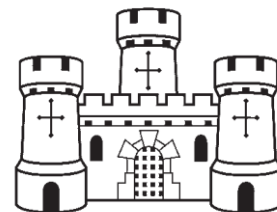


Public Document Pack

Date of meeting Wednesday, 7th September, 2022
Time 7.00 pm
Venue Garden & Astley Rooms - Castle House, Barracks Road,
Newcastle, Staffs. ST5 1BL
Contact Denise French



**NEWCASTLE
UNDER LYME**
BOROUGH COUNCIL

Castle House
Barracks Road
Newcastle-under-Lyme
Staffordshire
ST5 1BL

Audit and Standards Committee

AGENDA

PART 1 – OPEN AGENDA

- 1 **APOLOGIES**
- 2 **DECLARATIONS OF INTEREST**
To receive Declarations of Interest from Members on items included in the agenda
- 3 **MINUTES OF PREVIOUS MEETING** (Pages 3 - 6)
To consider the minutes of the previous meeting held on 27 June 2022.
- 4 **INTERNAL AUDIT UPDATE QUARTER 1** (Pages 7 - 12)
- 5 **CORPORATE RISK MANAGEMENT REPORT - QUARTER 4** (Pages 13 - 48)
2021-22 AND QUARTER 1 2022 - 23
- 6 **COMMITTEE WORK PLAN** (Pages 49 - 50)
- 7 **URGENT BUSINESS**
To consider any business which is urgent within the meaning of Section 100B(4) of the Local Government Act 1972

Members: Councillors P Waring (Chair), Panter (Vice-Chair), Holland, Whieldon, Stubbs, Brockie and Talbot

Members of the Council: If you identify any personal training/development requirements from any of the items included in this agenda or through issues raised during the meeting, please bring them to the attention of the Democratic Services Officer at the close of the meeting.

Meeting Quorums :- Where the total membership of a committee is 12 Members or less, the quorum will be 3 members....Where the total membership is more than 12 Members, the quorum will be one quarter of the total membership.

SUBSTITUTE MEMBER SCHEME (Section B5 – Rule 2 of Constitution)

Contacting the Council:

Switchboard 01782 717717 . Text 07800 140048

Email webmaster@newcastle-staffs.gov.uk.

www.newcastle-staffs.gov.uk

The Constitution provides for the appointment of Substitute members to attend Committees. The named Substitutes for this meeting are listed below:-

Substitute Members:	Parker	S Jones
	Gorton	Lawley
	Hutchison	Northcott

If you are unable to attend this meeting and wish to appoint a Substitute to attend in your place you need to:

- Identify a Substitute member from the list above who is able to attend on your behalf
- Notify the Chairman of the Committee (at least 24 hours before the meeting is due to take place)

Officers will be in attendance prior to the meeting for informal discussions on agenda items.

NOTE: THERE ARE NO FIRE DRILLS PLANNED FOR THIS EVENING SO IF THE FIRE ALARM DOES SOUND, PLEASE LEAVE THE BUILDING IMMEDIATELY THROUGH THE FIRE EXIT DOORS.

ON EXITING THE BUILDING, PLEASE ASSEMBLE AT THE FRONT OF THE BUILDING BY THE STATUE OF QUEEN VICTORIA. DO NOT RE-ENTER THE BUILDING UNTIL ADVISED TO DO SO.

Agenda Item 3

Audit and Standards Committee - 27/06/22

AUDIT AND STANDARDS COMMITTEE

Monday, 27th June, 2022
Time of Commencement: 7.00 pm

[View the agenda here](#)

[Watch the meeting here](#)

Present:	Councillor Paul Waring (Chair)		
Councillors:	Panter Holland	Stubbs Brockie	Talbot
Also present:	P Butters		
Apologies:	Councillor Whieldon		
Substitutes:	Councillor David Hutchison (In place of Councillor Joan Whieldon)		
Officers:	Sarah Wilkes Denise French Craig Turner Georgina Evans	Head of Finance / S151 Officer Democratic Services Team Leader Finance Manager Head of Strategy, People and Performance	

21. **APOLOGIES**

22. **DECLARATIONS OF INTEREST**

There were no declarations of interest stated.

23. **MINUTES OF PREVIOUS MEETING**

Resolved: That the minutes of the meeting held on 25 April 2022 be agreed as a correct record.

24. **HEALTH AND SAFETY ANNUAL REPORT 2021/22**

The committee considered the annual health and safety report covering the period 1 April 2021 – 31 March 2022.

The report summarised that various policies had been reviewed including the Employer Protection Policy and Alcohol, Drugs and Substance Misuse Policy. Training had been carried out in various IOSH courses on Leading Safely and Managing Safely, along with training in Risk Assessments, lone working and first aid refresher training.

Accidents during the reporting period were lower than usual which was likely to be partly due to altered working procedures during Covid lockdowns. The number of reportable accidents was 4 but none involved significant injuries.

Resolved: that the annual update on health and safety be noted.

[Click here to watch the debate](#)

25. ANNUAL GOVERNANCE STATEMENT 2021/22

The committee considered the Annual Governance Statement (AGS). The Accounts and Audit Regulations 2015 required the council to publish an AGS to emphasise the importance of embedding internal control, including risk management, throughout the council.

The AGS included the following headings which still included reference to the Covid pandemic:

- Scope of responsibility
- Delivering governance in Local Government: framework
- The governance framework
- Review of effectiveness
- Significant governance issues
- Reflecting the challenges and impact of Coronavirus.

The AGS was prepared taking into account the guidance document 'Delivering Good Governance Framework' produced by the Chartered Institute of Public Finance (CIPFA).

Resolved: that the Annual Governance Statement for 2021/22 be approved.

[Click here to watch the debate](#)

26. PROPOSED ACCOUNTING POLICIES, CRITICAL ACCOUNTING JUDGEMENTS AND SOURCES OF ESTIMATION UNCERTAINTY FOR THE 2021/22 STATEMENT OF ACCOUNTS

The committee considered the proposed accounting policies used by the council in preparing the Statement of Accounts; best practice recommended that these be approved by the Audit and Standards Committee.

Resolved: that

- (a) The proposed Accounting Policies that will form part of the Statement of Accounts 2021/22 be approved;
- (b) The council's critical judgements in applying Accounting Policies and its assumptions made about the future and other major sources of estimation uncertainty that will form part of the 2021/22 Statement of Accounts be approved; and
- (c) The Head of Finance (Section 151 Officer) be granted delegated powers to make further changes to the proposed Accounting Policies to reflect the release of new or updated guidance if applicable and will notify the Members of this Committee if any such changes are made.

[Click here to watch the debate](#)

27. DRAFT STATEMENT OF ACCOUNTS 2021/22

The committee considered the draft Statement of Accounts 2021/22. The draft Statement set out the council's final outturn position at 31 March 2022. Once approved the accounts would be published as draft and be available for public inspection between 4 and 15 July. The accounts would be subject to external audit by Grant Thornton and this would commence during the week of 11 July. The final audited statement of accounts would be submitted to the committee for approval on 14 November. This would enable publication by the deadline date of 30 November 2022.

