







Appendix A Risks and Action Plan Risk Identified	Risk Owner	Action Required to Address Risk	Target Date	Risk Category	Current position / progress	Status	Status	Current Rating
		in order to reduce the risk	for action completion	Strategic, Operational, Project	as at 05/09/2019	as at Dec 18	as at March 19	as at June 19
 1  Illegal or unsafe customer access to taxi's at Newcastle Bus Station	Licensing Enforcement	In-house taxi monitoring Future of bus station use	Sep-19	Operational	Staffs Police funded monitoring concluded 31/3/19 as no approval to extend, and unable to show best value. Seeking agreement to look at other enforcement options.		I = H L = M Medium 6	I = H L = H High 9


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 2  Failure of air conditioning in Communication Room in Castle House	Comms Room Castle House			Operational	The risk rating has increased due to the incident in January 2019 and the likelihood of it occurring again. This also incorporates the comprehensive monitoring of the electrical input to the UPS devices. This will seek to identify the cause of the frequent power fluctuations, so that steps may be taken to rectify this.		I = L L = L Low 1	I = L L = H Medium 7
 3  Lack of engagement from Morgan Sindall in respect of the Aqua Sauna issues	Leisure	Roles and responsibilities to be defined and agreed Engage Legal Representatives	Aug-19	Operational	Legal Representation engaged			I = H L = H High 9





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Authority Public Protection Resource support unavailable	Digital Delivery	Identify alternative support until new system is running	Aug-19	Project / Operational	The immediate priority for APP resource is to assist with the Lagan CRM replacement to Jadu, by September 2019. External support has been secured however is now unlikely to be required. Longer term options for ensuring suitable development skills are currently under review.			I = M L = H Medium 8
The risk of a building wide power loss within each of the Communication rooms at Castle House for more than 30 minutes.	Comms Room Castle House			Operational	Devices in the comms room can be powered down safely. All data is stored off-site and should not be lost in the event of a power failure. Staff can work in an agile way - other sites or at home			I = L L = H Medium 7

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<p>6  Potential Claims growth - a trend towards greater public awareness and 'claims culture' and the impact of the economic climate means claims may increase</p>	Chief Executive	<p>The Council has robust systems in place both to deal with claims when they happen and also to prevent, where possible, the circumstances where claims could arise. In doing so, the Council has in place policies and procedures designed to enhance safety at work and also to advise staff and others when driving or operating machinery. The Council checks, on a regular basis, that it is up to date on best practice in this area and that systems reflect changes in the local, national or international environments</p>		Strategic	<p>Risk reviewed and noted that this area is of growing significance with the number and value of claims increasing. The risk is somewhat outside of the Council's control, however the internal management of processes and procedures can provide a defence should the need arise.</p>	<p>I = H L = H High 9</p>	<p>I = H L = H High 9</p>	<p>I = H L = H High 9</p>

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 7 Fire risk occurrence	Corporate Health and Safety			Operational	Risk will remain high due to 2 occurrences in the past 12 months. Another incident occurred during this quarter so will remain on the report for the next 12 months	I = H L = H High 9	I = H L = H High 9	I = H L = H High 9
 8 Failure to comply with relevant health and safety legislation	Regeneration and Development and Chief Executive	Corporate mandate for scheduled diary dates to update Target100 (Health and Safety system)	Ongoing	Strategic	There have been 4 RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrence Regulations 1995 as amended) reportable incidents during April and May. A focussed effort upon reviewing risk assessments is expected to improve the Council resilience, however it does not affect accidents that happen and the time off due to injury.	I = H L = H High 9	I = H L = H High 9	I = H L = H High 9



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Failure to achieve income targets	Recycling and Waste	Continue to monitor the current global downturn in recycled material values	Ongoing	Operational	The 2019/20 income budget for recycled materials has been significantly reduced reflecting the current challenging market conditions. Income levels have stabilised in the first half of the year, however they remain largely outside of the Council's control. The position is being closely monitored.	I = H L = H High 9	I = H L = H High 9	I = H L = H High 9

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<p>10</p> <p>★</p> <p>Failure to deliver Local Air Quality Management action plans function in line with statutory requirements - annual reporting</p>	<p>Environmental Protection</p>	<p>Procure appropriate consultancy support for development of Local Plan model</p> <p>Establish agreed governance and reporting arrangements</p> <p>Outline and or full business case to be delivered to JAQU</p> <p>Regular submissions of finding requests to be made to JAQU</p> <p>To formalise procurement / legal / financial and delivery arrangements for measures identified as securing compliance in shortest time possible</p>	<p>Aug-19</p> <p>Aug-19</p> <p>Oct-19</p> <p>Oct-19</p> <p>Dec-19</p>	<p>Operational</p>	<p>Regular monthly submissions made and requests for financial assistance made July 2019. Awaiting details of further grant award from JAQU.</p> <p>Consultants have revised project plan and this is showing as of 04/06/19 that OBC/FBC will not now be delivered until early 2020. Project team is concerned to ensure that outcomes are evidenced based and justifiable.</p>	<p>I = H L = H Low 2</p>	<p>I = H L = H High 9</p>	<p>I = H L = H High 9</p>



