


**URGENT BUSINESS AND SUPPLEMENTARY INFORMATION**
**Executive**
**1 June 2020**

Agenda Item Number	Page	Title	Officer Responsible	Reason Not Included with Original Agenda
6.	Pages 3 - 18	<p><b>Discretionary Business Grant Fund Policy</b></p> <p>Report of Director of Finance</p> <p><b>Purpose of report</b></p> <p>To update members on the recently announced Discretionary Business Grant fund, the work that has been undertaken so far and the options for a scheme for Cherwell District Council.</p> <p>For members to consider the options for a scheme and to approve the draft Discretionary Business Grant policy</p> <p><b>Recommendations</b></p> <p>The meeting is recommended:</p> <p>1.1 To note the contents of the report and the financial implications for the Council.</p> <p>1.2 To consider the recommended option (option 3) for a scheme and to approve the adoption of a Discretionary Business Grant Policy.</p> <p>1.3 To grant delegated authority to the Section 151 Officer in conjunction with the Lead Member for Finance to make amendments to the draft policy as required.</p>	Operations Director - CSN Resources	Report being reviewed and finalised at time of agenda publication

7.	Pages 19 - 64	<p><b>Performance, Finance and Risk Monitoring Report</b></p> <p>Report of Director of Finance and Head of Insight and Corporate Programmes</p> <p><b>Purpose of report</b></p> <p>This report summarises the Council's Performance, Risk and Finance monitoring position as at the end of each month.</p> <p><b>Recommendations</b></p> <p>The meeting is recommended:</p> <p>1.1 To note the monthly Performance, Risk and Finance Monitoring Report.</p> <p>1.2 To note the expected costs and loss of income expected relating to Covid-19 in the first quarter of 2020/21.</p> <p>1.3 To consider and approve carry forward requests from 2019/20 to 2020/21 totalling £217,000.</p>	Head of Insight and Corporate Programmes	Report being reviewed and finalised at time of agenda publication
11.	Pages 65 - 110	<p><b>Supplier Relief at Leisure Sites in Response to Covid-19</b></p> <p>EXEMPT REPORT</p>	Assistant Director: Wellbeing	Report being reviewed and finalised at time of agenda publication

*If you need any further information about the meeting please contact* Natasha Clark, Democratic and Elections [democracy@cherwellandsouthnorthants.gov.uk](mailto:democracy@cherwellandsouthnorthants.gov.uk), 01295 221589

## Cherwell District Council

### Executive

1st June 2020

#### Discretionary Business Grant Fund

### Report of the Executive Director Finance

This report is public

#### Purpose of report

To update members on the recently announced Discretionary Business Grant fund, the work that has been undertaken so far and the options for a scheme for Cherwell District Council.

For members to consider the options for a scheme and to approve the draft Discretionary Business Grant policy

#### 1.0 Recommendations

The meeting is recommended:

- 1.1 To note the contents of the report and the financial implications for the Council.
- 1.2 To consider the recommended option (option 3) for a scheme and to approve the adoption of a Discretionary Business Grant Policy.
- 1.3 To grant delegated authority to the Section 151 Officer in conjunction with the Lead Member for Finance to make amendments to the draft policy as required.

#### 2.0 Introduction

- 2.1 In response to the Coronavirus, the Government has announced a Discretionary Business Grant Fund to support small businesses who were not eligible for the original Small Business Grant Fund or the Retail, Leisure and Hospitality Fund.
- 2.2 Cherwell District Council has been awarded funding of just under £1.2m which is around 5% of the original Grants funding allocation. The guidance makes it clear that the Council cannot exceed the funding allocation.
- 2.3 In the latest guidance the Government has set out some national criteria which the Council must follow in terms of which businesses it can support but has given

limited discretion to local authorities to determine which businesses can get support within the criteria. The Council does not have the discretion to assist businesses that fall outside the criteria set out in this report.

### **3.0 Report Details**

#### **National Criteria**

3.1 The Government has set the following criteria that a business must meet in order to be eligible to apply for the Discretionary Business Grant Fund:

- Must be a small or micro business, as defined in Section 33 part 2 of the Small Business, Enterprise and Employment Act 2015 and the Companies Act 2006 and as explained below.
- Under the Companies Act 2006, a Small business must satisfy two or more of the following requirements in a year: turnover of not more than £10.2m, balance sheet total of not more than £5.1m, number of employees of less than 50.
- Under the Companies Act 2006, a micro business must satisfy two or more of the following: turnover of not more than £632k, balance sheet total of not more than £316k and number of employees of not more than 10.
- Businesses with relatively high ongoing fixed property-related costs.
- Businesses which can demonstrate that they have suffered a significant fall in income due to COVID-19.
- Businesses that occupy property, or part of a property with a rateable value or annual rent or annual mortgage payments below £51,000
- The business must have been trading on 11<sup>th</sup> March 2020
- The business must not have been eligible or received a grant from the existing grant scheme or other support schemes such as self-employed support.

#### **Eligibility**

3.2 This grant funding is for businesses that are not eligible for other support schemes. Businesses which have received cash grants from any central government COVID related scheme are not eligible for funding from the Discretionary Business Grants Fund. Some examples of the government schemes include:

- Small Business Grant Fund
- Retail, Hospitality and Leisure Grant
- The Fisheries Response Fund
- Domestic Seafood Supply Scheme
- The Zoos Support Fund and the Dairy Hardship Fund.

3.3 Businesses who have applied for the Coronavirus Job Retention Scheme and the Self-Employed Income Support Scheme are eligible to apply for this funding.

3.4 Companies that are in administration, are insolvent or where a striking-off notice has made are not eligible for funding under this scheme

## Scheme options

- 3.5 Our initial modelling has shown that the demand for the Discretionary Grants will be far greater than the funding allocation. In addition to the criteria set out by Government we recognise through our experience of the local economy and evidence supplied by our Growth and Economy team that certain businesses within the Cherwell district (who have not been eligible for support under the existing grant scheme) would benefit from this discretionary funding.
- 3.6 We have also been liaising with our colleagues across other Oxfordshire Councils and, whilst a harmonised scheme would be helpful, it is recognised that local economies and strategic priorities differ and therefore one size does not fit all. We have, however, agreed some guiding principles such as application processes.
- 3.7 Based on some initial modelling that has been carried out a number of options have been considered for our local scheme. The options are outlined below but it is recognised that further modelling may be required.

Based on government guidelines and the available modelling, officers recommend option 3 and, in view of the challenging timelines, the draft policy (copy at Appendix 1) has been based on this option. This policy can, of course, be amended based on feedback from Executive.

### Option 1

To assist all the businesses highlighted in the government guidelines. Our initial modelling (highlighted in table below) shows that this would result in expenditure far exceeding our grant funding and therefore is not considered as a viable option to move forward

<b>Business type</b>	<b>Numbers as at 18.5.20</b>	<b>Estimated cost of grant award</b>
Properties with a RV of less than £15k	544	Based on £10k grant - £5.4m
Properties with RV of £15k to £51k	78	Based on £25k grant - £1.9m
Charities with RV up to £15k	40	Based on £10k grant - £400k
Charities with RV of £15k up to £51k	11	Based on £25k grant - £275k
Market traders	12	Based a discretionary grant of £2k - £24k
Bed and Breakfasts	30	Based on a discretionary grant of £2k - £60k
<b>Total</b>	<b>715</b>	<b>£8,059,000</b>

### Option 2

To prioritise certain types of businesses and to conduct further financial modelling.  
The following list is not exhaustive but could include:

- Small businesses in shared office or flexible workspaces. Example could include units in industrial parks, science parks which do not have their own rating assessment
- Regular Market traders with fixed building costs, such as rent, who do not have business rates assessments
- Bed and breakfasts which pay Council Tax instead of business rates
- Charity properties in receipt of charitable business rates relief which would otherwise have been eligible for Small Business Rates Relief.

### Option 3

To introduce 3 categories which may be eligible for support and to:

- allocate an element of the grant funding to each of the categories up to the limit of the funding allocation (and to retain the ability to move funds from one category to another) or

This decision as to the level of funding for each category can be made when we receive the applications and can see the level of demand in each category.

#### **Category A**

Priority businesses as outlined in the guidance including small micro businesses in shared offices or other flexible workspaces who do not have their own business rates assessment, regular market traders, bed and breakfast which pay Council tax instead of business rates, charity properties

#### **Category B**

Small businesses with a RV of under £51,000 whose business relates to retail, hospitality or leisure, and not eligible for SBRR or expanded retail relief.

#### **Category C**

Businesses that do not fall into the above categories but have been identified as suffering exceptional hardship due to ongoing fixed property related costs and which support the wider business strategic priorities for Cherwell. This category will be at the discretion of the Council and can only be considered if there is adequate funding remaining. Members may wish to make provision for category C from the funding pot from the outset to ensure that we have the ability to help local businesses who do not fall into Categories A and B.