The draft statement showed a favourable variance of c£4k on the Revenue Budget. The Head of Finance referred to figures in the accounts relating to movements of short and long term investments of around c£0.5bn, this was not money the council was holding but referred to in and out transactions. In relation to the pensions' fund, the pension liability had increased last year due to a revaluation and remeasurement by the actuary because of Covid, for the 2021-22 accounts the liabilities had again been re-evaluated and the liability figures had reduced back down to their previous level.

Members raised a query around paragraph 2.13 which referred to repaying the deficit on the Collection Fund. The committee was advised that the current position was now a small surplus for council tax. For Business Rates there was a cumulative net deficit of £3.7m, the council had received Section 31 funding last year from Government which would be used leaving a total net deficit of £1.512 which the council would meet from the Business Rate reserves.

Resolved: that

- (a) The General Fund outturn and key issues in respect of the council's financial position as at 31 March 2022 be noted; and
- (b) The draft Statement of Accounts for 2021/22 be approved for publication and audit.

[Click here to watch the debate](#)

28. TREASURY MANAGEMENT ANNUAL REPORT 2021/22

The committee considered the Treasury Management Annual Report for 2021/22. CIPFA Code of Practice recommended that Members review treasury management performance at least twice yearly.

Treasury management included management of the council's investments and cash flows, banking and effective control of risks. The council used Arlingclose Ltd for advisory services for treasury management.

Resolved: that the Treasury Management Report for 2021/22 be received and will be reported to Full Council on 28 September 2022.

[Click here to watch the debate](#)

29. URGENT BUSINESS

There was no Urgent Business.

Audit and Standards Committee - 27/06/22

30. COMMITTEE WORK PLAN

The committee considered the current Work Plan. There were no items for the next meeting and the Chair suggested it be cancelled.

Resolved: that:

- (a) the Work Plan be received; and
- (b) the meeting scheduled for 25 July be cancelled.

**Councillor Paul Waring
Chair**

Meeting concluded at 7.34 pm

NEWCASTLE-UNDER-LYME BOROUGH COUNCIL

EXECUTIVE MANAGEMENT TEAM'S REPORT TO

Audit & Standards Committee
07 September 2022

Report Title: Internal Audit Update Quarter 1
Submitted by: Chief Internal Auditor, Clare Potts
Portfolios: Finance, Town Centres and Growth
Ward(s) affected: All

Purpose of the Report

To report on the position regarding Internal Audit during the period 1 April to 30 June 2022.

Recommendation

That

1. That Members consider the report

Reasons

The role of Internal Audit is to ensure that the Council has assurance that controls are in place and operating effectively across all Council Services and Departments.

1. Background

1.1 The Internal Audit Plan for 2022/23 allows for 291 days of audit work.

1.2 This is the first progress report of the current financial year presented to the Committee.

1.3 As audit resources are finite, it is important to target these resources at areas considered to be high risk (where risk includes potential impact on the delivery of the council's objectives) and high priority, ahead of medium/low ranked audits. In this way the audit resource will be most efficiently utilised and will produce the greatest benefit. The internal audit plan will be regularly monitored and where necessary revised to take into account both unforeseen and new developments. Any variations or developments; significant matters that jeopardise the delivery of the plan or require changes to the plan will be reported to the Audit & Standards Committee at the earliest opportunity. Where requests are received to undertake consulting engagements, consideration will be given to their potential to improve the management of risks, to add value and to improve the council's operations.

2. Issues

Audit reviews

2.1 During quarter 1 a number of reviews that began in previous quarters were finalised. See table 1 over for details.

Table 1 – Audits Completed at the end of June 2022

Audit	Level of Assurance	Number of Recommendations			
		High	Medium	Low	Total
Council Tax and NNDR 2021/22 Health Check	Good (Positive)	0	1	1	2
Treasury Management 2021/22 Health Check	Good (Positive)	0	0	0	0

2.2 Opinions for the above reviews are classified as follows:

Table 2 – Opinion Definitions

Level of Assurance	Detailed definition of level of assurance
Good (Positive)	A good level of effective control, which allows reliance to be placed on the management of the system.
Satisfactory (Positive)	A satisfactory level of control. However, some control weaknesses have been identified which need to be corrected in order to move up to a good level of control.
Marginal (Neutral)	A number of weaknesses have been identified which make it difficult to place reliance on the operation of the internal control framework. Improvements are required to increase the adequacy and effectiveness of control.
Unsatisfactory (negative)	A number of significant weaknesses have been identified which make it difficult to place reliance on the operation of the internal controls. Significant improvements are required to increase the adequacy and effectiveness of control.
Unsound (negative)	At least one fundamental absence or weakness exists which places the system open to major error, waste, loss or abuse. Fundamental weaknesses need immediate action to improve the control environment.

2.3 At the end of quarter 1 a number of audit work remains in progress, details are provided in table 3 below.

Table 3 – Audits In Progress at the end of June 2022

Directorate	Audit	Status (Preparation / Fieldwork / Draft / Since issued)
Chief Executives	Payroll	Draft
		Fieldwork

	Income Health Check	Preparation
	Purchase to Pay Health Check	Preparation
Regeneration and Development	Planning Enforcement	Since Issued
Corporate	Safeguarding	Fieldwork
	Procurement and Contract Management	Preparation
	Risk Management	Since Issued
	Project Governance	Fieldwork
IT Audit	IT – Home Working	Preparation

2.4 As in the previous quarters, the internal audit team continue to be available to provide advice and guidance to services as required. The annual internal audit plan also remains under regular review to support the production of the annual opinion at the year end.

Number of Recommendations Implemented

2.5 At the conclusion of every audit, an audit report is issued to management detailing findings of the audit review together with any recommendations required to be implemented to address any weaknesses identified.

2.6 Up to the end of June 2022, 293 recommendations had been made, of which 264 have been implemented, which represents 90%; the target for the implementation of all recommendations is 96% by the end of the financial year. Appendix A provides further details.

3. Proposal

3.1 The internal audit plan for 2022/23 remains under review to ensure best use of available resources.

4. Reasons for Proposed Solution

4.1 The audit plan is monitored on a regular basis to ensure that it is achievable and reflects the key risks affecting the council.

5. Options Considered

5.1 None

6. Legal and Statutory Implications

6.1 The Accounts and Audit Regulations 2015 require the Council to 'maintain an adequate and effective system of internal control in accordance with the proper internal audit practices'.

7. Equality Impact Assessment

7.1 There are no equality impact issues identified from this proposal.

8. Financial and Resource Implications

8.1 The service is currently on target to be provided within budget. The financial implications resulting from the recommendations made within audit reports will be highlighted within individual reports wherever possible. It is the responsibility of managers receiving audit reports to take account of these financial implications, and to take the appropriate action.

9. **Major Risks**

9.1 If key controls are not in place, managers are exposing their systems, processes and activities to the potential abuse from fraud and corruption.

