APPENDIX A

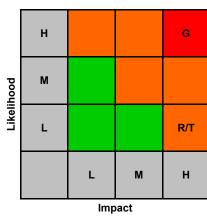
Completion by

Corporate Risks

Ris	k	4	Air Qu	ality						
					Impact Measures					
	Н			G	Risk Description	Failure to comply with the Gove	rnment Directive Time	etable		
Likelihood	to			to standard required. * Failure to comply with Directive the Council.	* Failure to comply with Directive Timetable and requirements may result in legal action by Government and Client Earth against the Council.					
<u>ş</u>				D/T		*Failure to deliver existing workl		to fines being passed down to failing LA's under Localism Act. d statutory duties.		
-	L			R/T	Implication			er action by Government including intervention in LA Air Quality function.		
ı				н				dence. Reputational damage. Fines if passed down are likely to adversely rkload commitments and statutory duties		
-		_	M		Risk Owners	Nesta Barker; Gordon Mole				
		lm	pact		Risk Rating	High Red E	Last Review	20/09/2024		
					Final Risk Rating	Medium Amber C	Next Review	19/12/2024		
					Target Risk Level	Medium Amber C	Treatment	Tolerate		
					Path	Corporate Risks/Newcastle Und	er Lyme			
bj	ectives	<u> </u>					Key Control	ls Identified		
- (One Coun	ncil deliver	ing for Lo	cal People		Corporate	Air Quality proje	ect		
							Specific risks h	ighlighted in EH profile		
- F	lealthy, A	Active and	Safe com	ımunities		Corporate				
 \ct	ion Pla	ıns								
				Action Plan	Description	Action Plan	Action Plan Owner	Due for Comments		

Type

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. Third party intervention.

ImplicationReputation. Financial. Legal.Risk OwnersGeorgina Evans-Stadward

Risk RatingHigh Red ELast Review16/08/2024Final Risk RatingMedium Amber CNext Review14/11/2024Target Risk LevelMedium Amber CTreatmentTreat

Path Corporate Risks/Newcastle Under Lyme

Objectives		Key Controls Identified
1 - One Council delivering for Local People	Corporate	Home-working risk assessments
		Health & Safety Policy and Employees Handbook
2 - A successful and sustainable growing Borough	Corporate	Target 100 corporate H&S system
3 - Healthy, Active and Safe communities	Corporate	Internal training policies, EDR, annual training audit, training resources secured, relevant training provided. Health & Safety officer post on establishment.
		Inspection programme of premises.
4 - Town Centres for all	Corporate	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
		Health and Safety sub-committees established and operational

Action Plans					
	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Competent Person requirement	ent This role needs to be identified and filled.	Planned	Georgina Evans- Stadward Gordon Mole	30/08/2024	to clarify a competent person is in post however it is viewed sensible to have an additional competent person in case of absence
Review report on home-work risk assessments	ing Ask T100 to try to identify staff who have completed the home-working risk assessment and follow up with those who haven't	Planned	Georgina Evans- Stadward	30/08/2024	

Ris	Risk		Comm	unity Co	ohesion						
	н				Impact Measures Risk Description	Potential breakdown of commun	nity cohesion, leading to	to public disorder.			
					Potential Consequences	Disorder and/or targeting of con	nmunity groups, loss of	of sense of safety, damage to public spaces and buildings.			
Likelihood	M				Implication	Reputation: Loss of trust in public agencies including NULBC Political: Rise in extreme political views of any persuasion within the community Resources: Police as Cat 1 responder withdraws from other duties Financial: Cost implications of recovery					
=	L			R/T/G	Risk Owners	Georgina Evans-Stadward; Gordon Mole; Roger Tait					
ŀ					Risk Rating	Medium Amber C	Last Review	18/10/2024			
		L	М	н	Final Risk Rating	Medium Amber C	Next Review	16/01/2025			
					Target Risk Level	Medium Amber C	Treatment	Tolerate			
		lmı	pact		Path	Corporate Risks/Newcastle Und	er Lyme				
Obj	ectives	<u> </u>					Key Controls	Is Identified			
3 - I	Healthy, A	Active and	Safe com	munities		Corporate	Multi-Agency Response plan				
							Partners and Pa	Partnership working			
4	Town Cer	ntres for al	I			Corporate					
Act	ion Pla	ıns									
				Action Plan	Description	Action Plan Type	Action Plan Owner	r Due for Comments 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 Loss of organisational capacity