### Summary of options

Option	Risks	Opportunities
Option 1: to assist all businesses outlined in guidelines	<ul style="list-style-type: none"><li>• <u>Financial</u> the scheme is not affordable (based on just current modelling) within the funding envelope</li><li>• <u>Resources</u> this invites applications from</li></ul>	<ul style="list-style-type: none"><li>• Maximises help to more local businesses</li></ul>

	<p>businesses that we will not be able to help due to funding</p> <ul style="list-style-type: none"> <li>• <u>Business expectations</u>: doesn't allow the opportunity to manage expectations</li> <li>• <u>Customer dissatisfaction</u>: high number of complaints expected and reputational damage</li> </ul>	
Option 2: to help certain types of businesses	<ul style="list-style-type: none"> <li>• <u>Financial</u>: further modelling required to establish if this scheme is viable</li> <li>• May not capture priorities outlined by government</li> <li>• Unclear guidelines for businesses</li> <li>• Administratively more burdensome</li> </ul>	
Option 3: to introduce 4 categories of businesses to assist and to allocate funding envelope to each category to be allocated at officer discretion	<ul style="list-style-type: none"> <li>• There will be businesses who will be disappointed</li> </ul>	<ul style="list-style-type: none"> <li>• Captures all the businesses prioritised in guidelines</li> <li>• Clear, simple scheme</li> <li>• Financial envelope clear</li> <li>• Supports businesses highlighted in government guidance</li> <li>• Offers the opportunity to use discretion to support local businesses</li> </ul>

### Application process

3.8 It is very difficult for the Council to quantify how many businesses are in the Cherwell district which will potentially meet the criteria set out in the policy. This is because we do not hold data on all the businesses that may fall into these categories. Therefore a first come first served basis does not seem a fair approach. It is important that the money is allocated on the basis of need not those who make the first applications.

3.9 We are therefore suggesting a 13-day window starting from 2s June 2020 until 14<sup>th</sup> June for businesses to submit an online application with relevant supporting documentation. Once the 13-day window closes the Council will review the

applications against our agreed criteria. If the number of valid applications exceeds the amount of funding available, applications will be determined based on need.

- 3.10 The Council has created an online application form, which is the preferred method by which applications can be made. For those who do not have internet access hard copy forms can be provided.
- 3.11 In line with other Oxfordshire Councils there will be no right of appeal and the decision made by the Council is final.

## **4.0 Conclusion and Reasons for Recommendations**

- 4.1 In response to the Coronavirus, the Government has announced a Discretionary Business Grant Fund to support small businesses who were not eligible for the original Small Business Grant Fund or the Retail, Leisure and Hospitality Fund
- 4.2 Members are asked to note the content of this report and the recommendation to adopt a scheme based on option 3 and to approve the Discretionary Business Grant Policy.
- 4.3 Members are asked to grant delegated authority to the Section 151 Officer in conjunction with the Lead Member for Financial Management to make amendments to the draft policy as required.

## **5.0 Consultation**

- 5.1 Consultation has taken place with Oxfordshire Councils and OxLEP

## **6.0 Alternative Option and Reasons for Rejection**

- 6.1 The following alternative option has been identified and rejected for the reasons given below.

Option 1: Members could choose not to approve the proposed scheme, but this would mean the Council is not complying with Central Government guidance and this would be to the detriment of local businesses and economy

## **7.0 Implications**

### **Financial and Resource Implications**

- 7.1 . The Department for Business, Energy & Industrial Strategy (BEIS) issued guidance on the new Local Authority Discretionary Grant Fund on 13 May 2020. In relation to the funding available, the guidance set out that where local authorities, having taken all reasonable steps to pay grants to eligible businesses for the Small Business Grants Fund and/or Retail, Hospitality and Leisure Grants Fund, still have unspent initial grant allocation, this will be used to fund the new Discretionary Grant Fund. The fund is set at 5% of the original grant allocation adjusted for the amount



expected to be required based on eligibility. This position applies for Cherwell District Council.

- 7.2 On 20 May 2020, BEIS confirmed the fixed allocation for the Local Authority Discretionary Grant Fund. Cherwell District Council's allocation is £1,187,750.
- 7.3 As outlined in the body of this report it is highly likely that demand will exceed the funding allocation. However, Government guidance makes it clear that Councils cannot allocate awards above their allocation. The application process set out above will ensure that grant expenditure does not exceed the funding allocated.

Comments checked by:

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### **Legal Implications**

- 7.4 As the Government guidance makes clear, section 1 of the Localism Act 2011 provides all local authorities with the vires to make grant payments outlined in this report.
- 7.5 As always with support schemes of this nature, there is the potential for the support to amount to State Aid. In this instance, given the level of funding which will be offered to each business, it is likely that the support will be *de minimis* and therefore exempt from the State Aid legislation. To provide an audit trail and to comply with the *de minimis* regulations, the Council will therefore require that any recipient of the grant completes a declaration to confirm that they have not received assistance from any other public bodies within the past 3 financial years with a cumulative value of €200k.
- 7.6 Whilst there is no right of appeal against a decision being proposed by the Council under this scheme, there is the potential for any business which is aggrieved by the management of the scheme to apply for Judicial Review of the Council's actions or policy. It is for this reason that it is essential that the Council has a clear and robust policy in place and a defined basis on which it will identify those businesses who will receive support and those who will not. It is considered that the policy and guidelines proposed by this report provide a reasonable basis for the Council to operate the scheme and thereby minimise any risk that an application for Judicial Review would be successful.

Comments checked by:

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## **8.0 Decision Information**

### **Key Decision**

**Financial Threshold Met: No**

**Community Impact Threshold Met: No**

## Wards Affected

All

## Links to Corporate Plan and Policy Framework

Corporate Priorities: Sound budgets and customer focused council.

## Lead Councillor

Councillor Tony Illott, Lead Member for Financial Management.

## Document Information

Appendix No	Title
1	Draft Discretionary Grant policy
Background Papers	
None	
Report Author	Belinda Green Operations Director CSN Resources
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## Discretionary Business Grant Fund Policy

### Background to policy

1. The government has announced a Discretionary Business Grant Fund to be targeted at small businesses that have high fixed property related costs but are not eligible for the current Small Business Grant Fund or Expanded Retail Discount Grant Fund.
2. Cherwell District Council has been awarded just under £1.2m to distribute to eligible businesses. The Government has confirmed that Council is unable to exceed this level of funding. The government has set some national criteria which the Council must follow in terms of which businesses it can support but has given limited discretion to local authorities to determine which businesses to support within those criteria. In determining this policy, the Council has sought to balance the amount of overall money it has received to distribute, with the number of businesses it can support.

### Government guidance

3. The government has set the following criteria that a business must meet in order to be eligible to apply (not necessarily be granted) for the Discretionary Business Grant Fund:
  - Must be a Small or Micro businesses, as defined in Section 33 Part 2 of the Small Business, Enterprise and Employment Act 2015 and the Companies Act 2006 (see points 4 and 5 below)
  - Businesses with relatively high ongoing fixed property-related costs
  - Businesses which can demonstrate that they have suffered a significant fall in income due to the COVID-19 crisis
  - Businesses which occupy property, or part of a property, with a rateable value or annual rent, annual mortgage payments below £51,000 (where a rateable value exists this will be the figure used)
  - The business must have been trading on 11 March 2020

- The business must not have been eligible or received a grant from the existing grant scheme or other support schemes - please refer to the Council's website prior to applying if you are unsure which grant scheme you might be eligible for
4. Under the Companies Act 2006, a **Small business** must satisfy two or more of the following requirements in a year:
    - Turnover: Not more than £10.2 million
    - Balance sheet total: Not more than £5.1 million
    - Number of employees: a staff headcount of less than 50.
  5. Under the Companies Act 2006, a Micro business must satisfy two or more of the following requirements:
    - Turnover: Not more than £632,000;
    - Balance sheet total: Not more than £316,000;
    - Number of employees: a staff headcount of not more than 10.
  6. The government criteria can be seen in full here:  
[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/885011/local-authority-discretionary-grants-fund-guidance-local-government.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/885011/local-authority-discretionary-grants-fund-guidance-local-government.pdf)

### Eligibility

7. This grant funding is for businesses that are not eligible for other support schemes. Businesses which have received cash grants from any central government COVID-related scheme are ineligible for funding from the Discretionary Business Grants Fund. Such grant schemes include but are not limited to:
  - Small Business Grant Fund
  - Retail, Hospitality and Leisure Grant
  - The Fisheries Response Fund
  - Domestic Seafood Supply Scheme (DSSS)
  - The Zoos Support Fund
  - The Dairy Hardship Fund.
8. Businesses who have applied for the Coronavirus Job Retention Scheme and the Self-Employed Income Support Scheme **are** eligible to apply for this scheme.

