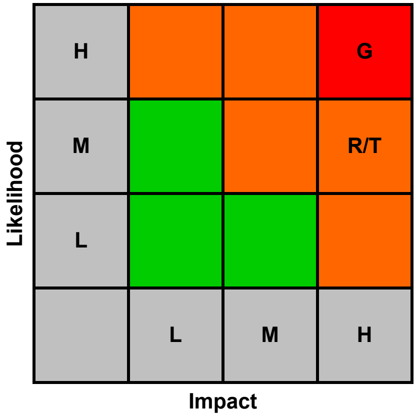
# Corporate Risks

23/07/2026 09:12:52

## Risk Air Quality




| | |
|---|---|
| **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.<br>* Failure to comply with Directive Timetable and requirements may result in legal action by Government and Client Earth against the Council.<br>* Failure by UK Government to satisfy ECJ may lead to fines being passed down to failing LA's under Localism Act.<br>*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; Olwen Brown; Gordon Mole |

| | | | |
|---|---|---|---|
| **Risk Rating (G)** | High Red E | **Last Review** | 17/07/2026 |
| **Final Risk Rating (R)** | Medium Amber D | **Next Review** | 15/10/2026 |
| **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

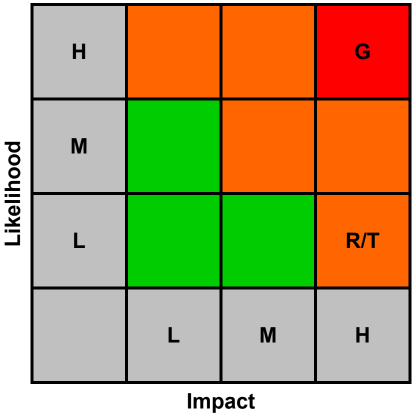
Air Quality project

Specific risks highlighted in EH profile

## Action Plans

| | Action Plan Description | Action Plan Type | Action Plan Owner | Due for Completion by | Comments |
|---|---|---|---|---|---|
| Full business case to be produced. | Final business case submitted in 2024, in 2026 DeFRA have requested further works on preferred option and to revisit alternative options. Deadline of December 2026 agreed for submission of business case. | Planned | Nesta Barker | 31/12/2026 | |

## 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. | | |
| **Implication** | Reputation. Financial. Legal. | | |
| **Risk Owners** | Andrew Bird; Georgina Evans-Stadward | | |
| **Risk Rating (G)** | High Red E | **Last Review** | 17/07/2026 |
| **Final Risk Rating (R)** | Medium Amber C | **Next Review** | 15/10/2026 |
| **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.

Corporate Business Continuity Plan

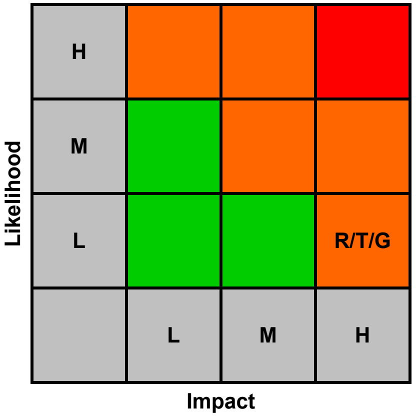
Comprehensive refresher training programme completed

Health and Safety sub-committees established and operational

### Action Plans

| | Action Plan Description | Action Plan Type | Action Plan Owner | Due for Completion by | Comments |
|---|---|---|---|---|---|
| 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 | Andrew Bird<br>Georgina Evans-Stadward | 30/09/2026 | |

## Risk Community Cohesion




| | |
|---|---|
| **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<br>Political: Rise in extreme political views of any persuasion within the community<br>Resources: Police as Cat 1 responder withdraws from other duties<br>Financial: Cost implications of recovery |
| **Risk Owners** | Georgina Evans-Stadward; Gordon Mole; Roger Tait |

| | | | |
|---|---|---|---|
| **Risk Rating (G)** | Medium Amber C | **Last Review** | 17/07/2026 |
| **Final Risk Rating (R)** | Medium Amber C | **Next Review** | 15/10/2026 |
| **Target Risk Level (T)** | Medium Amber C | **Treatment** | Tolerate |
| **Path** | Corporate Risks/Newcastle Under Lyme | | |