Implication Financial implications

Legal challenges Reputation damage Government intervention

Risk Owners Anthony Harold

Risk RatingMedium Amber DLast Review16/08/2024Final Risk RatingMedium Amber CNext Review14/11/2024Target Risk LevelMedium Amber CTreatmentTreat

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

2 - A successful and sustainable growing Borough

Corporate

Corporate Leadership Team

Internal Audit inspections

3 - Healthy, Active and Safe communities

Corporate

Monitoring Officer

Effective scrutiny arrangements

Scrutiny Protocol

4 - Town Centres for all

Corporate

Action Plans

Action Plan Description

Action Plan Type Planned Action Plan Owner

Due for Comments Completion by

Review of the Scrutiny Protocol To complete the review of the protocol for the council,

Anthony Harold

27/09/2024

Ris	sk	(Cyber	risk
	н			G
Likelihood	M			R
Likeli	٦			Т
		L	М	Н

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 Implication

Potential Consequences •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 Sam Clark; Gordon Mole

Risk RatingHigh Red ELast Review16/08/2024Final Risk RatingMedium Amber DNext Review14/11/2024Target Risk LevelMedium Amber CTreatmentTreat

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

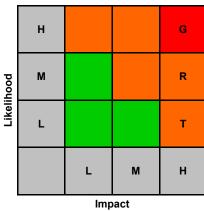
Attendance at West Midlands WARP (West Midlands Warning and Reports Procedures Group)

Location Sign-ins

Security Operations Centre

Action Plans					
	Action Plan Description	Action Plan	Action Plan Owner	Due for Completion by	Comments
Briefing to Cabinet	A briefing document highlighting the key cyber risks the council faces is being created. This will be presented to informal cabinet for review and decision.	Type Ongoing	Sam Clark	31/12/2024	16/08 - Briefing document to be completed and to include findings from the internal audit on cyber security governance.
	The key risks include; lack of cyber insurance, use of insecure personal devices, lack of necessary policies, use of outdated equipment etc.				18/10 - Awaiting findings of cyber security governance audit from internal audit.
Cyber Certifications	The council should consider the implementation of cyber security based frameworks and certifications, such as Cyber Essentials, NIST, ISO27001.	Ongoing	Sam Clark	27/12/2024	11/23 - Currently working to identify some suitable frameworks. Each have their own associated costs and certification processes.
					04/24 - Work continuing on selection of relevant frameworks that will be incorporated in the migration to Azure to ensure alignment with security best practice.
					18/10 - migrations underway to move to a new device platform.
IT Security Policy	An IT Security Policy will need to be written and receive the appropriate authorisation. This policy will cover all officers and members with clear protocols on maintaining the security of the Council systems and data.	Planned	Sam Clark	27/12/2024	
Procure Cyber Insurance	The Council does not currently have a Cyber Insurance policy in place. This provides significant financial risk to the council in the event of a cyber incident.	Planned	Annette Bailey Sam Clark	31/12/2024	16/08 - to be picked up as part of the cyber security briefing to IC.
	The key challenges faced by the council in procuring cyber insurance has been the financial cost of such policies, alongside the technical requirements of such policies. For example, most policies require the alignment to a cyber framework or for certain security controls to be in place.				

Risk Data Breach



Impact Measures

Risk Description Non-compliance with the Data Protection Act and General Data Protection Act **Potential Consequences** Potential unlimited fines and damage to reputation. Death and safeguarding issues.