9.2 If key controls are not in place, assurance cannot be given that the Services being delivered provide Value for Money for the Council.

9.3 If the risks identified are not addressed through the implementation of agreed recommendations, achievement of the Council's objectives will be affected.

10. **UN Sustainable Development Goals and Climate Change Implications**

10.1 Not applicable.

11. **Key Decision Information**

11.1 Not applicable.

12. **Earlier Cabinet/Committee Resolutions**

12.1 Approval of the Internal Audit Plan for 2022/23 (Audit and Standards Committee April 2022).

13. **List of Appendices**

13.1 Appendix A – Outstanding internal audit recommendations

14. **Background Papers**

14.1 Internal Audit Plan 2022/23.

Summary of Overdue Audit Recommendations

Directorate	Total Number of Recommendations	Number of Recommendations Completed	Number of Recommendations Not Completed	Number of Recommendations				
				Not Yet Due	Overdue for Implementation*			
					High	Medium	Low	Total
Chief Executives	177	150	27	8	2	13	4	27
Regeneration & Development Services	12	12	0	0	0	0	0	0
Operational Services	68	66	2	1	0	1	0	2
Corporate Reviews	36	36	0	0	0	0	0	0
Total	293	264	29	9	2	14	4	29

* includes recommendations where extensions have been agreed

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NEWCASTLE-UNDER-LYME BOROUGH COUNCIL

**EXECUTIVE MANAGEMENT TEAM'S REPORT TO THE
AUDIT & STANDARDS COMMITTEE**

Date 07 September 2022

1. **REPORT TITLE** Quarter 4 2021/22 & Q1 2022/23 Corporate Risk Management Report
- Submitted by:** Executive Management Team
- Portfolio:** Corporate and Service Improvement, People and Partnerships
- Ward(s) affected:** All

Purpose of the Report

To inform Members of the progress made by the Council in enhancing and embedding risk management for the period January to March 2022 (Q4 (2021/22)) and April to June 2022 (Q1 (2022/23)) including progress made in managing identified corporate risks.

To ask members to recognise that risk likelihood can be mitigated but the risk impact may not change.

Recommendation

The Committee is asked to:-

- (a) Note the issue and work completed at point 2.1.
- (b) Note Appendix A – Sustainable Environment profile linking service objectives with corporate priorities (2.1.4).
- (c) Note that there are 19 overdue risk reviews during Q4 & Q1 (point 2.2.1).
- (d) Note Appendix B – update on the Corporate risks (point 2.2.3)
- (e) Identify, as appropriate, individual risk profiles to be scrutinised in more details at the next meeting of the Committee

Reason

The risk management process adopted by the Council has been reviewed to incorporate changes in the way the Council works and to provide continuity and streamlined reporting of risks to allow the process to become further embedded at each level of the authority. This will also aid the identification of key risks that potentially threaten the delivery of the Council's corporate priorities. The Risk Management Strategy provides a formal and proportionate framework to manage these identified risks and thus reduce the Council's exposure.

1. **Background**
- 1.1 The Council monitors and manages all its risks through the various risk profiles contained within GRACE (Governance Risk and Control Environment) – the Council's software used to record and manage risks.
- 1.2 The Council currently reviews its high (red 9) risks at least monthly and its medium (amber) risks at least quarterly.

- 1.3 The last review of these risks (Q3 2021/22) was reported to the Council's Audit & Standards Committee on 07 February 2022.
- 1.4 Risk owners are challenged by the Council's Risk Champions in respect of the controls, further actions, ratings and emerging risks related to their risk profiles, and are also challenged on the reasons for inclusion or non-inclusion and amendments of these.
- 1.5 Projects are managed to a high level in relation to risk and are reviewed in accordance with the Risk Management Strategy (i.e. at least monthly). Any specific projects, where required can also have their risks monitored, maintained and managed in the Project Board meetings, in line with whichever risk management process they wish to use – this will stop 'double reporting' and enable officers to manage the project risks accordingly, but escalating any requirements via the process in the Risk Management Strategy.

2. Issues

- 2.1 Following the last meeting in April 2022 when the Risk Management Policy and Strategy was approved, Risk Management received the report for its Audit report, with an overall rating of Satisfactory.
 - 2.1.1 There were recommendations – 1 medium and 8 low.
 - 2.1.2 Work has been completed on some quick fixes and further development started on those recommendations where they may take longer.
 - 2.1.3 The one medium recommendation related to the auditors view that *"in the absence of clear objectives, officers may consider and respond to irrelevant risks that have no impact of the services they provide"*. The findings included that an enhancement be made to the corporate risk register – that risks are clearly mapped to the Council's corporate priorities. This work has been started in that functionality is available to link.
 - 2.1.4 This work is further progressing in that with the restructuring taking place and the writing of the new, or revising current service plans throughout, the objectives identified in them, along with other information, is linked to the corporate priorities. An example of one completed area can be seen at Appendix A, where work has been started on Sustainable Environment service.
- 2.2 A previous Audit Assurance recommendation is to report on overdue risk reviews that are 6 months out of date.
 - 2.2.1 At the time of running the report, there are a total of 19 overdue risk reviews from Q4 and Q1.
 - 2.2.2 In relation to these overdue risks, as the restructuring of services throughout the Council takes place, these should reduce when risk owners are identified and risks reviewed as part of their responsibility changes. This will also affect their service plans and linking those risks, aims and key indicators.
 - 2.2.3 In line with the risk management strategy the escalation process will be followed, until such time that involvement of this Committee is required.
- 2.3 Following a previous meeting a brief point is now produced to show any risks where the risk level has increased to a Medium 7, 8 or High 9.

2.3.1 At this time with the restructuring taking place, it has been decided that this will be put on hold until a full review can take place.

2.3.2 Appendix B highlights the corporate risks following a review on 15 July 2022.

3. **Proposal**

3.1 To accept the recommendations.

3.2 To accept Appendix A.

3.3 To accept Appendix B.

4. **Reasons for Preferred Solution**

4.1 To offer a continual review process to minimise and mitigate risks.

5. **Options Considered**

5.1 Following the comprehensive review of risk profiles taking place across the council, the only risks to be reported are those from the Corporate Risk Register, unless there are any significant occurrences or increased in other profiles.

6. **Legal and Statutory Implications**

6.1 The Accounts and Audit (England) Regulations 2015, state that:

*“The relevant body **is** responsible for ensuring that it has a sound system of internal control which facilitates the effective exercise of its functions and the achievement of its aims and objectives; ensures that the financial and operational management of the authority is effective, and includes effective arrangements for the management of risk”.*

7. **Equality Impact Assessment**

7.1 There are no differential equality impact issues in relation to this report.

8. **Financial and Resource Implications**

8.1 None where actions are to be taken in order to mitigate the risks as these will be met from within existing budgets. Where this is not possible, further reports will be submitted to Members of relevant Committees.

