

Appendix 8 – Leadership Risk Register as at 12/04/2023

Level of risk	How the risk should be managed
<b>High Risk</b> (16-25)	<b>Requires active management</b> to manage down and maintain the exposure at an acceptable level. Escalate upwards.
<b>Medium Risk</b> (10 -15)	<b>Contingency Plans</b> - a robust contingency plan may suffice together with early warning mechanisms to detect any deviation from the profile.
<b>Low Risk</b> (1 – 9)	<b>Good Housekeeping</b> - may require some risk mitigation to reduce the likelihood if this can be done cost effectively, but good housekeeping to ensure that the impact remains low should be adequate. Re-assess frequently to ensure conditions remain the same.

Risk Scorecard – Residual Risks						
		Probability				
		1 - Remote	2 - Unlikely	3 - Possible	4 - Probable	5 - Highly Probable
Impact	5 - Catastrophic			L08		
	4 - Major		L09	L03-L06-L07- L11-L14	L01	
	3 - Moderate		L04-L05-L10- L15	L02-L12	L13	
	2 - Minor					
	1 - Insignificant					

Risk Definition	
Leadership	Strategic risks that are significant in size and duration, and will impact on the reputation and performance of the Council as a whole, and in particular, on its ability to deliver on its corporate priorities
Operational	Risks to systems or processes that underpin the organisation’s governance, operation and ability to deliver services

Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls) Pvl			Direct'n of travel	Mitigating actions (to address control issues)	Comments
		Probability	Impact	Rating						Probability	Impact	Rating			
					Fully effective Partially effective Not effective										
<b>L01 - Financial resilience</b> – Failure to react to external financial impacts, new policy and increased service demand. Poor investment and asset management decisions.	Reduced medium and long term financial viability	4	4	16	Medium Term Revenue Plan reported regularly to members.	Fully	Councillor Adam Nell	Michael Furness	Joanne Kaye	4	4	16	↔	Posts are filled by appropriately qualified individuals. When posts become vacant the JD is reviewed to ensure it meets the needs of the wider team and that the essential skill levels and experience are appropriate.	The team is currently fully staffed with appropriately qualified individuals. Continuous Professional Development opportunities are offered and maximised by CIPFA, LGA, Link, Pixel. New financial system helping to support the monitoring process.
	Reduction in services to customers				Balanced medium term and dynamic ability to prioritise resources	Fully								Investment Strategy agreed annually. Strategic Place Shaping Board providing a gateway process for capital investment decisions which comply with governance framework.	New investment proposals are considered as part of the budget setting process and as and when they arise. The MTFS and budget setting continue to enhance the scrutiny and quality of new investments.
	Increased volatility and inability to manage and respond to changes in funding levels				Highly professional, competent, qualified staff	Partially								Timely and good quality budget monitoring reports, particularly property income and capital. Unit 4 financial system provides improved management information.	Improvements to business partnering and budget management continue to be identified and implemented. Asset Management Strategy to be finalised and approved by Council.
	Reduced financial returns (or losses) on investments/assets such as in subsidiaries.				Good networks established locally, regionally and nationally. Strong shareholder function and relationships with subsidiaries. Financial returns from the subsidiaries are not included in the MTFS until they are reasonably assured to materialise.	Fully								Introduction and implementation of an Asset Management Strategy. Shareholder Agreements in place with subsidiaries which require regular management reports to be shared with the Shareholder which allows for dialog between the entities.	
	Inability to deliver financial efficiencies				National guidance interpreting legislation available and used regularly	Fully								Work is underway to maximise the impact of the available space in Banbury town centre, encouraging an enjoyable shopping experience alongside space for non-retail activity to co-exist.	
	Exposure to commercial pressures in relation to regeneration projects.				Progress regeneration plans in a coordinated manner.	Partially								Finance support and engagement with programme management processes, project boards and steering group.	Depending on the profile of the project, finance rep will either be at Strategic or Finance Business Partner or Service Accountant level. Involvement will reflect locally on outcomes.
	Poor customer service and satisfaction				Participate in Oxfordshire Treasurers' Association's work streams	Fully								Integration and continued development of Performance, Finance and Risk reporting.	Integrated reporting has been embedded but needs to be adapted to reflect requirements of the committees at which it's elements are scrutinised.
