

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** 13/01/2023

Final Risk Rating Medium Amber 6 **Next Review** 13/04/2023

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

Path Corporate Risks/Newcastle Under Lyme

Objectives

1 - One Council delivering for Local People Corporate

3 - Healthy, Active and Safe communities Corporate

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 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** 13/01/2023

Final Risk Rating Medium Amber 6 **Next Review** 13/04/2023

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

Path Corporate Risks/Newcastle Under Lyme

Objectives

- 1 - One Council delivering for Local People Corporate
- 2 - A successful and sustainable growing Borough Corporate
- 3 - Healthy, Active and Safe communities Corporate
- 4 - Town Centres for all Corporate

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	Corporate mandate to routinely review and update Target 100 risk assessments and tasks	Ongoing	Dave Adams Martin Hamilton Simon McEneny Sarah Wilkes	31/03/2023	Due date revised to reflect ongoing nature of this action.
Refresher IOSH training for managers		Planned	Sarah Blakeway	28/02/2023	

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** 13/01/2023

Final Risk Rating Low Green 2 **Next Review** 12/07/2023

Target Risk Level Low Green 2 **Treatment** Tolerate

Path Corporate Risks/Newcastle Under Lyme

Objectives

3 - Healthy, Active and Safe communities

Corporate

Key Controls Identified

Civil Contingencies Business Working Group in place
 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** 13/01/2023

Final Risk Rating Medium Amber 3 **Next Review** 13/04/2023

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

Path Corporate Risks/Newcastle Under Lyme

Objectives

1 - One Council delivering for Local People Corporate

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	Daniel Dickinson	31/03/2023	To fall in line with Council sign off of the Constitution. The Scrutiny protocol and toolkit is written in to the Constitution. 1/3 members trained - rest to be contacted and trained.

Risk Covid-19

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

Impact Measures

Risk Description Endemic 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 Medium Amber 6 **Last Review** 13/01/2023

Final Risk Rating Low Green 2 **Next Review** 12/07/2023

Target Risk Level Low Green 2 **Treatment** Treat

Path Corporate Risks/Newcastle Under Lyme

Objectives

2 - A successful and sustainable growing Borough	Corporate
3 - Healthy, Active and Safe communities	Corporate
4 - Town Centres for all	Corporate

Key Controls Identified

Business Continuity Plans in place
Financial assistance

Action Plans

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

13/01/2023

Final Risk Rating

Medium Amber 6

Next Review

13/04/2023

Target Risk Level

Medium Amber 3

Treatment

Tolerate

Path

Corporate Risks/Newcastle Under Lyme

Objectives

1 - One Council delivering for Local People	Corporate
2 - A successful and sustainable growing Borough	Corporate
3 - Healthy, Active and Safe communities	Corporate
4 - Town Centres for all	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
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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 Very significant fines and damage to reputation.

Implication Severe

Risk Owners Daniel Dickinson

Risk Rating Medium Amber 6 **Last Review** 13/01/2023

Final Risk Rating Medium Amber 6 **Next Review** 13/04/2023

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

Path Corporate Risks/Newcastle Under Lyme

Objectives

1 - One Council delivering for Local People

Corporate

Key Controls Identified

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

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
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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 13/01/2023

Final Risk Rating Medium Amber 6

Next Review 13/04/2023

Target Risk Level Medium Amber 3

Treatment Treat

Path Corporate Risks/Newcastle Under Lyme

Objectives

1 - One Council delivering for Local People	Corporate
2 - A successful and sustainable growing Borough	Corporate
3 - Healthy, Active and Safe communities	Corporate
4 - Town Centres for all	Corporate

Key Controls Identified

Adequate level of reserves and balances
Regular financial risk assessments
Realistic medium term financial plan
Statutory Officer Group