9. **Major Risks**

9.1 Insufficient risk profiles may expose the council to non-compliance with its Legal and Statutory obligations.

10. **UN Sustainable Development Goals and Climate Change Implications**

10.1 Good risk management is a key part of the overall delivery of the Council's four corporate priorities of; Local Services that Work for Local People, Growing our People

and Places, a Healthy, Active and Safe Borough, a Town Centre for all. Officers assess sustainability and climate change implications as part of their local services.



11. **Key Decision Information**

11.1 This report is for information and there are no key decision requirements pertaining to the information contained within the report.

12. **Earlier Cabinet/Committee Resolutions**

12.1 Previous Minutes from Committee meeting held on 08 November 2021.

13. **List of Appendices**

13.1 Appendix A – Sustainable Environment profile with heat map showing link back to corporate priorities.

13.2 Appendix B - Corporate risks with heat map.

14. **Background Papers**

14.1 None.

Risk Capacity

H				
M				G
L				R/T
	L	M	H	

Impact Measures	Pressure to support other service areas or initiatives. Health and safety risks due to operations.
Risk Description	Service failure. Injury.
Potential Consequences	Financial. Reputation. Legal.
Implication	Andrew Bird
Risk Owners	Medium Amber 6
Risk Rating	Medium Amber 3
Final Risk Rating	Medium Amber 3
Target Risk Level	Tolerate
Path	Sustainable Environment/Operational Services/Newcastle Under Lyme
Last Review	30/06/2022
Next Review	28/09/2022
Treatment	Tolerate

Impact

Objectives

Our fleet services support other Council departments in providing fleet procurement and maintenance services, and taxi testing	Operational
LINKED TO: A Healthy, Active and Safe Borough	
LINKED TO: Growing our People and Places	
LINKED TO: Local Services that Work for Local People	
To create a sustainable low carbon environment for residents, businesses, and visitors, starting with the Councils own estate and assets.	Operational
LINKED TO: A Healthy, Active and Safe Borough	
LINKED TO: A Town Centre for all	
LINKED TO: Growing our People and Places	
LINKED TO: Local Services that Work for Local People	
To maintain and enhance the quality and cleanliness of the Borough's public realm and open spaces for the continued enjoyment, health and recreation of residents, businesses and visitors	Operational
LINKED TO: A Healthy, Active and Safe Borough	
LINKED TO: A Town Centre for all	
LINKED TO: Growing our People and Places	
LINKED TO: Local Services that Work for Local People	
To provide efficient reliable recycling and waste collection services to residents and businesses within the borough, helping residents to waste less, re-use, and recycle more.	Operational
LINKED TO: A Town Centre for all	
LINKED TO: Growing our People and Places	
LINKED TO: Local Services that Work for Local People	

Key Controls Identified

Additional staff provided when necessary.
Business Continuity
Critical systems documentation
Expertise exists within the council to develop operational working plans
Health and Safety
Staff

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
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Risk Finance

H				
M				G
L				R/I
			L	M
				H

Impact Measures

Risk Description

Rising inflation, energy and fuel costs. Potential increases in insurance premiums due to changes in staffing numbers, vehicle numbers, operations and insurance claims history. Failure to achieve income due to fluctuation in tonnage of material collected and changes in material prices. Failure to comply with legislation or changes. Failure to have a robust, accurate, and sustainable budget for the service. Failing of managing physical resources such as the depot and vehicles, and control of stock such as bins and bags. Health and safety risks due to operations.

Potential Consequences

Service failure. Third Party intervention. Increase in injury or property claims.

Implication

Financial. Reputation. Legal. Fraud & theft.

Risk Owners

Andrew Bird

Risk Rating

Medium Amber 6

Last Review 30/06/2022

Final Risk Rating

Medium Amber 3

Next Review 28/09/2022

Target Risk Level

Medium Amber 3

Treatment

Path

Sustainable Environment/Operational Services/Newcastle Under Lyme

Objectives

Our fleet services support other Council departments in providing fleet procurement and maintenance services, and taxi testing

Operational

LINKED TO: A Healthy, Active and Safe Borough

LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People

To create a sustainable low carbon environment for residents, businesses, and visitors, starting with the Councils own estate and assets.

Operational

LINKED TO: A Healthy, Active and Safe Borough

LINKED TO: A Town Centre for all

LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People

To maintain and enhance the quality and cleanliness of the Borough's public realm and open spaces for the continued enjoyment, health and recreation of residents, businesses and visitors

Operational

LINKED TO: A Healthy, Active and Safe Borough

LINKED TO: A Town Centre for all

LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People

To provide efficient reliable recycling and waste collection services to residents and businesses within the borough, helping residents to waste less, re-use, and recycle more.

Operational

LINKED TO: A Town Centre for all

LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People

Key Controls Identified

Absence Management

Additional staff provided when necessary.

Budget in place

Certified competent staff

Consultation with regulatory bodies.

Continued dialogue with Staffordshire County Council re their Dry Recycling Credit Policy.

Debtors list provided monthly

Finance

Head of Service actively monitors the market re prices for recycled material

Head of Service works with the end user to further develop the relationship re recycled material

Income generation activities

Monitoring of budgets and long-term trend planning.

Obtain suitable expertise and resources as and when required

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Look to install Bartec system and TP monitoring on other council vehicles in Street Cleansing areas. Policy Reviews	Planned	Darren Green	31/03/2023	
Reviews to be completed to Driving at Work Policy	Planned	Andrew Bird Steve Gee Helen Smith	30/09/2022	Drugs Alcohol and Substance Misuse Policy approved. Roll-out to commence Dec 2021 - March 2022.

Risk

H				
M				
L			R/T	
		L	M	H

Likelihood

Impact

Impact Measures

Risk Description

Funding levels from fees and charges, sponsorship, grants and planning obligations put pressure on the capital programme and revenue budgets.

Potential Consequences

Implication

Risk Owners Andrew Bird

Last Review 30/06/2022

Next Review 28/09/2022

Treatment Tolerate

Medium Amber 3

Medium Amber 3

Path Sustainable Environment/Operational Services/Newcastle Under Lyme

Objectives

Our fleet services support other Council departments in providing fleet procurement and maintenance services, and taxi testing

LINKED TO: A Healthy, Active and Safe Borough
LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People
To create a sustainable low carbon environment for residents, businesses, and visitors, starting with the Councils own estate and assets.

LINKED TO: A Healthy, Active and Safe Borough
LINKED TO: A Town Centre for all
LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People
To maintain and enhance the quality and cleanliness of the Borough's public realm and open spaces for the continued enjoyment, health and recreation of residents, businesses and visitors

LINKED TO: A Healthy, Active and Safe Borough
LINKED TO: A Town Centre for all
LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People
To provide efficient reliable recycling and waste collection services to residents and businesses within the borough, helping residents to waste less, re-use, and recycle more.

