

Corporate Risks

Risk

Air Quality

Likelihood	H			
	M			R/G
	L			T
		L	M	H

Impact

Impact Measures

Risk Description

Failure to monitor and control the air quality in the Borough.

Potential Consequences

* 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.

Implication

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

Risk Owners

Dave Adams

Risk Rating

Medium Amber 6

Last Review

22/01/2021

Final Risk Rating

Medium Amber 6

Next Review

22/04/2021

Target Risk Level

Medium Amber 3

Treatment

Tolerate

Path

Corporate Risks/Newcastle Under Lyme

Key Controls Identified

Air Quality project

Action Plans

Action Plan Description

Action Plan Type

Action Plan Owner

Due for Completion by

Comments

Risk Breach of health and safety

Likelihood	H			G
	M			R
	L			T
		L	M	H
Impact				

Impact Measures

Risk Description Failure to comply with relevant health and safety legislation.

Potential Consequences Reputational damage. Adverse financial implications. Third party intervention.

Implication

Risk Owners Martin Hamilton

Risk Rating High Red 9

Last Review 22/01/2021

Final Risk Rating Medium Amber 6

Next Review 22/04/2021

Target Risk Level Medium Amber 3

Treatment Treat

Path Corporate Risks/Newcastle Under Lyme

Key Controls Identified

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.

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.

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
Arrange new course for Exec Directors on Managing Safely	to be arranged with incumbent insurers	Planned	Simon Sowerby	27/02/2021	
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	Dave Adams Martin Hamilton Simon McEneny Sarah Wilkes	30/04/2021	Note continuation of H&S Thursdays.

Risk Civil emergency

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 22/01/2021

Next Review 21/07/2021

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

Risk Corporate Governance

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

Impact Measures

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

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

Implication

Risk Owners Daniel Dickinson

Risk Rating Medium Amber 6 **Last Review** 22/01/2021

Final Risk Rating Medium Amber 3 **Next Review** 22/04/2021

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

Path Corporate Risks/Newcastle Under Lyme

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
Formation of a Corporate Assurance Group	To include aspects of Corporate Governance, Data Protection etc	Planned	Daniel Dickinson	26/02/2021	
Scrutiny Protocol and Toolkit	Scrutiny Protocol and Toolkit to be written for implementation	Planned	Denise French	26/02/2021	
Training	To be arranged for all Members of Audit & Standards Committee	Planned	Daniel Dickinson	26/02/2021	

Risk Covid-19

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
Reputation damage

Risk Owners Martin Hamilton

Risk Rating High Red 9 **Last Review** 22/01/2021

Final Risk Rating High Red 9 **Next Review** 21/02/2021

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

Path Corporate Risks/Newcastle Under Lyme

Key Controls Identified

Incident Management Team
Business Continuity Plans in place
Multi-Agency Response plan
Government lobbying takes place
Financial assistance
Post-Covid recovery plan in place
Covid-19 testing centre
Covid Marshalls

Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Ongoing action plan	Including support to services and businesses	Ongoing	Martin Hamilton	26/02/2021	

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

Sarah Wilkes

Risk Rating

High Red 9

Last Review

22/01/2021

Final Risk Rating

Medium Amber 6

Next Review

22/04/2021

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
Investigate Cyber insurance	Planned	Mark Bradshaw Simon Sowerby	27/02/2021	Currently awaiting response from M Bradshaw. To be followed up with DE & Insurance

Risk Data Breach

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 22/01/2021

Final Risk Rating Medium Amber 6

Next Review 22/04/2021

Target Risk Level Medium Amber 3

Treatment Tolerate

Path Corporate Risks/Newcastle Under Lyme

Key Controls Identified

Information Governance Officer

Action plan produced

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	Mark Bradshaw	27/02/2021	
Review of GDPR policies		Ongoing	Daniel Dickinson Diana Litherland	26/02/2021	
To ensure that information governance processes are in place and up to date inc. DHR & SAR etc.					

Risk Failure of major insurer

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

22/01/2021

Final Risk Rating

Low Green 2

Next Review

21/07/2021

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

Risk Financial Risk

Likelihood	H			R/G
	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 Sarah Wilkes

Risk Rating High Red 9

Last Review 22/01/2021

Final Risk Rating High Red 9

Next Review 21/02/2021

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

Covid-19 financial recovery plan

Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Increase reserves and balances	Monthly review and update of financial risk assessments reserves and balances	Ongoing	Sarah Wilkes	26/02/2021	

Risk Loss of major contractor

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	22/01/2021
Final Risk Rating	Medium Amber 6	Next Review	22/04/2021
Target Risk Level	Medium Amber 3	Treatment	Treat
Path	Corporate Risks/Newcastle Under Lyme		

Key Controls Identified

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
Critical supplier lists refresh	Planned	Simon Sowerby	12/02/2021	

Risk Loss of operating building

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

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 22/01/2021

Final Risk Rating Low Green 2

Next Review 21/07/2021

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 Richard Kissman	26/03/2021	

Risk Safeguarding

Likelihood	H			
	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

22/01/2021

Final Risk Rating

Medium Amber 6

Next Review

22/04/2021

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 awareness raising across the business to recognise Safeguarding as each persons responsibility where required.	Ongoing	Dave Adams Martin Hamilton Simon McEneny Sarah Wilkes	31/03/2021	

Risk Strategic Priorities

Likelihood	H			G
	M		T	R
	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 Medium Amber 6

Target Risk Level Medium Amber 5

Path Corporate Risks/Newcastle Under Lyme

Last Review 22/01/2021

Next Review 22/04/2021

Treatment Tolerate

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

Likelihood	H				Impact Measures	
	M			R/G	Risk Description Failure to deliver key strategic project or projects	
	L			T	Potential Consequences Reputational harm Financial implications Local economic impact Legal challenge Loss of influence and control	
		L	M	H	Implication	
					Risk Owners	Simon McEneny
					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	22/01/2021
					Next Review	22/04/2021
					Treatment	Treat

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	Martin Hamilton	31/03/2021	

Risk Workforce

Likelihood	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 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

Martin Hamilton

Risk Rating

Medium Amber 6

Last Review

22/01/2021

Final Risk Rating

Medium Amber 5

Next Review

22/04/2021

Target Risk Level

Low Green 2

Treatment

Path

Corporate Risks/Newcastle Under Lyme

Key Controls Identified

Workforce policies in place

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	31/03/2021	