

# Cotswold District Council

## Strategic Risk Register

ID	Description of risk / opportunity	Owner	Initial Risk					Residual Risk (current)					Change in residual risk since previous review	Control, Mitigation or Contingency	Follow on Action (if required)	Risk Acceptance Level	Impact on or from Partner Authorities	Status: Open, Hold, or Closed	Direction of Travel since previous review)	
			Impact category	Impact score	Likelihood category	Likelihood score	Score	Impact category	Impact score	Likelihood category	Likelihood score	Score								
POLITICAL																				
CDC_SRR_252601	Financial Susutainability The Council is unable to set a balanced budget for the forthcoming financial year	Deputy Chief Executive & Section 151 Officer	Major	5	Probable	4	20	Major	4	Possible	3	12	12	Experienced and qualified Team Awareness of the Budget Gap in previous MTFS Current Savings and Transformation Plan Reserves and Balances - adequate Quarterly Financial Performance reports to Cabinet & O&S Financial Implications on every report Engagement with Cabinet member and Informal Cabinet	Development of ABW External Auditor VFM judgement  Transformation Plan - ABW Internal Audit to plan for audit of Budget Setting Process	Risk Reduction	Risk to Partner Authorities but under control	Open		
CDC_SRR_252613	Procurement The Council does not undertake procurement activities in accordance with the Contract Rules and/or incurs expenditure in relation to services/works that has not been authorised in accordance with the Financial Procedure Rules.	Deputy Chief Executive & Section 151 Officer	Major	4	Probable	4	16	Moderate	3	Possible	3	9	9	Procurement Act 2023 (effective from 24/02/2025) with updated Contract Rules adopted in the constitution. Procurement Action Plan in place with additional mitigation measures. Procurement Toolkit available on intranet site. Procurement Training for Council staff delivered November 2025 Only authorised officers to undertake procurment Senior Procurement Business Partner to escalate any procurement concerns directly to CLT Review of TOR for Commissioning and Procurement Board	Mandatory Member Briefing on Procurement - 21 January 2026 Procurement Action Plan review to Audit & Governance Committee - April 2026 Internal Audit Plan 2026/27 - follow-up  Quarterly review at Audit & Governance Committee and Cabinet from January 2026 Improvements to ABW procurement module being tested ahead of rollout in 2026	Risk Reduction	Risk to Partner Authorities but under control	Open		
CDC_SRR_252602	Contractor Failure - Contract Management The Council does not effectively manage contracts with major suppliers and results in a failure to deliver services	Deputy Chief Executive & Section 151 Officer	Major	4	Possible	3	12	Moderate	3	Possible	3	9	9	Ubico & Publica - Teckal companies which CDC is a shareholder Publica - Shareholder Forum and Operational Forum (CDC Chair for 12 months from October 2025) Freedom - Leisure Contract manager (LC) Ubico - Waste & Recycling contract management (PJ) KPIs being developed with clear reporting framework to Cabinet & O&S on a quarterly basis Freedom - quarterly performance meetings with Freedom/Cabinet Member/Officers	Dun & Bradsheet alerts - follow up on how this is managed/communicated CDC to improve client-side management of key stakeholders	Risk Reduction	No impact	Open		

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CDC_SRR_252603	Compliance - Health & Safety Risk of death or injury to service users/staff due to breach of H&S information	Chief Executive	Extreme	5	Possible	3	15	Extreme	5	Possible	3	15	15	H&S Team, policy Risk assessments in place	Full set of H&S procedures to be developed and implemented All inspections relating to assets (e.g. Legionella) are recorded on the Council's asset management system with quarterly reporting to H&S Board/CLT Review of H&S Board TOR CEX to bring H&S Board minutes to CLT quarterly and agree actions	Risk Avoidance	No impact	Open	
CDC_SRR_252604	Compliance - GDPR/Data Breach The Council does not have adequate internal controls around the management of its data resulting in a data breach	Chief Executive	Major	4	Probable	4	16	Major	4	Remote	2	8	8	Data Protection Officer Training (mandatory) DP policies ICT Acceptable use policy Nominated SIRO Reporting of data breaches and near misses Cabinet member responsible for data governance	Annual report to the Cabinet member on data governance	Risk Avoidance	No impact	Open	
CDC_SRR_252605	Staff Inability to recruit and retain suitably qualified and experienced staff to deliver services	Chief Executive	Major	4	Possible	3	12	Moderate	3	Remote	2	6	6	Vacancy Management process Authority to Fill process Market Supplements, Flexible working, employee benefits (Medicash etc) Ability to bring in Agency Staff Shared agreements with other Councils Trainee roles/apprenticeships Approach to Learning & Development - Professional Learning Positive Workplace culture - People & Culture Strategy Appraisals	CT Developing a framework for Training & Development Publica - partnership working with FODDC and WODC Consideration of mutual aid policy across Gloucestershire Review of secondment agreements to ensure mitigation measures are effective	Risk Acceptance & Retention	Publica Risk	Open	
CDC_SRR_252606	Service Standards LGR risk inability to maintain BAU and support the Council and/or residents due to insufficient staff capacity (time spent on LGR)	Chief Executive	Moderate	3	Possible	3	9	Minor	2	Possible	3	6	6	Some services delivered by a partner organisation (Ubico, Publica) Wellbeing strategy and other employee benefits to support staff Capacity Fund to support delivery of BAU (CLT) - backfill may be an option Managing members and expectations through ongoing communication and briefings on Corporate Plan and service standards	s151 Ensure Capacity Fund is adequate to support Council until 31/03/2028	Risk Acceptance & Retention	Risk to Partner Authorities but under control	Open	

