Telford Depot, and its school estate etc. The Council has to ensure the estate is maintained to required standards to enable access, safety, security and in the long term sustainable for staff and residents to use.
Parent Service(s)	<ul style="list-style-type: none"> ▪ People, Policy & Transformation (sv) ▪ Education Services (sv) ▪ Finance (sv)
Lead Cabinet Member(s)	Cabinet Member for Infrastructure & Assets

16

Inherent Risk Score

9

Target Risk Score



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> • The Council's Capital Strategy Asset Management Group is responsible for the monitoring, delivery and reporting of the Council's Assets. This is represented by senior officers from the Council and representatives from the Council's Property Services partner, Newport Norse. • The Schools' / Social Services estate is also overseen by the People Capital Group which also includes representatives from the Council's Property Services partner, Norse Norse and Council representatives.
Internal Controls & Processes	<ul style="list-style-type: none"> • Newport Council has contract arrangement with Newport Norse who oversee the management and maintenance of the Council's estate. Service Areas are responsible for the building assets which they use across the Council's estate. • Newport Norse are responsible for undertaking regular building condition assessments to ensure that they meet necessary legislative and building regulations. The assessments completed by Newport Norse are risk assessed and reported through the Council's governance groups. Maintenance work completed on the Council's estate is prioritised based upon risk including any reactionary / immediate work that has to be completed. • School's estate is devolved to schools and managed through their arrangement with Newport Norse and the Corporate Landlord Policy establishes responsibilities also.
Other Arrangements	<ul style="list-style-type: none"> • Newport Council has a maintenance budget of £1.5m in its capital programme. However, it is estimated that the Council should be spending £8.5m pa. The Council has a contract arrangement with Newport Norse to oversee and manage the estate portfolio (including schools)

Direction of Risk

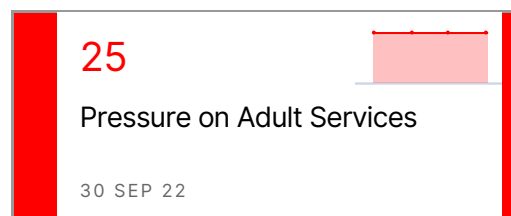
	DoR	Comment
Newport Council's Property Estate	➡	There have been no significant changes to the estate that would warrant a change in the risk score, but more and more issues are beginning to present. The state of the estate is down to its age and level of investment. The Council are working towards deciding upon a method and approach of asset rationalisation and targeted investment to reduce this risk score.

Action Description	Period	Value
A programme of estate rationalisation to see which properties and assets are of strategic value to the Council and those that can be designated for alternative use.	Sep 2022	★
Adherence to the Corporate Landlord Policy and ensuring that all Premises Managers are accountable and responsible.	Sep 2022	✔
In response to financial, environmental, legal sustainability and social pressures we need to develop a balanced strategy for the future preservation and transformation of the Civic Centre.	Sep 2022	●

Pressure on Adult Services

Risk Overview	There is increasing pressure on Adult Services to deliver services to adults with complex and long lasting needs. With an increase in demand / volume of referrals and care packages the Council has seen an increase in costs whilst in the context of tightening budgets. There are also additional statutory requirements to safeguard adults in our care and prevent risk of harm, injury or a loss of life.
Parent Service(s)	Adult Services (sv)
Lead Cabinet Member(s)	Cabinet Member for Social Services

20
10
Inherent Risk Score
Target Risk Score






Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> Newport Council has a new structure with a Director of Social Services and three service areas to deliver Social Services. There are regular Directorate and Service Area meetings held to monitor and report the delivery of Adult Services. At a regional level the Council is part of the Regional Partnership Board which oversees the delivery of social services across Gwent. A Population Needs Assessment has been undertaken for Gwent in relation to the forecasting of demand and provision of services across Newport and Gwent.
Internal Controls & Processes	<ul style="list-style-type: none"> NCC Adult Services has various mechanisms to monitor and report on the delivery of its services through financial and non-financial performance measures. Regular reports and updates are provided through Directorate, Service and Team management levels in the organisation.
Other Arrangements	<ul style="list-style-type: none"> The delivery of Adult Services is subject to External Regulatory review through Care Inspectorate Wales. Internal Audit provide assurance in relation to the delivery of Adult Services.

