

Corporate Risks

Air Quality

Risk

	H			
Likelihood	M			R/G
	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 monitor and control the air quality in the Borough.

* 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 19/06/2020

Next Review 17/09/2020

Treatment Tolerate

Key Controls Identified

Air Quality project

Action Plans

Action Plan Description

Action Plan Type

Action Plan Owner

Due for Completion by

Comments

Breach of health and safety

Risk

Likelihood	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.

Reputational 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 19/06/2020

Next Review 17/09/2020

Treatment Treat

Key Controls Identified

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.

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.

Twice weekly Incident Management Team

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

Classification: NULBC UNCLASSIFIED

Corporate mandate to routinely review and update Target 100 risk assessments and tasks	Corporate mandate to routinely review and update Target 100 risk assessments and tasks	Ongoing	EMT	30/09/2020	Note continuation of H&S Thursdays.
Implementation of action plan	Implementation of action plan arising from Directors' refresher training to be monitored by Corporate H&S Committee.	Ongoing	Dave Adams Nesta Barker	30/09/2020	

Civil emergency

Risk

Likelihood	H			
	M			
	L		R/T/G	
		L	M	H
	Impact			

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	19/06/2020
Next Review	16/12/2020
Treatment	Tolerate

Key Controls Identified

- Bellwin Scheme should meet 85% of cost
- Insurance provision established
- Contingency reserve available

Action Plans

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

Risk

	H			
	M			G
	L			R/T
Likelihood		L	M	H
		Impact		

Impact Measures

Risk Description

Potential Consequences

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

Implication

Risk Owners

Risk Rating

Final Risk Rating

Target Risk Level

Path

Daniel Dickinson

Medium Amber 6

Medium Amber 3

Medium Amber 3

Corporate Risks/Newcastle Under Lyme

Last Review

19/06/2020

Next Review

17/09/2020

Treatment

Tolerate

Key Controls Identified

Audit & Standards Committee

Advice obtained from external bodies as and when required

Statutory Officer Group

Internal Audit inspections

Monitoring Officer

Relationships

Action Plans

Action Plan Description

Action Plan Type

Action Plan Owner

Due for Completion by

Comments

Covid-19

Risk

Likelihood	H			R/G
	M			
	L			T
		L	M	H
	Impact			

Impact Measures
Risk Description Pandemic leading to widespread lockdown and social distancing
Potential Consequences Higher mortality rates
 Local economic impacts
Implication Loss of service and financial implications.
 Business continuity
Risk Owners Martin Hamilton
Risk Rating High Red 9 **Last Review** 19/06/2020
Final Risk Rating High Red 9 **Next Review** 19/07/2020
Target Risk Level Medium Amber 3 **Treatment** Treat
Path Corporate Risks/Newcastle Under Lyme

Key Controls Identified

- Twice weekly Incident Management Team
- Multi-Agency Response plan
- Government lobbying takes place
- Financial assistance
- Business Continuity Plans in place

Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Formulate a post-Covid recovery plan	Including a step-up plan for services and a financial recovery plan	Ongoing	Martin Hamilton	24/07/2020	

Cyber risk

Risk

	H			G
	M			R
	L		T	
Likelihood		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. 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

Jan Willis

Risk Rating

High Red 9

Last Review

19/06/2020

Final Risk Rating

Medium Amber 6

Next Review

17/09/2020

Target Risk Level

Low Green 2

Treatment

Treat

Path

Corporate Risks/Newcastle Under Lyme

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
Filing Cabinet	Need to check key documents for recovery	Planned	Daniel Dickinson David Elkington Georgina Evans Richard Kissman Simon Sowerby	31/07/2020	Identify an electronic or Cloud based filing cabinet along with a physical document filing cabinet
Investigate Cyber insurance		Planned	David Elkington Simon Sowerby	31/07/2020	

Data Breach

Risk

Likelihood	H			
	M			R/G
	L			T
		L	M	H
	Impact			

Impact Measures

Risk Description

Non-compliance with the Data Protection Act and 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