### Objectives

| | |
|---|---|
| 3 - Healthy, Active and Safe communities | Corporate |
| 4 - Town Centres for all | Corporate |

### Key Controls Identified

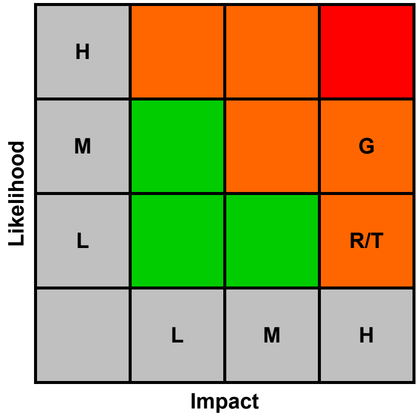
Multi-Agency Response plan

Partners and Partnership working

### Action Plans

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

## Risk Corporate Governance




| | |
|---|---|
| **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<br>Legal challenges<br>Reputation damage<br>Government intervention |
| **Risk Owners** | Olwen Brown |

| | | | |
|---|---|---|---|
| **Risk Rating (G)** | Medium Amber D | **Last Review** | 02/07/2026 |
| **Final Risk Rating (R)** | Medium Amber C | **Next Review** | 30/09/2026 |
| **Target Risk Level (T)** | Medium Amber C | **Treatment** | Treat |
| **Path** | Corporate Risks/Newcastle Under Lyme | | |

## Objectives

| | |
|---|---|
| 1 - One Council delivering for Local People | Corporate |
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## 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

Council Constitution

Scrutiny Protocol

## Action Plans

| | Action Plan Description | Action Plan Type | Action Plan Owner | Due for Completion by | Comments |
|---|---|---|---|---|---|
| Induction of newly elected members | Ensure effective induction for new members | Ongoing | Olwen Brown<br>Gordon Mole<br>Craig Turner | 29/05/2027 | |
| Review of the Scrutiny Protocol | To complete the review of the protocol for the council | Planned | Olwen Brown | 30/09/2026 | In discussion for external training for Members. |

## 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. | | |
| **Potential Consequences** | 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. | | |
| **Implication** | financial, operational, strategic, compliance, criminal, and reputation impacts. | | |
| **Risk Owners** | Sam Clark; Gordon Mole | | |
| **Risk Rating (G)** | High Red E | **Last Review** | 17/07/2026 |
| **Final Risk Rating (R)** | Medium Amber D | **Next Review** | 15/10/2026 |
| **Target Risk Level (T)** | Medium Amber C | **Treatment** | Treat |
| **Path** | Corporate Risks/Newcastle Under Lyme | | |

### Objectives

| | |
|---|---|
| 1 - One Council delivering for Local People | Corporate |
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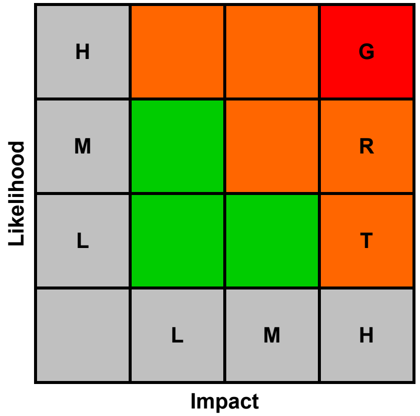
### Key Controls Identified

Internet and email policies
Anti-Virus software
Comprehensive Information Security policies
Blocking of Removable Media
Mandatory Information Security training for staff
Information Security Group
Receive Gov Cert UK Warnings from NCSC
Anti-Ransomware software
Patch management
Use of Virtualised Environments
Attendance at West Midlands WARP (West Midlands Warning and Reports Procedures Group)
Corporate Business Continuity Plan
Location Sign-ins
Security Operations Centre

## Action Plans

| | Action Plan Description | Action Plan Type | Action Plan Owner | Due for Completion by | Comments |
|---|---|---|---|---|---|
| Cyber Certifications | The council should consider the implementation of cyber security based frameworks and certifications, such as Cyber Essentials, NIST, ISO27001. | Ongoing | Sam Clark<br>Audrey Clowes<br>Atusa Marashi | 01/10/2026 | Work continuing on meeting the required IT security standards and certifications. |
| 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.<br><br>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<br>Olwen Brown<br>Sam Clark<br>Simon Sowerby | 31/12/2026 | No change. Work on going to review requirements of insurance providers.<br><br>This will then be a decision as part of the corporate insurance renewal based upon the level of achievable cover and cost. |