Implication Financial, Legal, Reputation, Criminal,

Risk Owners Sam Clark; Anthony Harold

Risk RatingHigh Red ELast Review16/08/2024Final Risk RatingMedium Amber DNext Review14/11/2024Target Risk LevelMedium Amber CTreatmentTolerate

Path Corporate Risks/Newcastle Under Lyme

Objectives

1 - One Council delivering for Local People

Corporate

Key Controls Identified

Action plan produced

Information Governance Group Formed

Training available

Action Plan Owner

Jackie Johnston

Action Plans

Review of GDPR policies

A wider review of GDPR policies required, including

Action Plan Description

information security, data retention and disposal, FOI, SAR etc.

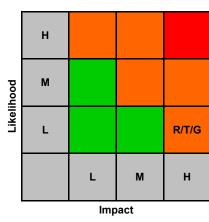
Action Plan Type

Planned Sam Clark Julie Hallam Completion by 31/12/2024

Due for

Comments

Risk Failure of a Structure



Impact Measures

Risk Description Risk of failure of Bathpool Reservoir and Nelson Reservoir or other major structures, due to environmental factors, and general

wear and tear.

Potential Consequences Flooding of mainline rail; collapse of drains;

Implication Reputation. Financial. Legal

Risk Owners Andrew Bird; Simon McEneny; Gordon Mole

Risk RatingMedium Amber CLast Review17/10/2024Final Risk RatingMedium Amber CNext Review15/01/2025Target Risk LevelMedium Amber CTreatmentTolerate

Path Corporate Risks/Newcastle Under Lyme

Objectives

3 - Healthy, Active and Safe communities

Corporate

Key Controls Identified

Regular joint agency review meetings

Regular vegetation removal

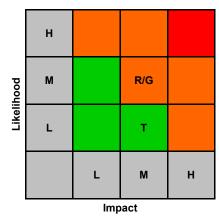
Regular water drainage from the Sluice 'tap'

Survey Work on Structure

Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Maintenance of surrounding landscaping	Maintenance of surrounding landscaping as per monitoring schedule	Ongoing	Darren Green	29/11/2024	
Monitoring of Structures	Monitoring of structures through partnership working and agreed monitoring schedule	Ongoing	Simon McEneny	29/11/2024	
Water Release Regime	Scheduled water release form reservoir through mechanisms to maintain operational effectiveness	Ongoing	Darren Green	29/11/2024	

Risk Failure to deliver the Environmental Sustainability Action Plan



Impact Measures

Risk Description Failure to achieve the most economic energy & fuel price tariffs for the council; Failure of the Council to audit and report on its

Carbon Emmissions to Central Government;

Failure of the council to achieve statutory reductions in carbon emissions; Inefficient use of energy at the council; Insufficient

finance to implement the Carbon Reduction Programme

Potential Consequences Failure to achieve anticipated savings in energy and fuel consumption. Outcomes not realised and reputational damage to the

council. Increased cost to the council.

Failure to comply with the council's Environmental Sustainability Strategy. Failure to achieve Value for Money. Adverse impact on other budgets/service areas. Non compliance with statutory legislation. Inability to evaluate the level of success of the Carbon

Management Programme.

Implication Financial. Reputation. Legal. Political. Governmental (watching brief with the change in July 2024 Government - may amend the

targets, timelines and grant funding)

Risk Owners Andrew Bird

Risk RatingMedium Amber CLast Review16/08/2024Final Risk RatingMedium Amber CNext Review14/11/2024Target Risk LevelLow Green BTreatmentTreat

Path Corporate Risks/Newcastle Under Lyme

Objectives	
1 - One Council delivering for Local People	

4 - Town Centres for all

Ohioctivos

Corporate

Annual allocation of capital funding

Key Controls Identified

Carbon Monitoring of 6 NULBC sites via Wi Beees

2 - A successful and sustainable growing Borough

Corporate

Energy data loggers in place at all the council buildings with a high energy use

Energy purchase contract in place

3 - Healthy, Active and Safe communities Co.