Last Review

19/06/2020

Final Risk Rating

Medium Amber 6

Next Review

17/09/2020

Target Risk Level

Medium Amber 3

Treatment

Tolerate

Path

Corporate Risks/Newcastle Under Lyme

Key Controls Identified

Information Governance Officer
 Information Security 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 David Elkington	30/09/2020	
	Review of GDPR policies	To ensure that information governance processes are in place and up to date inc. DHR & SAR etc.	Planned	Diana Litherland	31/07/2020

Failure of major insurer

Risk

Likelihood	H			
	M			
	L		R/T/G	
		L	M	H
	Impact			

Impact Measures
Risk Description Failure of major insurer
Potential Consequences Unable to provide cover/protection. Financial burden due to self-insurance.
Implication Additional burden on in-house insurance section.
Risk Owners Martin Hamilton
Risk Rating Low Green 2 **Last Review** 19/06/2020
Final Risk Rating Low Green 2 **Next Review** 16/12/2020
Target Risk Level Low Green 2 **Treatment** Tolerate
Path Corporate Risks/Newcastle Under Lyme

Key Controls Identified

Insurance broker appointed
 Insurance placed with insurer with double A standing
 Exception reporting
 Biennial report

Action Plans

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

Risk

	H			R/G
Likelihood	M			
	L			T
	L	M	H	
	Impact			

Impact Measures

Risk Description

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

Potential Consequences

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

Implication

Risk Owners

Jan Willis

Risk Rating

High Red 9

Last Review

19/06/2020

Final Risk Rating

High Red 9

Next Review

19/07/2020

Target Risk Level

Medium Amber 3

Treatment

Treat

Path

Corporate Risks/Newcastle Under Lyme

Key Controls Identified

- Adequate level of reserves and balances
- Regular financial risk assessments
- Realistic medium term financial plan
- Statutory Officer Group

Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
	Capital programme freeze	Ongoing	Jan Willis	30/11/2020	
	Freeze on non-essential revenue expenditure	Ongoing	Jan Willis	30/11/2020	
	Increase reserves and balances	Monthly review and update of financial risk assessments reserves and balances	Ongoing	Jan Willis	31/07/2020
	Lobby MHCLG for additional Covid funding and or capitalization directive	Ongoing	Jan Willis	30/11/2020	
	Recruitment freeze	Ongoing	Jan Willis	30/11/2020	

Loss of major contractor

Risk

Likelihood	H			
	M			R/G
	L			T
		L	M	H
	Impact			

Impact Measures

Risk Description Loss of major contractor or supplier to the Council.
Potential Consequences Disruption to service; Financial costs; Potential claims

Implication Reputation damage

Risk Owners Martin Hamilton

Risk Rating Medium Amber 6

Last Review 19/06/2020

Final Risk Rating Medium Amber 6

Next Review 17/09/2020

Target Risk Level Medium Amber 3

Treatment Treat

Path Corporate Risks/Newcastle Under Lyme

Key Controls Identified

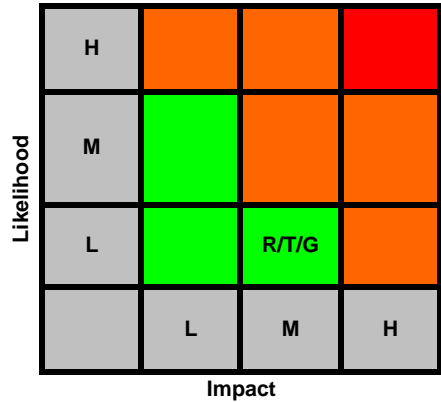
Procurement Working Group exists to deliver the strategic objectives through the Procurement Strategy
 Market intelligence
 Continuous monitoring of contracts and annual credit check
 Contracts register in place
 Corporate Procurement Officer & Procurement Strategy

Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Annual credit checks	Business Improvement Manager to confirm with Finance systems that Civica system will prompt credit checking process.	Planned	Simon Sowerby	30/06/2021	A standalone system has been set up linked to the contracts register update that links with Outlook to diarise reminders for annual credit checks to take place for contracts that have been in place. The reminders are annual based on the date the contract was awarded.