9. Companies that are in administration, are insolvent or where a striking-off notice has been made are not eligible for funding under this scheme.
10. In addition to the criteria above the government has also asked the Council to prioritise the following types of business.
  - Small businesses in shared offices or other workspaces. Examples could include units in industrial parks, science parks and incubators which do not have their own business rates assessment;
  - Regular market traders with fixed building costs, such as rent, who do not have their own business rates assessment;
  - Bed & Breakfasts which pay Council Tax instead of business rates; (please see definition)
  - Charity properties in receipt of charitable rates relief which would otherwise have been eligible for Small Business Rates Relief or Rural Rate Relief and are not eligible for a grant through the Expanded Retail Discount Relief scheme.
11. Government has made it clear that this list is not exhaustive but is intended to guide local authorities and that the Council has the discretion to issue grants to businesses not covered by the above list but that we **do not** have discretion to help businesses that don't meet the criteria set out under the national criteria or eligibility criteria list.

### Guiding Principles

12. It is recognised that each local authority area will have its own specific economic make up and that need will be different in each area. The council anticipates that the demand for the discretionary grants will be greater than the amount of money we have received from government and as such it is important that we clearly set out the principals that will guide the council in determining which businesses it is able to help and which it will not.
13. The goal is to try and support as many businesses as possible with the money received from government while keeping the individual grant amounts high enough that they will provide meaningful support to those businesses.
14. The council recognises through its experience in administering the current grants scheme and through its knowledge of the local economy that certain business types that are particularly prevalent in the district have not been eligible for support under the existing grant scheme. As such the Council has made the decision to include them within the discretionary element of this scheme. The Council is also aware that businesses may have been awarded an OXLEP Business Resilience Grant and this will be taken into consideration in the Discretionary Grant decision making process.

### Categories of business

#### **Category A**

Priority businesses as outlined in the government guidance including:

1. Small micro businesses in shared offices or other workspaces who do not have their own business rates assessment
2. Regular market traders with fixed building costs, such as rent, who do not have their own business rates assessment
3. Bed and breakfast which pay Council tax instead of business rates
4. Charity properties in receipt of charitable business rates relief which would otherwise have been eligible for Small Business Rates Relief or Rural Rate Relief

#### **Category B**

Small businesses with a RV of under £51,000 whose business relates to retail, hospitality or leisure, and not eligible for SBRR or expanded retail relief.

#### **Category C**

Businesses that do not fall into the above categories but have been identified as suffering exceptional hardship due to ongoing fixed property related costs and which support the wider business strategic priorities for Cherwell. This category will be at the discretion of the Council and can only be considered if there is adequate funding remaining

15. It is important to note that this grant scheme is per business not per hereditament (property). Businesses with more than one property will only be eligible for one grant. If a business received a grant under the Small Business Rate Relief or Extended Retail Discount Relief scheme for other properties, they **will not** be eligible for this grant, as per the government guidelines.

#### How much is available?

16. The Council has received just under £1.2m in additional funding from the government to facilitate this Discretionary Business Grant Fund scheme. It is the intention of the Council to facilitate this scheme within that total amount without additional local top up which would be unaffordable for a District Council.
17. How much a business receives will depend on their specific circumstances with a maximum cap of £10,000 for any one business. The main factor considered in the determination of the grant payable will be:

- ongoing property related costs
- the financial impact of the Covid 19 crisis.

While the maximum cap is £10,000 grants will range from £2,500 up to £10,000. The Council reserves the right to change the amount of grant awards depending on the number of applications received.

### Application process

18. It is not possible for the Council to quantify how many businesses are in our area which will potentially meet the criteria set out in the policy. The reason for this is that the council does not hold enough data on how many businesses may fall into these categories. Therefore, to process applications on a first come first served basis may lead to some businesses with greater need missing out on a grant because the money allocated by government becomes fully committed. The Council believes this is unfair and that it is important that the money is allocated based on need not those quickest to make an application.
19. To overcome this issue the Council will launch a 14-day window for businesses that think they may be eligible for the grants under this scheme to lodge an application with relevant supporting documents. Once the 14-day window has expired the Council will review the applications against the criteria set out above. If the number of grants applied for does not exceed the amount of funding available, then all eligible grants will be paid subject to a validation process . If the number of valid applications exceeds the amount of funding available, applications will be determined based on need. The definition of 'need' in this case will be businesses with a higher % of turnover that is used for property related costs and the businesses with a higher % of dropped revenue which will be evidenced.
20. The Council has created an online form for applications, this is the only mechanism through which the Council will accept applications. For businesses who do not have access to the internet, please contact us and the Council will be able to assist you by sending a paper form. You will need to provide documentary evidence to support your application, so please ensure you have collated relevant documentation prior to seeking support from the Council.
21. It will be important that you provide all the information accurately and truthfully and provide all the supporting documents that are requested. Failure to do so could lead to your application being declined or significantly delayed.
22. Once the 14-day application window has closed, the Council will seek to reach a decision within 10 working days of receipt of all the required information, payments usual take 3 working days to arrive in accounts.
23. If there is additional funding remaining after the first round, the Council will open additional funding rounds.
24. You must answer all the questions honestly when completing your application, if the Council suspects any business is trying to fraudulently claim the grant, it will

investigate accordingly. Where evidence of fraud is present, we will prosecute the offending business.

### Appeals Process

25. There is no right to appeal, and the decision of the Council is final.
26. The Council's interpretation of this document is at its own discretion and it will be the final arbiter of the definitions contained within this policy.
27. This scheme is not intended to cover all businesses that have not been included in the initial government grant scheme. There are other avenues of support that businesses have available through the other government schemes.

### State Aid

28. The United Kingdom left the EU on 31 January 2020, nonetheless under the Withdrawal Agreement the State aid rules continue to apply during a transition period, subject to regulation by the EU Commission. The local authority must be satisfied that all State aid requirements have been fully met and complied with when making grant payments, including, where required, compliance with all relevant conditions of the EU State aid De-Minimis Regulation, the EU Commission Temporary Framework for State aid measures to support the economy in the current COVID-19 outbreak, the approved COVID-19 Temporary Framework for UK Authorities, and any relevant reporting requirements to the EU Commission.
29. The Council will require each business to confirm that by accepting the grant payment, the business confirms that they are eligible for the grant scheme, including that any payments accepted will follow State aid requirements.

### Tax

30. Grant income received by a business is taxable therefore funding paid under the Discretionary Business Grants Fund will be subject to tax. Only businesses which make an overall profit once grant income is included will be subject to tax.

### What evidence will I need to provide?

31. The Council is relying on businesses to be honest and open with the Council and present to us their evidence of need and eligibility for the Discretionary Business Grant Fund.



32. As part of your application you will need to provide the following information as appropriate. The Council may request further information to support your claim.

Information	Evidence Required	Comment
Payment details	Copy of bank statement clearly showing bank account name, business address, sort code and account number and a utility bill clearly showing your business address	This must match the name of the business or individual listed on the business rates bill or lease/mortgage agreement
Evidence of ongoing Rental or Mortgage costs or other fixed property related costs	You will need to provide a copy of your current lease agreement or mortgage agreement	This must clearly show the financial contribution you are required to make as part of the agreement
Evidence you are a small or micro business	This will be done by way of self-declaration on the online application form	Please see points 4 and 5 for definitions
Evidence of a significant fall in income due to Covid-19	You will need to provide evidence of reduced income.	Where a company was not trading in April 2019, we will accept another month's turnover. It is at the businesses discretion what form this evidence takes but it must clearly show the turnover of the businesses for these periods
Evidence of trading on 11 March 2020	Where you have a business rates account this will be enough as the date liable will be used. For businesses that are not rated you will need to provide evidence.	This could be in the form of stock orders (pre dating 11 March 2020), lease agreements etc.
Evidence of eligibility under State aid rules	This will be done by way of self-declaration on the online application form	If you are unsure whether State aid applies to your business, you will need to seek independent legal advice.

### Definitions

33. "Relatively high fixed property related costs" – this relates to your mortgage or rental cost associated (including bills) with your property.
34. "Significant fall in income" – you must be able to demonstrate the fall in income is related to Covid-19, "significant" for the purpose of this scheme will mean a drop of 25% or more when comparing turnover for April 2019 to April 2020. Where income has dropped less than 25% but you are able to demonstrate a significant increase in costs due to Covid-19, then this will also be considered.

35. “Bed and Breakfast” - you will need to be registered as a food businesses with the Council to be eligible as a Bed and Breakfast. Airbnb’s that do not serve breakfast and not registered with the Council as a food business are specifically excluded from this scheme.

