

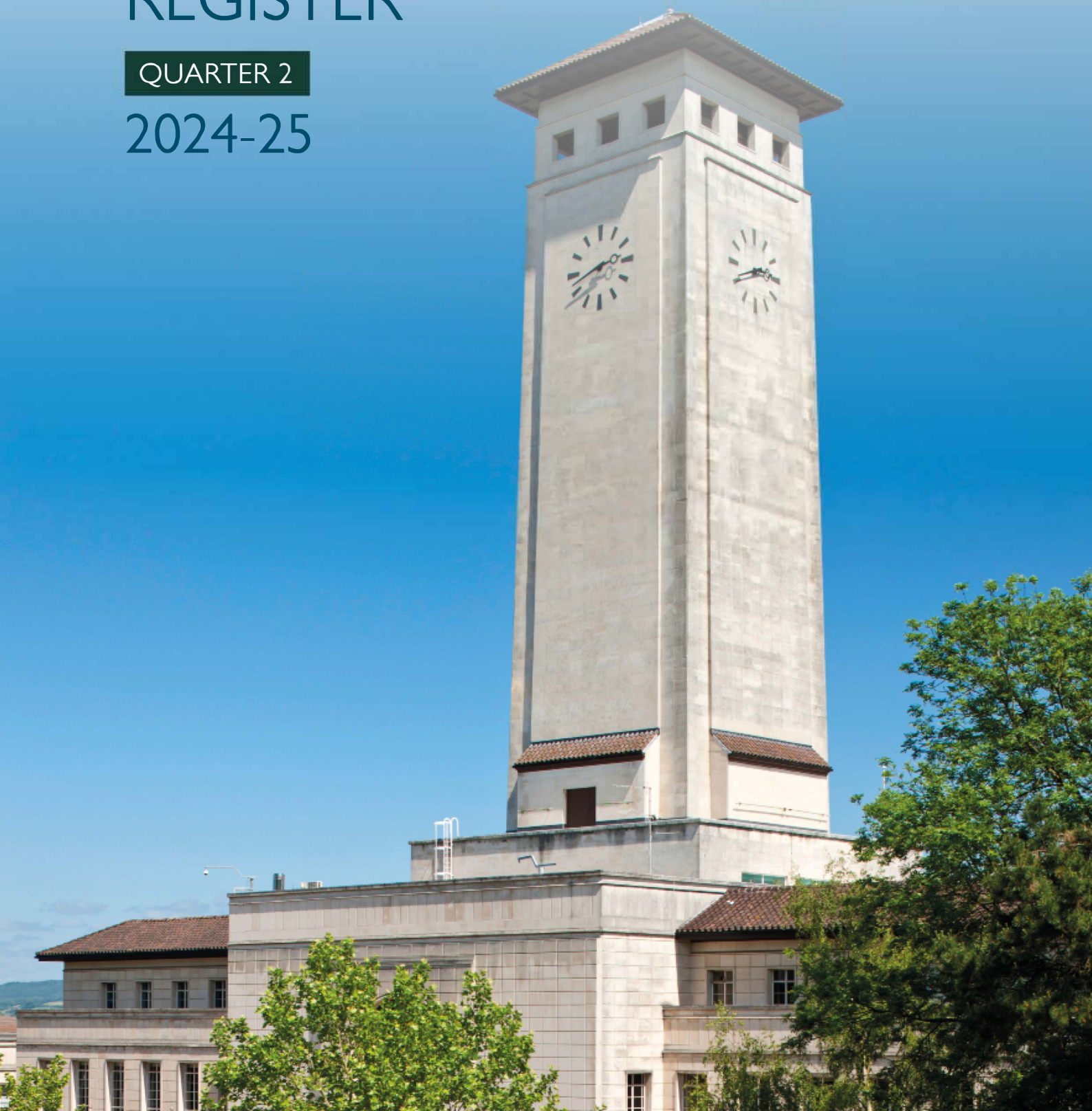


**NEWPORT**  
CITY COUNCIL  
CYNGOR DINAS  
**CASNEWYDD**

# CORPORATE RISK REGISTER

QUARTER 2




2024-25







## Corporate Risk Report Definitions

### Direction of Risk

*The change of risk score between previous quarter and the current quarter being reported.*

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

### Risk Mitigation Action Plan

RAG Assessment	Definition
	Action has been completed.
	Action is on track to be completed by the Agreed target date.
	Action is mainly on track with some minor issues preventing the action being completed by the agreed target date. Management interventions required to improve performance and close monitoring by the Head of Service / Service Management Team.
	Action is not on track with major issues preventing the action being completed by the agreed target date. Immediate management interventions and escalation to Directorate Management Board required to improve performance.

