APPENDIX A

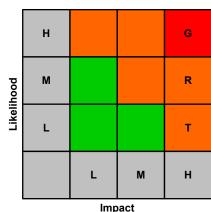
Corporate Risks

Air Quality Risk **Impact Measures** Н Failure to comply with the Government Directive Timetable **Risk Description Potential Consequences** * Failure to deliver within prescribed timescale, failure to safeguard health, failure to identify alternatives to CAZ, failure to deliver to standard required. M R/G Likelihood * 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. т 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 L М Н **Risk Owners** Dave Adams Risk Rating Medium Amber 6 Last Review 01/10/2021 Impact 30/12/2021 Final Risk Rating Medium Amber 6 **Next Review** 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 Action Plan Owner** Due for Comments

Type

Completion by

Risk Breach of health and safety



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 RatingHigh Red 9Last Review01/10/2021Final Risk RatingMedium Amber 6Next Review30/12/2021Target 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.

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

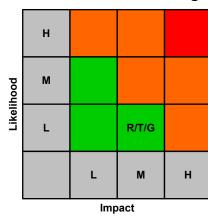
Covid-19 risk assessments

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	
	Corporate mandate to routinely review and update Target 100 risk assessments and tasks	Ongoing	Dave Adams Martin Hamilton Simon McEneny Sarah Wilkes		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 RatingLow Green 2Last Review01/10/2021Final Risk RatingLow Green 2Next Review30/03/2022Target Risk LevelLow Green 2TreatmentTolerate

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 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 Review01/10/2021Final Risk RatingMedium Amber 3Next Review30/12/2021Target 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
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

H G

R

L T

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 RatingHigh Red 9Last Review01/10/2021Final Risk RatingMedium Amber 6Next Review30/12/2021Target Risk LevelMedium Amber 3TreatmentTreat

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

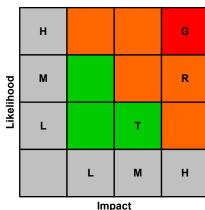
Covid-19 testing centre

Covid Marshalls

Action Plans

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

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 Martin Hamilton

Risk RatingHigh Red 9Last Review01/10/2021Final Risk RatingMedium Amber 6Next Review30/12/2021Target Risk LevelLow Green 2TreatmentTreat

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-Ransomeware software		
		Patch managemen	t	
	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 Comments Completion by	
isk assessment based	Planned	Annette Bailey	29/10/2021	

Annette Bailey Mark Bradshaw Diana Litherland

Risk assessment based process via insurance Brokers to be completed

Risk Data Breach

H R/G

M R/G

T

L M H

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 Review01/10/2021Final Risk RatingMedium Amber 6Next Review30/12/2021Target 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 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

Action Plan Owner

Daniel Dickinson

Matthew Gratton

Diana Litherland

Due for Comments Completion by 31/03/2022

17/12/2021

Risk **Financial Risk** Н G М R 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

Final Risk Rating

Risk Owners Sarah Wilkes High Red 9 Risk Rating

Last Review Medium Amber 6 **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

01/10/2021

30/12/2021

Regular financial risk assessments

Realistic medium term financial plan

Statutory Officer Group

Covid-19 financial recovery plan

Action Plans

Increase reserves and

Action Plan Action Plan Owner Due for **Action Plan Description** Comments Completion by Type Ongoing Monthly review and update of financial risk assessments Sarah Wilkes 31/03/2022

balances reserves and balances

Risk Loss of major contractor

H R/G

M R/G

T

L M H

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 RatingMedium Amber 6Last Review01/10/2021Final Risk RatingMedium Amber 6Next Review30/12/2021Target 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 Action Plan Owner
Type
Critical supplier lists monitor
Planned
Simon Sowerby

Critical supplier lists monitor

Planned
Simon Sowerby

Due for
Comments

Completion by

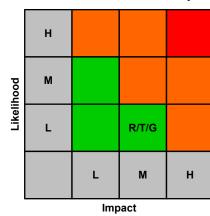
Review and update to Council's contract register has

and review

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 RatingLow Green 2Last Review01/10/2021Final Risk RatingLow Green 2Next Review30/03/2022Target Risk LevelLow Green 2TreatmentTreat

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 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 01/10/2021 **Risk Rating** Medium Amber 6 **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

where required.

across the business to

Action Plan Description

Corporate awareness raising recognise Safeguarding as each persons responsibility

Action Plan Type

Ongoing

Action Plan Owner

Dave Adams Martin Hamilton Simon McEneny Sarah Wilkes

Due for Comments Completion by

31/03/2022

Risk Strategic Priorities

H G M R/T 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 Review01/10/2021Final Risk RatingMedium Amber 5Next Review30/12/2021Target Risk LevelMedium Amber 5TreatmentTolerate

Path Corporate Risks/Newcastle Under Lyme

Key Controls Identified

Alignment of service and financial planning

Borough Growth Fund

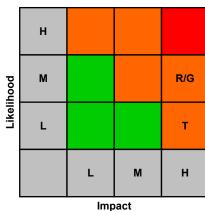
Investment Strategy and Revolving Investment Fund

Government lobbying takes place

Action Plans

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

Risk Strategic Projects



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 RatingMedium Amber 6Last Review01/10/2021Final Risk RatingMedium Amber 6Next Review30/12/2021Target 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 Owner Due for Comments

Type Completion by

Risk **Wallys Quarry** Н R/G Т Likelihood

L

М

Impact

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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

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

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 Action Plan Owner Due for Comments Type Completion by

Ongoing 31/12/2021 Continue with IMT works Dave Adams

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 Review01/10/2021Final Risk RatingMedium Amber 5Next Review30/12/2021

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 Owner Due for Comments

Type Completion by
Planned Helen Smith 31/03/2022 Final

Develop workforce strategy and Planned Helen Smith 31/03/2022 Final plan to be developed. development plan