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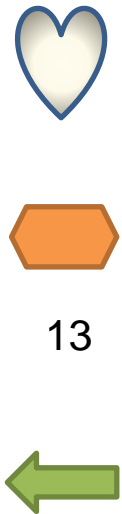
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Ministerial Direction served on NULBC ON 5th October 2018 requiring buses running on specified census ID's equating to (A53 between Sandy Lane and Etruria/A500 roundabout) to be either retrofitted to bring upto Euro 6 or Euro 6 buses to be used no later than 1st Jan 2021 or in the shortest possible time. Reliant on First Bus and First Group fully engaging and supporting project.	Environmental Protection Service	Retrofit project plan to be developed. Potential sale of First Bus and impacts on delivery of direction requirements. Meeting arranged with First Group Directors to understand how this may impact and also to explore current progress in identifying suitable vehicles. First Potteries / First Bus have still yet to commit to project	Sept-19 Nov-19	Operational	Meeting with First Group held. Currently confirmed operations are business as usual. To be kept under review.	I = H L = H High 9	I = H L = H High 9	I = H L = H High 9



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<p>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. Safeguarding is everybody's responsibility.</p>	<p>Safeguarding</p>	<p>To drive across the Council business support by the Executive Management Team, the need for strengthening safeguarding through training and awareness of staff, Members and partners; recording any training on personal files; providing safeguarding champions and the support of; inclusion in Service planning; use of Communications and social media to raise awareness; further HR awareness support in the recruitment process; support for Whistleblowing situations; inclusion in appraisal process and Team Meetings.</p>	<p>Aug-19</p>	<p>Operational</p>	<p>A control measure updated with new protocol which has reduced the likelihood - resulting in final risk rating reduction.</p>	<p>I = H L = H High 9</p>	<p>I = H L = H High 9</p>	<p>I = H L = M Medium 6</p>



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Criminal Exploitation - Failure to coordinate and contribute to the prevention and early intervention of any incident or pattern of incidents of controlling, coercive or threatening behaviour, violence or abuse of vulnerable people, forcing them to engage in various forms of criminal activity such as begging, gang activity and drugs supply; modern slavery and human trafficking etc.	Safeguarding	Final sign off of new protocols to take place - MARAC and Vulnerability Hub Information sharing protocols to be approved to support the process. The process is reviewed separately each quarter to look at outcomes achieved.	Mar-20	Operational	Control measure updated. Likelihood reduced due to no incidents in the past 12 months - resulting in final risk rating reduction.	I = H L = H High 9	I = H L = H High 9	I = H L = M Medium 6



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Safeguarding Children - the safeguarding duties apply to any child who is experiencing, or at risk of, abuse or neglect.	Safeguarding	Final sign off of new protocols to take place - MARAC and Vulnerability Hub Information sharing protocols to be approved to support the process. The process is reviewed separately each quarter to look at outcomes achieved.	Mar-20	Operational	Control measure updated. Likelihood reduced due to no incidents in the past 12 months - resulting in final risk rating reduction.	I = H L = H High 9	I = H L = H High 9	I = H L = M Medium 6







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Partners failing to share relevant information to assist the council in their Safeguarding obligations.	Safeguarding	Final sign off of new protocols to take place - MARAC and Vulnerability Hub Information sharing protocols to be approved to support the process. The process is reviewed separately each quarter to look at outcomes achieved.	Mar-20	Operational	Control measure updated. Likelihood reduced due to no incidents in the past 12 months - resulting in final risk rating reduction.	I = H L = H High 9	I = H L = H High 9	I = H L = M Medium 6







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 16 	Lack of capacity due to failure to replace key staff or provide resources to cover the work of other staff	Human Resources	Workforce plan to be developed to coincide with the recruitment to the vacant posts	Oct-19	Operational	Final rating reduced due to the advertising of vacant posts	I = M L = L Low 2	I = H L = H High 9	I = M L = H Medium 8
 17 	Cost of service may exceed budget	Recycling and Waste	Continual monitoring of the market for companies to obtain the best off-take prices	Ongoing	Operational	The additional income over and above recycling credit shortfall from the garden waste scheme will help to offset budget overspend to some degree.	I = H L = H High 9	I = H L = M Medium 6	I = H L = M Medium 6

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  18 	Work priorities take over completion of the audit plan	Audit	Collaboration with local council for reporting and support in the audit plans. Contract in place and will be reviewed annually.		Operational	The new arrangement with SOTCC is working well and satisfactory progress is being made against the audit plan.	I = M L = H Medium 8	I = M L = H Medium 8	I = M L = M Medium 5
  19 	The accidental loss of information containing personal details of a data subject that do not fall within a non specialist category	Revenue Services	Staff awareness training. Review of Procedures	Dec-18	Operational	Although the training and review of procedures has reduced the likelihood, the risk remains on the profile as there has been an occurrence during the past 12 months.	I = M L = H Medium 8	I = M L = H Medium 8	I = M L = M Medium 5

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 20	Increased energy useage at Jubilee2	Asset Management Strategy		Operational	The building is staying open for longer than the original operational design case for Jubilee 2, hence more energy usage		I = L L = H Medium 7	I = L L = H Medium 7	
 21	UPS hardware failure	Castle House Communication Room	This risk implies that one of the five Castle House UPS units has failed either as a consequence of an environmental condition or mechanical failure. It implies that the power to the connected equipment has been disrupted and the unit requires replacement.	Operational	Comprehensive monitoring of the electrical input to the UPS devices has been taking place. This has identified the cause of the frequent power fluctuations, and discussions are ongoing with SCC about steps that now need to be taken to rectify this.	I = L L = L Low 1	I = L L = H Medium 7	I = L L = H Medium 7	
  22	Failure to train and develop employees to meet the needs of the council	Human Resources	Develop a full working training plan - This Plan will take into account the Corporate Priorities and all of the appraisals which will formulate a training plan to be delivered over the next 12 months (to be approved by EMT)	Nov-19	Operational	Final rating reduced due to the advertising of vacant posts and acting up appointments to senior roles.	I = H L = M Medium 6	I = M L = H Medium 8	I = M L = M Medium 5