LINKED TO: A Town Centre for all
LINKED TO: Growing our People and Places
LINKED TO: Local Services that Work for Local People

Key Controls Identified

Budget in place

Finance

Income generation activities

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
-------------------------	------------------	-------------------	-----------------------	----------

Risk One Council

H				
M			R/G	
L			T	
		L	M	H

Likelihood

Impact

Impact Measures

Risk Description

Unknown overheads, impact on future workload and resources. Planning for the future. Employees within the service undertaking the same role but on different contracts. Failure to have a robust, accurate, and sustainable budget for the service. Health and safety risks due to operations. Consistency of applying policies differs in each service area - both in Sustainable Environment, and across the council.

Potential Consequences Service failure. Injury (including disease) or death.

Implication Financial. Reputation. Legal. Fraud & theft

Risk Owners Andrew Bird

Risk Rating Medium Amber 6

Final Risk Rating Medium Amber 6

Target Risk Level Medium Amber 3

Path Sustainable Environment/Operational Services/Newcastle Under Lyme

Last Review 30/06/2022

Next Review 28/09/2022

Treatment Treat

Objectives

Our fleet services support other Council departments in providing fleet procurement and maintenance services, and taxi testing

LINKED TO: A Healthy, Active and Safe Borough

LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People

To create a sustainable low carbon environment for residents, businesses, and visitors, starting with the Councils own estate and assets.

LINKED TO: A Healthy, Active and Safe Borough

LINKED TO: A Town Centre for all

LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People

To maintain and enhance the quality and cleanliness of the Borough's public realm and open spaces for the continued enjoyment, health and recreation of residents, businesses and visitors

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To provide efficient reliable recycling and waste collection services to residents and businesses within the borough, helping residents to waste less, re-use, and recycle more.

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LINKED TO: Local Services that Work for Local People

Key Controls Identified

Absence Management

Additional staff provided when necessary.

Business Continuity

Communication only through all formal channels in accordance with Communication Strategy

Critical systems documentation

Cross-service officer groups established

Health and Safety

Obtain suitable expertise and resources as and when required

Performance monitoring

Procedures

Staff training.

Training and development system.

Budget in place

Action Plans

Contract alignment	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Contract alignment	To look at contracts and align to remove any issues - this will be completed through natural wastage and when new employees join it will be on the aligned contract	Planned	Julie Copestake	31/03/2023	
Ensure that policy processes are followed consistently across the service.	Ask HR to ensure that the procedures are consistent in all policies written for the council and especially the service areas concerned in the Sustainable Environment area	Planned	Helen Smith	31/08/2022	

Risk Operation of services is not energy efficient

H				
M		R/G		
L			T	
			L	M
				H

Likelihood

Impact

Impact Measures

Risk Description Where the running of the service, including vehicles, does not conform to the vision of the council becoming carbon neutral or increasing energy efficiency

Potential Consequences

Implication Financial. Reputation. Legal.

Risk Owners Andrew Bird

Risk Rating Medium Amber 5

Final Risk Rating Medium Amber 5

Target Risk Level Low Green 2

Path Sustainable Environment/Operational Services/Newcastle Under Lyme

Last Review 09/06/2022

Next Review 25/08/2022

Treatment Treat

Objectives

To create a sustainable low carbon environment for residents, businesses, and visitors, starting with the Councils own estate and assets.

LINKED TO: A Healthy, Active and Safe Borough

LINKED TO: A Town Centre for all

LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People

Key Controls Identified

Data Management

Action Plans

Action Plan Description

Pursue alternative fuel supply for vehicles

Action Plan Type

Planned

Action Plan Owner

Julie Copestake
Steve Gee
Darren Green
Simon Sowerby

Due for Completion by

30/1/2022

Comments

Partner engagement

H				
M				
L			R/T/G	
		L	M	H

Impact Measures

Risk Description

The partners not engaging with service delivery in recycling and waste, grounds maintenance and street cleansing. Failure to achieve collection of high quality material. Failure to achieve required recycling targets. Health and safety risks due to operations.

Potential Consequences

Service delivery failings. Third Party intervention.

Implication

Financial. Reputation. Legal.

Risk Owners

Andrew Bird

Risk Rating

Medium Amber 3

Last Review 30/06/2022

Final Risk Rating

Medium Amber 3

Next Review 28/09/2022

Target Risk Level

Medium Amber 3

Treatment Tolerate

Path

Sustainable Environment/Operational Services/Newcastle Under Lyme

Impact

Objectives

Our fleet services support other Council departments in providing fleet procurement and maintenance services, and taxi testing

LINKED TO: A Healthy, Active and Safe Borough

LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People

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LINKED TO: Local Services that Work for Local People

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LINKED TO: A Town Centre for all

LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People

Key Controls Identified

Communication Plan

Communications

Continued dialogue with Staffordshire County Council re their Dry Recycling Credit Policy.

Cross-service officer groups established

Extensive promotion material already produced.

Materials market

Partnership working in place, with contractors and Staffordshire County Council.

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
-------------------------	------------------	-------------------	-----------------------	----------

Results of the DEFRA consultation

H				
M				
L				

Impact Measures

Risk Description

The full effects of Recycling and Waste Services consultation is currently unknown until DEFRA publish the outcomes. Inappropriate treatment or disposal of waste - this can be recycling, waste and fly tipping debris, including any asbestos disposal from fly tipping.

Potential Consequences

Service delivery affected as we can't afford to implement the recommendations, and as it is a statutory service, there would be Third Party intervention.

Implication

Financial. Reputation. Legal.

Risk Owners

Andrew Bird

Risk Rating

Medium Amber 3

Final Risk Rating

Medium Amber 3

Target Risk Level

Medium Amber 3

Impact

Sustainable Environment/Operational Services/Newcastle Under Lyme

Last Review

30/06/2022

Next Review

28/09/2022

Treatment

Treat

Objectives

To create a sustainable low carbon environment for residents, businesses, and visitors, Operational starting with the Councils own estate and assets.

LINKED TO: A Healthy, Active and Safe Borough

LINKED TO: A Town Centre for all

LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People

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LINKED TO: A Town Centre for all

LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People

Key Controls Identified

Action Plans

Review the procedures across the services

Action Plan Description

Action Plan Type

Action Plan Owner

Comments

Due for Completion by

Planned

Andrew Bird

Julie Copestake

Darren Green

31/08/2022

Risk

Likelihood		Skill gaps		Impact	
H					
M					
L					

Impact Measures

Risk Description

Gaps in skills for project delivery - no suitable and effective succession planning. Health and safety risks due to operations. Failure of IT in the service areas.

Potential Consequences

Service failure. Injury (stress) claims from remaining staff.

Implication

Finance. Reputation. Legal.

Risk Owners

Andrew Bird

Risk Rating

Medium Amber 6

Final Risk Rating

Medium Amber 6

Target Risk Level

Medium Amber 3

Path

Sustainable Environment/Operational Services/Newcastle Under Lyme

Last Review

08/09/2022

Next Review

Treat

Treatment

Objectives

Our fleet services support other Council departments in providing fleet procurement and maintenance services, and taxi testing

LINKED TO: A Healthy, Active and Safe Borough

LINKED TO: Growing our People and Places

LINKED TO: Local Services that Work for Local People

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LINKED TO: Local Services that Work for Local People

Key Controls Identified

Critical systems documentation

Monitoring of budgets and long-term trend planning.