### Data Protection

36. The Council treats all its information that it holds on file with the upmost care and confidentiality. For more on our Privacy Policies and to see how we use and share your data, please see our website

### Right to Update this Policy

37. The Council reserves the right to update and change this policy without notification or prior warning in the event that the government updates or changes its guidance to us or in the event of an error or omission.

## Cherwell District Council

### Executive

01 June 2020

<p><b>Monthly Performance, Risk and Finance Monitoring Report – March 2020</b></p>
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### Report of Director of Finance and Head of Insight and Corporate Programmes

This report is public

#### Purpose of report

This report summarises the Council's Performance, Risk and Finance monitoring position as at the end of each month.

#### 1.0 Recommendations

The meeting is recommended:

- 1.1 To note the monthly Performance, Risk and Finance Monitoring Report.
- 1.2 To note the expected costs and loss of income expected relating to Covid-19 in the first quarter of 2020/21.
- 1.3 To consider and approve carry forward requests from 2019/20 to 2020/21 totalling £217,000.

#### 2.0 Introduction



- 2.1 The Council is committed to performance, risk and budget management and reviews progress against its corporate priorities on a monthly basis.
- 2.2 This report provides an update on progress made so far in 2019-20 to deliver the Council's priorities through reporting on Performance, the Leadership Risk Register and providing an update on the financial position.
- 2.3 The Council's performance management framework sets out the key actions, projects and programmes of work that contribute to the delivery of the 2019-20 business plan and the priorities of the Council. These measures and key performance indicators are reported on a monthly basis to highlight progress, identify areas of good performance and actions that have been taken to address underperformance or delays.


- 2.4 As part of monthly reporting the Insight Team provides the Senior Management Team with a complaints report, as part of this report complaints received are monitor and analysed. The mandatory lessons learned has been implemented for more than a year now and we are starting to see a decrease in the number of upheld complaints. Lessons learned are reported to CEDR and progress is monitored to ensure actions are implemented to avoid the same complaint being reported. During this year we have seen a 17% reduction in the number of upheld Stage 1 complaints and a 20% decrease for Stage 2 in comparison with previous financial year 2018/19.
- 2.5 The Council maintains a Leadership Risk Register that is reviewed on a monthly basis. The latest available version of the risk register at the date this report is published is included in this report.
- 2.6 The Report details section is split into three parts:
- Performance Update
  - Leadership Risk Register Update
  - Finance Update
- 2.7 There are three appendices to this report:
- Appendix 1 - 2019/20 Business Plan
  - Appendix 2 - Monthly Performance Report
  - Appendix 3 - Leadership Risk Register

### 3.0 Report Details

#### Performance Update

- 3.1 The Council's performance management framework sets out the key actions, projects and programmes of work that contribute to the delivery of the 2019-20 business plan (see Appendix 1) and the priorities of the Council.
- 3.2 The 2019-20 business plan set out three strategic priorities:
- Clean, Green and Safe.
  - Thriving Communities and Wellbeing.
  - District of Opportunity and Growth.
- 3.3 This report provides a summary of the Council's performance in delivering against each strategic priority. To measure performance a 'traffic light' system is used. Where performance is on or ahead of target it is rated green, where performance is slightly behind the target it is rated amber. A red rating indicated performance is off target.

Colour	Symbol	Meaning for Business Plan Measures	Meaning for Key Performance Measures (KPIs)
Red		Significantly behind schedule	Worse than target by more than 10%.
Amber		Slightly behind schedule	Worse than target by up to 10%.

Green		Delivering to plan / Ahead of target	Delivering to target or ahead of it.
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Priority: Clean, Green and Safe.

- 3.4 The Council is committed to protecting the natural environment and ensuring the character of the district is preserved and enhanced. Our commitment included working to ensure the district has high standards of environmental cleanliness and greater waste and recycling services. Maintaining the district as a low crime area is another key part of this priority and the Council is committed to working in partnership to deliver against this objective.
- 3.5 Overview of our performance against this strategic priority:

**Protect the Built Heritage** is reporting Amber for March and Year to date. The Conservation team continue to work closely with Development Management on cases of heritage interest. The Conservation Area Appraisal programme is ongoing. Nine Conservation Area Appraisals are in progress. Eight have been subject to public consultation and another is being drafted. Several heritage guidance notes are also being prepared. The Team intend to complete as many as possible as soon as possible while maintaining its service to Development Management and continuing the transition to remote working.



**Supporting community safety** - The Community Wardens continue to operate in the community, in particular to support the new measures seeking to reduce the spread of COVID-19. Supporting Thames Valley Police efforts to make sure Social distancing rules are followed by residents.

**% Waste Recycled & Composted** is reporting Amber for March and Year to Date. The recycling rate for the year was 55.7%, 0.3% short from our 56% target, but still a 1% more than the previous year.



Priority: Thriving Communities and Wellbeing

- 3.6 The Council is committed to supporting our communities to thrive and to promoting the wellbeing of our residents. This priority includes supporting health and wellbeing, improving leisure facilities and delivering leisure activities and working in partnership with voluntary organisations to deliver services in a manner that safeguards children, young people and vulnerable adults. Another key aspect of this priority is preventing homelessness, the delivery of affordable housing and improving the condition of residential properties.

Overview of our performance against this strategic priority:

**Number of visits / usage of District Leisure Centres** - is reporting Red for March and Green for Year to Date. Usage numbers are lower than expected for March 2020 against the same period last year. This is primarily due to the closure of both the Leisure Centres from Saturday 21st March and the Joint Use Leisure Facilities from Friday 20th March. The usage for March 2020 was 89,103, however this doesn't include the figures for the Joint Use Centres as these are held on paper copy at the individual sites and therefore, haven't been received. There has been a reduction in users at Spiceball irrespective of the closure due to the difficulties with car parking and easy access to the Centre.

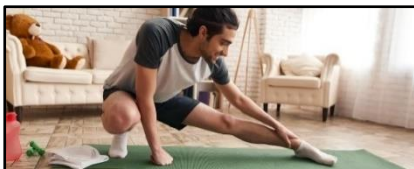


**Number of people helped to live independently through use of DFG & other grants/loans** – The Team provided assistance to a total of 73 households in March; 31 by means of completed disabled adaptations grants (larger jobs) and 42 through smaller works. For the year as a whole that meant we helped 642 vulnerable and disabled households against our annual target of 540.

**Number of Homeless Households living in Temporary Accommodation** - is reporting Red for March and Green for Year to Date. On instruction from MHCLG due to the COVID-19 crisis local authorities have been required to accommodate all those who were rough sleeping or at risk. This has resulted in an unprecedented rise in presentations from single people for placements. As well as 22 families now placed in self-contained temporary accommodation as of 9/4/20 an additional 26 single people have been placed. Additional units of accommodation have been acquired in local hotels and guest houses over and above the normal emergency provision. It is expected demand will increase as the current lockdown continues and further placements are needed.



**Promoting Health and Wellbeing** - March presented a range of new challenges generated by the COVID-19 pandemic. Communities have shown their resilience and neighbourliness. Cherwell Districts wellbeing team have engaged with a wide range of partners and activated community networks to relieve hardship and enable residents to maintain their health and wellbeing.



**Homes improved through enforcement action** - is reporting Red for March and Green for Year to Date. Enforcement actions were concluded at 5 homes in March (including 3 where energy efficiency works were undertaken in response to proactive Minimum Energy Efficiency Standards (MEES) interventions). Although work during the month was interrupted by changes to safe working arrangements caused by the COVID-19 epidemic, we were still able to achieve a total of 111 homes improved during the year, exceeding our target of 108.



**Supporting the voluntary sector** - Residents are receiving the support they need from a variety of voluntary, charitable, community and faith based organisations. This shows the breadth and depth of the support Cherwell District Council gives these organisations and the understanding of their critical place in maintaining community. The Sunshine Centre, The Hill and Banbury Mosque have distributed activity bags to targeted families in the Brighter Futures areas in Banbury, Citizens Advice Community Connect service (the volunteer drivers' scheme) has been repurposed to be an emergency food delivery service, Age UK are operating a telephone line for elder isolated or anxious residents to be able to talk to someone. Community Halls have closed, and new groups are forming to help neighbours. OCVA (Oxfordshire Community and Voluntary Action) are providing "Oxfordshire All In"; a digital platform to map these new groups and existing ones, and act as a channel of information and support. Prescription delivery services have been set with running and cycling clubs in Banbury and Bicester, with a similar service being provided by KASA Community Help in Kidlington, to ensure that vulnerable residents who are self-isolating are able to get their routine medicines.