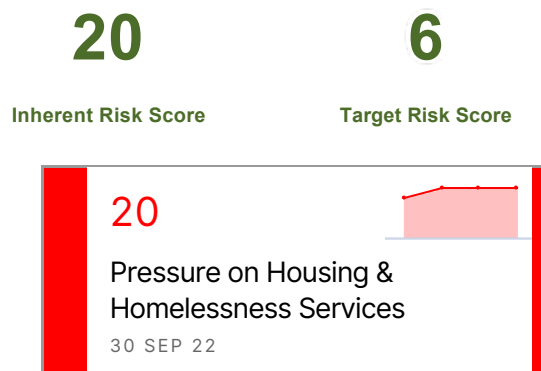
Direction of Risk

	DoR	Comment
Pressure on Adult Services	➔	The ability to source domiciliary care packages is compromised by poor capacity. Recruitment and retention of staff continues to be an issue. Packages are being sourced and placements are being progressed but the pace is slow and there are people having to wait for care and accept times that do not necessarily suit their needs. We are working closely with providers to ensure we are able to effectively target resources. Within Social Services the number and complexity of referrals places considerable pressure on the whole workforce. This is increasing the likelihood of delays in initial responses, assessments and reviews.

Action Description	Period	Value
Assess the impact of Covid 19 on the long term future sustainability of service providers ensuring that the market is able to offer sufficient market capacity and diversity.	Sep 2022	
To continue to develop First Contact as a multi-agency, multi-disciplinary team effectively managing demand. This includes the integration of the Frailty service into the First Contact Team.	Sep 2022	
To improve the support available for young people with learning disabilities to transition from Children Services into Adults Services. ·	Sep 2022	

Pressure on Housing & Homelessness Services

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



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> Housing and Homelessness is being monitored through existing governance arrangements through the Directorate Management Board and Service Management Team. Furthermore there are existing team arrangements to monitor and report the delivery of the service. The Housing and Homelessness teams are also involved with the Strategic Housing Forum and its associated subgroups with Registered Social Landlords and Rough Sleeper Strategic Group.
Internal Controls & Processes	<ul style="list-style-type: none"> Weekly meetings are held with the finance BP to discuss budgets and forecasting. The Housing and Homelessness teams also submit monthly finance forecasts and produce quarterly performance measures to monitor performance. There are also other operational performance measures monitored and reported through the teams. The team also submit monthly Wales Housing statistics to Welsh Government.
Other Arrangements	<ul style="list-style-type: none"> Welsh Government grants were received during 2022-23 which reduce the overall spend on the housing advice and temporary accommodation service. WG has advised that additional grant funding will be forthcoming in future years but has given no indicative figures. The Housing and Homelessness teams are also involved with the Strategic Housing Forum and its associated sub groups with Registered Social Landlords and Rough Sleeper Strategic Group. NCC provides regular monitoring performance reports on its housing and homelessness position.

Direction of Risk

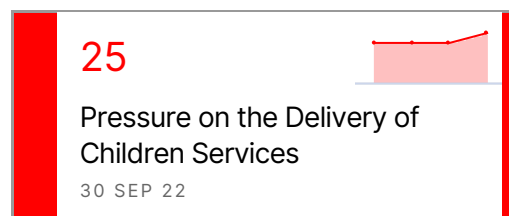
	DoR	Comment
Pressure on Housing & Homelessness Services	➔	Pressure on homelessness services continues to increase. It is anticipated that the Ukrainian situation, cost of living crisis and an increased number of private sector landlords potentially giving notice to their tenants in advance of the Renting Homes Wales Act coming into force will exacerbate the demand for temporary accommodation. The authority is working with Housing Associations and the private sector to try to prevent homelessness and increase the stock available for temporary and move-on accommodation.

Action Description	Period	Value
Develop a strategy framework for private sector housing, bringing together the Adaptations Policy, Private Sector Leasing scheme, Housing Loans Policy	Sep 2022	●
Review of the Community Housing Protocol to ensure that it remains fit for purpose and delivers the expected outcomes.	Sep 2022	●
Undertake a review of the Housing Allocation Policy.	Sep 2022	●