Training and development system.

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Review the skills gap in the service	Planned	Julie Copestake Steve Gee Darren Green	31/03/2023	

Corporate Risks

Risk	Air Quality		
	H	M	L
Impact Measures			
Risk Description			
Potential Consequences		R/G	T
Implication			
Risk Owners			
Risk Rating			
Final Risk Rating			
Target Risk Level			
Path			
		L	M
			H

Impact Measures
Risk Description
Potential Consequences
Implication
Risk Owners
Risk Rating
Final Risk Rating
Target Risk Level
Path

Failure to comply with the Government Directive Timetable
 * Failure to deliver within prescribed timescale, failure to safeguard health, failure to identify alternatives to CAZ, failure to deliver to standard required.
 * Failure to comply with Directive Timetable and requirements may result in legal action by Government and Client Earth against the Council.
 * Failure by UK Government to satisfy ECJ may lead to fines being passed down to failing LA's under Localism Act.
 * Failure to deliver existing workload commitments and statutory duties.
 Damage to health / potential legal challenge and further action by Government including intervention in LA Air Quality function. Significant financial implications. Lack of Public Confidence. Reputational damage. Fines if passed down are likely to adversely impact council services. Failure to deliver existing workload commitments and statutory duties
 Dave Adams
 Medium Amber 6
 Medium Amber 6
 Medium Amber 3
 Corporate Risks/Newcastle Under Lyme
Last Review 15/07/2022
Next Review 13/10/2022
Treatment Tolerate

Objectives

A Healthy, Active and Safe Borough
 Local Services that Work for Local People

Key Controls Identified

Corporate
 Corporate
 Air Quality project

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
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Breach of health and safety

H			G
M			R
L			T
	L	M	H

Impact

Impact Measures
Risk Description
Potential Consequences
Implication
Risk Owners
Risk Rating
Final Risk Rating
Target Risk Level
Path

Failure to comply with relevant health and safety legislation.
 Death or harm to staff, contractors or members of the public. Reputation damage. Adverse financial implications. Third party intervention.
 Martin Hamilton
 High Red 9
 Medium Amber 6
 Medium Amber 3
 Corporate Risks/Newcastle Under Lyme
Last Review 15/07/2022
Next Review 13/10/2022
Treatment Treat

Objectives

A Healthy, Active and Safe Borough

A Town Centre for all

Growing our People and Places

Local Services that Work for Local People

Key Controls Identified

Corporate
 Corporate
 Corporate
 Corporate
 Home-worker risk assessments completed
 Health & Safety Policy and Employees Handbook
 Target 100 corporate H&S system
 Internal training policies, EDR, annual training audit, training resources secured, relevant training provided.
 Health & Safety officer post on establishment.
 Inspection programme of premises.
 Incident Management Team
 Liaison with external bodies.
 Update seminars, professional membership, access to legislation and reference materials, support from legal services
 Facilities Management controls in place for regular maintenance and servicing.
 Corporate Health & Safety Committee including senior representation.
 Comprehensive refresher training programme completed
 Covid-19 risk assessments
 Health and Safety sub-committees established and operational
 Internal audit of corporate H&S service undertaken

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Corporate mandate to routinely review and update Target 100 risk assessments and tasks	Ongoing	Dave Adams Martin Hamilton Simon McEneny Sarah Wilkes	30/09/2022	Due date revised to reflect ongoing nature of this action.
Refresher IOSH training for managers	Planned	Sarah Blakeway	30/09/2022	

Risk **Civil emergency**

Likelihood	H	M	L	
Impact	H	M	L	H

Impact Measures
Risk Description Civil emergency
Potential Consequences Possible unbudgeted costs; service delivery affected
Implication Fall in usual service delivery; complaints;
Risk Owners Martin Hamilton
Risk Rating Low Green 2
Final Risk Rating Low Green 2
Target Risk Level Low Green 2
Path Corporate Risks/Newcastle Under Lyme

Last Review 15/07/2022
Next Review 11/01/2023
Treatment Tolerate

Objectives

A Healthy, Active and Safe Borough

Key Controls Identified

Corporate
 Bellwin Scheme should meet 85% of cost
 Insurance provision established
 General Fund Reserve available

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
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Risk Corporate Governance

H			
M			
L			

Impact Measures

Risk Description

Potential Consequences

Implication

Risk Owners

Risk Rating

Final Risk Rating

Target Risk Level

Path

Failure of Corporate Governance exposes the Council to financial, legal or reputational risk.

Financial implications
Legal challenges
Reputation damage
Loss of organisational capacity
Government Intervention

Daniel Dickinson
Medium Amber 6
Medium Amber 3
Medium Amber 3
Corporate Risks/Newcastle Under Lyme

15/07/2022

13/10/2022

Treat

Objectives

Local Services that Work for Local People

Key Controls Identified

Audit & Standards Committee
Advice obtained from external bodies as and when required
Statutory Officer Group
Internal Audit inspections
Monitoring Officer
Effective scrutiny arrangements

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Scrutiny Protocol and Toolkit implementation To be arranged for all Members of Audit & Standards Committee	Planned	Denise French	31/05/2022	To fall in line with Council sign off of the Constitution.
Training	Planned	Daniel Dickinson Sarah Wilkes	27/06/2022	At first meeting following Full Council

Covid-19

H				
M				
L				

Impact

Impact Measures
Risk Description Endemic leading to disruption of service delivery and local economic impact
Potential Consequences Higher mortality rates
 Local economic impacts
 Customer dissatisfaction and service complaints
Implication Loss of service and financial implications.
 Business continuity
 Reputation damage
Risk Owners Martin Hamilton
Risk Rating Medium Amber 6
Final Risk Rating Medium Amber 6
Target Risk Level Medium Amber 3
Path Corporate Risks/Newcastle Under Lyme
Last Review 15/07/2022
Next Review 13/10/2022
Treatment Tolerate

Objectives

A Healthy, Active and Safe Borough

A Town Centre for all

Growing our People and Places

Key Controls Identified

Incident Management Team
 Business Continuity Plans in place
 Financial assistance

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
	Corporate			
	Corporate			
	Corporate			

Risk Cyber risk

Likelihood	H				G
	M				R
	L			T	
		L	M	H	

Impact

Impact Measures

Risk Description

The Council's infrastructure could be compromised by the introduction of malicious software. This could include a traditional destructive virus or another type of incursion such as information gathering software, ransomware, credential harvesting, etc. The threat from Cyber terrorism continues to increase on a global scale and by July 2017, two high profile, highly effective ransomware attacks had already taken place, crippling organisations in both the public and private sector.

Everything from non-criminal system failures to criminal activities (be they first or third party) can impact on our ability to operate. With the new GDPR legislation the risks associated with breaches, made worse by non-compliance to security standards and general best practice, have increased the need to understand our risk landscapes and mitigate them as appropriate.