## Risk Data Breach




| | | | |
|---|---|---|---|
| **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. Risk of harm and safeguarding issues. | | |
| **Implication** | Financial, Legal, Reputation, Criminal, | | |
| **Risk Owners** | Olwen Brown; Sam Clark | | |
| **Risk Rating (G)** | High Red E | **Last Review** | 17/07/2026 |
| **Final Risk Rating (R)** | Medium Amber D | **Next Review** | 15/10/2026 |
| **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

Corporate Business Continuity Plan

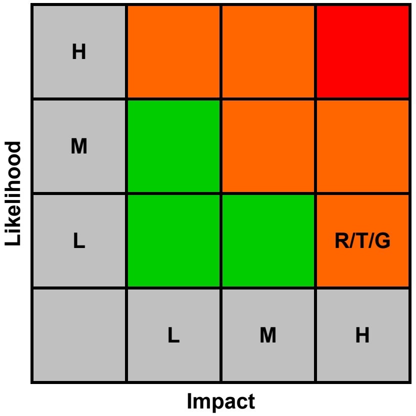
Information Governance Group Formed

Training available

### Action Plans

| | Action Plan Description | Action Plan Type | Action Plan Owner | Due for Completion by | Comments |
|---|---|---|---|---|---|
| GDPR Training | Continue a corporate push on GDPR training as a mandatory training package. | Ongoing | Sam Clark<br>Georgina Evans-Stadward | 31/03/2027 | Training is being actively pushed via the portal. New Acceptable Use Policy also requires the completion of the training. |
| Review of GDPR policies | A wider review of GDPR policies required, including information security, data retention and disposal, FOI, SAR etc. | Ongoing | Sam Clark<br>Julie Hallam<br>Jackie Johnston | 31/12/2026 | Work continuing on the review of policies and procedures. |

## 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 Rating (G)** | Medium Amber C | **Last Review** | 17/07/2026 |
| **Final Risk Rating (R)** | Medium Amber C | **Next Review** | 15/10/2026 |
| **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

Corporate Business Continuity Plan

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 | 30/09/2026 | |

## Risk Failure to deliver the Environmental Action Plan

| Likelihood | | | | |
|---|---|---|---|---|
| H | | | | |
| M | | | G | |
| L | | | R/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 Strategy. Failure to achieve Value for Money. Adverse impact on other budgets/service areas. Non compliance with statutory legislation.

**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** | 17/07/2026 |
| **Final Risk Rating (R)** | Low Green B | **Next Review** | 13/01/2027 |
| **Target Risk Level (T)** | Low Green B | **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

Annual allocation of capital funding

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

Energy purchase contract in place

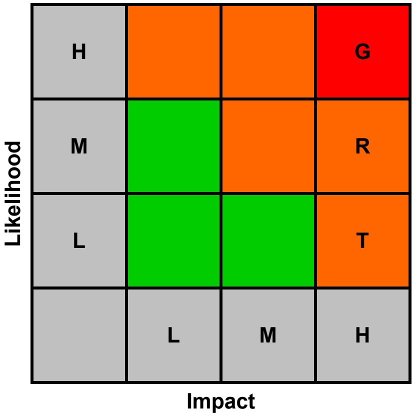
Government Sep 2022 Business Energy Relief (cap) Scheme

Ongoing introduction of low-energy products

### Action Plans

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

## Risk Financial Risk




| | |
|---|---|
| **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.<br>Government intervention.<br>Financial. |
| **Risk Owners** | Craig Turner |

| | | | |
|---|---|---|---|
| **Risk Rating (G)** | High Red E | **Last Review** | 17/07/2026 |
| **Final Risk Rating (R)** | Medium Amber D | **Next Review** | 15/10/2026 |
| **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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## Key Controls Identified

