Cotswold District Council

Strategic Risk Register - August 2026

10/08/2026

ID	Description of risk / opportunity	Owner	Initial Risk					Residual Risk (current)					Change in residual risk since previous review	Date of Review	Days since last 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 Sustainability** The Council is unable to maintain a balanced budget position during 2026/27 due to unavoidable cost pressures, loss of income The Council is unable to set a balanced budget for the forthcoming financial year (2027/28)	Deputy Chief Executive & Section 151 Officer	Major	4	Probable	4	16	Moderate	3	Possible	3	9	-3	05-Aug-2026	5	3-year funding settlement - more certainty Experienced and qualified Team LGR Backfill in place Awareness of the Budget Gap in 2026 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 Exposure to secondary commodities market - seek longer term fixed price deals (although market appetite is low) **2025/26 Outturn positive with transfer of additional surplus to earmarked reserves**	<u>2026/27</u> **2026/27 Q1 Financial Performance report to Cabinet September 2026 with options on utilising any beneficial financial position to support 2026/27.** External Auditor VfM judgement Transformation Plan - ABW Internal Audit to plan for audit of Budget Setting Process <u>2027/28</u> **Engagement with Ubico/Publica commenced June 2026 on expectations for 2027/28. Further meetings September and October.** **2027/28 Budget options considered with Cabinet July 2026 with follow-up meetings August and September 2026.**	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	Remote	2	6	0	05-Aug-2026	5	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 and February 2026 Only authorised officers to undertake procurment Senior Procurement Business Partner to escalate any procurement concerns directly to CLT Commissioning and Procurement Board held monthly	<u>Mandatory</u> Member Briefing on Procurement - 18 March 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 with next report October 2026** **ABW "Purchase to Pay" enhancement for CDC live from 2026** **Annual refresh of mandatory training for staff and members**	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 Major contractor unable to deliver service levels due to external pressures - Ubico expansion (Wiltshire), provision of new Waste Fleet vehicles	Deputy Chief Executive & Section 151 Officer	Major	4	Possible	3	12	Moderate	3	Possible	3	9	0	05-Aug-2026	5	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 **LGR Programme - comprehensive and up-to-date contractor schedule** **Protocol on procurement ahead of LGR vesting day agreed across county**	Dun & Bradsheet alerts - follow up on how this is managed/communicated CDC to improve client-side management of key stakeholders Fortnightly review meetings - Head of Waste, s151 on Fleet replacement	Risk Reduction	*No impact*	Open	
CDC_SRR_252603	**Compliance - Health & Safety** Risk of death or injury to service users/staff due to breach of H&S **Consdier change to definition following A&G comments**	Chief Executive	Extreme	5	Possible	3	15	Extreme	5	Possible	3	15	0	05-Aug-2026	5	H&S Team, policy Risk assessments in place H&S Board minutes standing item on CLT (quarterly) Risk assessment training 20/05/2026. Further dates to be confirmed **Leader of the Council - named Cabinet member with responsibility for H&S**	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 **Overarching H&S Policy to be consdiered by Cabinet Oct/Nov with delegation to CEX to agree other H&S policies**	Risk Avoidance	*No impact*	Open	

