

Corporate Risks

Risk Air Quality

H				
M			R/G	
L			T	
		L	M	H

Impact

Impact Measures

Risk Description

Potential Consequences

Failure to comply with the Government Directive Timetable

* 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

15/07/2022

Final Risk Rating

Medium Amber 6

Next Review

13/10/2022

Target Risk Level

Medium Amber 3

Treatment

Tolerate

Path

Corporate Risks/Newcastle Under Lyme

Objectives

A Healthy, Active and Safe Borough

Local Services that Work for Local People

Key Controls Identified

Air Quality project

Corporate

Corporate

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

H			G
M			R
L			T
	L	M	H

Likelihood

Impact

Impact Measures
Risk Description
Potential Consequences
Implication
Risk Owners
Risk Rating
Final Risk Rating
Target Risk Level
Path

Failure to comply with relevant health and safety legislation.
 Death or harm to staff, contractors or members of the public. Reputation damage. Adverse financial implications. Third party intervention.
 Martin Hamilton
 High Red 9
 Medium Amber 6
 Medium Amber 3
 Corporate Risks/Newcastle Under Lyme
Last Review 15/07/2022
Next Review 13/10/2022
Treatment Treat

Objectives

A Healthy, Active and Safe Borough

A Town Centre for all

Growing our People and Places

Local Services that Work for Local People

Key Controls Identified

Corporate
 Corporate
 Corporate
 Corporate
 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	30/09/2022	Due date revised to reflect ongoing nature of this action.
Refresher IOSH training for managers	Planned	Sarah Blakeway	30/09/2022	

Risk Civil emergency

H				
M				
L			R/T/G	
	L	M	H	

Likelihood

Impact

Impact Measures	Civil emergency
Risk Description	Possible unbudgeted costs; service delivery affected
Potential Consequences	Fall in usual service delivery; complaints;
Implication	Martin Hamilton
Risk Owners	Low Green 2
Risk Rating	Low Green 2
Final Risk Rating	Low Green 2
Target Risk Level	Corporate Risks/Newcastle Under Lyme
Path	

Last Review 15/07/2022

Next Review 11/01/2023

Treatment Tolerate

Objectives

A Healthy, Active and Safe Borough

Key Controls Identified

Corporate
 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

H			
M			
L			

Impact Measures

Risk Description

Potential Consequences

Implication

Risk Owners

Risk Rating

Final Risk Rating

Target Risk Level

Path

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

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

Daniel Dickinson

Medium Amber 6

Medium Amber 3

Medium Amber 3

Corporate Risks/Newcastle Under Lyme

15/07/2022

13/10/2022

Treat

Objectives

Local Services that Work for Local People

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 implementation To be arranged for all Members of Audit & Standards Committee	Planned	Denise French	31/05/2022	To fall in line with Council sign off of the Constitution.
Training	Planned	Daniel Dickinson Sarah Wilkes	27/06/2022	At first meeting following Full Council

Risk Covid-19

H				
M			R/G	
L			T	
		L	M	H

Impact

Impact Measures

Risk Description

Potential Consequences

Implication

Risk Owners

Risk Rating

Final Risk Rating

Target Risk Level

Path

Endemic leading to disruption of service delivery and local economic impact

Higher mortality rates
Local economic impacts
Customer dissatisfaction and service complaints

Loss of service and financial implications.
Business continuity
Reputation damage

