

Risk Inability to implement requirements re Stock Condition Survey of Parks & Playgrounds

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

Impact Measures

Risk Description Inability to implement requirements re Stock Condition Survey of Parks & Playgrounds

Potential Consequences High cost of remedial works, Potential injuries to people. Unsafe Parks and Playgrounds in the borough. Reputational damage to the council. Potential insurance claims

Implication

Risk Owners Andrew Bird

Risk Rating (G) High Red E

Last Review 16/01/2025

Final Risk Rating (R) Medium Amber C

Next Review 16/04/2025

Target Risk Level (T) Medium Amber C

Treatment Tolerate

Path Facilities Management/Commercial Development and Economic Growth/Newcastle Under Lyme

Objectives

Key Controls Identified

10-year Capital Strategy, taking account of 2018 Stock Condition review, now completed. Approval by council in February.
 Stock Condition Survey completed for Parks & Playgrounds.
 Stock Condition Survey includes the remedial costs for each of the various Parks & Playgrounds.

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
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Risk Failure to have tried and tested Business Continuity Plans (BCP's) across the directorate.

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

Impact Measures

Risk Description Failure to have tried and tested Business Continuity Plans (BCP's) across the directorate.

Potential Consequences serious disruption to ability to maintain service delivery
potential financial consequences
Reputational damage
Risk of prosecution

Implication Environmental events
Malicious attacks
Failure of critical infrastructure
Major accidents and incidents.

Risk Owners Georgina Evans-Stadward

Risk Rating (G) Medium Amber D **Last Review** 16/01/2025

Final Risk Rating (R) Medium Amber C **Next Review** 16/04/2025

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

Path Strategy, People and Performance/Chief Executive's Office/Newcastle Under Lyme

Objectives

Deliver services to a high standard every day Operational

LINKED TO: 1 - One Council delivering for Local People

Maintain a safe working environment for staff and Borough residents Operational

LINKED TO: 1 - One Council delivering for Local People

Key Controls Identified

Business continuity plan in place for all business units

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
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Risk Breach of legislation

Likelihood	H			G
	M		R	
	L		T	
		L	M	H
	Impact			

Impact Measures			
Risk Description	Breach of legislation		
Potential Consequences	Reputational damage. Financial implications. Prosecution. Third party intervention. Residents disenfranchised.		
Implication	Legal challenge, adverse regulator findings, financial penalties, wasted costs		
Risk Owners	Anthony Harold		
Risk Rating (G)	High Red E	Last Review	22/02/2024
Final Risk Rating (R)	Medium Amber C	Next Review	22/05/2024
Target Risk Level (T)	Low Green B	Treatment	Treat
Path	Legal and Governance/Chief Executive's Office/Newcastle Under Lyme		

Objectives

Key Controls Identified

- Officers emailed with legislative updates.
- Procurement Strategy and toolkit in place.
- Anti-Fraud and Anti-Corruption advice to staff.
- Audit advice and guidelines available.
- Corporate Training Policy.
- Documented procedures in place.
- Policies and procedures are written to ensure that legislation is observed.
- New, simplified Standing Orders and Financial Regulations in place and training is planned
- Data Protection covered during corporate induction.
- Qualified solicitors employed.
- Legal resources and templates available
- Assistance available from neighbouring authorities.
- Legal implications checked for all Cabinet reports.
- Whistleblowing Policy
- Report Process Improvements

Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Training	Training on budget holder responsibilities, new FCPRS and governance controls generally	Planned	Anthony Harold Sarah Wilkes	27/09/2024	

Risk Bribery & Corruption

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

Impact Measures

Risk Description

Being engaged in behaviour that amounts bribery and corruption, and/or failing to be aware of or discharge obligations in respect of disclosing interests and acting accordingly to avoid corrupt behaviour or any reasonable appearance/inference of the same.

Potential Consequences

Reputational damage to the council. Legal action against the council. Third Party intervention. Financial implications. Third Party impacts.