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CDC_SRR_252604	**Compliance - GDPR/Data Breach** The Council does not have adequate internal controls around the management of its data resulting in a serious data breach	Chief Executive	Major	4	Probable	4	16	Moderate	3	Possible	3	9	0	05-Aug-2026	5	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 Improvements in Data Breach Reporting (more low level breaches being reported), roll-out of training to follow-up on mandatory training **Annual Governance Statement (AGS) includes SIRO annual report**	Annual report to the Cabinet member on data governance Internal Audit review follow and addressing the issues as raised in the IA Plan Mandatory Training from March 2026 to be completed by 30/04/2026	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	Possible	3	9	0	05-Aug-2026	5	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 - 2026/27 appraisals to be set no later than June 2026. Retention Strategy and updated Flexibility in Pay Policy agreed in April 2026 **Low level of vacancies reported Q1 2026/27**	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 **CLT review of recruitment and retention options - recognising difficultly in recruiting to roles and retaining interims/agency staff. Promotion of wider employee benefits (training and development) in job adverts and recruitment**	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	Moderate	3	Possible	3	9	0	29-Jul-2026	12	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 Retention Strategy LGR Transition budget funds 50% of Programme Leads to contribute towards backfill costs. whilst maintaining a robust process Where a vacancy arises - flexible approach to recruitment including backfill/act-up etc (case by case basis) Mandatory Training to continue to build capacity, training opportunities for staff (Carmel's budget) investing in staff	s151 Ensure Capacity Fund is adequate to support Council until 31/03/2028 2025/26 Outturn to identify additional balance for reserve Identification of single points of failure Ongoing dialogue with Cabinet on impact of LGR on BAU **Plan on a Page (POAP) drafted - to be published in Q2** **Decisions on recruitment - maintaining service levels key consdieration** **Gloucestershire-wide secondment agreement due to be launched Q2 2026/27**	Risk Acceptance & Retention	*Risk to Partner Authorities but under control*	Open	
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	Moderate	3	Possible	3	9	0	29-Jul-2026	12	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 Realistic/Deliverable CP and SP within the resources available Impact of 2 LGR areas on staff etc Aggregation and Disaggregation workstreams Oxon - asking Districts for staff/input **Initial draft of Internal Audit report on staff health and wellbeing support - positive**	s151 Ensure Capacity Fund is adequate to support Council until 31/03/2028 2025/26 Outturn to identify additional balance for reserve Identification of single points of failure **CLT cognisant of LGR workload risks with weekly update on emerging issues and pressure points.**	Risk Reduction	*Risk to Partner Authorities but under control*	Open	

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CDC_SRR_252608	**Local Plan** The Council is not able to adopt the Local Plan in early 2028 leading to unsustainable piecemeal developments which do not provide infrastucture	Director of Communities & Place	Major	4	Probable	4	16	Major	4	Probable	4	16	0	29-Jul-2026	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) Additional £0.130m allocated to reserve February 2026 MTFS	s151 Ensure reserve funding is adequate to support Plan delivery **including examination stage** **Reg 19 report to Council 13 August 2026 with public consultation to follow.** Updated Project Plan lead by Interim Head of Policy Planning & Infrastructure - experienced leader s151 to review total resources required to deliver updated project plan	Risk Reduction	*Risk to Partner Authorities but under control*	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	remote	2	6	-3	29-Jul-2026	12	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 CEX review with each Cabinet member (with Leader) on what has been done to deliver CP actions and what needs to be done for future delivery	Review of CP Actions on an annual basis to ensure actions match resources and can be delivered within timeframe of LA Service Plans being reviewed/refreshed and updated for 2026/27 to ensure delivery of the CP. SP has to be signed-off by CAB member **Plan on a Page (POAP) drafted - to be published in Q2**	Risk Reduction	*Risk to Partner Authorities but under control*	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 Note - 2 different risks on BCPs vs Civil Contingencies?	Chief Executive	Extreme	5	Possible	3	15	Extreme	5	Possible	3	15	0	29-Jul-2026	12	BCP Plans Emergency Planning Training and Development of those involved in response (Gold etc) Publica process on emergency planning/rota Operation Pegasus/Mighty Oak etc - part of the 'live event/exercise'	**CLT to reviewing service BCPs Q1 and Q2 2026/27** Member of Glos LRF Exec - all had GOLD training/refresher training Involved in planning for significant/major events across Glos **CDC involved in major planning exercises**	Risk Reduction	*Risk to Partner Authorities but under control*	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	0	29-Jul-2026	12	Team Ability to cooperate	Regular briefings to CLT from service on state of cyber readiness, training etc	Risk Reduction	*Risk to Partner Authorities but under control*	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) Elected members that may be a Shadow Authority member could be unable to support District Council	Director of Governance & Development	Moderate	3	Possible	3	9	Minor	2	Possible	3	6	-3	29-Jul-2026	12	Ensure adequate staffing resource in Elections & Dem Services	Understand nature of final 11 months prior to vesting day and how member vacancies are covered Keeping members updated on LGR and other issues to ensure they can manage ward-based case work etc	Risk Acceptance & Retention	*Risk to Partner Authorities but under control*	Open	

	Impact		Likelihood	TOTAL
Total	48.00		41.00	142.00
Average	3.43		2.93	10.14
Previous Total	50.00		42.00	151.00
Previous Average	3.57		3.00	10.79
Change in Total	**-2.00**		**-1.00**	**-9.00**
Change in Average	**-0.14**		**-0.07**	**-0.64**