

Cotswold District Council - Corporate Risk Register 2019-20 Q4

Overarching strategic risks

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To	Updater
CRR-D01-014	If the Government imposes legislative changes that are not expected then it could have an impact on the Council's finances and other resources	Financial Community	Horizon scanning Professional publications Four year funding settlement	3	3	9	09-Jan-20	09-Oct-2019 No change in rating. The Council responded to the consultation on Defra's Waste and Resources strategy. The Strategy suggested that garden waste collection should be free which if imposed would have a significant financial impact on the Council. Defra has now published its consultations response which acknowledges the strong opposition from LAs and accepts that this proposal needs to be reconsidered. Any financial implications will be considered as part of the update to the Council's MTFS	Chief Finance Officer	Jenny/Claire
CRR-D01-019	If there are insufficient resources to deliver the objectives of the new Corporate Strategy and Plan then the expectations of our communities may not be met resulting in lower satisfaction and reputational damage	Financial Community Reputational	Medium Term Financial Strategy	3	3	9	16-Jan-20	16-Jan-2020 No change in rating. The financial implications of the Council's new Corporate Strategy have been included in the refresh of the Medium Term Financial Strategy. The MTFS will be considered by Council in February 2020. This risk links to risk CRR-D02-028 regarding the Local Government Funding Settlement over the Medium Term. This is the biggest risk to the deliverability of the objectives in the new Corporate Strategy.	Chief Finance Officer	Jenny
CRR-D01-018	If the Government does not provide adequate funding to the Council to enable the Council to fulfil new expectations of the Council's role in preparations for the UK exit from the EU, there could be negative implications on the Council's reputation or the Council's finances	Financial Community	Public Executive Director undertaking role of Brexit Lead Officer as per requirement from MHCLG Local Resilience Forum Government funding	3	2	6	09-Jan-20	09-Jan-20 Likelihood reduced from 3 (possible) to 2 (remote). The changed circumstances in relation to Brexit, i.e. the expectation of an orderly exit on 31 January 2020, should reduce the level of any additional expenditure likely to be incurred by the Council. The Brexit Risk Register is being maintained and any change to this assessment will be reflected accordingly. £53k has been provided to date by the government to CDC to fund its Brexit preparations.	Executive Director - Commissioning; Head of Paid Service	Christine

CRR-D01-017	If the UK leaves the European Union with no deal then there could be a disruption to the delivery of Council services which would impact on residents/communities	Community Financial Performance	Support from the LGA Local Resilience Forum Government funding to support Councils Business Continuity Plans Service specific planning - Publica ERS, Ubico and GLL Publica Executive Director undertaking role of Brexit Lead Officer as per requirement from MHCLG	3	1	3	09-Jan-20	09-Jan-20 Likelihood reduced from 3 (possible) to 1 (improbable). Following the general election in December 2019 the proposed Withdrawal Agreement was passed on 20 December 2019. Whilst the Bill is still progressing through the Parliamentary processes, the government has stood down its preparations for a 'No-Deal' Exit from the EU and is planning for an orderly exit to take place on 31 January 2020. The Brexit Planning Group is continuing to meet at the present time and is currently undertaking a fundamental review of the risk register to take account of the changed circumstances.	Executive Director - Commissioning; Head of Paid Service	Christine
CRR-D01-016	If the Council fails to successfully implement the Local Plan and new National Planning Framework then central government may intervene and/or speculative planning applications may increase	Financial Reputational	Local Plan Adopted in Aug 2018. Local Plan Programme Board reconvened with updated Terms of Reference and membership	3	1	3	02-Jan-20	02-Jan-2020 No change in rating. Ongoing monitoring of the housing supply and delivery indicates that CDC is on target. Forward Planning Officers are undertaking a review of the adopted local plan to establish whether an update is required and, if so, the scale. Senior Management team will be presented a copy of the review in Jan 2020. The outcome of this review will guide timeframes and resource requirements.	Group Manager - Strategic Support	James B

