

Risk Air Quality

Likelihood	H			G
	M			
	L			R/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 Nesta Barker; Gordon Mole

Risk Rating (G) High Red E **Last Review** 20/12/2024

Final Risk Rating (R) Medium Amber C **Next Review** 20/03/2025

Target Risk Level (T) Medium Amber C **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
- Specific risks highlighted in EH profile

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			
	L			R/T
		L	M	H
	Impact			

Impact Measures

Risk Description Failure to comply with relevant health and safety legislation.

Potential Consequences Death or harm to staff, contractors or members of the public. Third party intervention.

Implication Reputation. Financial. Legal.

Risk Owners Georgina Evans-Stadward

Risk Rating (G) High Red E **Last Review** 20/12/2024

Final Risk Rating (R) Medium Amber C **Next Review** 20/03/2025

Target Risk Level (T) Medium Amber C **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-working risk assessments

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

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	This role needs to be identified and filled.	Planned	Georgina Evans-Stadward	31/01/2025	to clarify a competent person is in post however it is viewed sensible to have an additional competent person in case of absence
Monitoring home-working risk assessments	Ask T100 to try to identify staff who have completed the home-working risk assessment and follow up with those who haven't	Ongoing	Gordon Mole Georgina Evans-Stadward	28/03/2025	

Risk Community Cohesion

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

Impact Measures

Risk Description Potential breakdown of community cohesion, leading to public disorder.

Potential Consequences Disorder and/or targeting of community groups, loss of sense of safety, damage to public spaces and buildings.

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

Risk Owners Georgina Evans-Stadward; Gordon Mole; Roger Tait

Risk Rating (G) Medium Amber C **Last Review** 20/12/2024

Final Risk Rating (R) Medium Amber C **Next Review** 20/03/2025

Target Risk Level (T) Medium Amber C **Treatment** Tolerate

Path Corporate Risks/Newcastle Under Lyme

Objectives

3 - Healthy, Active and Safe communities

Corporate

Key Controls Identified

Multi-Agency Response plan

Partners and Partnership working

4 - Town Centres for all

Corporate

Action Plans

Action Plan Description

Action Plan Type

Action Plan Owner

Due for Completion by

Comments

Risk Corporate Governance

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

Impact Measures

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

Potential Consequences Loss of organisational capacity

Implication
Financial implications
Legal challenges
Reputation damage
Government intervention

Risk Owners Anthony Harold

Risk Rating (G) Medium Amber D

Last Review 20/12/2024

Final Risk Rating (R) Medium Amber C

Next Review 20/03/2025

Target Risk Level (T) Medium Amber C

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

Audit & Standards Committee
Advice obtained from external bodies as and when required
Corporate Leadership Team
Internal Audit inspections
Monitoring Officer
Effective scrutiny arrangements
Scrutiny Protocol

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Review of the Scrutiny Protocol To complete the review of the protocol for the council,	Planned	Anthony Harold	28/03/2025	

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

Sam Clark; Gordon Mole

Risk Rating (G)

High Red E

Last Review

15/11/2024

Final Risk Rating (R)

Medium Amber D

Next Review

13/02/2025

Target Risk Level (T)

Medium Amber C

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

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 Type	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.	Ongoing	Sam Clark	31/03/2025	16/08 - Briefing document to be completed and to include findings from the internal audit on cyber security governance.
Cyber Certifications	The key risks include; lack of cyber insurance, use of insecure personal devices, lack of necessary policies, use of outdated equipment etc. The council should consider the implementation of cyber security based frameworks and certifications, such as Cyber Essentials, NIST, ISO27001.	Ongoing	Sam Clark	31/03/2025	18/10 - Awaiting findings of cyber security governance audit from internal audit. 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	31/03/2025	
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. 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.	Planned	Annette Bailey Sam Clark	31/03/2025	16/08 - to be picked up as part of the cyber security briefing to IC.

Risk Data Breach

Likelihood	H			G
	M			R
	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	Potential unlimited fines and damage to reputation. Death and safeguarding issues.		
Implication	Financial, Legal, Reputation, Criminal,		
Risk Owners	Sam Clark; Anthony Harold		
Risk Rating (G)	High Red E	Last Review	15/11/2024
Final Risk Rating (R)	Medium Amber D	Next Review	13/02/2025
Target Risk Level (T)	Medium Amber C	Treatment	Treat
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 Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Review of GDPR policies	A wider review of GDPR policies required, including information security, data retention and disposal, FOI, SAR etc.	Planned	Sam Clark Julie Hallam Jackie Johnston	31/03/2025	

Risk Failure of a Structure

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

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 Rating (G) Medium Amber C **Last Review** 20/12/2024

Final Risk Rating (R) Medium Amber C **Next Review** 20/03/2025

Target Risk Level (T) Medium Amber C **Treatment** Tolerate

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
Monitoring of Structures	Monitoring of structures through partnership working and agreed monitoring schedule	Ongoing	Simon McEneny	31/01/2025	Monitoring equipment installed and maintenance is being undertaken, sluice gate wheel being repaired to allow regular water discharge

Risk Failure to deliver the Environmental Sustainability Action Plan

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

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 Rating (G)

Medium Amber C

Last Review

15/11/2024

Final Risk Rating (R)

Medium Amber C

Next Review

13/02/2025

Target Risk Level (T)

Low Green B

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

- Annual allocation of capital funding
- Carbon Monitoring of 6 NULBC sites via Wi Beees
- Energy data loggers in place at all the council buildings with a high energy use
- Energy purchase contract in place
- 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
- 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**

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 statutory (core) services.