Adequate level of reserves and balances

Regular financial risk assessments

Realistic medium term financial plan

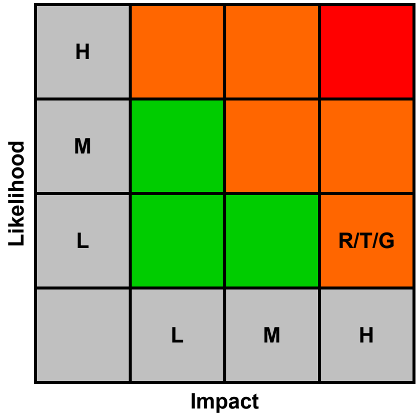
Corporate Leadership Team

Corporate Business Continuity Plan

## Action Plans

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

## Risk Kidsgrove Sports Centre




| | |
|---|---|
| **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** | Craig Turner |

| | | | |
|---|---|---|---|
| **Risk Rating (G)** | Medium Amber C | **Last Review** | 09/07/2026 |
| **Final Risk Rating (R)** | Medium Amber C | **Next Review** | 07/10/2026 |
| **Target Risk Level (T)** | Medium Amber C | **Treatment** | Tolerate |
| **Path** | Corporate Risks/Newcastle Under Lyme | | |

## Objectives

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| 1 - One Council delivering for Local People | Corporate |
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## Key Controls Identified

Draw-down fund

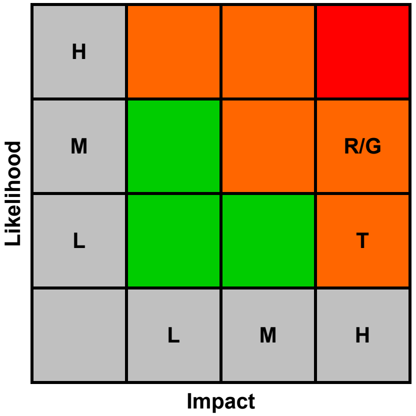
Management Agreement

Contract management

## Action Plans

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

## Risk Loss of major contractor




| | | | |
|---|---|---|---|
| **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** | 17/07/2026 |
| **Final Risk Rating (R)** | Medium Amber D | **Next Review** | 15/10/2026 |
| **Target Risk Level (T)** | Medium Amber C | **Treatment** | Treat |
| **Path** | Corporate Risks/Newcastle Under Lyme | | |

## Objectives

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|---|---|
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## Key Controls Identified

Corporate Business Continuity Plan

Market intelligence

Continuous monitoring of contracts and annual credit check

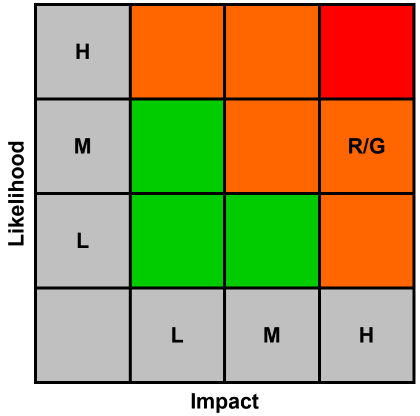
Contracts register in place

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 alterts are received on specified organisations if anything changes - e.g. credit ratings, risk ratings etc. | Ongoing | Simon Sowerby | 30/12/2026 | The contract register is reviewed annually, ending around Nov/Dec. this is then sent to the relevant Directors and Business Managers to monitor. |

## Risk Member safety




| | |
|---|---|
| **Impact Measures** | |
| **Risk Description** | Safety and security of elected members |
| **Potential Consequences** | Physical assault, potential resignations |
| **Implication** | Political, Reptuation, Financial, Legal |
| **Risk Owners** | Olwen Brown; Gordon Mole |

| | | | |
|---|---|---|---|
| **Risk Rating (G)** | Medium Amber D | **Last Review** | 17/07/2026 |
| **Final Risk Rating (R)** | Medium Amber D | **Next Review** | 16/08/2026 |
| **Target Risk Level (T)** | | **Treatment** | Treat |
| **Path** | Corporate Risks/Newcastle Under Lyme | | |

### Objectives

### Key Controls Identified

Advice

### Action Plans

| | Action Plan Description | Action Plan Type | Action Plan Owner | Due for Completion by | Comments |
|---|---|---|---|---|---|
| Consideration of safety devices | Consideration on the potential provision of personal safety devices | Planned | Georgina Evans-Stadward | 31/10/2026 | In-line with those provided to staff for lone-working |

## Risk No.1 London Road

| Likelihood | | | |
|---|---|---|---|
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| 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. Environmental.