Financial management & control

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CRR-D02-028	If the Local Government settlement over the medium term is unfavourable then the Council's savings target may need to increase	Financial	<p>Medium Term Financial Strategy</p> <p>Capped value of New Homes Bonus in MTFS (mitigates against fall in housing development)</p> <p>2020 Vision Programme/shared working</p> <p>Four year funding settlement</p>	5	4	20	16-Jan-20	<p>16-Jan-20 No change in rating. The MTFS is currently in the process of being updated. A one-year Spending Round 2019 has been announced which is indicating a roll-forward of funding from 2019/20 with an inflationary increase. New Homes Bonus awarded for 2020/21 will be for one year only (no legacy payments from 2021/22 due to implementation of Fairer Funding changes). The significant changes to LG Funding (75% Business Rate Retention, Business Rate Reset, Fairer Funding Review and new Spending Round) have been delayed until 2021/22.</p> <p>Members and Officers are working on contingency plans, which includes a Commercialisation Strategy to address the potential funding gap from 2021/22.</p>	Chief Finance Officer	Jenny
CRR-D02-018	If unavoidable budget pressures exceed provision within the MTFS then the Council may need to: find additional income or savings, use its reserves, or there may be pressures on services or tax levels and agreed budget targets will not be achieved	Financial	<p>Service Delivery Planning</p> <p>Budgetary control system</p> <p>CT/HoS consider financial pressures</p> <p>Key variances reported to Cabinet and Overview and Scrutiny Committee</p>	4	5	20	16-Jan-20	<p>16-Jan-2020 No change in rating. The MTFS is currently being updated and includes significant additional costs of the new waste service from 2020/21.</p> <p>The Council has announced a Climate Emergency and financial resources will be required to enable the Council to take action. Funding for a Climate Change Manager is included in the update to the MTFS. One-off funding has been made available from earmarked reserves to fund research which will enable the Council to develop a costed action plan.</p> <p>Members and Officers are working on a plan to increase income to the Council to fund both new objectives from the new Corporate Strategy and to bridge the expected funding gap from 2021 as a result of changes to local government funding.</p> <p>The Council is seeing a downturn in material markets, initially textiles and now paper. Values have reduced significantly which will have a budgetary impact. In addition, Ubico is reporting that the costs of its Corporate Overhead</p>	Chief Finance Officer	Jenny

CRR-D02-030	If Ubico is unable to deliver services to the required standard or to budget then it could damage the Council's reputation and result in additional costs for the Council	Financial Reputational	Service management Performance monitoring Service risk registers	4	5	20	09-Jan-20	09-Jan-2020 No change in rating. The waste fleet has deteriorated before expected resulting in high levels of breakdown, and as a consequence is impacting on residents and increasing service costs. The fleet has been re-procured as part of a new service which commences on 18th March 2020. Modelled costs for the new service were agreed at Council in December 2018 and embedded in the budget in February 2019, however, costs have been reviewed and estimates revised. There are elements such as fleet numbers and tonnages which are based on estimates and may be subject to change which could increase costs.	Group Manager - Commissioning	Claire
CRR-D02-027	If Publica does not deliver the agreed objectives in accordance with its business plan then the planned savings for the Council would not be delivered and consequently there would be a risk that services could not be delivered in line with the budget	Financial Reputational	Programme Board Local Political Support National Political Support Early Engagement with employees and Unions Funding provided to develop detailed business case	3	3	9	03-Jan-20	03-Jan-2020 Likelihood decreased from 4 (probable) to 3 (possible). At the end of Q2, very good progress was being made in delivering the savings of £930,000 included in the revenue budget for 19/20 and a small underspend was reported. Progress in preparing actions to deliver against business case targets for 2020/21 are not as far advanced as hoped to deliver full assurance that the remaining business case and MTFS savings for the councils will be achievable in 2020/21 but an agreed savings target of £500,000 has been included in draft budgets. This puts business case delivery ahead of target by around £250,000.	Head of Paid Service; Managing Director	Frank
CRR-D02-024	If the Council is unable to meet the savings required to balance the budget then it may need to make unplanned use of revenue reserves, raise council tax, find further savings and/or cut services	Financial Performance Community	Regular meetings with Members and Cabinet MTFS and budget process CT/SMT discussions and lead Vision 2020 programme	3	3	9	16-Jan-20	16-Jan-2020 No change in rating. Awaiting Q3 financial performance data. The level of savings required as a result of changes to local government funding which will now come into effect in 2021/22 remains unclear. The Council is developing contingency plans to deliver the savings, or generate additional income, required from changes to local government funding	Chief Finance Officer	Jenny