**% of Business Rates collected, increasing NNDR Base** - is reporting Red for March and Amber for Year to Date. Having achieved 98.49% against a target of 98.5% on collection rates, the shortfall equated to approx. £10k. Reminder and final notices were issued week commencing 16 March however we have now experienced a large amount of direct debit cancellations from companies unable to pay their March instalment on either 18 or 25 March. Whilst we had been proactively calling out it is not appropriate to chase money whilst businesses are experiencing hardship due to COVID-19.



**Homelessness Prevention** - is reporting Amber for March and Green for Year to Date. The COVID-19 pandemic has required the Cherwell District Council's housing team to stay at home and adopt new working arrangements the unprecedented demand from single applicants presenting themselves as homeless, has required the team to focus on responding to this immediate crisis situation. The ability to deliver a fully focused prevention service is curtailed, although Options Officer continue to provide the best service possible.

Priority: District of Opportunity and Growth

- 3.8 The Council is committed to developing the local economy, promoting inward investment and delivering sustainable growth. This priority also contributes towards making great places to live, work, visit and invest through economic development and working in partnership to deliver strategic transport infrastructure projects.
- 3.9 Overview of our performance against this strategic priority:

**Deliver Innovative and Effective Housing Schemes** - is reporting Amber for March and Year to Date. The remaining 9 Hope Close completions were due to happen in the next 3 months. One has had to withdraw as they lost their job but the remaining 8 are still interested. Our solicitors have proposed exchanging contracts with a long stop completion date in December 2020 to secure the sales. These are being progressed with the purchasers if they are in agreement.

**Deliver the Local Plan** - The Partial Review of the Local Plan modifications were approved by the Council on 24 February 2020 and submitted to the planning Inspector the following day. Officers are awaiting the Inspector's final report. An updated Local Development Scheme - the programme for the preparation of future planning policy documents - was approved by the Executive on 2 March 2020. The LDS includes timetables for the completion of the Local Plan Partial Review, work on the Oxfordshire Plan 2050, a new district-wide Local Plan Review, a Banbury Canalside Supplementary Planning Document (SPD) and a potential Community Infrastructure Levy. The Planning Policy team intends to work as close to business as usual as possible during the COVID-19 outbreak and have commenced work to deliver this programme.



**Promote the district as a tourist destination** - is reporting Amber for March and Year to Date. Membership and day-to-day liaison with Experience Oxfordshire, which promotes Cherwell as a visitor destination. We have identified the need for the Visitor Economy sector to be supported through the COVID-19 pandemic.

**Develop a Cherwell Industrial Strategy** - is reporting Amber for March and Year to Date. A draft strategy is planned for consultation in Summer 2020, but this timeline is under review because of the current need for staff engagement with the business community in response to COVID-19. CIS links to the Oxfordshire Local Enterprise Partnership (OxLEP) Local Industrial Strategy which is a key and underpinning component of the Oxfordshire Housing and Growth Deal (Productivity workstream).



**Promote Inward Investment and Business Grow** - is reporting Amber for March and Year to Date. Due to the COVID-19 pandemic, Cherwell Business Awards (CBA) shortlisting has been postponed and the final, scheduled for 15 May 2020, has been rescheduled to 20 November 2020. CDC is in close liaison with colleagues at local authorities in Oxfordshire and at OxLEP and Government departments to ensure support to businesses during the COVID-19 pandemic. Cherwell District has 97% superfast broadband coverage of premises (with a download speed greater than 24mbps). CDC continues to work with Oxfordshire County Council towards delivering 100% coverage and raising the standard to 'full fibre' (1gbps) to enable 5G mobile technology through an emerging Digital Partnership.

**Develop Our Town Centres and Increase Employment at Strategic Sites** - is reporting Amber for March and Year to Date. Continued support provided to Banbury BID (Business Improvement District) in the completion of its Year Two business plan. We are supporting the BID and its members during the COVID-19 pandemic. Following the Bicester Town Centre





workshop in June 2019, a task group of volunteers has been working on a plan for the town centre. The planned feedback event scheduled for March 30 has been postponed and will be rescheduled for later this year.

**Maintain the 5 Years Land Supply** is reporting Amber for March and Year to Date. The 2019 Annual Monitoring Report (AMR) reports a dip below 5 years (to 4.6 years). However, housing delivery in 2018/19 was high (1489 homes) and the Government has provided the Oxfordshire authorities with a 3 year flexibility while the Oxfordshire Plan is produced. In view of the current national situation with COVID-19, there will be a need to review projections for future housing delivery. Government advice on meeting current national targets may be required in due course. Officers will seek to engage with the development industry to understand the position of homebuilders and to inform economic recovery measures.

Net additional Housing Completions is reporting Red for March and Year to Date. Due to the COVID-19 emergency no provisional net housing completions for Q4 can be provided yet. Following Government advice, officers are only undertaking site visits where essential to maintain planning services. The completion of 272 net new homes in Q4 would enable the local plan requirement to be met. Officers have commenced desk based monitoring work and will seek to engage with homebuilders to produce a Q4 return as soon as possible. The approach to housing monitoring and site visits will be kept under review having regard to public health advice.

### Summary of Performance

- 3.10 The Council reports on performance against 21 business plan measures monthly and 17 key performance indicators on a quarterly basis. The full details, including commentary against each measure and key performance indicator can be found in Appendix 2.

<b>Business Plan Measures and Key Performance Indicators (38)</b>					
<b>Status</b>	<b>Description</b>	<b>March</b>	<b>%</b>	<b>YTD</b>	<b>%</b>
Green	On target	22	58%	27	71%
Amber	Slightly off target	11	29%	10	26%
Red	Off target	5	13%	1	3%

### Risk Update

- 3.12 The Council maintains a Leadership Risk Register that is reviewed on a monthly basis. The latest available version of the risk register at the date this report is published is included in this report.
- 3.13 The heat map below shows the overall position of all risks contained within the Leadership Risk Register.

<b>Risk Scorecard – Residual Risks</b>						
		Probability				
		1 -	2 - Unlikely	3 - Possible	4 - Probable	5 - Highly Probable
Impact	5 - Catastrophic			L09	L19 & L20	
	4 - Major			L04, L07, L08, L10, L11, L12 & L18	L01	
	3 - Moderate		L16	L02, L05, L14, L18 & L21	L15	
	2 - Minor					
	1 - Insignificant					

3.14 The table below provides an overview of changes made to the Leadership Risk Register during the past month. Any significant changes since the publication of the report will be reported verbally at the meeting.

Leadership Risk	Score	Direction	Latest Update
L01 Financial Resilience	16 High risk	↑	Risk reviewed 19/05 - Residual impact score increased from 3 to 4, comments updated.
L02 Statutory functions	9 Low risk	↔	Risk Reviewed 19/05 – No changes.
L04 CDC Local Plan	12 Medium risk	↔	Risk Reviewed 19/05 – No changes.
L05 Business Continuity	9 Low risk	↔	Risk Reviewed 19/05 – Comments updated.
L07 Emergency Planning	12 Medium risk	↔	Risk Reviewed 19/05 – No changes.
L08 Health & Safety	12 Medium risk	↔	Risk Reviewed 19/05 – Mitigating actions and comments updated,
L09 Cyber Security	15 Medium risk	↔	Risk Reviewed 19/05 – Mitigating actions updated.
L10 Safeguarding the Vulnerable	12 Medium risk	↔	Risk Reviewed 16/05 – No changes.
L11 Sustainability of Council owned companies and delivery of planned financial and other objectives.	12 Medium risk	↔	Risk Reviewed 19/05 – Mitigating actions and comments updated.
L12 Financial sustainability of third-party suppliers including contractors and other partners	12 Medium risk	↔	Risk Reviewed 19/05 – No changes.
L14 Corporate Governance	9 Low risk	↔	Risk Reviewed 19/05 – Controls updated.
L15 Oxfordshire Growth Deal	12 Medium risk	↔	Risk Reviewed 18/05 – Risk description, potential impact, controls, mitigating actions and comments updated.
L16 Joint Working	6 Low risk	↔	Risk Reviewed 20/05 – No changes.
L17 Separation	9 low risk	↑	Risk Reviewed 20/05 – Residual slightly elevated and comments updated.

L18 Workforce Strategy	9 Medium risk	↑	Risk Reviewed 20/05 – Residual slightly elevated, Controls and mitigating actions updated.
L19 Covid19 Community and Customers	16 High risk	↓	Risk Reviewed 20/05 – Residual risk slightly reduced (from 5 to 4) Controls and mitigating actions updated.
L20 Covid19 Business Continuity	20 High Risk	↔	Risk Reviewed 20/05 – No change.
L21 Post Covid-19 recovery	9 Low Risk	New	Risk added 20/05/20

During April the leadership risk register had 4 score changes, LO1 Financial Resilience (from 12 to 16), L17 Separation (from 6 to 9), L18 Workforce Strategy (from 6 to 9) and L19 Community & Customers (from 20 to 16). For details please go to Appendix 3 Leadership Risk Register.