Corporate

Energy reduction report re J2 completed with actions for completion

Environmental Sustainability Action Plan Working Group in place

Government Sep 2022 Business Energy Relief (cap) Scheme

Corporate

Monitoring and Reporting

Ongoing introduction of low-energy products

PIR light control switches in use in main buildings

Pro-active energy management by FM team

Sustainable environment strategy meetings established

Utilisation of information to control energy usage

Action Plans					
	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Embed the refreshed Plan within all Directorates	Directorates to embed accordingly and sign of an accountability statement.	Planned	Andrew Bird	31/10/2024	

Ris	k	I	Financ	ial Risk						
П	н			G	Impact Measures					
	П			G	Risk Description	Council's financial position is unsustainable in the medium to long term.				
ı					Potential Consequences	Council unable to provide anyth	ning other than statutor	ry (core) services.		
Likelihood	M			R	Implication	Reputation damage. Government intervention.				
ĕ					Risk Owners	Sarah Wilkes				
=	L			Т	Risk Rating	High Red E	Last Review	18/10/2024		
-					Final Risk Rating	Medium Amber D	Next Review	16/01/2025		
		L	м	н	Target Risk Level	Medium Amber C	Treatment	Treat		
					Path	Corporate Risks/Newcastle Under Lyme				
		lmp	oact							
Obj	ectives	1					Key Control	s Identified		
1 - C	ne Coun	cil deliveri	ing for Loc	cal People		Corporate	Adequate level of reserves and balances			
							Regular financial risk assessments			
2 - A	success	ful and su	stainable	growing Bord	ough	Corporate	Realistic mediu	ım term financial plan		
							Corporate Lead	dership Team		
3 - H	ealthy, A	ctive and	Safe com	munities		Corporate				
1 - T	own Cen	tres for all	I			Corporate				
	on Pla	ne								

Action Plan

Type Ongoing **Action Plan Owner**

Sarah Wilkes

Action Plan Description

Increase reserves and

balances

Monthly review and update of financial risk assessments reserves and balances

Due for Completion by 29/11/2024

Comments

Risk **Kidsgrove Sports Centre Impact Measures** Н **Risk Description** Financial failure of new operator and financial risk of step-in by Council Potential Consequences Subsidy would have to be found by the Borough Council. Staffing implications. Implication Financial implications, Political. Resource. Likelihood **Risk Owners** Sarah Wilkes Risk Rating Medium Amber C **Last Review** 18/10/2024 R/T/G **Final Risk Rating** Medium Amber C **Next Review** 16/01/2025 Medium Amber C Target Risk Level Treatment Treat М Н Path Corporate Risks/Newcastle Under Lyme Impact **Objectives Key Controls Identified** 1 - One Council delivering for Local People Corporate Draw-down fund Management Agreement 2 - A successful and sustainable growing Borough Corporate 3 - Healthy, Active and Safe communities Corporate 4 - Town Centres for all Corporate

Action Plan

Type

Planned

Action Plan Owner

Joanne Halliday

Craig Turner

Due for

29/11/2024

Completion by

Comments

Latest copy of accounts received, however checks need to

be made by ksc, then procedure to be followed in

accordance with the agreement.

Action Plans

takes place

Ensure contract management

Action Plan Description

Risk Loss of major contractor

Н R/G Likelihood М Н Impact

Impact Measures

Risk Description Loss of major contractor or supplier to the Council.

Potential Consequences Disruption to service; Potential claims Implication Reputation damage; Financial costs;

Risk Owners Gordon Mole

Risk Rating Medium Amber D **Last Review** 18/10/2024 **Final Risk Rating** Medium Amber D **Next Review** 16/01/2025 **Target Risk Level** Medium Amber C Treatment Treat