	Increased complexity in governance arrangements				Review of best practice guidance from bodies such as CIPFA, LGA and NAO	Fully								Regular involvement and engagement with colleagues across the county as well as involvement in Regional and National finance forums.	Engagement with a number of national and regional networks to ensure we are as up-to-date as we can be in relation to potential funding changes from 2025/26 and impact on our MTFS.
	Lack of officer capacity to meet service demand				Treasury management and capital strategies in place	Fully								Regular member training and support. Briefings provided on key topics to members with particular focus on key skills for specific committees such as audit committee.	Regular training will be undertaken. Most recently, training on the Council's Treasury Management was provided to the Accounts Audit and Risk committee and open to all members.
	Lack of financial awareness and understanding throughout the council				Investment strategies in place	Fully								Budget setting will not be an annual event, but will be a continuous process of reviewing budget monitoring and reflecting trends in the MTFS.	Updated budget monitoring for 2023/24 with a greater focus on savings delivery and budget management. Introduction of Budget Oversight Group will review budget position monthly in order to challenge budget holders to manage their budgets within approved parameters.
	Increased inflation in the costs of capital schemes				Regular financial and performance monitoring in place	Fully								Regular utilisation of advisors as appropriate.	Borrowing strategy recently reviewed in consultation with our financial advisors (amongst others).
	Increased inflation in revenue costs				Independent third party advisers in place	Fully								Internal Audits being undertaken for core financial activity and capital as well as service activity.	Regular reporting of progress on internal audits considered by the Accounts Audit and Risk Committee.
	Regular bulletins and advice received from advisers	Fully	Summarise and distribute announcements to CLT, Leader and Lead Member for Finance and all other members as and when announcements are made relating to Spending Reviews and other government announcements affecting Local Government.	No detail in the Spending Review to be able to plan for additional resources in 2024/25 with any confidence - must wait for Local Government Finance Settlement 2024 to understand the impact. All Member Briefings are held to communicate the impact of government financial settlements.											
	Property portfolio income monitored through financial management arrangements on a regular basis	Partially													

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		Probability	Impact	Rating						Probability	Impact	Rating			
					Fully effective Partially effective Not effective										
					Asset Management Strategy in place and embedded. Transformation Programme in place to deliver efficiencies and increased income in the future	Partially Fully								Financial forecasts of resources for 2024/25 and 2025/26 have assumed a reduction in resources compared to February 2023 assumptions. The budget for 2023/24 was agreed with savings proposals identified to contribute to addressing these reductions. Close monitoring of the delivery of the savings programme has been taking place throughout 2022/23 with mitigations required if slippage was identified. This will continue during 2023/24. If resources were to fall significantly below the 2023/24 forecast level the Council has made a number of contingencies available in 2023/24 and, if required, a review of which reserves could be made available to mitigate this would be required (e.g. due to greater ongoing impact of the cost of living crisis, or due to further economic shocks in the short term. A similar approach to reviewing reserve availability could be adopted if the cost of goods we purchase were to increase beyond the level of inflation allowed for in the 2023/24 budget. Ongoing impacts would be addressed as part of the 2024/25 budget setting process. A business rates reset is assumed from 2025/26 which will significantly reduce the resources available to the Council. Should resources from business rates fall much below this (e.g. due to any further ongoing impacts to the economy) then resources would be supplemented by a "safety net" payment from the Government under the current regime. The budget process for 2024/25 has already begun, with savings proposals sought that would enable the Council to operate within the forecast level of resources. Where the Government has issued consultations on future approaches to funding local government CDC has responded to ensure its views are considered. New capital bids submitted will be scrutinised to ensure increases in cost assumptions have been reflected and that there is an identified business need.	The Council currently anticipates a medium and long term funding shortfall in overall terms. Set alongside the anticipated funding reductions anticipated to start from 2025-26 the financial resilience of the Council could be severely impacted. The Council set its 2023/24 budget on 27 Feb 2023 and will then monitor the delivery of the budget and begin preparations for the 2024/25 budget process in order to meet the forecast shortfall identified in the MTF5. The Government announced a 3 year Spending Review for 2022/23 - 2024/25 in October 2021. This provided the resource envelope for Government Departments to operate in and has set out an overall increase in local government spending power over the three year period, but did not provide any specific funding allocations for individual local authorities. In the settlement for 2023/24, the government committed to maintaining council spending power, but it is not clear how this commitment will be delivered in the final year of the settlement.