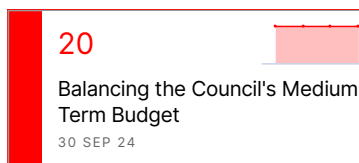
### Abbreviations

ADSS – Association of Directors Social Services  
 ALN – Additional Learning Needs  
 BP – Business Partner  
 CCP – Climate Change Plan  
 DHCW – Digital Health Care Wales  
 DOR – Direction of Risk.  
 IA – Internal Audit  
 LAEP – Local Area Energy Plan  
 LRBs – Learning Resource Bases  
 MTFP – Medium Term Financial Plan  
 NCC – Newport City Council  
 OOC – Out of County  
 PPT – People Policy & Transformation  
 RAG – Red / Amber / Green  
 RSL – Registered Social Landlord  
 SEN – Special Education Needs  
 SRS – Shared Resource Service (Newport Council's IT Partner)  
 WCCIS – Welsh Community Care Information System  
 WLGA – Welsh Local Government Association  
 YJS – Youth Justice Service

# 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
Lead Cabinet Member(s)	Leader of the Council

16                      10  
 Inherent Risk Score                      Target Risk Score



## Existing Arrangements to Manage Risk

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

## Direction of Risk

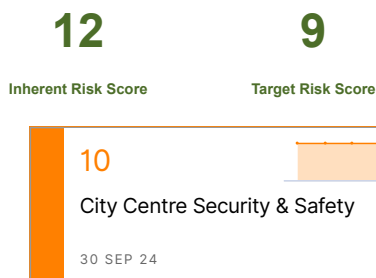
	DoR	Comment
Balancing the Council's Medium Term Budget	➔	The Council's forecasted three year budget gap is very significant and there are continuing demands being placed on Council services. The Council's budget is funded 75% by WG and therefore what happens to this has a significant impact. At this point, the outlook remains challenging.

# Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Finance Business Partner Review of service area monitoring positions (2024/25)	01 Apr 2024	31 Mar 2025	31 Mar 2025	
 Senior leadership, Cabinet, Scrutiny and public engagement into MTFP development.	01 Apr 2024	31 Mar 2025	31 Mar 2025	
 Service area finance challenge reviews	01 Jun 2024	31 Dec 2024	31 Dec 2024	

# City Centre Security & Safety

<b>Risk Overview</b>	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.
<b>Parent Service(s)</b>	Infrastructure
<b>Lead Cabinet Member(s)</b>	Cabinet Member for Assets and Infrastructure



## Existing Arrangements to Manage Risk

<b>Governance</b>	<ul style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>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.</li> </ul>
<b>Internal Controls &amp; Processes</b>	<ul style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>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.</li> <li>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.</li> <li>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 365 24/7 incident response.</li> <li>Consideration to be given to incorporating structured and strategic conversations about security and counter terrorism into pre application stage of major developments.</li> </ul>
<b>Other Arrangements</b>	<ul style="list-style-type: none"> <li>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.</li> <li>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.</li> </ul>

## Direction of Risk

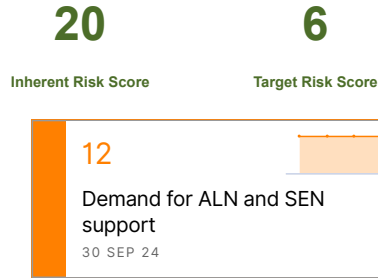
	DoR	Comment
<b>City Centre Security &amp; Safety</b>	➔	<p>During Q2, work has recommenced in working with colleagues in Counter Terrorism Policing Wales to assess city centre security measures by not only geographical zones but also business/sector type zones. The intention that this new initiative will support enhanced liaison and buy-in from business across the city centre area.</p> <p>With the support of partners, work continues to promote and encourage nationally approved security training to ensure service providers across the City Centre and wider event organisers are better prepared to respond quickly to significant incidents. Following meetings held with colleagues in Counter Terrorism Policing Wales, additional opportunities are being investigated to provide further one to one security related training with city centre businesses. This will be investigated through the Newport BID team to promote with business and plan to deliver the training.</p> <p>Due to current climate, the Council continues to work with its key partners to ensure any intelligence with regards to any potential issues that may impact the safety of the city centre, is provided and if required response measures are put in place.</p>

# Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Collaborate & support the Police and partners with city centre risk assessments	01 Apr 2024	31 Mar 2025	31 Mar 2025	
 Meet requirements to protect business, public and visitors through security improvement	28 Feb 2020	31 Mar 2025	31 Mar 2025	

# 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
Lead Cabinet Member(s)	Deputy Leader & Cabinet Member for Education & Early Years



## Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> <li>Schools Forum review and agree funding formulas and funding arrangements for school</li> <li>Schools Forum Finance sub-group.</li> <li>ALN Panel scrutinise pupil information to identify if a specialist placement is needed as part of their statutory duty.</li> </ul>
Internal Controls & Processes	<ul style="list-style-type: none"> <li>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.</li> <li>ALN Panel scrutinise pupil information to identify if a specialist placement is needed as part of their statutory duty.</li> <li>Specific OOC ALN Officer responsible for monitoring OOC provision and where possible look for local alternative provision.</li> </ul>
Other Arrangements	<ul style="list-style-type: none"> <li>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.</li> </ul>

## Direction of Risk

	DoR	Comment
Demand for ALN and SEN support	➔	The risk score has remained static as we continue to maintain the risk within the service area. However, there are increasing financial pressures on schools due to the expectations of ALN reform and the increase of complex pupils. Headteachers have reported that they are struggling to fund the additional learning provision for some of their pupils. We are seeing an increase in referrals for specialist provision. The primary Learning Resource Bases are at capacity, and a waiting list is in place, Ysgol Bryn Derw (YBD) is oversubscribed, however a consultation has just been launched to expand YBD to 136 places. Our other specialist provisions are either full or have very few spaces left. Phase transfer of ALN children transferring from Nurseries into reception classes has highlighted the increasing number of children with complex ALN requiring specialist placements at a very early stage.