Potential Consequences

The impact of these events can have financial, operational, strategic, compliance, criminal, and reputation impacts.

Implication

This risk implies that the Council's network or infrastructure has been compromised and an unknown threat actor who has successfully introduced malicious software such as a virus or ransomware to our environment. It should also be considered that this introduction has or will disrupt services or otherwise compromise the Council's information systems over an undetermined period.

The malicious software could have been introduced in any number of ways, such as by a member of staff clicking on a link within an email, the opening of a malicious file or the failure of ICT or a service provider to sufficiently patch and update vulnerable systems. There is also the potential for an attack to make use of a zero-day exploit - something which takes advantage of a previously unknown vulnerability, for which there is no immediate fix or protection.

Risk Owners

Martin Hamilton

Risk Rating

High Red 9

Last Review 15/07/2022

Final Risk Rating

Medium Amber 6

Next Review 13/10/2022

Target Risk Level

Low Green 2

Treatment

Path

Corporate Risks/Newcastle Under Lyme

Objectives

A Healthy, Active and Safe Borough

Corporate

A Town Centre for all

Corporate

Growing our People and Places

Corporate

Local Services that Work for Local People

Corporate

Key Controls Identified

- Staff awareness
- Internet and email policies
- Anti-Virus scanning at internet gateway
- Anti-Virus software
- Comprehensive Information Security policies
- Blocking of Removable Media
- Mandatory Information Security training for staff
- Information Security Group
- Penetration testing
- Receive Gov Cert UK Warnings from NCSC
- Use of Government CNS service
- Anti-Ransomware software
- Patch management
- Use of Virtualised Environments
- Attendance at West Midlands WARP (West Midlands Warning and Reports Procedures Group)

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Risk assessment based process via insurance Brokers to be completed	Planned	Annette Bailey Caroline Horne Dominic Taylor	30/09/2022	Discussion with Broker on 28/06/2022 as part of insurance renewal tender due this year - there is still no proper market for Cyber insurance and if there is cover provided (insurers are tending not to insure local authorities) it will be for limited cover at high premiums. The Brokers are contacting and chasing their cyber team to make contact with us to review the risk assessment again as we have had staff movement, and they will use this assessment again to approach insurers to build up evidence.

Risk Data Breach

H				
M			R/G	
L			T	
		L	M	H

Impact Measures
Risk Description Non-compliance with the Data Protection Act and General Data Protection Act
Potential Consequences Fine of up to £20m and damage to reputation
Implication Severe
Risk Owners Daniel Dickinson
Risk Rating Medium Amber 6
Final Risk Rating Medium Amber 6
Target Risk Level Medium Amber 3
Path Corporate Risks/Newcastle Under Lyme

Last Review 15/07/2022
Next Review 13/10/2022
Treatment Tolerate

Objectives

Local Services that Work for Local People

Key Controls Identified

Information Governance Officer
 Action plan produced
 Information Governance Group Formed
 Training available

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Review mandatory DPA/GDPR training across the Council	Planned	Daniel Dickinson Georgina Evans Caroline Horne	29/04/2022	

Risk Financial Risk

H				G
M				R
L				T
				H
				M
				L
				H

Impact

Impact Measures

Risk Description

Potential Consequences

Implication

Risk Owners

Risk Rating

Final Risk Rating

Target Risk Level

Path

Council's financial position is unsustainable in the medium to long term.

Council unable to provide anything other than core services. Reputation damage. Government intervention.

Sarah Wilkes

High Red 9

Medium Amber 6

Medium Amber 3

Corporate Risks/Newcastle Under Lyme

Last Review

15/07/2022

Next Review

13/10/2022

Treatment

Treat

Objectives

A Healthy, Active and Safe Borough

A Town Centre for all

Growing our People and Places

Local Services that Work for Local People

Key Controls Identified

Adequate level of reserves and balances

Regular financial risk assessments

Realistic medium term financial plan

Statutory Officer Group

Covid-19 financial recovery plan

Action Plans

Action Plan Description

Increase reserves and balances

Monthly review and update of financial risk assessments reserves and balances

Action Plan Type

Ongoing

Action Plan Owner

Sarah Wilkes

Due for Completion by

30/09/2022

Comments

Risk Kidsgrove Sports Centre

H				
M				
L			R/T/G	
	L	M	H	

Impact Measures
 Risk Description
 Potential Consequences
 Implication
 Risk Owners
 Risk Rating
 Final Risk Rating
 Target Risk Level
 Path

Financial failure of new operator and financial risk of step-in by Council
 Financial implications
 Simon McEneny
 Medium Amber 3
 Medium Amber 3
 Medium Amber 3
 Corporate Risks/Newcastle Under Lyme

Last Review 15/07/2022
 Next Review 13/10/2022
 Treatment Treat

Impact

Objectives

A Healthy, Active and Safe Borough
 A Town Centre for all
 Growing our People and Places
 Local Services that Work for Local People

Key Controls Identified

Draw-down fund
 Management Agreement

Action Plans

Action Plan Description

Ensure contract management takes place

Action Plan Type Planned
 Action Plan Owner Louise Beeby
 Due for Completion by 27/01/2023
 Comments Craig Turner

Loss of major contractor

H				
M			R/G	
L				T
		L	M	H

Impact Measures
Risk Description Loss of major contractor or supplier to the Council.
Potential Consequences Disruption to service; Reputation damage; Financial costs; Potential claims
Implication
Risk Owners Martin Hamilton
Risk Rating Medium Amber 6
Final Risk Rating Medium Amber 6
Target Risk Level Medium Amber 3
Path Corporate Risks/Newcastle Under Lyme

Last Review 15/07/2022
Next Review 13/10/2022
Treatment Treat

Objectives

- A Healthy, Active and Safe Borough
- A Town Centre for all
- Growing our People and Places
- Local Services that Work for Local People

Key Controls Identified

- Corporate Market intelligence
- Corporate Continuous monitoring of contracts and annual credit check
- Corporate Contracts register in place
- Corporate Procurement Officer & Procurement Strategy

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Critical supplier lists monitor and review	Planned	Simon Sowerby	30/09/2022	Review and update to Council's contract register has commenced; On completion a request will be made to Heads of Service to review and highlight their major/critical contractors for their service; Upon receipt of this information credit checks will be completed for each of the major/critical suppliers.

Risk Safeguarding

H				
M			R/G	
L				T
				H
				M
				L
				H

Impact

Impact Measures

Risk Description

Failure of the Borough Council (both officers and Members) to recognise both a moral and legal obligation to ensure a duty of care for children and adults across its services. The Borough Council is committed to ensuring that all children and adults are protected and kept safe from harm whilst engaged in services organised and provided by the Council.

Potential Consequences

Harm and Death.
Reputation damage.
Legal implications.
Third Party intervention with investigations.

