

## Cotswold District Council - Corporate Risk Register 2018-19 Q4

## Overarching strategic risks

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
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	3	3	9	16-Apr-19	16-Apr-2019 No change in rating. The UK has been given an extension of time to agree a deal for withdrawal and Parliament has voted against 'no deal'. All LRF/SCG meetings are on hold at the present time but updates are reviewed as and when they are provided	Executive Director - Commissioning; Head of Paid Service
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	25-Apr-19	25-Apr-2019 No change in rating. Defra's Waste and Resources strategy has now been published and Publica will be responding to consultation on behalf of the Council. The Strategy suggests that garden waste collection should be free which if imposed would have a significant financial impact on the Council. The implications of the other proposed policy changes are not yet clear	Chief Finance Officer
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	Project plan to deliver the Local Plan	3	1	3	02-Apr-19	02-Apr-2019 No change in rating. On-going monitoring of the housing supply and delivery indicates that we are on target. In addition to the requirement for a five year housing land supply (look forward), the Council needs to evidence delivery by looking back over three years	Head of Planning & Strategic Housing

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Appendix A.

Financial management & control

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
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	Medium Term Financial Strategy  Capped value of New Homes Bonus in MTFS (mitigates against fall in housing development)  2020 Vision Programme/shared working  Four year funding settlement	5	4	20	30-May-19	30-May-2019 No change in rating. The MTFS was approved by Council in February 2019. The MTFS includes an estimate of the likely impact of the changes to local government funding from 2020/21 onwards which provides the Council with the context in which to take decisions. However, the actual impact of changes to central government funding will not be known until the autumn	Chief Finance Officer
CRR-D02-018	If unavoidable budget pressures exceed provision within the MTFS then the Council may need to use its reserves, or there may be pressures on services or tax levels and agreed budget targets will not be achieved	Financial	Service Delivery Planning  Budgetary control system  CT/HoS consider financial pressures  Key variances report	4	4	16	30-May-19	30-May-2019 Likelihood increased from 3 to 4 to reflect the increased risk associated with the change to the waste service in November 2019. The MTFS was approved by Council in February. The expected financial impact of the change in waste service from November 2019 has been included in the MTFS, however, there remains a risk associated with these costs as experience in other authorities has shown that until the new service is fully implemented there could be unforeseen financial costs. Officers are working with Ubico to understand the scale of the risk and mitigate cost increases where possible	Chief Finance Officer

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Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
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	3	5	15	25-Apr-19	25-Apr-2019 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 is being re-procured as part of a new service which will be launched in November. Modelled costs for the new service were agreed at Council in December and embedded in the budget in February, however, 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
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 (Publica) Transformation programme	3	4	12	30-May-19	30-May-2019 No change in rating. Savings for 2018/19 are delivered and Publica has provided assurance on deliverability of planned savings from the transformation programme due in 2019/20. The level of savings required as a result of changes to local government funding from 2020/21 remains unclear. The Council needs to develop contingency plans to deliver the savings required from changes to local government funding	Chief Finance Officer

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
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	Financial Reputational	Programme Board Local Political Support National Political Support Early Engagement with employees and Unions Funding provided to develop detailed business case	3	2	6	16-Apr-19	16-Apr-2019 Likelihood decreased from 3 to 2. The budgets for 2019/20 have been agreed with the partner councils delivering savings of £930,000 - slightly ahead of the business case targets. The in-year position for 2018/19 continues to suggest an underspend against budget and delivery of additional one-off savings to all partners beyond those budgeted	Head of Paid Service; Managing Director
CRR-D02-005	If there is a legal challenge to any of the Council's decisions or actions then there may be financial or policy implications	Financial Legal Reputational	Managerial advice and supervision Legal advice and effective role of monitoring officer Robust internal procedures 200k in MTFS for planning appeals	3	2	6	04-Apr-19	04-Apr-2019 No change in rating. The decision notice on the BDL application has been issued, and there may be a judicial review of the decision by interested parties within the next three months	Group Manager - Land Legal & Property Services