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	31/03/2023	

Risk Kidsgrove Sports Centre

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

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

Last Review 13/01/2023

Final Risk Rating Medium Amber 3

Next Review 13/04/2023

Target Risk Level Medium Amber 3

Treatment Treat

Path Corporate Risks/Newcastle Under Lyme

Objectives

- | | |
|--|-----------|
| 1 - One Council delivering for Local People | Corporate |
| 2 - A successful and sustainable growing Borough | Corporate |
| 3 - Healthy, Active and Safe communities | Corporate |
| 4 - Town Centres for all | Corporate |

Key Controls Identified

- Draw-down fund
- Management Agreement

Action Plans

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

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 13/01/2023

Final Risk Rating Medium Amber 6

Next Review 13/04/2023

Target Risk Level Medium Amber 3

Treatment Treat

Path Corporate Risks/Newcastle Under Lyme

Objectives

1 - One Council delivering for Local People	Corporate
2 - A successful and sustainable growing Borough	Corporate
3 - Healthy, Active and Safe communities	Corporate
4 - Town Centres for all	Corporate

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	31/03/2023	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			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

Dave Adams

Risk Rating

Medium Amber 6

Last Review

13/01/2023

Final Risk Rating

Medium Amber 6

Next Review

13/04/2023

Target Risk Level

Medium Amber 3

Treatment

Treat

Path

Corporate Risks/Newcastle Under Lyme

Objectives

3 - Healthy, Active and Safe communities

Corporate

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.	EMT to cascade reminders down to staff	Ongoing	Dave Adams Georgina Evans-Stadward Catherine Fox Martin Hamilton Simon McEneny Sarah Wilkes	31/03/2023	
Review Safeguarding training	To roll-out across the board	Planned	Dave Adams Georgina Evans-Stadward Catherine Fox	28/02/2023	First stage review between action owners to look at drafting timetable and training requirements, with partner delivery services.

Risk Strategic Priorities

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

Impact Measures

Risk Description Lack of capacity and resources 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 13/01/2023

Final Risk Rating Medium Amber 5

Next Review 13/04/2023

Target Risk Level Medium Amber 5

Treatment Tolerate

Path Corporate Risks/Newcastle Under Lyme

Objectives

1 - One Council delivering for Local People	Corporate
2 - A successful and sustainable growing Borough	Corporate
3 - Healthy, Active and Safe communities	Corporate
4 - Town Centres for all	Corporate

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 Martin Hamilton; Simon McEneny

Risk Rating Medium Amber 6 **Last Review** 13/01/2023

Final Risk Rating Medium Amber 6 **Next Review** 13/04/2023

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

Path Corporate Risks/Newcastle Under Lyme

Objectives

1 - One Council delivering for Local People	Corporate
2 - A successful and sustainable growing Borough	Corporate
3 - Healthy, Active and Safe communities	Corporate
4 - Town Centres for all	Corporate

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
Develop programme of commercial delivers/investments	Planned	Joanne Halliday	31/03/2023	

Risk Wallys Quarry

Likelihood	H			G
	M			R/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** 13/01/2023

Final Risk Rating Medium Amber 6 **Next Review** 13/04/2023

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

Path Corporate Risks/Newcastle Under Lyme

Objectives

1 - One Council delivering for Local People

Corporate

Key Controls Identified

Odour Incident Management Team

Specific Walley's Quarry risk profile in place

3 - Healthy, Active and Safe communities

Corporate

Abatement Notice

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Continue with IMT works	Ongoing	Dave Adams	31/03/2023	
Regular liaison with WQ Ltd Following agreement reached through formal mediation process regular liaison with WQ Ltd will be taking place.	Ongoing	Nesta Barker Martin Hamilton	31/03/2023	

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 and retain 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-Stadward

Risk Rating

Medium Amber 6

Last Review

13/01/2023

Final Risk Rating

Medium Amber 5

Next Review

13/04/2023

Target Risk Level

Low Green 2

Treatment

Treat

Path

Corporate Risks/Newcastle Under Lyme

Objectives

1 - One Council delivering for Local People

Corporate

2 - A successful and sustainable growing Borough

Corporate

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	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Develop workforce strategy and development plan	Planned	Helen Smith	31/03/2023	Final plan to be developed.