Corporate Risks

Ris	Risk		Air Quality								
					Impact Measures						
	Н				Risk Description	Failure to monitor and cont	rol the air quality in the Bo	rough.			
	M			R/G	Potential Consequences	to standard required. * Failure to comply with Directive Timetable and requirements may result in legal action by Government and Client Earth against the Council.					
	L			т		* Failure by UK Governmer *Failure to deliver existing		to fines being passed down to failing LA's under Localism Act. d statutory duties.			
		L	М	н	Implication Damage to health / potential legal challenge and further action by Government including intervention in LA Air Quality fur Significant financial implications. Lack of Public Confidence. Reputational damage. Fines if passed down are likely to advimpact council services. Failure to deliver existing workload commitments and statutory duties						
					Risk Owners	Dave Adams					
		Impact		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 Control	Is Identified				
						Air Quality proje	ect				

Action Plan Owner

Due for

Completion by

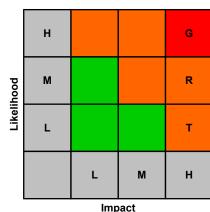
Comments

Action Plan

Type

Action Plan Description

Risk Breach of health and safety



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 RatingHigh Red 9Last Review22/01/2021Final Risk RatingMedium Amber 6Next Review22/04/2021Target Risk LevelMedium Amber 3TreatmentTreat

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

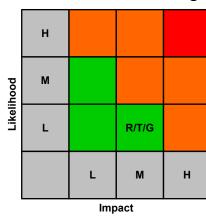
Covid-19 risk assessments

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



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
 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

Bellwin Scheme should meet 85% of cost

Insurance provision established Contingency reserve available

Action Plans

Action Plan Description Action Plan Action Plan Owner Due for Comments

Type Completion by

Risk Corporate Governance

H G G R/T L M H

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 RatingMedium Amber 6Last Review22/01/2021Final Risk RatingMedium Amber 3Next Review22/04/2021Target Risk LevelMedium Amber 3TreatmentTolerate

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 Comments Completion by
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 Н R/G М Likelihood Т L М Н 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

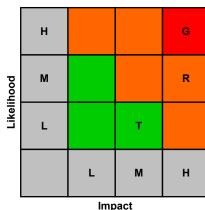
Ongoing action plan

Action Plan Description Including support to services and businesses **Action Plan** Type Ongoing

Action Plan Owner Martin Hamilton

Due for Comments Completion by 26/02/2021

Risk Cyber risk



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 Implication

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

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 RatingHigh Red 9Last Review22/01/2021Final Risk RatingMedium Amber 6Next Review22/04/2021Target Risk LevelLow Green 2TreatmentTreat

Path Corporate Risks/Newcastle Under Lyme

		Key Controls	Identified				
		Staff awareness					
		Internet and email	policies				
		Anti-Virus scannin	ig at internet gatev	vay			
		Anti-Virus softwar	е				
		Comprehensive Ir	nformation Security	y policies			
	Mandatory Information Security training for staff						
		Information Secur	ity Group				
		Penetration testing	g				
		Receive Gov Cert	UK Warnings from	n NCSC			
		Use of Governme	nt CNS service				
		Anti-Ransomewar	e software				
		Patch manageme	nt				
	Use of Virtualised Environments						
		Attendance at West Midlands WARP (West Midlands Warning and Reports Procedures Group)					
Action Plans							
Action Plan Description	Action Plan	Action Plan Owner	Due for	Comments			
Investigate Cyber insurance	Type Planned	Mark Bradshaw	Completion by 27/02/2021	Currently awaiting response from M Bradshaw. To be			

Mark Bradshaw Simon Sowerby

Currently awaiting response from M Bradshaw. To be followed up with DE & Insurance

Risk Data Breach

H R/G

M R/G

L T

Impact

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 RatingMedium Amber 6Last Review22/01/2021Final Risk RatingMedium Amber 6Next Review22/04/2021Target Risk LevelMedium Amber 3TreatmentTolerate

Path Corporate Risks/Newcastle Under Lyme

Key Controls Identified

Information Governance Officer

Action plan produced

Information Security Group Formed

Training available

Action Plan Owner

Action Plans

Review mandatory DPA/GDPR training across the Council Review of GDPR policies

Action Plan Description

To ensure that information governance processes are in place and up to date inc. DHR & SAR etc.