<b>LO2 - Statutory functions</b> – Failure to meet statutory obligations and policy and legislative changes are not anticipated or planned for.	Legal challenge	3	4	12	Embedded system of legislation and policy tracking in place, with clear accountabilities, reviewed regularly by Directors	Partially	Councillor Barry Wood	Stephen Hinds	Shiraz Sheikh	3	3	9	↔	Establish corporate repository and accountability for policy/legislative changes taking into consideration all of the Council's functions.	Development in legislation continues to be closely monitored as implemented (e.g. subsidy control (formerly state aid regime) being reviewed and government guidance tracked as it is developed and published .  Additional steps are under way to develop a regular review of legislative developments that will be service team focused to enhance awareness of statutory obligations and legal developments.
	Loss of opportunity to influence national policy / legislation				Clear accountability for responding to consultations with defined process to ensure Member engagement	Fully								Review Directorate/Service risk registers.	
	Financial penalties				National guidance interpreting legislation available and used regularly	Fully								Ensure Committee forward plans are reviewed regularly by senior officers.	
	Reduced service to customers				Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed.	Fully								Ensure internal Audit plan focusses on key leadership risks.	
	Inability to deliver council's plans				Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place	Partially								Appointed Interim officer regarding FOIs/EOIs and enquiries. Regular reports to CLT and DLT outline our performance regarding meeting statutory deadlines. Learning and development opportunities identified and promoted by the Chief Executive and Directors. First tranche of Senior Leadership training/development begins in August, and is cascaded throughout 2022/23. Regular communications from Chief Executive. Quarterly staff briefings from Assistant Directors. External support secured for key corporate projects including Growth Deal and IT Transformation Programme.	
	Exposure to commercial pressures				Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit.	Fully									
	Reduced resilience and business continuity				Internal Audit Plan risk based to provide necessary assurances	Fully									
	Reduced staff morale, increased workload and uncertainty may lead to loss of good people				Strong networks established locally, regionally and nationally to ensure influence on policy issues. In addition two Directors hold leading national roles.	Fully									
					Senior Members aware and briefed regularly in 1:1s by Directors	Fully									
					Arrangements in place to source appropriate interim resource if needed	Fully									
	Ongoing programme of internal communication	Fully													
	Programme Boards in place to oversee key corporate projects and ensure resources are allocated as required.	Fully													
	CDC Extended Leadership Team (ELT) Meetings established to oversee and provide assurance on key Local Development Scheme (LDS) is actively managed and reviewed, built into Service Plan, and integral to staff appraisals of all those significantly involved in Plan preparation and review	Partially													
	Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity.	Partially													
	On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies	Partially													
<b>LO3 - CDC Local Plan</b> - Failure to ensure sound, up to date local plan remains in place for Cherwell resulting in poor planning decisions such as development in inappropriate locations, inability to demonstrate an adequate supply of land for housing and planning by appeal	Poor planning decisions leading to inappropriate growth in inappropriate place.  Negative (or failure to optimise) economic, social, community and environmental gain  Negative impact on the council's ability to deliver its strategic objectives, including its commitments within the Oxfordshire Housing & Growth Deal  Increased costs in planning appeals  Reputational damage with investor community of Cherwell as a good place to do business created by uncertainty/ lack of policy clarity	4	4	16		Councillor Colin Clarke	Ian Boll	David Peckford	3	4	12	↔	Regular review meetings on progress and critical path review. Regular Corporate Director and Lead Member briefings. LDS updated as required with programme management approach adopted to ensure progress against plan.  Regular Corporate Director and Lead Member briefings  LDS updated as required with programme management approach adopted to ensure progress against plan  LDS timeline built into Directorate level objectives (e.g. via Service Plans) and incorporated into SMART targets within staff appraisals.  Authority Monitoring Reports continue to be prepared on a regular annual basis.	The Local Development Scheme (LDS) was last updated in September 2021. It includes programmes for the Oxfordshire Plan 2050, a Local Plan Review, the Banbury Canalside Supplementary Planning Document and work on a Community Infrastructure Levy (CIL). The Oxfordshire Local Planning Authorities agreed to stop work on the Oxon Plan in August 2022. Local Plans for the City and Districts will now provide the framework for the long term planning of Oxfordshire. An issues consultation for the Cherwell Local Plan Review was completed on 14 Sept 2020. An Options consultation was undertaken from 29 September to 10 November 2021. A draft Local Plan was presented to the Overview and Scrutiny Committee on 11 January 2023 and to the Executive on 19 January 2023. Consultation on the Plan was deferred to allow officers to consider the comments made. The consultation draft will be re-presented to the Executive in the Summer. The Local Plan programme and other LDS commitments require review.	