Implication Reputation damage.
Government intervention.

Risk Owners Sarah Wilkes

Risk Rating (G) High Red E

Last Review 20/12/2024

Final Risk Rating (R) Medium Amber D

Next Review 20/03/2025

Target Risk Level (T) Medium Amber C

Treatment Tolerate

Path Corporate Risks/Newcastle Under Lyme

Objectives

1 - One Council delivering for Local People	Corporate
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4 - Town Centres for all	Corporate

Key Controls Identified

Adequate level of reserves and balances
Regular financial risk assessments
Realistic medium term financial plan
Corporate Leadership Team

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
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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 Subsidy would have to be found by the Borough Council. Staffing implications.

Implication Financial implications, Political. Resource.

Risk Owners Sarah Wilkes

Risk Rating (G) Medium Amber C **Last Review** 20/12/2024

Final Risk Rating (R) Medium Amber C **Next Review** 20/03/2025

Target Risk Level (T) Medium Amber C **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	Joanne Halliday Craig Turner	31/01/2025	Latest copy of accounts received, however checks need to be made by ksc, then procedure to be followed in accordance with the agreement.

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; Potential claims		
Implication	Reputation damage; Financial costs;		
Risk Owners	Gordon Mole		
Risk Rating (G)	Medium Amber D	Last Review	20/12/2024
Final Risk Rating (R)	Medium Amber D	Next Review	20/03/2025
Target Risk Level (T)	Medium Amber C	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
- 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 alerts 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.
Review the council's Contract Procurement Rule and provide training on the Procurement Act 2023	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	<ol style="list-style-type: none"> 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 than 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

Likelihood	H			G
	M			
	L			R/T
		L	M	H

Impact

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 Rating (G)

High Red E

Last Review

20/12/2024

Final Risk Rating (R)

Medium Amber C

Next Review

20/03/2025

Target Risk Level (T)

Medium Amber C

Treatment

Treat

Path

Corporate Risks/Newcastle Under Lyme

Objectives

3 - Healthy, Active and Safe communities

Corporate

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 2004.	Planned	Gillian Taylor	31/05/2028	<p>The granting of the monies from the Building Safety Fund to the Management Committee is outside of the Council's responsibility.</p> <p>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.</p> <p>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.</p> <p>See comment in Risk Review of 22/11/2024 for latest position.</p>

Risk Safeguarding

Likelihood	H			
	M			R/T/G
	L			
		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.

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

Implication Legal implications.
Reputation damage.
Financial implications.

Risk Owners Georgina Evans-Stadward

Risk Rating (G) Medium Amber D

Last Review 20/12/2024

Final Risk Rating (R) Medium Amber D

Next Review 20/03/2025

Target Risk Level (T) Medium Amber D

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

Adult and Child Safeguarding mandatory training

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	CLT and Safeguarding Champions to cascade reminders down to staff and Members	Ongoing	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	31/01/2025	

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 priorities.

Potential Consequences Local economic impact
Loss of influence and control

Implication Reputation. Financial. Legal.

Risk Owners Simon McEneny

Risk Rating (G) Medium Amber D

Final Risk Rating (R) Medium Amber D

Target Risk Level (T) Medium Amber C

Path Corporate Risks/Newcastle Under Lyme

Last Review 20/12/2024

Next Review 20/03/2025

Treatment Treat

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
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)
Review the council's Contract Procurement Rule and provide training on the Procurement Act 2023	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	<ol style="list-style-type: none"> 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 than 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	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.

Risk Walleys 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 Citizen quality of life seriously impacted.
Adverse media attention.
Service Delivery.
Economic impact on the Borough.

Implication Reputation. Financial. Resource.

Risk Owners Nesta Barker; Gordon Mole; Sarah Wilkes

Risk Rating (G) High Red E **Last Review** 20/12/2024

Final Risk Rating (R) Medium Amber D **Next Review** 20/03/2025

Target Risk Level (T) Medium Amber D **Treatment** Treat

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

Odour Incident Management Team

Specific Walley's Quarry risk profile in place

Strategic Co-ordinating Group

Abatement Notice

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Continue with IMT works	Ongoing	Nesta Barker	31/03/2025	
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	

Risk Workforce

	H			
Likelihood	M		R	G
	L		T	
		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. Aging workforce in certain areas.

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. Employee safety implications

Risk Owners

Georgina Evans-Stadward

Risk Rating (G)

Medium Amber D

Last Review

20/12/2024

Final Risk Rating (R)

Medium Amber C

Next Review

20/03/2025

Target Risk Level (T)

Low Green B

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

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 Plans

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