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
CRR-D02-023	If there was a civil emergency in the District then there could be a financial burden on the Council in responding to it	Financial	<p>Mutual aid arrangements would enable support and reduce the resource burden on one individual council</p> <p>The Belwin scheme enables costs incurred over a threshold (approx £22K) to be reclaimed</p> <p>Insurance of council's assets and some loss income</p> <p>General Fund Working Balance</p> <p>Flood engineering schemes in place to minimise the impact of severe weather and reduce the risk of property flooding</p>	2	3	6	12-Apr-19	12-Apr-2019 No change in rating. There are good internal controls in place to help mitigate this financial risk	Group Manager - Strategic Support
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	<p>Robust and effective contract management to ensure standards and requirements in contracts are met and any failings are identified and addressed quickly and effectively</p> <p>Regular meetings to review performance/standards</p>	3	2	6	25-Apr-19	25-Apr-2019 No change in rating	Head of Paid Service

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
CRR-D02-002	If the Council fails to meet income targets then it may need to make unplanned use of revenue reserves, raise council tax, find further savings and/or cut services	Financial Performance Community	Systems of budgetary control  Appropriate marketing of services and consideration of effective charging levels  Project management arrangements	2	2	4	30-May-19	30-May-2019 No change in rating. Overall income is performing well, although income in some service areas is challenging, particularly development control and building control	Chief Finance Officer
CRR-D02-017	If the level of pay inflation exceeds provision in the MTFS then the Council may need to make unplanned use of revenue reserves, raise council tax, find further savings and/or cut services	Financial	National negotiations on pay award	2	2	4	30-May-19	30-May-2019 No change in rating. The impact of pay award on Publica and Ubico contract costs have been built into budget 2019/20	Chief Finance Officer

#### Customer focus

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
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	18-Apr-19	18-Apr-2019 No change in rating. No new consultations since the last update due to upcoming elections. Pending consultation post-election on Waterloo Car Park project and Rugby Club parking project	Head of Paid Service

Organisational learning, staffing & development

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
CRR-D04-003	If Publica or the Council is unable to recruit suitable staff and retain them, particularly in some key service areas then the level of service delivery may be reduced	Performance Financial Reputational Community	Financial incentives (market force supplement scheme)  Work with partners to address skill shortages	3	3	9	08-Apr-19	08-Apr-2019 No change in rating. Quarterly performance reports are discussed with Exec so any necessary mitigation to maintain service delivery levels can be made. Monthly HR reports to Exec also highlight recruitment. An apprentice scheme is in place and an intern and graduate scheme will commence later this year. Consultation on the new pay and grading structure which provides more flexibility in rewarding staff is taking place	Head of Paid Service; Managing Director
CRR-D04-010	If secondments to posts in the Transformation team are not backfilled then the level of service delivery in some services may be reduced	Performance Reputational Community	Flexible working  Performance management framework  Partnership working	3	3	9	16-Apr-19	16-Apr-2019 Likelihood reduced from 4 to 3. A review was undertaken in Q3 and there was no impact on the 'day job' Customer satisfaction indicates 85% are satisfied (155) or very satisfied (70%)	Head of Paid Service; Managing Director

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
CRR-D04-009	If staff morale and motivation is low in Publica then the level of service delivered may be reduced in some services	Performance Community	<p>Communication</p> <p>Comprehensive consultation and engagement process</p> <p>Change management training</p> <p>Joint Liaison Forum</p> <p>2020 Engagement Strategy</p>	3	3	9	16-Apr-19	16-Apr-2019 No change in rating. Anecdotally there are some parts of the organisation which are suffering from lower levels of morale due to workload pressures. There remain some concerns raised around the changes to Terms and Conditions, Pay and Grading and the new organisational design, the implementation of which has been delayed. A series of information sessions were held together with change management sessions so that employees can gain a better understanding of the changes and how it may impact upon them. We are planning a comprehensive employee survey in May 2019 which should give us evidence on the latest position. Service review sessions as part of the transformation programme are providing rich data around the current position and will provide further evidence of morale moving forward	Head of Paid Service; Managing Director



Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
CRR-D04-011 (new)	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  Risk management processes	3	2	6	31-May-19	31-May-2019 New risk identified by the Audit Committee at its meeting 16 April 2019	Head of Paid Service; Managing Director

**Business processes**

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
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	16-Apr-19	16-Apr-2019 No change in rating. Data quality and the use of information is being addressed as part of the organisational re-design. A Business Manager has now been appointed who is responsible for business analytics	Chief Finance Officer; Head of Paid Service
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	09-Apr-19	09-Apr-2019 No change in rating. Progress on the GDPR action plan is being reported to the Council and Publica, which involves advice and guidance being given at staff inductions. Guidance for Cllrs is currently under review and sessions are planned as part of the new Cllr induction programme, which will be open to all	Data Protection Officer; Head of Paid Service

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
CRR-D05-013	If there is insufficient capacity to respond to an emergency then the Council may not be able to deal effectively during emergencies resulting in reputational damage	Reputational Legal Financial Community Performance	Contract terms with Everyone Active and GOSS e.g. use of leisure centre as a rest centre  Mutual aid arrangements  Good will of staff  Ward Members, Town & Parish Councillors on hand/training provided  Enhanced community resilience arrangements	3	3	9	12-Apr-19	12-Apr-2019 Likelihood increased from 2 to 3 because the nominated District Emergency Planning Liaison Officer has left and a replacement is yet to start in post. There is some resilience from DEPLOs in partner Councils and a new emergency management framework is being developed to increase resilience further	Head of Paid Service; Managing Director
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.  GOSS Health and Safety business partners provide advice and support  Concerns can be escalated to contractors' senior management	4	2	8	25-Apr-19	25-Apr-2019 No change in rating	Group Manager Commissioning

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
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	12-Apr-19	12-Apr-2019 No change in rating	Head of Paid Service; Managing Director
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	09-Apr-19	09-Apr-2019 No change in rating. All Councils have recently achieved Cyber Essential Plus accreditation, which is a Government-backed, industry-supported scheme to help organisations protect themselves against common online threats. A dedicated Cyber engineer has also been recruited into the team to provide additional skills and knowledge in this area	Group Manager - Business Support Services

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
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	09-Apr-19	09-Apr-2019 No change in rating. All Councils have recently achieved Cyber Essential Plus accreditation, which is a Government-backed, industry-supported scheme to help organisations protect themselves against common online threats	Group Manager - Business Support Services
CRR-D05-014	If the Council's buildings are destroyed then it would be unable to operate/deliver services which would impact on residents /communities	Reputational Financial Legal Performance Community	BCPs including ICT contingency plans  Remote access  Mutual aid through Shared working strategy  Insurance  Fail over protocol	3	2	6	25-Apr-19	25-Apr-2019 No change in rating	Group Manager - Commissioning

Longer term risks

Risk Code	Description	Risk Factors	Internal Controls	Current Impact	Current Likelihood	Current Rating	Last Review Date	Latest Note	Assigned To
CRR-D06-002	If Health and Safety procedures and risk assessments are not in place /being followed then staff could be injured undertaking Council duties which would impact on their health and wellbeing, affect their ability to work and create liability issues for the Council	Legal Financial Reputational	Health and Safety procedures  Access to weather forecasts  Lone workers policy  Business Continuity Plans	4	2	8	08-Apr-19	08-Apr-2019 No change in rating. No reportable incidents to the Health & Safety Executive in the quarter. Health and Safety information and guidance is 'live' on Publica Portal. The need for a personal safety register which can be checked by staff prior to making a site visit has been identified, and a way forward has been discussed. Health and Safety training is planned for managers to make them aware of their responsibilities in ensuring that staff are safe onsite and offsite	Head of Paid Service; Managing Director