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<b>L07 - Health and safety</b> Failure to ensure effective arrangements are in place for Health and Safety.	Unsafe services leading to fatality, serious injury & ill health to employees, service users or members of the public	5	4	20	Corporate H&S governance arrangements and policies are regularly reviewed and updated by the Corporate H&S Team and monitored by the H&S Assurance Board.	Fully effective Partially effective Not effective	Councillor R. Mould	Claire Cox	Ruth Woodridge	3	4	12	↔	As a result of decoupling from OCC the strategic H&S lead is no longer in place but a recruitment campaign in progress to recruit a Health and Safety Manager who will take a corporate lead on Health and Safety matters.  Post decoupling senior management will have monthly monitoring of H&S matters as a standing item at senior management meetings. The corporate H&S register will be managed and monitored with a focus on the depots as our highest risk areas.  Corporate H&S Auditing and Inspection programme on track. Reports issued to managers and actions tracked for completion.  Relevant and required policies and procedures are being reviewed.	The Health and Safety Manager commenced employment on 1 December 2022 and is taking forward actions arising from the recent Health and Safety Audit report.  Health and Safety matters regularly discussed across the organisation.  Auditing and inspection programme being reviewed to ensure relevance along with the forms that are completed.  Review of escalation process from any audit actions to be undertaken also along with timeframes.  Corporate Arrangements have now been updated and the H&S Policy is going to Personnel Committee on the 15th March 2023.
	Criminal prosecution for failings Breach of legislation and potential for enforcement action.				Directors and service leads are responsible for ensuring H&S arrangements are in place within their areas or responsibility. Managers are responsible for ensuring operational health and safety risks are assessed and effective control measures implemented.	Fully effective									
	Financial impact (compensation or improvement actions)				Consultation with employee representatives via employer and union consultative committees (Unison)	Fully effective									
	Reputational Impact				Corporate H&S Training provided via corporate learning and development programme. Training for operational risks may be organised by services.	Fully effective									
					H&S performance monitored by accident and incident reports and corporate H&S auditing and inspection programme.	Fully effective									
					H&S information is disseminated via internal communications and updates to ELT and other relevant meetings.	Fully effective									



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<b>L09 - Safeguarding the vulnerable - Internal procedures-</b> Failure to follow our internal policies and procedures in relation to safeguarding vulnerable adults and children or raising concerns about their welfare.	Increased harm and distress caused to vulnerable individuals and their families	4	4	16	Safeguarding lead in place and clear lines of responsibility established	Fully	Councillor Phil Chapman	Yvonne Rees	Nicola Riley	2	4	8	↔	Monitoring of implementation of corporate policies and procedures to ensure fully embedded	General Safeguarding training has been promoted to Members resulting in a positive response.