**Risk Owners** Nesta Barker

| | | | |
|---|---|---|---|
| **Risk Rating (G)** | High Red E | **Last Review** | 17/07/2026 |
| **Final Risk Rating (R)** | Medium Amber C | **Next Review** | 15/10/2026 |
| **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

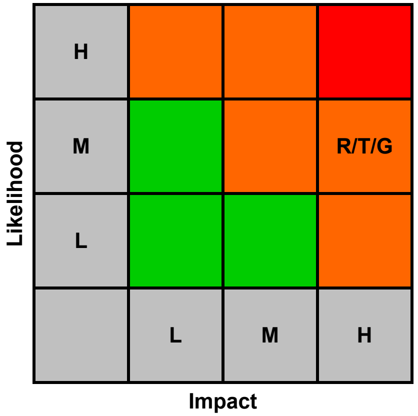
Developed CCU emergency site specific plan

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 | Nesta Barker | 31/05/2029 | The granting of the monies from the Building Safety Fund to the Management Committee is outside of the Council's responsibility.<br><br>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.<br><br>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.<br><br>See comment in Risk Review of 22/11/2024 for latest position. |

## Risk Safeguarding




| | | | | |
|---|---|---|---|---|
| **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. Reputation. Community. Financial. Political. | | | |
| **Risk Owners** | Georgina Evans-Stadward | | | |
| **Risk Rating (G)** | Medium Amber D | **Last Review** | 17/07/2026 | |
| **Final Risk Rating (R)** | Medium Amber D | **Next Review** | 15/10/2026 | |
| **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

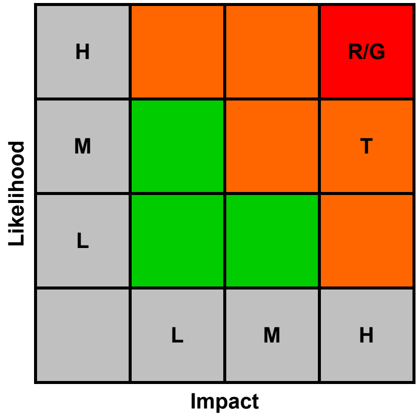
Partners and Partnership working

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<br>Andrew Bird<br>Olwen Brown<br>Sam Clark<br>Allan Clarke<br>Georgina Evans-Stadward<br>Catherine Fox<br>Joanne Halliday<br>Rachel Killeen<br>Simon McEneny<br>Gordon Mole<br>Roger Tait | 31/03/2027 | Part of Mandatory training on the e-learning portal. |

## Risk Security of Council sites




| | |
|---|---|
| **Impact Measures** | |
| **Risk Description** | Failure to maintain the safety and security of sites, officers, public and partners in Council occupied buildings. |
| **Potential Consequences** | Death and harm; legal proceedings; theft and damage to property and assets; |
| **Implication** | Legal, Reputation, Political, Financial, Management, Assets, Customer |
| **Risk Owners** | Gordon Mole |

| | | | |
|---|---|---|---|
| **Risk Rating (G)** | High Red E | **Last Review** | 17/07/2026 |
| **Final Risk Rating (R)** | High Red E | **Next Review** | 16/08/2026 |
| **Target Risk Level (T)** | Medium Amber D | **Treatment** | Tolerate |
| **Path** | Corporate Risks/Newcastle Under Lyme | | |

## Objectives

3 - Healthy, Active and Safe communities — Corporate

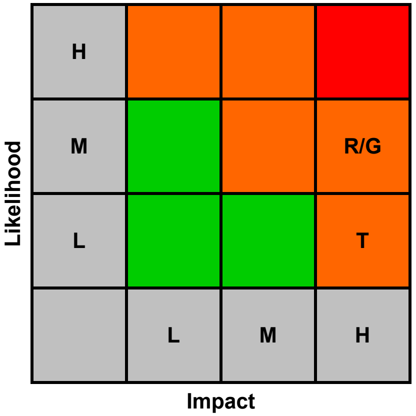
## Key Controls Identified

Staff reminders

## Action Plans

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

## Risk Strategic Projects




| | | | | |
|---|---|---|---|---|
| **Impact Measures** | | | | |
| **Risk Description** | Failure to deliver key strategic project or priorities. | | | |
| **Potential Consequences** | Local economic impact<br>Loss of influence and control | | | |
| **Implication** | Political. Reputation. Financial. Legal. Environmental. Opportunities. Management. Assets. Partnerships. Customers. | | | |
| **Risk Owners** | Simon McEneny | | | |
| **Risk Rating (G)** | Medium Amber D | **Last Review** | 17/07/2026 | |
| **Final Risk Rating (R)** | Medium Amber D | **Next Review** | 15/10/2026 | |
| **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