### 3.15 Finance Update (Covid19 and Revenue Outturn)

#### Covid19 Impact

- 3.16 The estimated financial impact arising from Covid-19 in the first quarter of 2020/21, on the assumption that a lockdown continues to June 2020 is set out below. The financial impact for 2020/21 is reflected in additional costs, loss of income and expected slippage in the delivery of savings. It is expected that there will be a financial impact beyond the initial lockdown period and into 2021/22.

On 19 March 2020, the Secretary of State for Local Government announced funding of £1.6bn for local government. The distribution of this funding was based predominantly on the Adult Social Care relative needs formula, therefore the Council only received £67k. Further grant funding of £8k has also been provided relating to Homelessness.

A second tranche of £1.6bn was announced on 18 April 2020. The allocation for the Council is £1.5m. This tranche of funding has been distributed using a per capita basis, which results in a significantly higher allocation than the first tranche of funding and was paid in mid May 2020.

The Ministry for Housing Communities & Local Government (MHCLG) require regular returns from Councils on their Covid19 financial impacts which, along with feedback from various bodies such as the District Council Network (DCN) and the Society of District Council Treasurers (SDCT), will help inform funding requirements.

As the financial impact beyond an expected lockdown period to June is still an approximation due to the uncertainty of what shape recovery has, this report focuses on the more certain costs and loss of income in the April to June period alone. However, it is recognised that the financial impact beyond June will be significant.

The table below sets out in the format required by MHCLG, the estimated financial impact for the period April to June with details set out in the following paragraphs.

Total costs and loss of income for this period alone are £2.1m, compared to grant funding of just under £1.6m. This leaves a shortfall in grant funding of £0.5m for the three-month period to June alone.

In addition to the costs and loss of income, it is likely that the significant disruption to business as usual will have an impact on the ability to fully deliver savings planned during 2020/21. In addition to the impact for April to June, early estimates indicate the financial impact could be as high £4.7m for the financial year to March 2021. This would leave a shortfall in grant funding of £3.1m for the year.

Furthermore, there is expected to be an ongoing impact into 2021/22 due to reduced income from council tax and business rates as well as a potential on-going increase in demand relating to homelessness and the ongoing impact of any savings planned for 2020/21 which are not delivered. Scenarios are being modelled which will be used to shape the early assumptions used for the Budget and Medium-Term Plan.

Service Expenditure	April - June £m
Housing (excluding HRA)	0.177
Cultural and Related	0.288
Environmental & Regulatory Services	0.075
Finance & Corporate	0.114
Other	0.102
<b>Total Expenditure</b>	<b>0.756</b>
Income	
Sales, fees and charges	0.723
Other	0.624
<b>Total Income</b>	<b>1.347</b>
<b>Total Impact</b>	<b>2.103</b>

Housing - Estimated cost covers the cost of temporary accommodation relating to homelessness.

Cultural & Related – Includes potential costs relating to leisure services during period of closure.

Environmental & Regulatory Services – Estimated cost relating to agency staff and overtime in waste services to allow for continued operation of collection services.

Finance & Corporate – Additional ICT costs to enable home working plus additional agency staffing costs in finance due to extension in final accounts preparation.

Other Costs – Includes potential costs of dilapidation works across the property estate if they cannot be recovered from tenants.

Sales, Fees & Charges – Expected losses of income from for example, commercial tenancies, car parking and waste.

Other Income – Expected losses of income from street market closures, catering services and land charges.

Regular reports on the impacts of Covid19 and the wider impacts on the finances of the Council will be brought to members as part of the regular monitoring, the first of which is anticipated at the end of the first quarter.

### 3.17 Revenue Outturn Position

The Council is reporting a draft final outturn for 2019/20 of a £1.3m underspend, assuming £0.2m of carry forwards requests are approved as part of this report. This is a small increase of underspend of £98k since the previous report.

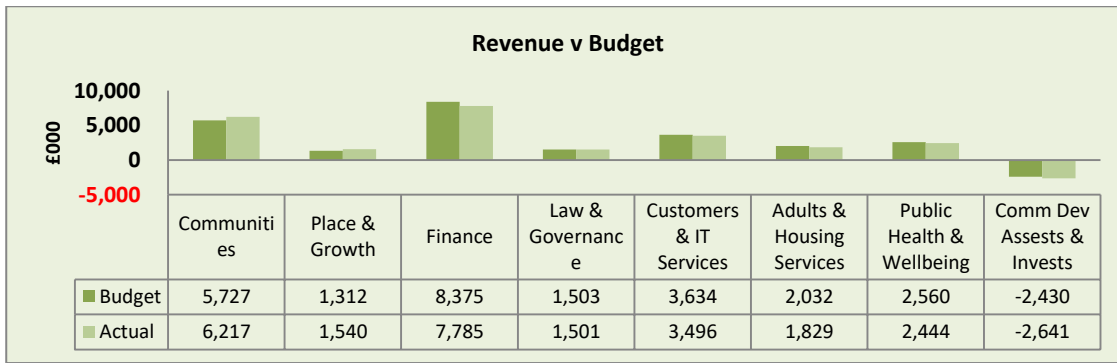
In summary the Council saw an overspend of £126k across the directorates, which is a reduction of £548k from the end of February. Some of the key factors for this reduction include a reduction in Planning legal and consultancy costs of £150k, Housing income increasing by £78k and Healthy Place Shaping costs reducing by £160k. The Council continued to benefit from advantageous interest rates earlier in the year which has generated additional income of £1.3m.

The table below summarises the position across the Council. Due to completion of the statutory accounts process the figures included in this report are potentially subject to change. The capital outturn for 2019/20 will be reported to the Executive at its next meeting.

Revenue Monitoring	Budget £000	Outturn excluding C/F request £000	Carry Forward requests £000s	Outturn including C/F request £000	Current Month Variances £000	Prior Month Variances £000	Movement from last month £000s
Communities	5,727	6,180	37	6,217	490	553	-63
Place and Growth	1,312	1,540	0	1,540	228	387	-159
Finance	3,611	3,689	0	3,689	78	37	41
Law & Governance	1,503	1,446	55	1,501	-2	0	-2
Customers and Organisational Development	3,634	3,421	75	3,496	-138	-35	-103
Adults and Housing Services	2,032	1,829	0	1,829	-203	-130	-73
Public Health and Wellbeing	2,560	2,444	0	2,444	-116	10	-126
Com Dev Assets and Invests	-2,430	-2,691	50	-2,641	-211	-148	-63
<b>Total Directorates</b>	<b>17,949</b>	<b>17,858</b>	<b>217</b>	<b>18,075</b>	<b>126</b>	<b>674</b>	<b>-548</b>
Executive Matters	4,764	3,456	0	3,456	-1,308	-1,847	539
<b>Total Cost of Services</b>	<b>22,713</b>	<b>21,314</b>	<b>217</b>	<b>21,531</b>	<b>-1,182</b>	<b>-1,173</b>	<b>-9</b>
<b>Total Income</b>	<b>-22,711</b>	<b>-22,800</b>	<b>0</b>	<b>-22,800</b>	<b>-89</b>	<b>0</b>	<b>-89</b>
<b>(Surplus)/Deficit</b>	<b>2</b>	<b>-1,486</b>	<b>217</b>	<b>-1,269</b>	<b>-1,271</b>	<b>-1,173</b>	<b>-98</b>

### Summary of Carry Forward Requests

<u>Service Area and description</u>	<b>£000s</b>
<b>Law and Governance</b> - to top up the District Election reserve	55
<b>Digital and IT</b> - IT Support for SNC/CDC split	60
<b>Human Resources</b> - Midland HR implementation	15
<b>Property</b> - To fund washroom and Kitchen refurbishment	50
<b>Environmental Services</b> - funding of the Climate Change Consultant	7
<b>Regulatory Services</b> - Primary Authority contractor support services	30
	<b>217</b>



## Communities

Communities overspent by **£490k** against a budget of **£5,727k** (8.6%)

### **Growth & Economy**

The underspend is as a result of vacancies within the Economic Growth team offset by under recovery of rental income due to the delay in the opening of the Shared Ownership scheme at Hope Close.