Martin Hamilton

Medium Amber 6

Medium Amber 6

Medium Amber 3

Corporate Risks/Newcastle Under Lyme

Last Review
15/07/2022

Next Review
13/10/2022

Treatment
Tolerate

Objectives

A Healthy, Active and Safe Borough

A Town Centre for all

Growing our People and Places

Key Controls Identified

Incident Management Team

Business Continuity Plans in place

Financial assistance

Action Plans

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

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 15/07/2022

Final Risk Rating

Medium Amber 6

Next Review 13/10/2022

Target Risk Level

Low Green 2

Treatment

Path

Corporate Risks/Newcastle Under Lyme

Objectives

A Healthy, Active and Safe Borough

Corporate

A Town Centre for all

Corporate

Growing our People and Places

Corporate

Local Services that Work for Local People

Corporate

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
Risk assessment based process via insurance Brokers to be completed	Planned	Annette Bailey Caroline Horne Dominic Taylor	30/09/2022	Discussion with Broker on 28/06/2022 as part of insurance renewal tender due this year - there is still no proper market for Cyber insurance and if there is cover provided (insurers are tending not to insure local authorities) it will be for limited cover at high premiums. The Brokers are contacting and chasing their cyber team to make contact with us to review the risk assessment again as we have had staff movement, and they will use this assessment again to approach insurers to build up evidence.

Risk Data Breach

H				
M			R/G	
L			T	
		L	M	H

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 Rating Medium Amber 6
Final Risk Rating Medium Amber 6
Target Risk Level Medium Amber 3
Path Corporate Risks/Newcastle Under Lyme

Last Review 15/07/2022
Next Review 13/10/2022
Treatment Tolerate

Objectives

Local Services that Work for Local People

Key Controls Identified

Information Governance Officer
 Action plan produced
 Information Governance Group Formed
 Training available

Action Plans

Review mandatory DPA/GDPR training across the Council

Action Plan Description
Action Plan Type Planned
Action Plan Owner Daniel Dickinson
 Georgina Evans
 Caroline Horne
Due for Completion by 29/04/2022
Comments

Risk Financial Risk

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

Final Risk Rating Medium Amber 6

Target Risk Level Medium Amber 3

Path

Corporate Risks/Newcastle Under Lyme

Last Review 15/07/2022

Next Review 13/10/2022

Treatment Treat

Objectives

A Healthy, Active and Safe Borough

A Town Centre for all

Growing our People and Places

Local Services that Work for Local People

Key Controls Identified

Corporate Adequate level of reserves and balances

Corporate Regular financial risk assessments

Corporate Realistic medium term financial plan

Corporate Statutory Officer Group

Corporate 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	30/09/2022

Risk Kidsgrove Sports Centre

H				
M				
L			R/T/G	
	L	M	H	

Impact Measures
Risk Description Financial failure of new operator and financial risk of step-in by Council
Potential Consequences Financial implications
Implication
Risk Owners Simon McEneny
Risk Rating Medium Amber 3
Final Risk Rating Medium Amber 3
Target Risk Level Medium Amber 3
Path Corporate Risks/Newcastle Under Lyme

Last Review 15/07/2022
Next Review 13/10/2022
Treatment Treat

Objectives

- A Healthy, Active and Safe Borough
- A Town Centre for all
- Growing our People and Places
- Local Services that Work for Local People

Key Controls Identified

- Corporate Draw-down fund Management Agreement
- Corporate
- Corporate
- Corporate
- Corporate

Action Plans

Action Plan Description	Action Plan Type Planned	Action Plan Owner	Due for Completion by	Comments
Ensure contract management takes place		Louise Beeby Craig Turner	27/01/2023	

Risk Loss of major contractor

H			
M		R/G	
L			T
	L	M	H

Likelihood

Impact

Impact Measures	Loss of major contractor or supplier to the Council.
Risk Description	Disruption to service; Reputation damage; Financial costs; Potential claims
Potential Consequences	Disruption to service; Reputation damage; Financial costs; Potential claims
Implication	
Risk Owners	Martin Hamilton
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 15/07/2022

Next Review 13/10/2022

Treatment Treat

Objectives

A Healthy, Active and Safe Borough

A Town Centre for all

Growing our People and Places

Local Services that Work for Local People

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	30/09/2022	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 Safeguarding

Likelihood	H				
	M				
	L				
					Impact
				L	
				M	
					H

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

Dave Adams

Risk Owners

Medium Amber 6

15/07/2022

Last Review

Risk Rating

Medium Amber 6

13/10/2022

Next Review

Final Risk Rating

Medium Amber 3

Treat

Treatment

Target Risk Level

Corporate Risks/Newcastle Under Lyme

Path

Objectives

A Healthy, Active and Safe Borough

Key Controls Identified

Corporate

Policy and Procedures

Personnel

Partners and Partnership working

Action Plans

Action Plan Description

Corporate awareness raising across the business to recognise Safeguarding as each persons responsibility where required.