Path Corporate Risks/Newcastle Under Lyme

Objectives

1 - One Council delivering for Local People Corporate Market intelligence

2 - A successful and sustainable growing Borough Corporate

3 - Healthy, Active and Safe communities Corporate

4 - Town Centres for all Corporate **Key Controls Identified**

Continuous monitoring of contracts and annual credit check

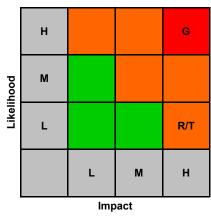
Contracts register in place

Corporate Procurement Officer & Procurement Strategy

Business Continuity Plans in place

Action Plans					
	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Critical supplier lists monitor and review	as of today 16/8/24, the contract register is being updated, and on completion of a first draft, the intention is to forward to the relevant service director asking them to identify high value high risk contracts and contractors where they might require an annual review and publication, and sight of a credit report. As an aside alterts are received on specified organisations if anything changes - e.g. credit ratings, risk ratings etc.	Planned	Simon Sowerby	31/01/2025	If there is concern in the annual credit rating and/or a change throughout the year, a recommendation would be an initial meeting with the supplier to try and understand the background to the changes and if this warrants secondary action i.e. obtaining market intelligence of possible slick and quick routes to market/direct awards, considerations on mitigating the risk by introducing alternate provision/providers to lessen the impact of a major contractor failing. This would however need the Service Director and/or Business Manager to review their specification of requirements and possibly monitor their existing supplier base more closely.
Procurement Rule and provide	The new Procurement Act 2023 is making some significant changes to the way in which goods and services and for that matter capital works are procured - see comment box.	Planned	Simon Sowerby	31/01/2025	1. It aims to create a more level playing field for SME, Micro, and VCS organisations; 2. It is creating a central portal for suppliers to register their details and provide relevant information, which will be used by public sector organisations rather that asking them to complete an SQ (Selection Questionnaire) every time they bid for a public contract; 3. There is greater reporting and notice requirements e.g. advising the market of an intent to publish a contract notice allowing early preparation by prospective bidders; 4. The Procurement Act 2023 will introduce a centralized debarment list maintained by the government. This list will contain information about excluded and excludable suppliers for a specified period, and will be accessible to all contracting authorities. If a supplier is subject to a mandatory or discretionary ground, their name may be entered on the debarment list, along with relevant exclusion details Being on the debarment list can result in exclusion from future procurements. 5. The way in which evaluation is undertaken will change from MEAT (Most Economically Advantageous Tender) to MAT (Most Advantageous Tender) this will allow the use of additional elements of evaluation (Social Value and Sustainability) further opening the marketplace for SME, Micro, and VCS organisations. 6. There will be greater reporting requirements and central government monitoring; 7. There is a considerable amount of training to be done which contains some of the details;

Risk No.1 London Road



Impact Measures

Risk Description The displacement of residents of the property, and those in the surrounding areas, including businesses, due to a major fire

incident. The Borough Council would be a Cat2 responder for the incident, but a Cat1 for the recovery.

The likelihood of fire consuming the whole building.

Potential Consequences Cat 2 - Displacement of 93 households in the property - and unknown surrounding properties.

Cat 1 - High demand for alternative accommodation, after the emergency evacuation procedures are followed.

Unsafe building - Cat 1 - Fire Service, then Cat 2 - Council Building Control.

Transportation issues - moving people around after incident - the resident's cars are parked under the building.

Internal Housing Advice service may need to make eligibility decisions on displaced residents (long-term).

Enforcement against the landlords/freehold tenants/leaseholders - can be made, but should it be, whilst they are undertaking the

necessary steps to obtain funding, materials and workforce to correct the issue.

Implication Financial. Staffing. Reputation. Legal. Political.

Risk Owners Gillian Taylor

Risk RatingHigh Red ELast Review16/08/2024Final Risk RatingMedium Amber CNext Review14/11/2024Target Risk LevelMedium Amber CTreatmentTreat

Corporate

Path Corporate Risks/Newcastle Under Lyme

Objectives

3 - Healthy, Active and Safe communities

Key Controls Identified

Bellwin Scheme should meet 85% of cost

Staffordshire Fire and Rescue Service

Support from Civil Contingencies Unit

Developed CCU emergency site specific plan

Contractors appointed

Action Plans					
	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
To complete the required fire safety works	For the Management Committee to obtain monies from the Building Safety Fund, successfully tender for the works and move on to site. If sufficient process isn't made, the Local Authority has a duty to take action under the Housing Act	Planned	Gillian Taylor	31/03/2026	The granting of the monies from the Building Safety Fund to the Management Committee is outside of the Council's responsibility.
	2004.				The fire safety works involve compartmentalising flats and floors from each other which should reduce the likelihood of a fire spreading, compared to the current situation.
					The Joint Inspection Unit are supporting the Council in the enforcement considerations as it is recognised that dealing with this type of building is not with the skill set of the Council's Environmental Health Officers.