Loss of operating building

Risk



Impact Measures
Risk Description The risk of Castle House or the Depot being unavailable due to an event
Potential Consequences Service failure; Business interruption; Financial costs;
Implication Reputation damage.
Risk Owners Martin Hamilton
Risk Rating Low Green 2 **Last Review** 19/06/2020
Final Risk Rating Low Green 2 **Next Review** 16/12/2020
Target Risk Level Low Green 2 **Treatment** Treat
Path Corporate Risks/Newcastle Under Lyme

Key Controls Identified

Support from Civil Contingencies Unit
 Major incident plan in place
 Gold and Silver teams set up
 Business Continuity Plans in place
 Civil Contingencies Business Working Group in place

Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Castle House Business Continuity Plan development	Work to be undertaken to develop the BCP for the specific Castle House operation of Newcastle Borough Council employees	Planned	Martin Hamilton	30/09/2020	

Safeguarding

Risk

	H			
Likelihood	M			R/G
	L			T
		L	M	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

Risk Owners

Simon McEneny

Risk Rating

Medium Amber 6

Last Review

19/06/2020

Final Risk Rating

Medium Amber 6

Next Review

17/09/2020

Target Risk Level

Medium Amber 3

Treatment

Treat

Path

Corporate Risks/Newcastle Under Lyme

Key Controls Identified

- Policy and Procedures
- Personnel
- Partners and Partnership working

Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Corporate drive across the business to recognise Safeguarding as each persons	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.	Ongoing	Dave Adams Martin Hamilton Simon McEneny	31/12/2020	Work is ongoing in this area. Training continues to be disseminated to staff and members. An approved action plan is in place and currently being delivered via the Safeguarding Champions group

Strategic Priorities

Risk

	H			R/G
Likelihood	M		T	
	L			
		L	M	H

Impact

Impact Measures
Risk Description Lack of capacity to deliver strategic priorities, and or resource allocation not aligned to strategic priorities
Potential Consequences Strategic priorities not delivered.
 Reputation damage.

Implication
Risk Owners Martin Hamilton
Risk Rating High Red 9
Final Risk Rating High Red 9
Target Risk Level Medium Amber 5
Path Corporate Risks/Newcastle Under Lyme

Last Review 19/06/2020
Next Review 19/07/2020
Treatment Treat

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
Formulate a post-Covid recovery plan	To include a review of the MTFs and Strategic Priorities. A mid-term review of the Council Plan is also being undertaken.	Ongoing	Martin Hamilton	30/09/2020

Strategic Projects

Risk

	H			
	M			R/G
	L			T
	L	M	H	
Likelihood				
				Impact

Impact Measures

Risk Description

Failure to deliver key strategic project or projects

Potential Consequences

Reputational harm Financial implications Local economic impact Legal challenge
Loss of influence and control

Implication

Risk Owners

Simon McEneny

Risk Rating

Medium Amber 6

Last Review

19/06/2020

Final Risk Rating

Medium Amber 6

Next Review

17/09/2020

Target Risk Level

Medium Amber 3

Treatment

Treat

Path

Corporate Risks/Newcastle Under Lyme

Key Controls Identified

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
Establish project management capability	Establish project management capability	Planned	Jan Willis	30/09/2020	

Workforce

Risk

	H			
	M		G/R	
	L		T	
Likelihood		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 train and develop employees to meet the needs of the Council. Failure to implement effective reviews of policies and procedures.

Potential Consequences

Staff not treated fairly - implications for staff morale, effective recruitment and retention. Skills shortages. 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

Jan Willis

Risk Rating

Medium Amber 5

Last Review

19/06/2020

Final Risk Rating

Medium Amber 5

Next Review

17/09/2020

Target Risk Level

Low Green 2

Treatment

Path

Corporate Risks/Newcastle Under Lyme

Key Controls Identified

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Develop workforce strategy and development plan	Planned	Georgina Evans	30/10/2020	

Balances and Contingencies Reserve

Income cannot be collected because of non-availability of service (e.g. through closure of facilities for repairs)

Risk

	H			R
Likelihood	M			
	L			T/G
		L	M	H
	Impact			

Impact Measures

Risk Description

Income cannot be collected because of non-availability of service (e.g. through closure of facilities for repairs). Some areas of income cannot be collect at present due to Corvid-19.