## Risk Mitigation Action Plan

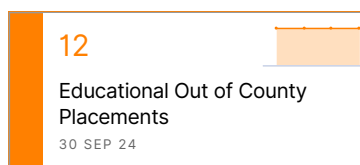
Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Develop and implement a Post 16 Strategy for the transition of pupils into further education	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Develop robust processes to review and quality assure LA additional learning provision.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Develop robust processes to review and quality assure LA non-maintained settings.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Ensure the ALN duties and Educational Tribunal Act 2018 and ALN Code 2021 are embedded at LA and...	01 Apr 2024	31 Aug 2025	31 Aug 2025	★



# 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
Lead Cabinet Member(s)	Deputy Leader & Cabinet Member for Education & Early Years

20                      4  
 Inherent Risk Score                      Target Risk Score



## Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> <li>ALN Panel scrutinise pupil information to identify if a specialist placement is needed as part of their statutory duty.</li> <li>Procurement and Head of Service approval needed for OOC placements.</li> </ul>
Internal Controls & Processes	<ul style="list-style-type: none"> <li>ALN Panel scrutinise pupil information to identify if a specialist placement is needed as part of their statutory duty.</li> <li>Monthly budget monitoring and review of cost of planned OOC placements</li> <li>Procurement and Head of Service approval needed for OOC placements.</li> <li>Specific OOC ALN Officer responsible for monitoring OOC provision and where possible look for local alternative provision.</li> </ul>
Other Arrangements	<ul style="list-style-type: none"> <li>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.</li> </ul>

## Direction of Risk

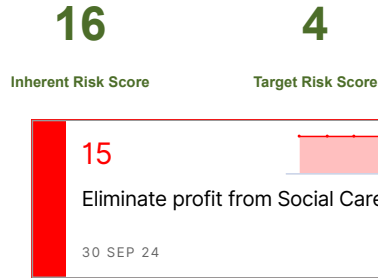
	DoR	Comment
<b>Educational Out of County Placements</b>	➔	The OOC risk remains static this quarter. Although there has been a rise in the need for specialist placements these additional costs are being managed within the service area. Education and Finance are closely monitoring the in-year budget pressure to mitigate the risk for the remainder of the financial year.

## Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Develop and implement a Post 16 Strategy for the transition of pupils into further education	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Develop robust processes to review and quality assure LA additional learning provision.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Develop robust processes to review and quality assure LA non-maintained settings.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Explore opportunities to extend specialist provision including Welsh medium within the city.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★

# Eliminate profit from Social Care

Risk Overview	Increased pressure on Local Authorities to ensure children are placed in accommodation which does not make profit from children by 2027 as part of Welsh Government Legislation. Although Welsh LA's support this in principle it may lead to LA's being forced into developing unregistered emergency placements for children. This is costly and could lead to prosecution of the Head of Children's Services.
Parent Service(s)	Children Services
Lead Cabinet Member(s)	Cabinet Member for Social Services



## Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> <li>Children Services is working both nationally and regionally to create opportunities to reduce the risks.</li> <li>The Council's Corporate Plan and Service Plan has identified this as a strategic priority to deliver over the next 5 years.</li> <li>Regional collaborative working to identify options and opportunities to create in-house services.</li> <li>Bids have been submitted to WG to develop care homes for children and to assist with developing edge of care provisions in order to reduce the numbers of children entering the care system.</li> </ul>
Internal Controls & Processes	<ul style="list-style-type: none"> <li>Newport Council has several settings such as Windmill Farm, and Rosedale Cottage which provide in-house provision which is also available to other local authorities.</li> <li>Bids have been submitted to Welsh Government to develop further provision in Newport.</li> <li>Newport fostering team has a recruitment campaign which is aligned with Foster Wales</li> </ul>
Other Arrangements	<ul style="list-style-type: none"> <li>Newport is working with Action for Children to develop a local residential provision for our disabled children and developing further residential provision for our Unaccompanied Asylum Seeker Children.</li> <li>NCC has submitted a bid to Welsh Government for revenue funding up to £15m to support the delivery of this new requirement over the next 3 years. The funding will be used to develop projects to build in-house placement sufficiency.</li> <li>However, after the three year period it is uncertain whether NCC will receive additional funding. It is anticipated for NCC to be notified by the quarter 3.</li> </ul>

## Direction of Risk

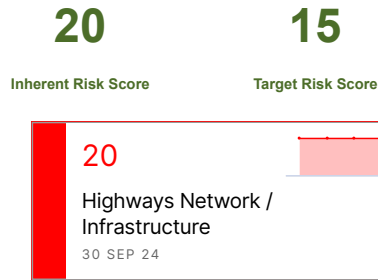
	DoR	Comment
Eliminate profit from Social Care	→	This area continues to remain uncertain given the lack of clarity from WG around exemption and financial contribution to the policy change. CS continues to work at a national and regional level to build placement sufficiency. There is ongoing work with Norse and the Council's officer asset group to identify suitable properties to bring our children out from for profit placements. Foster Wales continues to support Foster Newport in recruitment campaigns to increase the number of carers in Newport.

## Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Develop 6 additional children's homes, in line with the Residential strategic plan.	01 Apr 2024	31 Mar 2025	31 Mar 2025	●
 Develop a parent and child fostering service.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Focus on developing specialist fostering placements with psychological support.	01 Oct 2022	31 Mar 2025	31 Mar 2025	●
 Increase the proportion of foster care provision within Newport.	01 Oct 2022	31 Mar 2025	31 Mar 2025	●
 Residential Children's Homes Programme Project	01 Apr 2021	31 Mar 2028	31 Mar 2028	●

# 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
Lead Cabinet Member(s)	Cabinet Member for Assets and Infrastructure



## Existing Arrangements to Manage Risk

Governance	<p>Highway Asset Management Plan</p> <ul style="list-style-type: none"> <li>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.</li> <li>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.</li> </ul> <p>Highway Annual Status and Options Report</p> <ul style="list-style-type: none"> <li>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.</li> <li>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.</li> </ul> <p>Highway Maintenance Manual</p> <ul style="list-style-type: none"> <li>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.</li> </ul>
Internal Controls & Processes	<ul style="list-style-type: none"> <li>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:</li> </ul> <p>Reactive Safety Inspections</p> <ul style="list-style-type: none"> <li>These are inspections undertaken in response to stakeholder notification of potential maintenance defects</li> </ul> <p>Routine Inspections</p> <ul style="list-style-type: none"> <li>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.</li> </ul> <p>Condition Surveys</p> <ul style="list-style-type: none"> <li>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</li> </ul>
Other Arrangements	<ul style="list-style-type: none"> <li>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.</li> </ul>

## Direction of Risk

	DoR	Comment
Highways Network / Infrastructure	➔	<p>Nationally, the condition of the country's highway infrastructure asset continues to be a cause of concern as a result of historic under investment.</p> <p>Within Newport, the annual highway network investment has continued to decrease over time whilst the number of roads maintainable at public expense and asset usage has continued to rise.</p> <p>Increased investment this year in surface treatments, resurfacing and bridge inspection has been welcomed, however levels of funding are still failing to maintain "steady state" as a minimum asset condition. Therefore, asset condition continues to deteriorate year on year.</p> <p>In addition to the impact of increased vehicles and usage of assets, increases in permitted axle weights, wetter winters and hotter summers are all resulting in accelerated deterioration and unpredictable asset failure</p>

## Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Carriageway Preservation Treatments - Project Status	01 Apr 2024	31 Oct 2024	31 Oct 2024	★
 Carriageway Resurfacing Works - Project Status	01 Apr 2024	31 Oct 2024	31 Oct 2024	★
 Develop and implement a new Highways Asset Management Plan.	01 Apr 2024	31 Dec 2024	31 Dec 2024	●
 Old Bassaleg Bridge Status / Future Options - Project Status	01 Sep 2023	30 Jun 2027	30 Jun 2027	★
 SE Wales Transport Commission Project	01 Apr 2022	31 Dec 2027	31 Dec 2027	★

# Information and Cyber Security

Risk Overview	Management and security of the Council's ICT systems to protect personal and sensitive data from theft and loss whilst also maintaining business continuity and system integrity.
Parent Service(s)	People, Policy & Transformation
Lead Cabinet Member(s)	Leader of the Council



## Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> <li>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.</li> <li>The Annual Information Risk Report is formally reviewed by Overview Scrutiny Management Committee and Cabinet Member – Organisational Transformation.</li> <li>Existing Organisation / Service Area management structure to report and escalate issues to senior officers. Also could be a Programme / Project Board, Task &amp; Finish Group or other governance group which are aware and have oversight of the risk.</li> </ul>
Internal Controls & Processes	<ul style="list-style-type: none"> <li>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.</li> <li>Technical controls are in place including the use of endpoint protection, firewalls, encryption, backups, security certificates, mobile device management etc.</li> <li>Physical security measures are in place to prevent inappropriate access.</li> <li>Data Protection Impact Assessments (DPIA's) are carried out and an Information Risk Register is managed.</li> <li>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.</li> <li>The council has processes for out of hours incidents including the SRS.</li> </ul>
Other Arrangements	<ul style="list-style-type: none"> <li>Audit Wales conducts independent reviews including on cyber security. The council is a member of the Warning and Reporting Point (WARP).</li> <li>Shared Resource Service is responsible for the Council's management of systems and processes.</li> </ul>