Risk Safeguarding Н R/T/G М Likelihood 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.

Potential Consequences Harm and Death. Third Party intervention with investigations.

Legal implications. Implication Reputation damage.

Financial implications.

Georgina Evans-Stadward **Risk Owners**

Risk Rating Medium Amber D Last Review 16/08/2024 **Final Risk Rating Next Review** 14/11/2024 Medium Amber D Target Risk Level Medium Amber D Treatment Treat

Path Corporate Risks/Newcastle Under Lyme

Objectives

3 - Healthy, Active and Safe communities

Key Controls Identified

Policy and Procedures

Personnel

Adult and Child Safeguarding mandatory training

Due for

31/01/2025

Partners and Partnership working

Action Plans

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

CLT and Safeguarding Champions to cascade reminders down to staff and Members

Action Plan Description

Action Plan Type Ongoing

Corporate

Action Plan Owner Nesta Barker

Andrew Bird Sam Clark Georgina Evans-Stadward Catherine Fox Joanne Halliday Anthony Harold Craig Jordan Simon McEneny Gordon Mole Roger Tait

Gillian Taylor Sarah Wilkes

Comments Completion by

Risk Н R/G Likelihood Т L М Н

Impact

Strategic Projects

Impact Measures

Failure to deliver key strategic project or priorities. **Risk Description**

Potential Consequences Local economic impact

Loss of influence and control

Reputation. Financial. Legal. Implication

Risk Owners Simon McEneny

18/10/2024 Risk Rating Medium Amber D **Last Review Final Risk Rating Next Review** 16/01/2025 Medium Amber D Target Risk Level Medium Amber C Treatment Treat

Path Corporate Risks/Newcastle Under Lyme

Objectives

Key Controls Identified 1 - One Council delivering for Local People

Corporate Advice obtained from external bodies as and when required

Governance

Resources

2 - A successful and sustainable growing Borough Corporate

3 - Healthy, Active and Safe communities Corporate

4 - Town Centres for all Corporate

Action Plans					
	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Corporate Project register	Developed to highlight the relevant projects being undertaken, and continuously reviewed.	Ongoing	Georgina Evans- Stadward Sarah Wilkes	31/01/2025	The task is to set-up, then to monitor and review continually.
Develop programme of commercial deliveries and investments		Planned	Joanne Halliday	27/12/2024	on going but difficult climate currently (not slowing down)
Procurement Rule and provide	The new Procurement Act 2023 is making some significant changes to the way in which goods and services and for t that matter capital works are procured - see comment box.	Planned	Simon Sowerby	31/01/2025	1. It aims to create a more level playing field for SME, Micro, and VCS organisations; 2. It is creating a central portal for suppliers to register their details and provide relevant information, which will be used by public sector organisations rather that asking them to complete an SQ (Selection Questionnaire) every time they bid for a public contract; 3. There is greater reporting and notice requirements e.g. advising the market of an intent to publish a contract notice allowing early preparation by prospective bidders; 4. The Procurement Act 2023 will introduce a centralized debarment list maintained by the government. This list will contain information about excluded and excludable suppliers for a specified period, and will be accessible to all contracting authorities. If a supplier is subject to a mandatory or discretionary ground, their name may be entered on the debarment list, along with relevant exclusion details Being on the debarment list can result in exclusion from future procurements. 5. The way in which evaluation is undertaken will change from MEAT (Most Economically Advantageous Tender) to MAT (Most Advantageous Tender) this will allow the use of additional elements of evaluation (Social Value and Sustainability) further opening the marketplace for SME, Micro, and VCS organisations. 6. There will be greater reporting requirements and central government monitoring; 7. There is a considerable amount of training to be done which contains some of the details;
Scheme specific risk registers	Scheme specific risk registers to be reported quarterly to relevant governance boards	Ongoing	Nesta Barker Andrew Bird Sam Clark Allan Clarke Georgina Evans- Stadward Joanne Halliday Craig Jordan Simon McEneny Roger Tait Sarah Wilkes	31/03/2025	which contains some of the details; AH believes these risks are being considered at the Audit & Standards Committee, however it is being looked at to strengthen communications on the submission of reports to the relevant Committee.