Advice obtained from external bodies as and when required

Corporate Business Continuity Plan

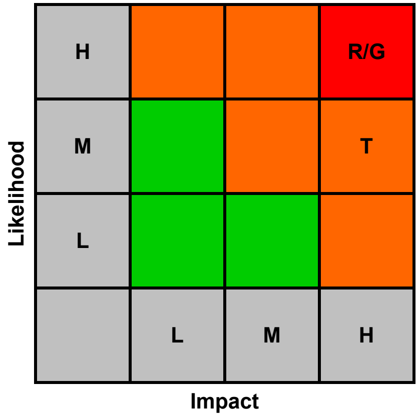
Governance

Resources

## Action Plans

| | Action Plan Description | Action Plan Type | Action Plan Owner | Due for Completion by | Comments |
|---|---|---|---|---|---|
| Develop programme of commercial deliveries and investments | | Ongoing | Joanne Halliday | 30/09/2026 | on going but difficult climate currently (not slowing down).<br><br>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<br>Andrew Bird<br>Sam Clark<br>Allan Clarke<br>Georgina Evans-Stadward<br>Joanne Halliday<br>Rachel Killeen<br>Simon McEneny<br>Roger Tait<br>Craig Turner | 30/09/2026 | AH believes these risks are being considered various council committees, however it is being looked to strengthen communications on the submission of reports to the relevant Committee. |

## Risk Supported Accommodation




| | |
|---|---|
| **Impact Measures** | |
| **Risk Description** | Increasing number of unregulated supported accommodation providers, claiming inflated rent costs via housing benefit claims, resulting in the council being unable to reclaim proportionate amounts from DWP. |
| **Potential Consequences** | Increasing losses from subsidy claim from DWP, and overspend on budgeted amount to cover losses. Increased complaints due to not processing HB claims within the legal timeline. Failure to meet corporate performance targets in relation to HB processing. Unreasonable workloads resulting in potential stress related absence.<br><br>Missed opportunity to identify valid and invalid claims, to reduce losses or make savings. |
| **Implication** | Financial. Reputation. Legal. Political. Perfomance. Customers. Partnerships. Management. Opportunities. |
| **Risk Owners** | Roger Tait |

| | | | |
|---|---|---|---|
| **Risk Rating (G)** | High Red E | **Last Review** | 17/07/2026 |
| **Final Risk Rating (R)** | High Red E | **Next Review** | 21/08/2026 |
| **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

Compliance

Consultancy advice

Gateway process

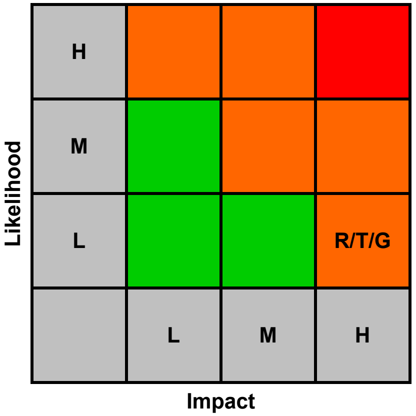
Single point of contact

Staff support

## Action Plans

| | Action Plan Description | Action Plan Type | Action Plan Owner | Due for Completion by | Comments |
|---|---|---|---|---|---|
| Review list of providers | Prioritised a non-registered provider which results in high cost to the Council and negotiated agreement for them to become a Registered Provider which results in lower risk for any inflated claims and allow greater subsidy from DWP (reduced loss of £200k) | Ongoing | Rosie Bloor<br>Gareth Humphreys | 30/06/2027 | Customer Hub team worked with an identified provider who has agreed to become Registered, hence facilitating greater subsidy claim for the Council to reduce costs. The resultant saving is being reinvested into staff resource to progress the review and engage with other providers. |
| Staff resource | Additional staff resource being recruited to progress the reviews of exising HB claims and new providers | Ongoing | Nesta Barker<br>Roger Tait | 30/06/2027 | 2 ftes to be recruited for 12 months and work plan to be set focusing on the recommendations in the audit report. |