#### **Variation**

£24k underspend

#### **Variation last month**

£35k overspend

### **Environmental Services**

The overspend in this area is made up of £445k Employee Costs - Agency Staff, Sickness, Overtime & SNC Recharge costs, £39k reduction in credit and material income. £122k Recycling Gate Fees tonnage rate per tonne increase (Dry & Glass), £48k increase in business waste tonnage but offset in part by anticipated income, (£173k) additional income for street scene repairs, S106 transfers & Grants for Country Park, £55k Increase in Management Fees & reduction in Car Park Income, £34k Increase in National Domestic Rates & Business Improvement District charges, £34k increase in contractor costs - Oxfordshire Waste & Recycling Partnership Contribution, Refuse Disposal Charge & Waste Analysis by Oxfordshire County Council, £37k landfill diversion budget issue and £18k other small overspends in supplies and transport costs. ***This position assumes the £7k carry forward request for the Climate Change consultancy to continue in to 20/21 is approved.***

#### **Variation**

£659k overspend

#### **Variation last month**

£698k overspend

### **Regulatory Services**

The underspend is attributed mainly to salary savings due to changes in structures and vacancies. Plus, higher than anticipated discretionary income has been generated. ***This outturn assumes the carry forward request of £30k for contractor support to the Health Protection and Compliance team to provide charged for services whilst also delivering core statutory work.***

#### **Variation**

£145k underspend

#### **Variation Last Month**

£180k underspend

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## Place and Growth

Place and Growth overspent by **£228k** against a budget of **£1,312k** (17.4%)

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### **Planning & Development**

#### **Variation**

£228k overspend

#### **Variation last month**

£387k overspend

The overspend has decreased by £159k from February. The majority of the movement this month is made up of delays of planned Legal and Consultancy fees £76k in Planning Policy and Development Management, £15k additional Grant Income received and £31k salary recharges to OCC not previously forecast. In overall terms the overspend is made up of £214k in Building Control due to agency staff offset by recharges to SNC being -£111k higher than budgeted, £365k in Development Management (and Tech Support) due to planning fees income being lower than budgeted £347k, additional budgeted costs related to the anticipated appeals, offset by savings made in Tech Support and staffing costs of £109k. This is offset in part by savings of -£366k of mostly Consultancy costs in Planning Policy. Going forward, the Director is continuing to explore the full implications of the overall overspend and what action can be taken.

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## Finance

Finance overspent by **£78k** against a budget of **£3,611k** (2.2%)

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### **Finance**

#### **Variation**

£78k overspend

#### **Variation last month**

£37k overspend

The overspend is made up largely by a £121k Overspend of external audit fee, recruitments costs and contractor fees and is offset in part by a (£72k) underspend in Revs & Bens due to Universal Credit introduction.

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## Law & Governance

Law & Governance underspent by **£2k** against a budget of **£1,503k** (-0.1%)

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### **Law & Governance**

#### **Variation**

£2k underspend

#### **Variation last month**

£0k underspend

***This outturn is based on the approval to carry forward £55k to top up the District Election reserve.***

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## Customers and Organisational Development

Customers & Organisational Development underspent by **£138k** against a budget of **£3,634k** (-3.8%)

<b>Customers &amp; Organisational Dev.</b>	The underspend is largely due to salary savings due to vacancies in the Communications team and the fact that a senior member of the team is shared with OCC. There is also an underspend in IT which is mainly because an invoice received in 18/19 was not recharged out to the services until 19/20. The last factor contributing to the underspend is the 16K in Human Resources which is due to a 27K invoice for an annual subscription being accrued into 20/21. The overall underspend in this service is partly offset by the overspend in Customers and Cultural Services due to under recovery of Land Charges income. The budget has been adjusted in 20/21 so it was in line with the expected recovery. <b><i>This outturn is based on the approval to carry forward £60K in IT to support SNC/CDC separation and £15K in HR to support Trent (new HR system).</i></b>
<b>Variation</b> £138k underspend	
<b>Variation last month</b> £35k underspend	

### Adults and Housing Services

Adults and Housing Services underspent by **£203k** against a budget of **£2,032k** (-10.0%)

<b>Housing &amp; Social Care</b>	The underspend is a combination of salary savings due to vacancies and savings against the Cherwell Bond Scheme due to a low level of claims made. Also contributing to the overall underspend is higher than anticipated fee income as a result of administering Disabled Facilities grants and Discretionary grants. The variance from the previous reported outturn is a result of income received by the Home Office in relation to the Vulnerable Persons Resettlement scheme that should have been recognised in 2017-18. This savings will be returned to the General Fund to offset the forward funding the council made in 2017-18.
<b>Variation</b> £203k underspend	
<b>Variation last month</b> £130k underspend	

### Public Health & Wellbeing

Public Health & Wellbeing underspent by **£116k** against a budget of **£2,560k** (-4.5%)

<b>Wellbeing</b>	<b>£134k overspend</b> - The overspend can be predominantly attributed to the compensatory payments totalling £114k paid to Parkwood Leisure as a result of loss of income due to the closure of the Spiceball pedestrian bridge during the Autumn whilst building works take place next to the leisure centre at Castle Quay Waterfront.
<b>Variation</b> £134k overspend	
<b>Variation last month</b> £10k overspend	
<b>Healthy Place Shaping</b>	It was agreed during the 20/21 budget setting process that £160k of forecast underspend would be returned to General Fund at year end. Also agreed at budget setting was the carry forward of £90k of NHS England money to support the programme during the year. This £90k was therefore built into the 20/21 budget in advance.
<b>Variation</b> £-250k underspend	
<b>Variation last month</b> £-0k underspend	



## Comm Dev Assets and Invests

Comm Dev Assets and Invests underspent by **£211k** against a budget of **£2,430k** (-8.7%)

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<b>Property</b>	The underspend arises from a variety of functions such as security, repairs and maintenance. <b><i>This outturn is based on the approval to carry forward £50k to fund washroom and Kitchen refurbishment.</i></b>
<b>Variation</b> £218k underspend	
<b>Variation last month</b> £153k underspend	

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## Executive Matters

Executive matters have underspent by **£1,308k** against a budget of **£4,764k** (-27.5%)

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<b>Interest Costs</b>	An underspend has been achieved through a lower than expected borrowing balance brought forward from 2018/19 leading to lower interest paid. In addition, slippage on capital programme resulted in less borrowing required in year, and for the borrowing undertaken, lower rates were achieved than budgeted.
<b>Variation</b> £692k underspend	
<b>Variation last month</b> £687k underspend	
<b>Interest Receivable</b>	Additional interest receivable during the year of £140k relates to a new loan to Crown House.
<b>Variation</b> £1,075k underspend	Higher than expected balances brought forward plus a small increase in interest rate give rise to additional interest receivable from Graven Hill of £715k. In addition, there is an extra £220k interest due to Bond Fee income
<b>Variation last month</b> £969k underspend	
<b>Bad Debt Provision</b>	The Council is prudently increasing its provision for doubtful debts as it seeks to recover a number of older outstanding debts during 2019/20 by a further £451k. Post the year end, the impact of Covid19 could also result in further bad and doubtful debts, therefore an increased provision seems prudent at this time
<b>Variation</b> £451k overspend	
<b>Variation last month</b> £0k	

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## **4.0 Conclusion and Reasons for Recommendations**

4.1 It is recommended that the contents of this report are noted.

## **5.0 Consultation**

5.1 This report sets out performance, risk and budgetary information from the previous month and as such no formal consultation on the content or recommendations is required.

## 6.0 Alternative Options and Reasons for Rejection

- 6.1 The following alternative options have been identified and rejected for the reasons as set out below.

Option 1: This report illustrates the Council's performance against the 2019-20 business plan. As this is a monitoring report, no further options have been considered. However, members may wish to request that officers provide additional information.

## 7.0 Implications

### Financial and Resource Implications

- 7.1 Financial implications are detailed within section 3.15 to 3.18 of this report.

Comments checked by:  
Lorna Baxter, Executive Director Finance  
[Lorna.Baxter@cherwell-dc.gov.uk](mailto:Lorna.Baxter@cherwell-dc.gov.uk)

### Legal Implications

- 7.2 There are no legal implications from this report.

Comments checked by: Nick Graham, Director Law and Governance  
[Nick.Graham@cherwell-dc.gov.uk](mailto:Nick.Graham@cherwell-dc.gov.uk)

### Risk management

- 7.3 This report contains a full update with regards to the Council's risk position at the end of the previous month. A risk management strategy is in place and the risk register has been fully reviewed.