Implication

Dave Adams

Medium Amber 6

Medium Amber 6

Medium Amber 3

Corporate Risks/Newcastle Under Lyme

15/07/2022

13/10/2022

Treat

Treat

Objectives

A Healthy, Active and Safe Borough

Key Controls Identified

Policy and Procedures

Personnel

Partners and Partnership working

Action Plans

Action Plan Description

EMT to cascade reminders down to staff

Corporate awareness raising across the business to recognise Safeguarding as each persons responsibility where required.

Action Plan Type

Ongoing

Action Plan Owner

Dave Adams
Georgina Evans
Martin Hamilton
Simon McEneny
Sarah Wilkes

Comments

Due for Completion by
30/09/2022

Strategic Priorities

H				G
M		R/T		
L				
		L	M	H

Impact Measures

Risk Description

Potential Consequences

Implication

Risk Owners

Risk Rating

Final Risk Rating

Target Risk Level

Path

Lack of capacity to deliver strategic priorities, and or resource allocation not aligned to strategic priorities

Strategic priorities not delivered. Reputation damage.

Martin Hamilton

High Red 9

Medium Amber 5

Medium Amber 5

Corporate Risks/Newcastle Under Lyme

Last Review 15/07/2022

Next Review 13/10/2022

Treatment Tolerate

Impact

Objectives

A Healthy, Active and Safe Borough

A Town Centre for all

Growing our People and Places

Local Services that Work for Local People

Key Controls Identified

Alignment of service and financial planning

Borough Growth Fund

Investment Strategy and Revolving Investment Fund

Government lobbying takes place

Action Plans

Action Plan Description

Action Plan Type

Action Plan Owner

Due for Completion by

Comments

Risk Strategic Projects

H				
M			R/G	
L			T	
	L	M	H	

Likelihood

Impact

Impact Measures

Risk Description

Potential Consequences

Implication

Risk Owners

Risk Rating

Final Risk Rating

Target Risk Level

Path

Failure to deliver key strategic project or projects, including One Council
 Reputational harm
 Financial implications
 Local economic impact
 Legal challenge
 Loss of influence and control

Martin Hamilton; Simon McEneny
 Medium Amber 6
 Medium Amber 6
 Medium Amber 3
 Corporate Risks/Newcastle Under Lyme

Last Review 15/07/2022
Next Review 13/10/2022
Treatment Tolerate

Objectives

A Healthy, Active and Safe Borough

A Town Centre for all

Growing our People and Places

Local Services that Work for Local People

Key Controls Identified

Corporate
 Corporate
 Corporate
 Corporate

Advice obtained from external bodies as and when required
 Governance
 Resources

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
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Wallys Quarry

H		R/G
M		T
L		
	L	M
		H

Likelihood

Impact

Impact Measures

Risk Description

Potential Consequences

Implication

Risk Owners

Risk Rating

Final Risk Rating

Target Risk Level

Path

Current air quality issues in respect of the quarry and the contractor Reputation damage to the Council and the Borough. Finance and Officer resource

Dave Adams; Daniel Dickinson; Martin Hamilton; Sarah Wilkes

High Red 9 **Last Review** 15/07/2022

High Red 9 **Next Review** 14/08/2022

Medium Amber 6 **Treatment** Treat

Corporate Risks/Newcastle Under Lyme

Objectives

A Healthy, Active and Safe Borough

Local Services that Work for Local People

Key Controls Identified

Corporate Odour Incident Management Team

Corporate Specific Walley's Quarry risk profile in place

Action Plans

Action Plan Description

Continue with IMT works

Action Plan Type
Ongoing

Action Plan Owner
Dave Adams

Due for Completion by
30/09/2022

Comments

Risk Workforce

H				
M		R	G	
L			T	
		L	M	H

Impact

Impact Measures

Risk Description

Lack of capacity due to failure to replace key staff or provide resources to cover the work of staff temporarily involved in other priority areas. Failure to consistently train and develop employees to meet the needs of the Council. Delays to implement reviews of policies and procedures.

Potential Consequences

Staff not treated fairly - implications for staff morale, effective recruitment and retention. Skills shortages both locally and nationally. Out of date policies. Failure to maintain day to day service provision where service quality, availability and consistency of service is affected. Ineffective leadership. Inconsistencies of interpretation of policies and procedures. Not supporting managers and employees. Reduced levels of service, non provision of training needs, non involvement in partnership needs etc. due to existing staff meeting the additional workload arising from lack of capacity. Failure to achieve objectives of improvement plan. Increased costs to the authority in relation to flexible retirement.

Implication

Legislation implications. Employee relation implications.

Risk Owners

Georgina Evans

Risk Rating

Medium Amber 6

Last Review

15/07/2022

Final Risk Rating

Medium Amber 5

Next Review

13/10/2022

Target Risk Level

Low Green 2

Treatment

Corporate Risks/Newcastle Under Lyme

Objectives

Growing our People and Places

Local Services that Work for Local People

Key Controls Identified

Actively reviewing pay scales
 Apprenticeship levy available
 EMT are maintaining an overview
 EMT looking Vacancy Approval Forms
 Interim posts available
 Leadership Development Programme
 Staff surveys
 Updating recruitment procedures
 Workforce policies in place

Action Plans

Action Plan Description

Develop workforce strategy and development plan

Action Plan Type
Planned

Action Plan Owner

Helen Smith

Due for Completion by

30/06/2022

Comments

Final plan to be developed.

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Audit and Standards Committee

Work Plan 2022/2023

Committee Date	Reports
27 June 2022	<ol style="list-style-type: none"> 1. Health and Safety Annual Report 2. Annual Governance Statement 3. Proposed Accounting Policies, Critical Accounting Judgements and Sources of Estimation Uncertainty for the 2021/22 Statement of Accounts 4. Draft Statement of Accounts 5. Treasury Management Annual Report 6. Q4 Corporate Risk Management Report
25 July 2022	CANCELLED
7 September 2022	<ol style="list-style-type: none"> 1. Q1 Internal Audit Progress Report 2022/23 2. Q1 Corporate Risk Management Report
14 November 2022	<ol style="list-style-type: none"> 1. Treasury Management Half Yearly Report 2. Audited Accounts for 2021/22 3. Annual Audit Letter 2021/22 4. Q2 Internal Audit Progress Report 5. Q2 Corporate Risk Management Report 6. Annual Audit Letter 2021/22 including Value for Money Audit
6 February 2023	<ol style="list-style-type: none"> 1. Q3 Internal Audit Progress Report 2. Q3 Corporate Risk Management Report
17 April 2023	<ol style="list-style-type: none"> 1. External Audit 2. Annual Internal Audit Report and Annual Opinion 3. Internal Audit Charter 2023/24 4. Internal Audit Plan 2023/24 5. Corporate Fraud Arrangements 7. Risk Management Policy & Strategy 2023/24
27 June 2023	<ol style="list-style-type: none"> 1. Health and Safety Annual Report 2. Treasury Management Annual Report 2021/22 3. Internal Audit Annual Report 4. Q4 Corporate Risk Management Report

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