Potential Consequences

Shortfall in Income leading to overspends

Implication

Risk Owners

Dave Adams; Martin Hamilton; Jan Willis

Risk Rating

Medium Amber 3

Last Review

27/05/2020

Final Risk Rating

High Red 9

Next Review

26/06/2020

Target Risk Level

Medium Amber 3

Treatment

Tolerate

Path

Balances and Contingencies Reserve/Finance/Resources and Support Services/Newcastle Under Lyme

Key Controls Identified

Included in Calculation of Prudent Minimum balances

Action Plans

Action Plan Description

Action Plan Type

Action Plan Owner

Due for Completion by

Comments

Income falls short of Budget because of general reduction in activity e.g because of economic recession.

Risk

	H			R/G
	M			
	L			T
Likelihood		L	M	H
				Impact

Impact Measures

Risk Description Income falls short of Budget because of general reduction in activity e.g because of economic recession. Corvid-19 will push the country into an economic recession which will in turn impact the Council's income.

Potential Consequences Shortfall in income leading to overspends

Implication

Risk Owners Dave Adams; Martin Hamilton; Jan Willis

Risk Rating High Red 9 **Last Review** 27/05/2020

Final Risk Rating High Red 9 **Next Review** 26/06/2020

Target Risk Level Medium Amber 3 **Treatment** Tolerate

Path Balances and Contingencies Reserve/Finance/Resources and Support Services/Newcastle Under Lyme

Key Controls Identified

Included in Calculation of Prudent Minimum balances

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
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Savings built into Budget are not realised

Risk

	H			R
Likelihood	M			G
	L			T
	L	M		H
	Impact			

Impact Measures

Risk Description

Savings built into Budget are not realised. Additional pressure put on some of the income areas due to Covid-19.

Potential Consequences

Additional unbudgeted costs

Implication

Risk Owners

Dave Adams; Martin Hamilton; Jan Willis

Risk Rating

Medium Amber 6

Last Review

27/05/2020

Final Risk Rating

High Red 9

Next Review

26/06/2020

Target Risk Level

Medium Amber 3

Treatment

Tolerate

Path

Balances and Contingencies Reserve/Finance/Resources and Support Services/Newcastle Under Lyme

Key Controls Identified

Regular budget monitoring.

Budget Review Group monitoring

Corporate Service and Financial Planning process in place

Action Plans

Action Plan Description

Action Plan Type

Action Plan Owner

Due for Completion by

Comments

Sickness Absence greater than target

Risk

	H			R
Likelihood	M			G
	L		T	
		L	M	H
	Impact			

Impact Measures

Risk Description

Potential Consequences

Implication

Risk Owners

Risk Rating

Final Risk Rating

Target Risk Level

Path

Sickness Absence greater than target. Likely to be higher due to Covid-19.

Financial implications
Adverse publicity and Reputational Damage
Service Disruption

Dave Adams; Martin Hamilton; Jan Willis

Medium Amber 6

High Red 9

Low Green 2

Balances and Contingencies Reserve/Finance/Resources and Support Services/Newcastle Under Lyme

Last Review 27/05/2020

Next Review 26/06/2020

Treatment Tolerate

Key Controls Identified

Absence Management Policy

Included in Calculation of Prudent Minimum balances

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
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Commercial Development

Failure to meet income targets

Risk

	H		R/G	
	M		T	
	L			
		L	M	H
Likelihood				Impact

Impact Measures

Risk Description

Failing to achieve income targets throughout the service and commercial development

Potential Consequences

Financial implications, including budgetary pressures.

Implication

Risk Owners

Rob Foster; Simon McEneny

Risk Rating

Medium Amber 8

Last Review

24/04/2020

Final Risk Rating

Medium Amber 8

Next Review

23/07/2020

Target Risk Level

Medium Amber 5

Treatment

Tolerate

Path

Commercial Development/Commercial Development and Economic Growth/Newcastle Under Lyme

Key Controls Identified

- Specific & general marketing of activities ongoing.
- Advertising, specific & general marketing of activities ongoing.
- Budget monitoring.
- Continuous monitoring of funding.
- Continuously ensure budgets reflect service requirements at estimate time.
- Cultural & Arts Strategy, in place.
- Education programmes increases income to the council.
- External funding grants.
- Development of income generation.

Action Plans

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