	Council could face criminal prosecution				Safeguarding Policy and procedures in place	Fully								Ensure web pages remain up to date	
	Criminal investigations potentially compromised				Information on the intranet on how to escalate a concern	Fully								Annual refresher and new training programmes including training for new members	
	Potential financial liability if council deemed to be negligent				Mandatory training and awareness raising sessions are now in place for all staff.	Fully								Attendance at safeguarding boards and participation in learning events	
	Reputational damage to the council				Safer recruitment practices and DBS checks for staff with direct contact	Fully								Continue to attend safeguarding board sub groups as necessary to maintain high levels of awareness within the system and compliance with latest practice	
					Data sharing agreement with other partners	Fully								Regular internal cross departmental meetings to discuss safeguarding practice	
					Attendance at Children and Young People Partnership Board (CYPPB)	Fully								Action plan acted upon and shared with Overview and scrutiny committee once a year	
					Annual Section 11 return compiled and submitted as required by legislation.	Fully								Corporate monitoring of all referrals	
<b>L10 - Sustainability of Council owned companies and delivery of planned financial and other objectives - failure of council owned companies to achieve their intended outcomes or fail to meet financial objectives</b>	Unclear governance leading to lack of clarity and oversight in terms of financial and business outcomes	3	5	15	Annual business planning in place for all companies to include understanding of the link between the Council's strategic objectives being delivered and financial impact for the council. A regular Shareholder Representative meeting takes place, a Shareholder Liaison Meeting including the S.151 Officer and Monitoring Officer takes place on a quarterly basis and a Shareholder Committee meeting on a quarterly basis. A governance review is being undertaken and initial recommendations have been approved by the Shareholder Committee.	Fully	Councillor Adam Nell	Yvonne Rees	Stephen Hinds	2	3	6	↔	A Shareholder Representative has been appointed following the decoupling from OCC, the Shareholder Representative is a former Chief Executive, regular governance arrangements are in place.	A formal governance review is being undertaken by the Shareholder Representative and the Monitoring Officer following the decoupling from OCC as part of the overall Transition Plan. The update Governance report was taken to CLT on 14th September. SH transitioned as Stakeholder representative on 24th November, with ongoing support in the interim from NE. The review of the governance is now with a third party assessing this. Work is ongoing between GH and CDC to ensure a viable business plan moving forward. Independent advice has been agreed to review any cases put forward. Business Case (Stack 18) due for approval at April Shareholder Committee (committee date moved). Report and plan for future of Crown House already developed and due for approval at aforementioned committee meeting. Both have been reviewed independently by Savills
	Failure of council owned companies to achieve their intended outcomes or fail to meet financial objectives				Regular meetings are in place between the Council's S.151 Officer and the relevant company Finance Directors. Financial planning for the companies undertaken that will then be included within our own Medium Term Financial Strategy. Financial risks are routinely reported by the Shareholder Representative to the Shareholder Committee.	Fully								Resilience and support being developed across business to support and enhance knowledge around council companies.	
	Lack of understanding at officer and member level about the different roles of responsibilities required when managing council owned companies				Clear governance arrangements are in place. A governance review is being undertaken and initial recommendations have been approved by the Shareholder Committee.	Partially								Skills and experience being enhanced to deliver and support development, challenge and oversight.	
					Sound monitoring in place of both business and financial aspects of the companies and the impact on overall council performance through the Shareholder Representative meetings and through the reporting to the Corporate Leadership Team on a monthly basis.	Fully								Work with one company to ensure long term support arrangements are put in place.	