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CDC_SRR_252607	LGR Risk (staff unable to contribute/burnout) Inability to support the Council and Residents in the transition from District to Unitary Council	Chief Executive	Moderate	3	Possible	3	9	Minor	2	Possible	3	6	6	Some services delivered by a partner organisation (Ubico, Publica) Wellbeing strategy and other employee benefits to support staff Capacity Fund to support delivery of BAU (CLT) - backfill may be an option Managing members and expectations through ongoing communication and briefings on Corporate Plan and service standards	s151 Ensure Capacity Fund is adequate to support Council until 31/03/2028 Identification of single points of failure	Risk Reduction	<i>Risk to Partner Authorities but under control</i>	Open	
CDC_SRR_252608	Local Plan The Council is not able to adopt the Local Plan in 2027 leading to unsustainable piecemeal developments which do not provide infrastructure	Director of Communities & Place	Major	4	Probable	4	16	Moderate	3	Probable	4	12	12	Local Plan Oversight Board LP Project Management Leader and Deputy Leader commitment to deliver Review of Planning Services structures and resources Earmarked Reserve (£1m) + Grant funding (£0.230m)	s151 Ensure reserve funding is adequate to support Plan delivery	Risk Reduction	<i>Risk to Partner Authorities but under control</i>	Open	
CDC_SRR_252609	Corporate Plan Inability to deliver the priorities as set out in the Corporate Plan leading to reputation risk to the Council	Chief Executive	Moderate	3	Probable	4	12	Moderate	3	Possible	3	9	9	Corporate Plan refresh adopted September 2025 with realistic and deliverable targets Quarterly Performance reporting on CP Actions Staff clear on responsibilities and accountabilities through appraisals Service plans - Golden thread and embeds CP in the Council	Review of CP Actions on an annual basis to ensure actions match resources and can be delivered within timeframe of LA	Risk Reduction	<i>Risk to Partner Authorities but under control</i>	Open	
CDC_SRR_252610	Civil Contingency/Major Event The Council is not adequately prepared to deal with a major Civil Contingency leading to harm to life	Chief Executive	Extreme	5	Possible	3	15	Extreme	5	Remote	2	10	10	BCP Plans Emergency Planning Training and Development of those involved in response (Gold etc) Publica process on emergency planning/rota	CLT to review key service BCPs such as Finance - include as item on CLT Forward Plan Q4 2025/26	Risk Reduction	<i>Risk to Partner Authorities but under control</i>	Open	
CDC_SRR_252611	Cyber Attack The Council is inadequately prepared for a cyber attack (e.g. ransomware) leading to Council systems being unavailable and inability to deliver services	Chief Executive	Extreme	5	Possible	3	15	Extreme	5	Possible	3	15	15	Team Ability to cooperate	Regular briefings to CLT from service on state of cyber readiness, training etc	Risk Reduction	<i>Risk to Partner Authorities but under control</i>	Open	
CDC_SRR_252612	Resilience - Democracy Elected members do not agree to extending their term of office beyond May 2027 leading to an inability of the Council to make decisions (not being quorate, elections)	Director of Governance & Development	Moderate	3	Possible	3	9	Moderate	3	Remote	2	6	6		Understand nature of final 11 months prior to vesting day and how member vacancies are covered	Risk Reduction	<i>Risk to Partner Authorities but under control</i>	Open	