

## 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

01/10/2021

## Final Risk Rating

Medium Amber 6

## Next Review

30/12/2021

## 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** 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

**Final Risk Rating** Medium Amber 6

**Target Risk Level** Medium Amber 3

**Path** Corporate Risks/Newcastle Under Lyme

**Last Review** 01/10/2021

**Next Review** 30/12/2021

**Treatment** Treat

## 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

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**Action Plans**

Action Plan Description		Action Plan Type	Action Plan Owner	Due for Completion by	Comments
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	31/01/2022	Note continuation of H&S Thursdays.

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## 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** 01/10/2021

**Next Review** 30/03/2022

**Treatment** Tolerate

### 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

## 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** 01/10/2021

**Final Risk Rating** Medium Amber 3 **Next Review** 30/12/2021

**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
Scrutiny Protocol and Toolkit	Scrutiny Protocol and Toolkit to be written for implementation	Planned	Denise French	31/03/2022	
Training	To be arranged for all Members of Audit & Standards Committee	Planned	Daniel Dickinson Sarah Wilkes	31/03/2022	

## 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

**Final Risk Rating** Medium Amber 6

**Target Risk Level** Medium Amber 3

**Path** Corporate Risks/Newcastle Under Lyme

**Last Review** 01/10/2021

**Next Review** 30/12/2021

**Treatment** Treat

### 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

## 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

01/10/2021

### Final Risk Rating

Medium Amber 6

### Next Review

30/12/2021

### Target Risk Level

Low Green 2

### Treatment

Treat

### Path

Corporate Risks/Newcastle Under Lyme

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### 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)

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### Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Risk assessment based process via insurance Brokers to be completed	Planned	Annette Bailey Mark Bradshaw Diana Litherland	29/10/2021	

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## 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** 01/10/2021

**Final Risk Rating** Medium Amber 6

**Next Review** 30/12/2021

**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	31/03/2022	
Review of GDPR policies		Ongoing	Matthew Gratton Diana Litherland	17/12/2021	
To ensure that information governance processes are in place and up to date inc. DHR & SAR etc.					

## 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** 01/10/2021

**Final Risk Rating** Medium Amber 6

**Next Review** 30/12/2021

**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	31/03/2022	

## 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** 01/10/2021

**Final Risk Rating** Medium Amber 6

**Next Review** 30/12/2021

**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	31/01/2022	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

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; Reputation damage.

### Implication

**Risk Owners** Martin Hamilton

**Risk Rating** Low Green 2

**Last Review** 01/10/2021

**Final Risk Rating** Low Green 2

**Next Review** 30/03/2022

**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	23/12/2021	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

01/10/2021

### Final Risk Rating

Medium Amber 6

### Next Review

30/12/2021

### 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	31/03/2022	

## Risk Strategic Priorities

Likelihood	H			G
	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

**Final Risk Rating** Medium Amber 5

**Target Risk Level** Medium Amber 5

**Path** Corporate Risks/Newcastle Under Lyme

**Last Review** 01/10/2021

**Next Review** 30/12/2021

**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				<b>Impact Measures</b>			
	M				<b>Risk Description</b> Failure to deliver key strategic project or projects, including One Council			
	L				<b>Potential Consequences</b> Reputational harm Financial implications Local economic impact Legal challenge Loss of influence and control			
		L	M	H	<b>Implication</b>			
					<b>Risk Owners</b> Simon McEneny			
					<b>Risk Rating</b> Medium Amber 6		<b>Last Review</b>	01/10/2021
					<b>Final Risk Rating</b> Medium Amber 6		<b>Next Review</b>	30/12/2021
					<b>Target Risk Level</b> Medium Amber 3		<b>Treatment</b>	Treat
					<b>Path</b> 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
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## 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** 01/10/2021

**Final Risk Rating** High Red 9 **Next Review** 31/10/2021

**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	31/12/2021	



## 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

01/10/2021

### Final Risk Rating

Medium Amber 5

### Next Review

30/12/2021

### 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	Helen Smith	31/03/2022	Final plan to be developed.