Pressure on the Delivery of Children Services

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

25 **6**
 Inherent Risk Score Target Risk Score



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> Children Services delivered in accordance with Social Services and Well-being Act, Well-being of Future Generations and Children's Act. There are governance arrangements in place at local, regional and national levels. Directorate and Service Management Teams meet monthly to provide service and performance updates on the delivery of the service. This includes performance, finance and HR information to inform decision making. Additionally, the Council's Executive Board and Corporate Management Team has oversight in the delivery of services. At a regional (Gwent) level, Heads of Service and Director of Social Services represent Newport Council at the Regional Partnership Board. Service pressures are reported here and collaborative working between agencies and other local authorities. The Safeguarding Board and Children's Family Strategic Partnership Board collaboratively work at regional levels to monitor and manage demand issues.
Internal Controls & Processes	<ul style="list-style-type: none"> The Council's Children Services teams deliver services in compliance with the Social Services and Well-being Act and Children's Act. Internal Controls and processes are established to meet these requirements under the different Acts. WCCIS system monitors and records caseloads and case management across social services. Regular (Monthly) check ins and case management meetings are held between the Council's staff and managers to monitor and manage caseloads. Collaborative and co-production working takes place between Children Services and other agencies to manage caseloads. This includes Foster Wales. Human Resources – HR Business Partners support Managers with the recruitment and retention of staff including working the Council's Communications team to promote social care roles. Finance – monthly forecasting and monitoring of finances across Children services. Mechanisms in place to escalate budget pressures and Finance Business Partners forecasting demand pressures / resources. Commissioning and procurement to find best value for residential placements. Performance Management – Monthly reporting to Welsh Government and regular performance monitoring of services in Newport.
Other Arrangements	<ul style="list-style-type: none"> Care Inspectorate Wales (External Regulator) and Internal Audit provide assurance of governance, internal control and risk management. Third sector partnership working with Barnardos – prevention and statutory functions supporting families, MyST, residential homes provision, and Foster families.

Direction of Risk

	DoR	Comment
Pressure on the Delivery of Children Services		The risk score has increased in the last quarter as the service has had to put in place measures to manage the increase volume of referrals into the safeguarding hub. We have also seen an increase in staff sickness and we continue to struggle with recruitment. We are currently working as a whole service to ensure that the most vulnerable and at risk are prioritise and RAG rating of other cases open to statutory services is underway.

Action Description	Period	Value
Completion and implementation of Welsh Government action plan to work towards reducing the numbers of looked after children	Sep 2022	★
Continue with the development of the residential provision (including Windmill Farm) across Newport in order to increase the number of children who can be cared for safely in Newport	Sep 2022	●
In light of the learning during lockdown we will review our existing arrangements for family time to improve the offer for children and families: i) To develop a comprehensive framework of all aspects of family time; ii) Continue to deliver family time virtually as a positive for families.	Sep 2022	★
Increased housing options for care leavers. Currently Newport has a limited range of choices for housing for care leavers especially with a range of suitable support. This action will seek to address this gap. Work has already commenced and will continue.	Sep 2022	★

Schools Finance / Cost Pressures

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



Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> Structures within Education and Finance support the escalation of identified issues to senior officers, Heads of Services and Executive Board. In addition, the Schools Forum is a statutory committee which acts as a consultative body in relation to any changes to the schools funding formula, and task and finish sub-groups are created to consider specific elements where necessary. Schools Governors are also responsible for monitoring and reporting school finance positions.
Internal Controls & Processes	<ul style="list-style-type: none"> The Finance Business Partners provide a key role through their relationships with schools, and support early identification of emerging issues. Any issues are escalated to the Lead and Senior Finance Business Partners and the Assistant Head of Education to consider intervention and discussions around appropriate mitigating actions.
Other Arrangements	<ul style="list-style-type: none"> Each school has a Service Level Agreement with the Council to support them in financial planning and monitoring, although schools have a choice in the level of service they wish to procure under these arrangements.

Direction of Risk

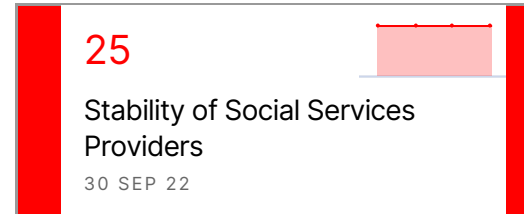
	DoR	Comment
Schools Finance / Cost Pressures	✘	This situation remains very fragile, and following confirmation of the pay award. Education service and schools are working with Finance to support and identify schools who may be likely to end the year with a deficit position. Systems and processes for early identification of potential difficulties continue to be refined and will be used to mitigate any issues likely to arise.

