





Appendix A								
Risks and Action Plan Risk Identified	Risk Owner	Action Required to Address Risk	Target Date	Risk Category	Status	Status	Current Rating	Current position / progress
		in order to reduce the risk	for action completion	Strategic, Operational, Project	as at March 19	as at June 19	as at Sept 19	as at 01/11/2019
1  Illegal or unsafe customer access to taxi's at Newcastle Bus Station	Licensing Enforcement	Send report to Public Protection regarding the current use of the bus station and possible decisions to be made	Jan-20	Operational		I = H L = H High 9	I = H L = H High 9	Await decision from Public Protection Committee on desired action to take

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 2 	Failure of air conditioning in Communication Room in Castle House	Comms Room Castle House	Systems and processes in place to assist with the shutting down of the Council systems in a way that allows recovery. The room will remain cool enough to allow the systems to shut down and protect the hardware.	Operational	I = L L = L Low 1	I = L L = H Medium 7	I = L L = H Medium 7	Risk being reassessed in context of a wider risk of loss of operational building
 3	Lack of engagement from Morgan Sindall in respect of the Aqua Sauna issues	Leisure	Roles and responsibilities to be defined and agreed	Dec-19	Operational	I = H L = H High 9	I = H L = H High 9	Following positive engagement from Morgan Sindall during September and October it is anticipated that this risk will be re-rated from December 2019

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4	Authority Public Protection Resource support unavailable	Digital Delivery	Risk removed from Appendix at next report	Project / Operational		I = M L = H Medium 8	I = M L = M Low 4	Jadu system is up and running. Assistance is on hand from other Borough's should there be a need.
5	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	Systems and processes in place to assist with the shutting down of the Council systems in a way that allows recovery. The room will remain cool enough to allow the systems to shut down and protect the hardware. Back-up off site to assist with recovery.	Operational		I = L L = H Medium 7	I = L L = L Low 1	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

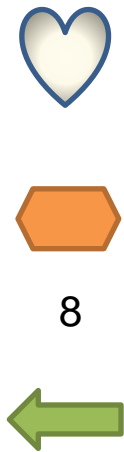
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<p>6</p> <p>Failure to deliver Local Air Quality Management action plans function in line with statutory requirements - annual reporting</p>	<p>Environmental Protection</p>	<p>Outline and or full business case to be delivered to JAQU</p> <p>Regular 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>Clean Air Fund bid to be submitted</p>	<p>Oct-19</p> <p>Dec-19</p> <p>Dec-19</p> <p>Jan-20</p>	<p>Operational</p>	<p>I = H</p> <p>L = H</p> <p>High 9</p>	<p>I = H</p> <p>L = H</p> <p>High 9</p>	<p>I = H</p> <p>L = H</p> <p>High 9</p>	<p>Partial JAQU funding received.</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>







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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	Procurement solution agreed for the equipment to retrofit the buses. Solution to be agreed and started	Jan-20	Operational	I = H L = H High 9	I = H L = H High 9	I = H L = H High 9	







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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.	Safeguarding	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.	Oct-19	Operational	I = H L = H High 9	I = H L = H High 9	I = H L = M Medium 6	70% of members have now received robust training and officers are arranging for the remaining to be scheduled.

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 9 Lack of capacity due to failure to replace key staff or provide resources to cover the work of other staff	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)	Mar-20	Operational	I = H L = H High 9	I = M L = H Medium 8	I = M L = M Medium 5	Final rating reduced due to the recruitment to key posts
 10 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	I = M L = H Medium 8	I = M L = H Medium 8	I = M L = M Medium 5	The new arrangement with SOTCC is working well and satisfactory progress is being made against the audit plan.



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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-19	Operational	I = M L = H Medium 8	I = M L = H Medium 8	I = M L = M Medium 5	This is being reviewed as part of the corporate risk review.

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 12 	Increased energy useage at Jubilee2	Leisure	Monitor	Ongoing	Operational	I = L L = H Medium 7	I = L L = H Medium 7	I = L L = H Medium 7	This risk will be re-rated as part of the recent work to reduce energy usage across the Council.
 13	UPS hardware failure	Castle House Communication Room	No deadline for NBC - the quotes will be down to SCC to decide on the way forward and to deal with the Contractors		Operational	I = L L = H Medium 7	I = L L = H Medium 7	I = L L = H Medium 7	Risk being reassessed in the context of a wider risk of loss of operational building.
 14	Failure to train and develop employees to meet the needs of the council	Human Resources	Workforce development plan to be delivered	Mar-20	Operational	I = H L = M Medium 6	I = M L = H Medium 8	I = M L = M Medium 5	Final rating reduced due to the recruitment to key posts and acting up appointments to senior roles.