CRR-D02-029	If contractors do not meet their obligations under key contracts then it could lead to a fall in service standards, reduced customer service or a failure to meet legal requirements	Financial Reputational	Robust and effective contract management to ensure standards and requirements in contracts are met and any failings are identified and addressed quickly and effectively Regular meetings to review performance/standards	3	3	9	09-Jan-20	09-Jan-2020 No change in rating. An internal audit report has identified improvement in procurement and contract management to be implemented.	Group Manager - Commissioning	Claire
CRR-D02-	If there is a legal challenge to any	Financial	Managerial advice and	3	2	6	08-Jan-20	08-Jan-2019 No change in rating	Head of Legal	Bhavna
CRR-D02-	If the Council fails to meet income	Financial	Systems of budgetary control	3	3	9	16-Jan-20	16-Jan-2020 No change in rating, waiting	Chief Finance	Jenny
CRR-D02-	If the level of pay inflation exceeds	Financial	National negotiations on pay	3	3	9	16-Jan-20	16-Jan-2020 No change in rating.	Chief Finance	Jenny
CRR-D02-	If there was a civil emergency in	Financial	Mutual aid arrangements would	2	3	6	30-Dec-19	30-Dec-19 No change in rating. There	Group Manager -	Andy

Customer focus

Risk Code	Description	Risk Factors	Internal Controls	Current	Current	Current	Last Review	Latest Note	Assigned To	Updater
CRR-D03-007	If the Council does not consult properly, or Publica does not consult properly on the Council's behalf, then the Council's decisions could be challenged	Community Reputational Legal Financial	Press and PR officer Cotswold News Engagement strategy Neighbourhood coordination meetings Annual Town & Parish council meetings Annual Budget consultation	3	2	6	10-Jan-20	10-Jan-2020 No change in rating. Ongoing consultations on the Waterloo car park project. Budget consultation proposals were approved by Cabinet in December 2019 for consultation to commence in January. Draft documentation on revised Homeseecker Plus policy will be considered by Cabinet in January, with formal consultation in February	Head of Paid Service	Nigel

Organisational learning, staffing & development

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To	Updater
CRR-D04-	If Publica or the Council is unable	Performance	Financial incentives (market	3	3	9	08-Jan-20	08-Jan-2020 No change in rating.	Head of Paid	Sue P
CRR-D04-	If secondments to posts in the	Performance	Flexible working	3	3	9	08-Jan-20	08-Jan-2020 No change in rating. A	Head of Paid	Bill
CRR-D04-	If staff morale and motivation is	Performance	Communication	2	3	6	03-Jan-20	03-Jan-2020 Impact reduced from 3	Head of Paid	Frank

CRR-D04-011	If key Officers in the Council (such as the Head of Paid Service, Chief Finance Officer or Monitoring Officer) are not available, the Council may not be able to respond effectively to urgent matters which could result in reputational or financial damage	Legal Financial Reputational	Deputy CFO and Monitoring Officers in place Support from Shared Legal Services team- employed by the Publica Partner Councils Support from professionals within Publica (e.g. Strategic Directors, Group Managers, Accountants, HR) Support available from other Statutory Officers from across the Publica Partner Councils Effective working relationships between Officers and Cabinet Members	3	2	6	16-Jan-20	16-Jan-2020 No change to rating.	Head of Paid Service; Managing Director	Jenny
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Business processes