Action Description	Period	Value
Monitor In-year School budgets to ensure budgets are: • Managed effectively and taking necessary actions to prevent overspending. Effectively taking necessary actions to prevent overspending. Schools that have deficit budget recovery plans are implementing the necessary actions to reduce their overall budget deficits.	Sep 2022	●
Monitoring of primary, secondary and special schools in-year budgets: • To prevent overspending and take necessary mitigating action(s). Schools with deficit budget recovery plans are implementing the necessary actions to reduce their budget deficits	Sep 2022	●
The local authority will monitor school budgets to ensure that Headteachers and Governing Bodies are: a) Maintaining a balanced budget; b) Addressing in year overspends to reduce the risk of moving in to deficit positions; c) Where deficit budgets occur, deficits are licensed with full recovery plans. d) Where in year deficits are still arising following substantial review, further mitigation may be through the medium term financial plan.	Sep 2022	●

Stability of Social Services Providers

Risk Overview	The Council requires support from external providers to deliver care packages for children and adults (residential / Non Residential). The current marketplace for external providers is volatile due to the increasing costs to provide care, maintain homes, staffing meeting legislative and regulatory requirements.
Parent Service(s)	Adult Services (sv)
Lead Cabinet Member(s)	Cabinet Member for Social Services

20 **6**
Inherent Risk Score Target Risk Score




Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> Newport City Council is consistently reviewing and monitoring the provision of residential and non-residential care providers in the city and across the region. Regular Directorate and Service area meetings are held including representatives from Finance to assess and forecast the Council's financial position. Extensive work being undertaken regionally and nationally to support providers and to explore alternative models of provision. This includes Welsh Government officials and is linked to extensive focus and work with health colleagues to explore care in hospital settings and the need to provide community based care.
Internal Controls & Processes	<ul style="list-style-type: none"> The Council undertakes regular monitoring and assessment of placements and care packages across Adult Services. The Commissioning team are in weekly if not daily contact with providers in order to support packages of care. Similarly staff from the teams are in very regular contact with residential providers including links with Care Inspectorate Wales. The Council's financial monitoring and reporting of care provision is also undertaken monthly. Contract management arrangements are in place to manage provision and ensure providers meet necessary requirements, standards and provide value for money.
Other Arrangements	<ul style="list-style-type: none"> The focus on this area of work is extensive including external monitoring.

Direction of Risk

	DoR	Comment
Stability of Social Services Providers	➔	The current economic climate is continuing to be challenging. Increased fee levels have delivered financial stability for the time being but predicted energy price hikes and increases in inflation present ongoing risk for winter months of this financial year. In addition, the likely impact of both flu and covid is highly significant in this area of work. Thus the fragility of the workforce continues to impact on capacity.

Action Description	Period	Value
Assess the impact of Covid 19 on the long term future sustainability of service providers ensuring that the market is able to offer sufficient market capacity and diversity.	Sep 2022	

Welsh Government's Net Carbon Zero Target by 2030

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






Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> The Climate Change Plan is overseen by the Climate Programme Board. Six subgroups are in place to lead on each of the themes which reports to the Climate Programme Board. Strategic Director (Environment & Sustainability) is the chair of the Climate Programme Board and lead officer of the Climate Change Plan. Strategic Director (Transformation & Corporate) is Deputy Lead and Vice Chair.
Internal Controls & Processes	<ul style="list-style-type: none"> Quarterly reports are reported to the Programme Board and Cabinet Member and half yearly reports are reported to Overview and Scrutiny Management Committee. An Annual Report which includes council carbon emissions is reported to Cabinet each year. Action plans are reviewed on an annual basis to agree work for the following year.
Other Arrangements	<ul style="list-style-type: none"> The council is working with partners to implement the Local Area Energy Plan which is the route map to a carbon net zero energy system by 2050 for the whole of the local authority area. The council is also working with One Newport partners to develop a Newport-wide strategy.

Direction of Risk

	DoR	Comment
Welsh Government's Net Carbon Zero Target by 2030	➡	No change from previous quarter.

Action Description	Period	Value
Ebbw West Solar Farm Development	Sep 2022	
Local Air Quality Management - develop localised plans under the Council's Sustainable Travel Strategy to meet statutory requirements for Action Plans. Actions to be generated by the Sustainable Travel Group.	Sep 2022	
Select a building decarbonisation delivery partner (Via RE:Fit) and complete a phase of decarbonisation works on the NCC estate.	Sep 2022	
Support the completion of the Welsh Government supported Local Area Energy Plan (LAEP) pilot to develop a decarbonisation action plan for the City of Newport in collaboration with NCC Policy, Partnership and Involvement team and external stakeholders.	Sep 2022	