					Training in place for those undertaking Director roles relating to the companies.	Partially									





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<b>L12 - Corporate Governance -</b> Failure of corporate governance leads to negative impact on service delivery or the implementation of major projects providing value to customers.	Threat to service delivery and performance if good management practices and controls are not adhered to.	4	4	16	Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc.	Fully	Councillor Barry Wood	Stephen Hinds	Shiraz Sheikh	3	3	9	↔	Standing item at senior officer meetings – regular review of risk and control measures - through CLT and DLTs.  Leadership programme identifying Programme and Project Management is being developed and rolled out to ELT during 2022/23.  The Monitoring Officer is a member of full member of CLT.  The Annual Governance Statement was produced and has been published. The Corporate Governance Assurance Group continues to map governance processes to ensure visibility and to refresh them.	Risk is currently under complete review. Review of Constitution is underway, due to go to full council 27/02
	Risk of ultra vires activity or lack of legal compliance				Clear accountability and resource for corporate governance (including the shareholder role).	Fully									
	Risk of fraud or corruption				Integrated budget, performance and risk reporting framework.	Fully									
	Risk to financial sustainability if lack of governance results in poor investment decisions or budgetary control.				Corporate programme office and project management framework. Includes project and programme governance.	Partially									
	Failure of corporate governance in terms of major projects, budgets or council owned companies impacts upon financial sustainability of the council.				Internal audit programme aligned to leadership risk register.	Fully									
	Inability to support Council's democratic functions / obligations (e.g. return to physical public meetings and public access to meetings).				Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc.	Partially									
	Elements of the COVID-19 response and recovery work may be compromised, delayed or not taken forwards.				HR policy framework.	Partially									
					Annual governance statement process undertaken for 2021/22 connects more fully and earlier with ELT and Annual Review of the Constitution will take place each Autumn led by the Overview & Scrutiny Committee and approved by Full Council	Fully									

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<b>L13 - Oxfordshire Housing and Growth Deal - (contract with HMG)</b>	Failure to meet its obligations as a partner within the Growth Deal could see Cherwell as a factor in Government holding back some or all of its funding and/or cease to extend the arrangement beyond 2023.	4	5	20	Established programme structure and partnership ethos to support effective programme delivery.	Fully effective	Councillor Barry Wood	Ian Boll	Robert Jolley	4	3	12	↔	A CDC GD programme and programme board capability.	The five year Oxfordshire Housing and Growth Deal contract between the Oxfordshire-system partners and HM Government substantially concluded on 31st March 2023. The Homes from Infrastructure (Hfi) workstream, however, continues and is being reviewed to rebalance the programme within financial parameters; work continues with the various local authority partners and the Future Oxfordshire Partnership in pursuit of this objective.
	Failure to replace Programme Management Officer could adversely affect delivery and stability of the overall Cherwell programme.				Put suitable arrangements in place to deliver the Project Management function.	Partially controlled through the partial repurposing of the role of one of the Workstream Leads.								Meetings to take place with key colleagues to implement suitable arrangements to deliver the Project Management function.	
	Infrastructure milestone delivery late (for infrastructure linked to accelerated housing)				Engagement with housing developers to understand their commercial constraints.	Partially								Work stream plans of work (work stream brief, schedule, RAID log). Structured engagement with developers to better understand their needs.	
	Delivery of Infrastructure projects fail to accelerate housing delivery as commercial pressures impact house builders				Identify potential "top up" schemes to supplement GD affordable housing scheme.	Fully								Appropriate escalation of issues to agree programme flexibilities where required.	
	Oxfordshire Plan delivered late				Develop Year 5 (final year) Plans of Work to detail the expected delivery by CDC for Year 5 of the Growth Deal Programme; building on the experiences and knowledge gained during previous years.	Partially								Ongoing work with partners to realistically reflect deliverable schemes within programme time frame.	
<b>L14 - Workforce Strategy</b> The lack of effective workforce strategies could impact on our ability to deliver Council priorities and services.	Limit our ability to recruit, retain and develop staff	3	4	12	Analysis of workforce data and on-going monitoring of issues.	Partially	Councillor R. Mould	Yvonne Rees	Claire Cox	3	4	12	↔	Development of relevant workforce plans.	There are a number of emerging issues in terms of recruitment and retention within the local government workforce especially at entry level roles where competition with the private sector is fierce and in senior management roles where there tends to be an ageing workforce. HR is working with areas experiencing recruitment and retention difficulties.
	Impact on our ability to deliver high quality services				Key staff in post to address risks (e.g. strategic HR business partners)	Fully								Development of new L&D strategy, including apprenticeships.	
	Overreliance on temporary staff				Weekly Vacancy Management process in place	Fully								Development of specific recruitment and retention strategies. It is planned for CDC to develop a framework that suits the needs of all services ensuring that the Council has access to a much wider pool of staffing agencies at competitive rates.	
	Additional training and development costs				Ongoing service redesign will set out long term service requirements	Partially								There are indications that specific service areas are beginning to experience recruitment difficulties for professional roles. HR is working with the relevant directors to consider alternative resourcing methods. The new IT system has been implemented to improve our workforce data and continues to be develop to improve our ability to interrogate and access key data (ongoing) in order to inform workforce strategies.	