Risk Code	Description	Risk Factors	Internal Controls	Current	Current	Current	Last Review	Latest Note	Assigned To	Updater
CRR-D05-001	If the Council's data is of poor quality or it does not make appropriate use of its data then the decisions it makes may be flawed	Reputational Financial Legal Performance Community	Internal processes and self assessments Internal audit assurance and support Dedicated staff resource on performance management and data quality Performance Management Framework	3	3	9	08-Jan-20	08-Jan-2020 No change in rating. Data quality and the use of information is being addressed as part of the organisational re-design. The Business Manager responsible for business analytics is working with the Lead officer for information on data quality.	Chief Finance Officer; Head of Paid Service	Bill
CRR-D05-016	If the Council does not comply with relevant Information Management legislation including the new GDPR and Transparency Agenda then the government may intervene which could have a reputational impact on the Council	Financial Reputational Legal	Access to Information Policy FOI process reviewed LGA guidance and supporting documents & templates	3	3	9	08-Jan-20	8-Jan-20 No change in rating. Progress on the GDPR action plan is being reported to the Council and Publica on a regular basis, and includes advice and guidance at staff inductions. The online training programme has now been successfully rolled out across Publica, with over 98% of staff completing the courses. The remaining staff have been identified and will be included in the new programme along with all new recruits going forward.	Data Protection Officer; Head of Paid Service	Phil

CRR-D05-019	If contractors do not comply with health and safety requirements then there could be both financial and reputational implications for the Council	Financial Reputational	Contract management in place to ensure appropriate measures such as risk assessments, appropriate policies, and training is in place. Health and Safety business partners provide advice and support	4	2	8	09-Jan-20	09-Jan-2020 No change in rating	Group Manager - Commissioning	Claire
CRR-D05-010	If there is insufficient capacity to	Reputational	Contract terms with Everyone	3	2	6	30-Dec-19	30-Dec-2019 At the end of quarter 4	Head of Paid	Andy
CRR-D05-010	If there is severe weather then the Council may be unable to deliver key services which could impact on residents	Performance Community Reputational	BCPs Weather reports/national news Remote working solution available to staff	3	2	6	30-Dec-19	30-Dec-2019 No change in rating. All business continuity plans have been updated.	Head of Paid Service; Managing Director	Andy
CRR-D05-011	If the Council's IT System / infrastructure failed due to cyber attacks and/or virus then system performance could be reduced leading to poor service delivery/financial impact	Performance Financial Legal Reputational	Preventative measures introduced such as blocking of USB and other devices Undertaken and passed a central government ICT audit, meeting the very high standards set for network security Introduction of new / revised joint policies Periodic staff awareness training BCP in place and reviewed & tested	3	2	6	08-Jan-20	8-Jan-2020 No change in rating. All Councils have PSN accreditation, which compliments the Cyber Essential Plus, which is a Government-backed, industry-supported scheme to help organisations protect themselves against common online threats	Group Manager - Business Support Services	Phil

CRR-D05-012	If there is a loss of data (both on site and as a result of remote/mobile working) / security failure in our IT systems then it could lead to a reduced level of service and have a negative impact on the Council's reputation and finances	Performance Financial Legal Reputational	Preventative measures introduced such as blocking of USB and other devices Undertaken and passed a central government ICT audit, meeting the very high standards set for network security Introduction of new / revised joint policies Periodic staff awareness training BCP in place and reviewed & tested	3	2	6	08-Jan-20	8-Jan-2020 No change in rating. All Councils have PSN accreditation, which compliments the Cyber Essential Plus. The online training programme (Bob's Business) has now been completely rolled out and completed by 98% of staff which is helping to reinforce the need for staff to be aware of their responsibilities with regards to data security, passwords and GDPR	Group Manager - Business Support Services	Phil
CRR-D05-	If the Council's buildings are	Reputational	BCPs including ICT	3	2	6	30-Dec-19	30-Dec-2019 No change in rating. All	Group Manager -	Andy

Longer term risks

Risk Code	Description	Risk Factors	Internal Controls	Current	Current	Current	Last Review	Latest Note	Assigned To	Updater
CRR-D06-	If Health and Safety procedures	Legal	Health and Safety procedures	4	2	8	31-Dec-19	31-Dec-2019 No change in rating. No	Head of Paid	Phil/Katrin