

APPENDIX D

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Corporate Risks

Risk		Air Quality					
Likelihood	H			G	Impact Measures		
	M				Risk Description		
	L			R/T	Potential Consequences		
		L	M	H	Implication		
		Impact		Risk Owners			
				Risk Rating (G)		Last Review	
				Final Risk Rating (R)		Next Review	
				Target Risk Level (T)		Treatment	
				Path			
Objectives				Key Controls Identified			
1 - One Council delivering for Local People				Corporate	Air Quality project		
					Specific risks highlighted in EH profile		
3 - Healthy, Active and Safe communities				Corporate			
Action Plans							
Action Plan Description				Action Plan Type	Action Plan Owner	Due for Completion by	
						Comments	

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	16/05/2025
Final Risk Rating (R)	Medium Amber C	Next Review	14/08/2025
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

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 Gordon Mole	01/06/2025	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	Georgina Evans-Stadward	01/04/2026	

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

16/05/2025

Final Risk Rating (R)

Medium Amber C

Next Review

14/08/2025

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

Final Risk Rating (R) Medium Amber C

Target Risk Level (T) Medium Amber C

Path Corporate Risks/Newcastle Under Lyme

Last Review 16/05/2025

Next Review 14/08/2025

Treatment Treat

Objectives

1 - One Council delivering for Local People

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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	30/09/2025	In discussion for external training for Members.

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** 16/05/2025

Final Risk Rating (R) Medium Amber D **Next Review** 14/08/2025

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.	Ongoing	Sam Clark Julie Hallam Jackie Johnston	30/09/2025	

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

16/05/2025

Final Risk Rating (R)

Medium Amber C

Next Review

14/08/2025

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	26/09/2025	

Risk Failure to deliver the Environmental Sustainability Action Plan

Likelihood	H				Impact Measures			
	M		R/G		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 Emissions 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		
	L		T		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.		
		L	M	H	Implication	Financial. Reputation. Legal. Political. Governmental (watching brief with the change in July 2024 Government - may amend the targets, timelines and grant funding)		
Impact					Risk Owners	Andrew Bird		
					Risk Rating (G)	Medium Amber C	Last Review	16/05/2025
					Final Risk Rating (R)	Medium Amber C	Next Review	14/08/2025
					Target Risk Level (T)	Low Green B	Treatment	Tolerate
					Path	Corporate Risks/Newcastle Under Lyme		

Objectives

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Corporate

Key Controls Identified

Annual allocation of capital funding
Carbon Monitoring of 6 NULBC sites via WI Bees
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
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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 statutory (core) services.

ImplicationReputation damage.
Government intervention.**Risk Owners**

Sarah Wilkes

Risk Rating (G)

High Red E

Last Review

16/05/2025

Final Risk Rating (R)

Medium Amber D

Next Review

14/08/2025

Target Risk Level (T)

Medium Amber C

Treatment

Tolerate

Path

Corporate Risks/Newcastle Under Lyme

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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**

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** 16/05/2025

Final Risk Rating (R) Medium Amber C **Next Review** 14/08/2025

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

Path Corporate Risks/Newcastle Under Lyme

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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	30/06/2025	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 16/05/2025

Final Risk Rating (R) Medium Amber D

Next Review 14/08/2025

Target Risk Level (T) Medium Amber C

Treatment Treat

Path Corporate Risks/Newcastle Under Lyme

Objectives

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Corporate

Key Controls Identified

Business Continuity Plans in place

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	Contract Register updated and circulated as appropriate. As an aside alerts are received on specified organisations if anything changes - e.g. credit ratings, risk ratings etc.	Ongoing	Simon Sowerby	30/09/2025	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.

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

16/05/2025

Final Risk Rating (R)

Medium Amber C

Next Review

14/08/2025

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** 16/05/2025

Final Risk Rating (R) Medium Amber D **Next Review** 14/08/2025

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	30/09/2025	Part of Mandatory training on the e-learning portal.

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 McEnery

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 16/05/2025

Next Review 14/08/2025

Treatment Treat

Objectives

1 - One Council delivering for Local People

Corporate

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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	31/03/2025	The task is to set-up, then to monitor and review continually.
Develop programme of commercial deliveries and investments		Ongoing	Joanne Halliday	30/09/2025	on going but difficult climate currently (not slowing down). Work is happening via the One Commercial platform, and it will be looked at to discuss and move forward at a later date.
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** 16/05/2025

Final Risk Rating (R) Medium Amber D **Next Review** 14/08/2025

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

Action Plans

Action Plan Description	Action Plan Type	Action Plan Owner	Due for Completion by	Comments
Continue with IMT works	Ongoing	Nesta Barker	30/09/2025	
Regular liaison with the Liquidators	Ongoing	Nesta Barker Anthony Harold Gordon Mole Sarah Wilkes	30/06/2025	

Risk

Workforce

Likelihood	H			
	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 changes through Local Government Reorganisation.

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

16/05/2025

Final Risk Rating (R)

Medium Amber C

Next Review

14/08/2025

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	30/09/2025	