## Direction of Risk

	DoR	Comment
Information and Cyber Security	➔	The overall risk score is unchanged. As reported in the Annual Information Risk Report to Scrutiny in the last quarter, a range of measures are in place and good progress has been made on the action plan in relation to the Audit Wales review of Cyber Security. Previous improvements and technical controls include Security Operations Centre (SOC) and Security Information and Event Management (SIEM) implementation and migration of the Council's data centre with improved back up facilities to the cloud. Existing governance is documented in the Council's information risk management policy including the officer Information Governance Group, Senior Information Risk Owner (SIRO) role and the Annual Information Risk Report. Technical controls are in place alongside physical security measures. Annual IT Health Check is completed in line with the requirements of the Public Services Network (PSN) and compliance was updated, vulnerabilities addressed and accreditation achieved June 2024. The council's IT Service, a partnership with the Shared Resource Service (SRS), supports through their security function and joint processes for out of hours incidents.

## Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Develop and deliver the actions from the annual Information Risk Report 23/24.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Improve Cyber resilience and information security governance	01 Apr 2023	31 Mar 2027	31 Mar 2027	★
 Information & cyber awareness raising and training	01 Apr 2023	31 Mar 2025	31 Mar 2025	★
 Progress implementation of Audit Wales Recommendations	01 Aug 2023	31 Aug 2024	31 Aug 2024	✔



# Newport Council Property Estate

Risk Overview	NCC has a property estate covering over 140 operational buildings such as the Civic Centre, Telford Depot, schools etc. The Council has to ensure the estate is maintained to required standards to enable access, safety, security and in the long term sustainable for staff and residents to use.
Parent Service(s)	People, Policy & Transformation
Lead Cabinet Member(s)	Cabinet Member for Assets and Infrastructure



## Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> <li>The Council's Strategic Asset Management Group (officer asset 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.</li> <li>Capital Asset Group also monitors the Council's capital programme and reports to Executive Board.</li> <li>The Schools' / Social Services estate is also overseen by the officer led group which also includes representatives from the Council's Property Services partner, Newport Norse and Council representatives.</li> </ul>
Internal Controls & Processes	<ul style="list-style-type: none"> <li>Newport Council has a 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.</li> <li>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.</li> <li>School's estate is devolved to schools and managed through their arrangement with Newport Norse and the Corporate Landlord Policy establishes responsibilities also.</li> </ul>
Other Arrangements	<ul style="list-style-type: none"> <li>The Council's asset maintenance budget is insufficient to meet ongoing annual maintenance requirements across the property portfolio, and this is part of the asset rationalisation review. The Council has a joint venture with Newport Norse to oversee and manage the estate portfolio (including schools).</li> </ul>

## Direction of Risk

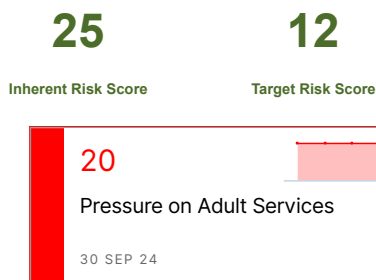
	DoR	Comment
Newport Council Property Estate	➔	<p>There is no change in the overall risk score this quarter and the risk remains high due to the overall maintenance and repair backlog across the estate. Despite this, progress has been made in the last quarter</p> <p>With the development of the Council's Strategic Asset Management Plan and supporting policies, which were approved by Cabinet in this period and are now published.</p> <p>The Asset Rationalisation Programme is also progressing with several key assets to be reviewed on 2024/25.</p>

## Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Adherence to the Corporate Landlord Policy and ensuring that all Premises Managers are accountable.	01 Oct 2022	31 Mar 2025	31 Mar 2025	★
 Asset Rationalisation Project	01 Oct 2022	31 Mar 2027	31 Mar 2027	●
 Develop and manage effective contract management arrangements with Newport Norse.	01 Oct 2022	31 Mar 2026	31 Mar 2026	★
 Development and delivery of strategic asset management	01 Apr 2024	31 Mar 2027	31 Mar 2027	★
 Review building requirements for staff accommodation.	01 Oct 2022	31 Mar 2025	31 Mar 2025	★

## 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
Lead Cabinet Member(s)	Cabinet Member for Social Services



### Existing Arrangements to Manage Risk

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

### Direction of Risk

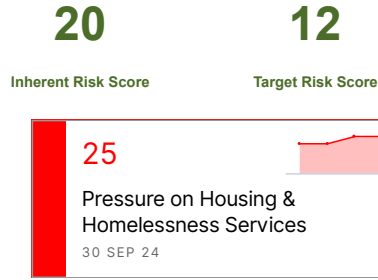
	DoR	Comment
Pressure on Adult Services	➔	The pressure on Adult Services continues to be significant. We continue to actively consider how resources can be deployed to meet demand and ensure that people's statutory care and support needs are met

# Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
<input checked="" type="checkbox"/> Centrica Lodge – Review of the service to meet changing needs.	02 Apr 2024	31 Dec 2024	31 Dec 2024	★
<input checked="" type="checkbox"/> Collaboration and Team Building - Collaborative workforce across all teams.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
<input checked="" type="checkbox"/> Develop the role of Social Work Assistants	01 Oct 2024	31 Dec 2025	31 Dec 2025	
<input checked="" type="checkbox"/> Development of Direct Payment service for people to access and commission their own care & support..	01 Apr 2024	31 Mar 2025	31 Mar 2025	●
<input checked="" type="checkbox"/> Development of intermediate care offer.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
<input checked="" type="checkbox"/> Implementation of the Independent Living Strategy.	01 Apr 2024	31 Mar 2027	31 Mar 2027	●
<input checked="" type="checkbox"/> Promotion of the use of assistive technology to support people to remain living independently.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
<input checked="" type="checkbox"/> Review and restructure of Occupational Therapy.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
<input checked="" type="checkbox"/> Review of Home First	01 Apr 2024	31 Dec 2024	31 Dec 2024	★
<input checked="" type="checkbox"/> Review of the Managed Care service	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
<input checked="" type="checkbox"/> Succession Planning - Workforce has capacity to deliver responsive social care.	01 Apr 2024	31 Mar 2025	31 Mar 2025	●

# 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
Lead Cabinet Member(s)	Cabinet Member for Housing and Planning



## Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> <li>Housing Transformation Board has been established to deliver changes required to the housing service.</li> <li>Housing and Homelessness including Housing Transformation Board is monitored and reported to the Environment &amp; Sustainability Directorate Management Team and Service Management Team.</li> <li>Regular updates are provided to the Cabinet Member for Strategic Planning, Regulation &amp; Housing on performance and risk.</li> <li>Furthermore there are existing team arrangements to monitor and report the delivery of the service.</li> <li>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.</li> </ul>
Internal Controls & Processes	<ul style="list-style-type: none"> <li>Weekly meetings are held with the finance BP to discuss budgets and forecasting.</li> <li>The Housing and Homelessness teams also submit monthly finance forecasts and produce quarterly performance measures to monitor performance.</li> <li>There are also other operational performance measures monitored and reported through the teams.</li> <li>The team also submit monthly Wales Housing statistics to Welsh Government.</li> </ul>
Other Arrangements	<ul style="list-style-type: none"> <li>Welsh Government grants were received during 2022-23 which reduce the overall spend on the housing advice and temporary accommodation service.</li> <li>WG has advised that additional grant funding will be forthcoming in future years but has given no indicative figures.</li> <li>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.</li> <li>NCC provides regular monitoring performance reports on its housing and homelessness position.</li> </ul>

## Direction of Risk

	DoR	Comment
Pressure on Housing & Homelessness Services	➔	Welsh Government's changes to Homelessness legislation in December 2022 continues to have an impact on the number of households whom the authority has a statutory duty to accommodate in temporary accommodation. Supply is not keeping pace with demand and the cost of living crisis has started to increase this demand further. A number of initiatives are being progressed to increase the supply of temporary and permanent housing and reduce the use of bed and breakfast and hotel accommodation. The Housing teams have been restructured from 01/04/24, with existing Officers undertaking a training programme with a focus on increased prevention of homelessness and the provision on more person-centered services. Additional staff have been recruited and will also be undertaking training during quarter 3, 2024/25.

## Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Ensure Social Housing Grant, Transitional Accommodation Cap Program and any other capital grants...	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Housing Transformation Project	01 Apr 2023	31 Mar 2025	31 Mar 2025	★
 Review opportunities to take an active role in property investment or utilisation of council owned...	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 The Common Housing Allocations Policy is amended to ensure that those in the most acute housing...	01 Apr 2024	31 Dec 2024	31 Dec 2024	●

# Pressure on the Delivery of Children Services

<b>Risk Overview</b>	Children Services are facing pressures 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.
<b>Parent Service(s)</b>	Children Services
<b>Lead Cabinet Member(s)</b>	Cabinet Member for Social Services



## Existing Arrangements to Manage Risk

<b>Governance</b>	<ul style="list-style-type: none"> <li>Children Services delivered in accordance with Social Services and Well-being Act, Well-being of Future Generations and Children's Act.</li> <li>There are governance arrangements in place at local, regional and national levels.</li> <li>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.</li> <li>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.</li> <li>The Safeguarding Board and Children's Family Strategic Partnership Board collaboratively work at regional levels to monitor and manage demand issues.</li> </ul>
<b>Internal Controls &amp; Processes</b>	<ul style="list-style-type: none"> <li>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.</li> <li>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.</li> <li>Collaborative and co-production working takes place between Children Services and other agencies to manage caseloads. This includes Foster Wales.</li> <li>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.</li> <li>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.</li> <li>Performance Management – Monthly reporting to Welsh Government and regular performance monitoring of services in Newport.</li> </ul>
<b>Other Arrangements</b>	<ul style="list-style-type: none"> <li>Care Inspectorate Wales (External Regulator) and Internal Audit provide assurance of governance, internal control and risk management.</li> <li>Third sector partnership working with Barnardos – prevention and statutory functions supporting families, MyST, residential homes provision, and Foster families.</li> </ul>

## Direction of Risk

	DoR	Comment
<b>Pressure on the Delivery of Children Services</b>	➔	The pressure on CS continues to remain high due to the year on year increase in referrals and the economic and social challenges that families are facing. The not for profit agenda and increase in fees from private providers is placing a strain on CS budgets. Staff are working hard to manage high caseloads, whilst also facing unrealistic expectations from other agencies and the judiciary on what statutory services can deliver in such financially challenging times.