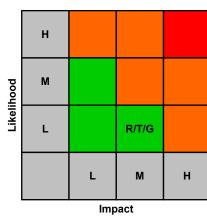
Action Plan Type Planned

Ongoing

Mark Bradshaw Daniel Dickinson Diana Litherland Due for Comments Completion by 27/02/2021

26/02/2021

Risk Failure of major insurer



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 Action Plan Owner
Type

Due for Comments
Completion by

Risk **Financial Risk** Н R/G М Likelihood Т L М Н

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

High Red 9 **Last Review** 22/01/2021 Risk Rating 21/02/2021 **Final Risk Rating** High Red 9 **Next Review** 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

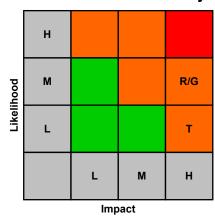
Action Plans

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

Increase reserves and Monthly review and update of financial risk assessments balances

reserves and balances

Risk Loss of major contractor



Impact Measures

Risk DescriptionLoss of major contractor or supplier to the Council.Potential ConsequencesDisruption to service; Financial costs; Potential claims

 Implication
 Reputation damage

 Risk Owners
 Martin Hamilton

Risk RatingMedium Amber 6Last Review22/01/2021Final Risk RatingMedium Amber 6Next Review22/04/2021Target Risk LevelMedium Amber 3TreatmentTreat

Path Corporate Risks/Newcastle Under Lyme

Key Controls Identified

Market intelligence

Continuous monitoring of contracts and annual credit check

Contracts register in place

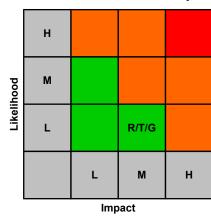
Corporate Procurement Officer & Procurement Strategy

Action Plans

Action Plan Description
Action Plan Description
Type
Critical supplier lists refresh

Action Plan Owner
Type
Planned
Simon Sowerby
Due for Comments
Completion by
12/02/2021

Risk Loss of operating building



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;

ImplicationReputation damage.Risk OwnersMartin Hamilton

Risk Rating Low Green 2

Final Risk RatingLow Green 2Next Review21/07/2021Target Risk LevelLow Green 2TreatmentTreat

Path Corporate Risks/Newcastle Under Lyme

Key Controls Identified

Last Review

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

22/01/2021

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 sometime to develop the BCP for the som		Planned	Martin Hamilton Richard Kissman	26/03/2021	

Risk Safeguarding Н М R/G Likelihood Т М Н 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

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

where required.

across the business to

recognise Safeguarding as

each persons responsibility

Corporate awareness raising

Action Plan Description

Action Plan Type Ongoing

Action Plan Owner

Dave Adams Martin Hamilton Simon McEneny Sarah Wilkes

Due for Comments Completion by

31/03/2021

Risk Strategic Priorities

H G M T R L L M H

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 RatingHigh Red 9Last Review22/01/2021Final Risk RatingMedium Amber 6Next Review22/04/2021Target Risk LevelMedium Amber 5TreatmentTolerate

Path Corporate Risks/Newcastle Under Lyme

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 Action Plan Owner Due for Comments
Type Completion by

Risk Strategic Projects

H R/G

M R/G

T

L M H

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 RatingMedium Amber 6Last Review22/01/2021Final Risk RatingMedium Amber 6Next Review22/04/2021Target Risk LevelMedium Amber 3TreatmentTreat

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 Action Plan Owner Due for Comments
Type Completion by

capability

Risk Workforce

H R G

L T

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 RatingMedium Amber 6Last Review22/01/2021Final Risk RatingMedium Amber 5Next Review22/04/2021

Target Risk Level Low Green 2 Treatment

Path Corporate Risks/Newcastle Under Lyme

Key Controls Identified

Workforce policies in place

Action Plans

development plan

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

Develop workforce strategy and Type Completion
Planned Georgina Evans 31/03/2021