

Corporate Risks

Risk Air Quality

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

Impact Measures

Risk Description Failure to comply with the Government Directive Timetable

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** 18/06/2021

Final Risk Rating Medium Amber 6 **Next Review** 16/09/2021

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
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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

Death or harm to staff, contractors or members of the public. Reputation damage. Adverse financial implications. Third party intervention.

Implication

Risk Owners

Martin Hamilton

Risk Rating

High Red 9

Last Review

18/06/2021

Final Risk Rating

Medium Amber 6

Next Review

16/09/2021

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.
- Incident Management Team
- 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.
- 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	30/09/2021	Insurers advised face2face training will likely be commenced in 2022. Information received from insurers re courses and numbers of licences available for council staffs and variety of courses. This will be drawn together and an information report for decision will be presented to the relevant officers for decision.
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	30/07/2021	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 **Last Review** 18/06/2021

Final Risk Rating Low Green 2 **Next Review** 15/12/2021

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

General Fund Reserve available

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
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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** 18/06/2021

Final Risk Rating Medium Amber 3 **Next Review** 16/09/2021

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	30/09/2021	
Scrutiny Protocol and Toolkit	Scrutiny Protocol and Toolkit to be written for implementation	Planned	Denise French	30/09/2021	
Training	To be arranged for all Members of Audit & Standards Committee	Planned	Daniel Dickinson Sarah Wilkes	30/09/2021	

Risk Covid-19

Likelihood	H			G
	M			R
	L			T
		L	M	H
	Impact			

Impact Measures

Risk Description Pandemic leading to disruption of service delivery and local economic impact

Potential Consequences Higher mortality rates
Local economic impacts
Customer dissatisfaction and service complaints

Implication Loss of service and financial implications.
Business continuity
Reputation damage

Risk Owners Martin Hamilton

Risk Rating High Red 9 **Last Review** 18/06/2021

Final Risk Rating Medium Amber 6 **Next Review** 16/09/2021

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	30/07/2021	

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

Martin Hamilton

Risk Rating

High Red 9

Last Review

18/06/2021

Final Risk Rating

Medium Amber 6

Next Review

16/09/2021

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	Matthew Gratton Simon Sowerby	30/09/2021	Currently awaiting response from M Bradshaw. Questionnaire completed - follow up questions to Broker for clarification required

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 18/06/2021

Final Risk Rating Medium Amber 6

Next Review 16/09/2021

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	Daniel Dickinson	30/07/2021	
Review of GDPR policies	To ensure that information governance processes are in place and up to date inc. DHR & SAR etc.	Ongoing	Matthew Gratton Diana Litherland	30/07/2021	

Risk Financial Risk

Likelihood	H			G
	M			R
	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 18/06/2021

Final Risk Rating Medium Amber 6

Next Review 16/09/2021

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	30/07/2021	

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; Reputation damage; Financial costs; Potential claims

Implication

Risk Owners Martin Hamilton

Risk Rating Medium Amber 6 **Last Review** 18/06/2021

Final Risk Rating Medium Amber 6 **Next Review** 16/09/2021

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

Path Corporate Risks/Newcastle Under Lyme

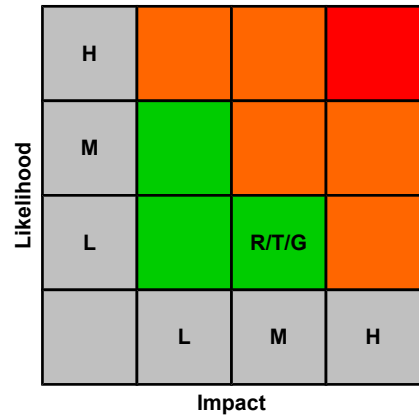
Key Controls Identified

- 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 monitor and review	Planned	Simon Sowerby	30/07/2021	Review and update to Council's contract register has commenced; On completion a request will be made to Heads of Service to review and highlight their major/critical contractors for their service; Upon receipt of this information credit checks will be completed for each of the major/critical suppliers.

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; Reputation damage.

Implication

Risk Owners Martin Hamilton

Risk Rating Low Green 2 **Last Review** 18/06/2021

Final Risk Rating Low Green 2 **Next Review** 15/12/2021

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	Elaine Burgess Martin Hamilton	30/07/2021	Revise in the current Covid working conditions - may change if return to office is more mainstream..

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

18/06/2021

Final Risk Rating

Medium Amber 6

Next Review

16/09/2021

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	30/09/2021	

Risk Strategic Priorities

	H			G
Likelihood	M		R/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

Last Review 18/06/2021

Final Risk Rating Medium Amber 5

Next Review 16/09/2021

Target Risk Level Medium Amber 5

Treatment Tolerate

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 Type	Action Plan Owner	Due for Completion by	Comments
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Risk Strategic Projects

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

Impact Measures

Risk Description Failure to deliver key strategic project or projects, including One Council

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 18/06/2021

Final Risk Rating Medium Amber 6

Next Review 16/09/2021

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	Ongoing	Martin Hamilton	30/07/2021	
Monthly EMT meeting to become dedicated Project meetings		Ongoing	Martin Hamilton	30/07/2021	

Risk Wallys Quarry

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

Impact Measures

Risk Description Current air quality issues in respect of the quarry and the contractor

Potential Consequences Reputation damage to the Council and the Borough.
Finance and Officer resource

Implication

Risk Owners Dave Adams; Daniel Dickinson; Martin Hamilton; Sarah Wilkes

Risk Rating High Red 9 **Last Review** 18/06/2021

Final Risk Rating High Red 9 **Next Review** 18/07/2021

Target Risk Level Medium Amber 6 **Treatment** Treat

Path Corporate Risks/Newcastle Under Lyme

Key Controls Identified

Odour Incident Management Team

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Continue with IMT works	Ongoing	Dave Adams	30/07/2021	

Risk Workforce

	H			
	M		R	G
	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

Martin Hamilton

Risk Rating

Medium Amber 6

Last Review

18/06/2021

Final Risk Rating

Medium Amber 5

Next Review

16/09/2021

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	27/08/2021	Final plan to be developed.