## Risk Town Centre Regeneration/Development Failure




| | | | |
|---|---|---|---|
| **Impact Measures** | | | |
| **Risk Description** | Failure to deliver major redevelopment schemes in Newcastle Town Centre | | |
| **Potential Consequences** | Unfinished construction projects on Council land / assets leading to having to source a new contractor to complete developments, if started on site, loss of time to complete as procurement of new contractor and due diligence on works completed, having to find a purchaser for finished developments. | | |
| **Implication** | Financial. Reputation. Political. Public relations. | | |
| **Risk Owners** | Simon McEneny | | |
| **Risk Rating (G)** | Medium Amber C | **Last Review** | 17/07/2026 |
| **Final Risk Rating (R)** | Medium Amber C | **Next Review** | 15/10/2026 |
| **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 |
| 4 - Town Centres for all | Corporate |

## Key Controls Identified

Governance

Contract Management

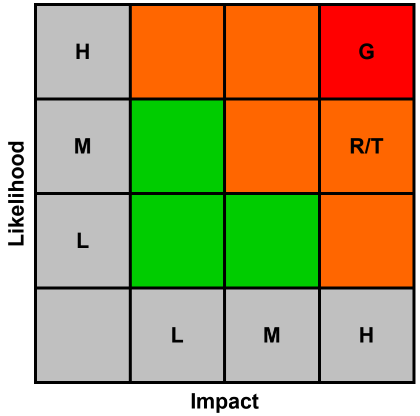
Development Agreement with Capital&Centric

Step In Rights for Failure to Deliver

## Action Plans

| | Action Plan Description | Action Plan Type | Action Plan Owner | Due for Completion by | Comments |
|---|---|---|---|---|---|
| Contract Management of schemes / Capital&Centric | Robust construction management of development agreement and progress on site with / by Capital&Centric | Ongoing | Simon McEneny | 31/12/2026 | Risk established |

## Risk Walleys Quarry




| | |
|---|---|
| **Impact Measures** | |
| **Risk Description** | Pollution issues in respect of the quarry and the failure to deliver long-term restoration |
| **Potential Consequences** | Citizen quality of life seriously impacted/health.<br>Adverse media attention.<br>Service Delivery.<br>Economic impact on the Borough. |
| **Implication** | Reputation. Financial. Resource. Political. Environmental. Customer. Legal. |
| **Risk Owners** | Nesta Barker; Olwen Brown; Gordon Mole; Craig Turner |

| | | | |
|---|---|---|---|
| **Risk Rating (G)** | High Red E | **Last Review** | 17/07/2026 |
| **Final Risk Rating (R)** | Medium Amber D | **Next Review** | 15/10/2026 |
| **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

Recovery 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 | 31/03/2027 | |
| Regular liaison with the Liquidators | Ongoing | Nesta Barker<br>Olwen Brown<br>Gordon Mole<br>Craig Turner | 30/09/2026 | |

## Risk Workforce

| Likelihood | | | | |
|---|---|---|---|---|
| | H | | R | |
| | M | | | 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** | Implications for staff morale, effective recruitment and retention. Fair treatment of staff. 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. Environmental. Customer. Partnerships. Assets. Management. Reputation. Opportunities. Financial. E-Government. Political. | | |
| **Risk Owners** | Georgina Evans-Stadward | | |
| **Risk Rating (G)** | Medium Amber D | **Last Review** | 17/07/2026 |
| **Final Risk Rating (R)** | Medium Amber D | **Next Review** | 15/10/2026 |
| **Target Risk Level (T)** | Low Green B | **Treatment** | Tolerate |
| **Path** | Corporate Risks/Newcastle Under Lyme | | |

## Objectives

| | |
|---|---|
| 1 - One Council delivering for Local People | Corporate |
| 2 - A successful and sustainable growing Borough | Corporate |

## Key Controls Identified

Apprenticeship levy available

Corporate Leadership Team are maintaining an overview

Robust process in place for vacancy approval

Interim posts available

Leadership Development Programme

Staff surveys

Updating recruitment procedures

Mandatory use of OPUS

Corporate Business Continuity Plan

Workforce policies in place

## Action Plans

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