Ris	sk	1	Walley	s Quar	rry			
					Impact Measures			
	Н			G	Risk Description	Current air quality issues in res	pect of the quarry and	the contractor
ikelihood	М			R/T	Potential Consequences	Citizen quality of life seriously i Adverse media attention. Service Delivery. Economic impact on the Borou	•	
ikeli					Implication	Reputation. Financial. Resource	e.	
-	L				Risk Owners	Nesta Barker; Gordon Mole; Sa	rah Wilkes	
					Risk Rating	High Red E	Last Review	18/10/2024
		L	М	н	Final Risk Rating	Medium Amber D	Next Review	16/01/2025
l		_			Target Risk Level	Medium Amber D	Treatment	Treat
		lmp	oact		Path	Corporate Risks/Newcastle Un	der Lyme	

Objectives		Key Controls Identified
1 - One Council delivering for Local People	Corporate	Odour Incident Management Team
		Specific Walley's Quarry risk profile in place
3 - Healthy, Active and Safe communities	Corporate	Strategic Co-ordinating Group
		Abatement Notice

Action Plans					
Continue with IMT works	Action Plan Description	Action Plan Type Ongoing	Action Plan Owner Nesta Barker	Due for Completion by 31/03/2025	Comments
Regular liaison with WQ Ltd	Following agreement reached through formal mediation process regular liaison with WQ Ltd will be taking place.	Ongoing	Nesta Barker Gordon Mole	31/03/2025	

Ri	sk		Workf	orce					
					Impact Measures				
	Н				Risk Description		onsistently train and d	ey staff or provide resources to cover the work of staff temporarily involved in develop employees to meet the needs of the Council. Delays to implement in certain areas.	
Likelihood	М		R	G	Potential Consequences	Staff not treated fairly - implicat nationally. Out of date policies.	ions for staff morale, e Failure to maintain da	effective recruitment and retention. Skills shortages both locally and ay to day service provision where service quality, availability and consistency	
Likeli	L		т			managers and employees. Red	uced levels of service additional workload	stencies of interpretation of policies and procedures. Not supporting e, non provision of training needs, non involvement in partnership needs etc. arising from lack of capacity. Failure to achieve objectives of improvement exible retirement.	
			l M	н	Implication	Legislation implications. Employ	yee relation implication	ns. Employee safety implications	
		-	IVI		Risk Owners	Georgina Evans-Stadward			
		lm	pact		Risk Rating	Medium Amber D	Last Review	18/10/2024	
					Final Risk Rating	Medium Amber C	Next Review	16/01/2025	
					Target Risk Level	Low Green B	Treatment	Treat	
					Path	Corporate Risks/Newcastle Und	der Lyme		
Ob	jectives	s					Key Contro	ls Identified	
1 -	One Cour	ncil delive	ring for Lo	cal People		Corporate	Actively review	ving pay scales	
							Apprenticeship levy available		
2	Λ ομοσοοί	oful and a	ıotoinabla	growing Do	rough	Corporato	Corporate Lea	dership Team are maintaining an overview	

Objectives		Key Controls Identified
1 - One Council delivering for Local People	Corporate	Actively reviewing pay scales
		Apprenticeship levy available
2 - A successful and sustainable growing Borough	Corporate	Corporate Leadership Team are maintaining an overview
		Corporate Leadership Team looking Vacancy Approval Forms
		Interim posts available
		Leadership Development Programme
		Staff surveys
		Updating recruitment procedures
		Mandatory use of OPUS
		Workforce policies in place

Action Flans					
	Action Plan Description	Action Plan	Action Plan Owner	Due for Completion by	Comments
5 " " 5 . 6		Type			•
Deliver the People Strategy		Ongoing	Georgina Evans-	30/04/2025	
			Stadward		
			Helen Smith		