Action Plan Type

Ongoing

Action Plan Owner

Dave Adams
Georgina Evans
Martin Hamilton
Simon McEneny
Sarah Wilkes

Due for Completion by

30/09/2022

Comments

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 Rating High Red 9
Final Risk Rating Medium Amber 5
Target Risk Level Medium Amber 5
Path Corporate Risks/Newcastle Under Lyme

Last Review 15/07/2022
Next Review 13/10/2022
Treatment Tolerate

Impact

Objectives

A Healthy, Active and Safe Borough
 A Town Centre for all
 Growing our People and Places
 Local Services that Work for Local People

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

H				
M			R/G	
L			T	
		L	M	H

Likelihood

Impact

Impact Measures	Failure to deliver key strategic project or projects, including One Council
Risk Description	Reputational harm Financial implications Local economic impact Legal challenge
Potential Consequences	Loss of influence and control
Implication	
Risk Owners	Martin Hamilton; 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	15/07/2022
Next Review	13/10/2022
Treatment	Tolerate

Objectives

A Healthy, Active and Safe Borough

A Town Centre for all

Growing our People and Places

Local Services that Work for Local People

Key Controls Identified

Corporate
Advice obtained from external bodies as and when required
Governance
Resources

Corporate

Corporate

Corporate

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
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Risk Walllys Quarry

H			R/G
M			T
L			
	L	M	H

Likelihood

Impact

Impact Measures

Risk Description

Potential Consequences

Implication

Risk Owners

Risk Rating

Final Risk Rating

Target Risk Level

Path

Current air quality issues in respect of the quarry and the contractor Reputation damage to the Council and the Borough. Finance and Officer resource

Dave Adams; Daniel Dickinson; Martin Hamilton; Sarah Wilkes

High Red 9 **Last Review** 15/07/2022

High Red 9 **Next Review** 14/08/2022

Medium Amber 6 **Treatment** Treat

Corporate Risks/Newcastle Under Lyme

Objectives

A Healthy, Active and Safe Borough

Local Services that Work for Local People

Key Controls Identified

Corporate Odour Incident Management Team

Corporate Specific Walley's Quarry risk profile in place

Action Plans

Continue with IMT works

Action Plan Description

Action Plan Type
Ongoing

Action Plan Owner
Dave Adams

Due for Completion by
30/09/2022

Comments

Risk

Workforce

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 consistently train and develop employees to meet the needs of the Council. Delays to implement reviews of policies and procedures.

Potential Consequences

Staff not treated fairly - implications for staff morale, effective recruitment and retention. Skills shortages both locally and nationally. 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

Georgina Evans

Risk Rating

Medium Amber 6

Last Review 15/07/2022

Final Risk Rating

Medium Amber 5

Next Review 13/10/2022

Target Risk Level

Low Green 2

Treatment

Corporate Risks/Newcastle Under Lyme

Path

Objectives

Growing our People and Places

Local Services that Work for Local People

Key Controls Identified

Actively reviewing pay scales
 Apprenticeship levy available
 EMT are maintaining an overview
 EMT looking Vacancy Approval Forms
 Interim posts available
 Leadership Development Programme
 Staff surveys
 Updating recruitment procedures
 Workforce policies in place

Action Plans

Action Plan Description

Develop workforce strategy and development plan

Action Plan Type

Planned

Action Plan Owner

Helen Smith

Due for Completion by

30/06/2022

Comments

Final plan to be developed.