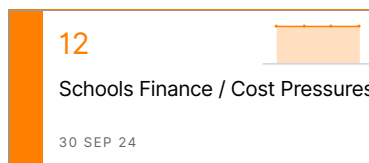
## Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
<input type="checkbox"/> Acquisition of new YJS intervention hub.	01 Oct 2022	31 Mar 2025	31 Mar 2025	●
<input type="checkbox"/> Continue to increase the support provided to Special Guardianship Order (SGO) carers within Newport.	01 Oct 2022	31 Mar 2026	31 Mar 2026	★
<input type="checkbox"/> Continue to utilise MyST in our teams for reunification, step down from residential & stabilisation	01 Apr 2024	31 Mar 2026	31 Mar 2026	★
<input type="checkbox"/> Develop our independent living skills offer for children with disabilities.	01 Apr 2024	31 Mar 2026	31 Mar 2026	★
<input type="checkbox"/> Extend the Safeguarding hub offer in order to meet continued demand.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
<input type="checkbox"/> Implementation of WG action plan to reduce the number of children who are looked after.	01 Oct 2022	31 Mar 2026	31 Mar 2026	★
<input type="checkbox"/> Increase the use of technology	01 Apr 2024	31 Mar 2026	31 Mar 2026	●
<input type="checkbox"/> Succession planning for staff in key roles.	01 Apr 2024	31 Mar 2026	31 Mar 2026	●



# Schools Finance / Cost Pressures

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



## Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> <li>Structures within Education and Finance support the escalation of identified issues to senior officers, Heads of Services and Executive Board.</li> <li>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.</li> <li>Schools Governors are also responsible for monitoring and reporting school finance positions.</li> </ul>
Internal Controls & Processes	<ul style="list-style-type: none"> <li>The Finance Business Partners provide a key role through their relationships with schools, and support early identification of emerging issues.</li> <li>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.</li> </ul>
Other Arrangements	<ul style="list-style-type: none"> <li>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.</li> </ul>

## Direction of Risk

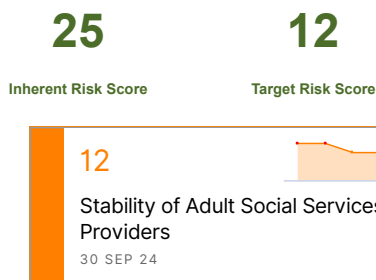
	DoR	Comment
Schools Finance / Cost Pressures	➔	There is no change to this risk score given that many schools are operating with large in-year deficits. Work is ongoing with a small number of schools that are considered to be at risk of moving into closing deficit positions as the year progresses and / or are likely to be unable to set a balanced budget for 2025/26. This situation continues to be monitored closely but the overall position remains delicate.

# Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Further opportunities to involve stakeholders in improvement planning processes.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Review and refine systems and processes to support schools in effective financial management.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★

# Stability of Adult Social Services Providers

Risk Overview	The Council requires support from external providers to deliver care packages for 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
Lead Cabinet Member(s)	Cabinet Member for Social Services



## Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> <li>Newport City Council is consistently reviewing and monitoring the provision of residential and non-residential care providers in the city and across the region.</li> <li>Regular Directorate and Service area meetings are held including representatives from Finance to assess and forecast the Council's financial position.</li> <li>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.</li> </ul>
Internal Controls & Processes	<ul style="list-style-type: none"> <li>The Council undertakes regular monitoring and assessment of placements and care packages across Adult Services.</li> <li>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.</li> <li>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.</li> </ul>
Other Arrangements	<ul style="list-style-type: none"> <li>The focus on this area of work is extensive including external monitoring.</li> </ul>

## Direction of Risk

	DoR	Comment
Stability of Adult Social Services Providers	➔	The supply of domiciliary care providers is currently very good. We will continue to monitor through the winter months.

## Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Centrica Lodge – Review of the service to meet changing needs.	02 Apr 2024	31 Dec 2024	31 Dec 2024	★
 Increase and improve Respite options for older adults.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Review of Home First	01 Apr 2024	31 Dec 2024	31 Dec 2024	★
 Review of the Managed Care service	01 Apr 2024	31 Mar 2025	31 Mar 2025	★

# WCCIS Replacement

<b>Risk Overview</b>	The Welsh Community Care Information System (WCCIS) is a national system used by Social Services to record all direct work, manage caseloads, facilitate provider payments and access historical records. The software supplier, Advanced have informed local authorities that they will no longer be supporting the system and are pulling out from the social care market. The servers/platform will be unsupported by Microsoft from 1st January 2026, which increases security risks. NCC alongside Gwent LAs, ADSS, WLGA and Welsh Government are examining all options to manage procurement and implementation of the replacement system.
<b>Parent Service(s)</b>	<ul style="list-style-type: none"> <li>▪ Adult Services</li> <li>▪ Children Services</li> <li>▪ Prevention &amp; Inclusion</li> </ul>
<b>Lead Cabinet Member(s)</b>	Cabinet Member for Social Services



## Existing Arrangements to Manage Risk

<b>Governance</b>	<ul style="list-style-type: none"> <li>• Connecting Care Gwent Steering Group of all Social Services Directors and Heads of Service have been overseeing the procurement exercise for the new system.</li> <li>• The existing regional WCCIS group will oversee the implementation of the new system (following the completion of the procurement exercise).</li> <li>• NCC Procurement Gateway process has overseen the procurement exercise of the new system which will be completed by December 2024.</li> <li>• Project Board is being established to oversee the implementation of the new system. The new Project Board will be created in line with NCC project management approach.</li> <li>• Delivery of the project will be reported to Social Services Directorate Management team and Executive Board once it has commenced.</li> </ul>
<b>Internal Controls &amp; Processes</b>	<ul style="list-style-type: none"> <li>• Procurement of the new system has been undertaken through the Council's Procurement Gateway Process.</li> <li>• As noted above, Project Management arrangements will need to be established following the completion of the procurement process to oversee and deliver the project.</li> <li>• All aspects of system implementation, migration and training will be delivered through the project team.</li> </ul>
<b>Other Arrangements</b>	<ul style="list-style-type: none"> <li>• Current contract is in place for 6 years to 2024 with an option to extend by further 2 years. Discussions are ongoing to align all contracts.</li> <li>• NCC has representatives at existing WCCIS groups to manage the current WCCIS system.</li> </ul>

## Direction of Risk

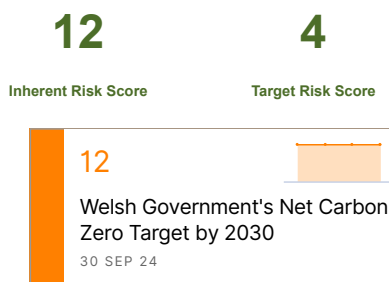
	DoR	Comment
<b>WCCIS Replacement</b>	➡	At the end of quarter 2 the risk score remains the same at 20. The procurement process will be drawing to a close by the end of the calendar year to award the contract to a new supplier. The Council is in progress of developing a project team to support the implementation and training of staff.

## Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Delivery of the new Social Services system	01 Dec 2024	31 Jan 2026	31 Jan 2026	
 Develop and present a project proposal to the Council's Executive Board	01 Apr 2024	30 Sep 2024	30 Sep 2024	
 Establish Project team to implement the new Social Services system.	01 Oct 2024	31 Dec 2024	31 Dec 2024	
 To review business continuity arrangements for WCCIS	01 Apr 2024	30 Sep 2024	30 Sep 2024	

# Welsh Government's Net Carbon Zero Target by 2030

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









## Existing Arrangements to Manage Risk

Governance	<ul style="list-style-type: none"> <li>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.</li> <li>Strategic Director (Environment &amp; Sustainability) is the chair of the Climate Programme Board and lead officer of the Climate Change Plan.</li> <li>Strategic Director (Transformation &amp; Corporate) is Deputy Lead and Vice Chair.</li> </ul>
Internal Controls & Processes	<ul style="list-style-type: none"> <li>Quarterly reports are reported to the Programme Board and Cabinet Member and half yearly reports are reported to Overview and Scrutiny Management Committee.</li> <li>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.</li> </ul>
Other Arrangements	<ul style="list-style-type: none"> <li>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.</li> <li>The council is also working with One Newport partners to develop a Newport-wide strategy.</li> </ul>

## Direction of Risk

	DoR	Comment
Welsh Government's Net Carbon Zero Target by 2030	➔	There is no change in the risk score for quarter 1. The organisation is making good progress against the delivery of the Climate Change Plan.

## Risk Mitigation Action Plan

Mitigating Action	Start Date	Target Date	Estimated Completion Date	Performance
 Identify and apply for funding to support actions across the Climate Change Plan.	01 Apr 2022	31 Mar 2024	31 Mar 2025	★
 Our Buildings: Complete building related actions in the Climate Change Plan (24/25)	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Transport: Complete the transport related actions of the Climate Change Plan (24/25)	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Wider Role LAEP Domestic energy efficiency schemes	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Wider Role LAEP Industry and Heat opportunities	01 Apr 2024	31 Mar 2025	31 Mar 2025	★
 Wider Role LAEP Transport: accelerate the roll out of EV Charging for residents.	01 Apr 2024	31 Mar 2025	31 Mar 2025	★