Implication

Potential for legal challenge, costs, reputation impacts, government intervention and criminal prosecutions

Risk Owners

Anthony Harold

Risk Rating (G)

High Red E

Last Review

22/02/2024

Final Risk Rating (R)

Medium Amber C

Next Review

22/05/2024

Target Risk Level (T)

Medium Amber C

Treatment

Treat

Path

Legal and Governance/Chief Executive's Office/Newcastle Under Lyme

Objectives

Key Controls Identified

- The register of gifts and hospitality maintained by the Member & Executive Support Team
- All Members receive a copy of the Code of Conduct.
- Guidance is in place for gifts, hospitality and outside interests.
- All relevant staff are trained and are aware of implications.
- Anti-Fraud and Anti-Corruption advice to staff.
- Corporate Governance procedures in place.
- Continuous review of the Code of Conduct.
- Members aware of consequences.
- Regular review of training and needs for Members and officers.
- New, simplified Standing Orders and Financial Regulations in place and training is planned
- Whistleblowing Policy

Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Officer Training	Training on budget holder responsibilities, FCPRS and governance/decision making generally to all officers.	Planned	Anthony Harold Sarah Wilkes	27/09/2024	
Review Bribery & Corruption Policy	Review Bribery & Corruption Policy	Planned	Anthony Harold	27/09/2024	

Risk Inadequate staff levels due to sickness, failure to recruit/retain and train qualified and experienced staff

	H	R	G
M			
L		T	
	L	M	H

Impact Measures

Risk Description Inadequate staff levels due to sickness, failure to recruit/retain and train qualified and experienced staff

Potential Consequences Disruption of services. Stress and workload issues for retained staff. Financial and public image penalties. Inadequate advice and care of clients. Procedures not adhered to. External stakeholder impacts.

Implication Financial. Reputation. Legal.

Risk Owners Anthony Harold

Risk Rating (G) High Red E

Last Review 22/02/2024

Final Risk Rating (R) Medium Amber D

Next Review 22/05/2024

Target Risk Level (T) Low Green B

Treatment Treat

Path Legal and Governance/Chief Executive's Office/Newcastle Under Lyme

Objectives

Key Controls Identified

- Recruiting to vacant posts.
- Business Continuity Plan in existence for the service.
- Continuous review of critical system documentation.
- Absence management policy.
- Team involvement in service improvements and review.
- Staff training and development scheme.
- Corporate retention measures in place.
- Access to external providers.

Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Recruit to vacant posts	Based on restructuring in Legal - review market supplements	Ongoing	Anthony Harold	31/05/2024	A revised structure has now been implemented, however recruitment difficulties remain with no or unsuitable applicants for 1 key post after two rounds of attempted recruitment. Gaps identified in the areas of contracts/commercial work and planning which are going to be addressed by AH taking a resourcing plan to CLT.
Review annual appraisals and training development plans	Review annual appraisals and training development plans, workload, planning and monitoring processes	Planned	Anthony Harold	30/08/2024	

Risk Failure of Members to make informed decisions due to lack of appropriate or inaccurate information (Committee Services)

Likelihood	H			G
	M			R
	L			T
		L	M	H
	Impact			

Impact Measures

Risk Description Failure of Members to make informed decisions due to lack of appropriate or inaccurate information

Potential Consequences Loss of reputation. Political embarrassment. Will undermine effective democratic management of the Council. Legal implications.

Implication potential for legal challenge, delays and wasted costs

Risk Owners Anthony Harold

Risk Rating (G) High Red E **Last Review** 22/02/2024

Final Risk Rating (R) Medium Amber D **Next Review** 22/05/2024

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

Path Democratic Services/Legal and Governance/Chief Executive's Office/Newcastle Under Lyme

Objectives

Key Controls Identified

Timetable to produce Agendas so the items can be considered

Corporate Governance procedures in place.

Ensure information on reports is meaningful

Review scheme of delegation of reporting, to ensure Members only need to consider items of significance

Induction of new members has been undertaken.

Member training in place.

Revised Reporting Protocols

Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Training	Additional training is planned on constitution/financial control, governance generally and decision making processes.	Ongoing	Anthony Harold Sarah Wilkes	27/09/2024	