Comments checked by: Celia Prado-Teeling, Performance Team Leader  
01295 221556, [celia.prado-teeling@cherwell-dc.gov.uk](mailto:celia.prado-teeling@cherwell-dc.gov.uk)

## 8.0 Decision Information

### Key Decision

**Financial Threshold Met:** No

**Community Impact Threshold Met:** No

### Wards Affected

All

### Links to Corporate Plan and Policy Framework

All

Lead Councillors

Councillor Richard Mould – Lead member for Performance Management  
Councillor Tony Ilott – Lead member for Finance and Governance

## Document Information

Appendix No	Title
Appendix 1	2019/20 Business Plan
Appendix 2	Monthly Performance Report
Appendix 3	Leadership Risk Register
<b>Background Papers</b>	
None	
<b>Report Author</b>	Louise Tustian – Head of Insight and Corporate Programmes
<b>Contact Information</b>	Tel: 01295 221786 <a href="mailto:Louise.tustian@cherwell-dc.gov.uk">Louise.tustian@cherwell-dc.gov.uk</a>

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# Cherwell District Council Business Plan 2019-20



DISTRICT COUNCIL  
NORTH OXFORDSHIRE



## Organisational Plan

### Operational Excellence

- Rigorous Financial Management
- Efficient and Effective Governance
- Commercial and Procurement excellence
- Continuous Improvement

### Customer Focus

- Excellent Customer Services
- Efficient and Effective Services
- Accessible services – Enabled through digitisation
- Consultation and Customer Insight

### Best Council to work for

- Employer of choice
- Employee Engagement and Wellbeing
- Culture of Learning and Development
- Sustainable relationships with key partners

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# Appendix 2 – Monthly Performance Report

## March 2020 / Quarter 4

Includes:

- Programme Measures
- Key Performance Measures (KPIs)

Key to symbols

Colour	Symbol	Meaning for Joint Business Plan Measures	Meaning for Joint Key Performance Measures (KPIs)
Red		Significantly behind schedule	Worse than target by more than 10%.
Amber		Slightly behind schedule	Worse than target by up to 10%.
Green		Delivering to plan / Ahead of target	Delivering to target or ahead of it.

**CDC Programme Measures - Clean, Green and Safe**

Measure	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
<b>CDC1.1.1 High Quality Waste &amp; Recycling</b>	Clr D Sames	Ed Potter Simon Furlong	Neighbourhood blitz events delayed due to the current situation but all regular collections maintained.	Bulky Waste bookings to reopen during April.	★	Waste & Recycling collections continuing in a steady manner despite COVID-19.	★
<b>CDC1.1.2 Ensure Clean &amp; Tidy Streets</b>	Clr D Sames	Ed Potter Simon Furlong	A34 northbound carriageway cleaned from Peartree roundabout to the entry point from Kidlington.	Continue services including dog bin emptying during the current situation	★	Service in full operation - concentrating on keeping the urban centres, local shop areas and the dog bins emptied.	★
<p align="center">Page 40</p> <p><b>CDC1.1.3 Reduce Environmental Crime</b></p>	Clr D Sames	Richard Webb Simon Furlong	<p>Activity to tackle environmental crime in March included:</p> <p>110 dog fouling patrols completed Dog fouling bags distributed 40,000 during March (and 910,000 in the year as a whole).</p> <p>27 fly-tips were assessed resulting in 10 investigations.</p> <p>22 abandoned vehicle complaints investigated.</p>	<p>Of the new fly-tips reported in March, 10 will be investigated due to their being evidence of the owner of the waste. These investigations will continue in April.</p> <p>The team will also continue to respond to reports of abandoned vehicles, waste accumulations, pest infestations and dog fouling.</p> <p>The arrival of the COVID-19 crisis saw the team classed as 'key workers' and so whilst working practices and procedures have had to be amended (working from home, social distancing, dynamic risk assessments, etc) they continue to be out-and- about in the community.</p>	★	<p>The team continue to investigate environmental crimes, being classed as 'key workers' for the duration of the COVID-19 crisis.</p> <p>This has necessitated a shift in working practices and procedures, - but the team are still out-and-about in the community - and of course complying with government guidelines.</p> <p>There were 27 new fly tips during the month and also 22 reports of abandoned vehicles which are being investigated with the intention to ensure the vehicle is removed either by the owner or by us if necessary.</p>	★



**CDC Programme Measures - Clean, Green and Safe**

Measure	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
<p><b>CDC1.1.4 Protect Our Natural Environment and Promote Environmental Sustainability</b></p> <p align="center">Page 41</p>	Cllr A McHugh	Richard Webb Simon Furlong	<p>Work is progressing on the Annual Status Report which will include a review of the 2019 diffusion tube monitoring data across the district and the report will be completed before the 30 June 2020 the deadline submission date to the Department for Environment Food and Rural Affairs.</p>	<p>To complete the Annual Status Report by the 30 June deadline.</p> <p>To review the Taxi Licensing Policy to include requirements for electric vehicles. Analysis and feedback on the proposed climate change action plan once the plan is received in early April.</p>	★	<p>Air quality monitoring continues at 42 locations across the district.</p> <p>We were unsuccessful in our bid for an air quality grant from the Department for Environment Food and Rural Affairs. The application was for portable monitoring equipment to measure nitrogen dioxide and particulate matter and promotional material including anti-idling signs. We were also part of a joint air quality grant bid with the other Oxfordshire Councils for funding to improve the county air quality website; this application was also unsuccessful.</p> <p>Climate change plans still proceeding with the draft action plan likely to be received in early April.</p>	★
			<p>Planned visit to look at electric powered refuse collection vehicles canceled due to the current situation but work continuing to reduce the emissions of the Council's vehicle Fleet.</p>				
<p><b>CDC1.1.5 Support Community Safety and Reduce Anti-Social Behaviour</b></p>	Cllr A McHugh	Richard Webb Simon Furlong	<p>Early in the month the community wardens continued normal community safety related patrols and enforcement activity.</p> <p>The Cherwell Community Safety Partnership met and continued its review of priorities. The Intensive Engagement project in Banbury commenced with training for all the partners involved in this work.</p> <p>A new youth outreach service was commissioned to start this month using knife crime surge funding from the government.</p>	<p>The team have now switched focus to supporting the new COVID-19 business closure requirements and supporting the Police to ensure social distancing requirements are maintained.</p>	★	<p>The Community Wardens continue to operate in the community, in particular to support the new measures seeking to reduce the spread of COVID-19. Community safety projects such as the intensive engagement project for Banbury have had to be suspended until community-based work can recommence.</p>	★

**CDC Programme Measures - Clean, Green and Safe**

Measure	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
<p><b>CDC1.1.6 Protect the Built Heritage</b></p> <p align="center"><b>Page 42</b></p>	Cllr C Clarke	David Peckford Paul Feehily	<p>Consultation on the review of the Bloxham Conservation Area was completed on 23 March.</p> <p>Lead Member Reports for seven of the draft Conservation Area Appraisals (Hethe, Horley, Stratton Audley, Somerton, Duns Tew, Balscote, and Ardley) have been drafted by officers and are ready for managers review.</p>	<p>Work on Conservation Area Appraisals has continued.</p> <p>Reports for seven Draft Conservation Area Appraisals (Hethe, Horley, Stratton Audley, Somerton, Duns Tew, Balscote, and Ardley) to be submitted for Lead Member approval.</p> <p>Review and amend Bloxham Conservation Area Appraisal following the closure of the consultation on 23 March.</p> <p>Continue work on the Grimsbury Conservation Area Appraisal towards consultation stage.</p> <p>Continue work on heritage guidance notes to inform Development Management officers in their assessment of planning applications.</p>	●	<p>The Conservation team continue to work closely with Development Management on cases of heritage interest. The Conservation Area Appraisal programme is on-going. Nine Conservation Area Appraisals are in progress. Eight have been subject to public consultation and another is being drafted. Several heritage guidance notes are also being prepared. The Team intend to complete as many as possible as soon as possible while maintaining its service to Development Management and continuing the transition to remote working.</p>	●

**CDC Programme Measures - Thriving Communities & Wellbeing**

Measure	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
<b>CDC2.1.1 Promote Health &amp; Wellbeing</b>	Cllr A McHugh Cllr C Clarke	Ansaf Azhar Nicola Riley	<p>Phonebox removal consultation concluded.</p> <p>Employer recognition scheme as part of the Councils commitment to the Armed Forces Community Covenant has been progressed.</p>	<p>Maintain partnerships with key Voluntary and Charitable organisations in the response to COVID-19 to ensure continued food and medicine delivery.</p> <p>Promote funding sources.</p> <p>Clear information provided to Parish Councils and residents from central government generated guidance.</p> <p>Promote ideas for active lives during the period of restricted movement.</p> <p>Promote support for maintaining mental health</p>	★	<p>March presented a range of new challenges generated by the Corona virus pandemic; communities have shown their resilience and neighborliness.</p> <p>Cherwell Districts wellbeing team have engaged with a wide range of partners and activated community networks to relieve hardship and enable residents to maintain their health and wellbeing.</p>	★
<b>CDC2.1.2 Improve Leisure &amp; Community Facilities</b>	Cllr G Reynolds	Ansaf Azhar Nicola Riley	<p>Upgraded lighting for Spiceball Leisure Centre main sports hall complete as part of climate change programme.</p> <p>All planned capital works concluded.</p>	Capital works at North Oxfordshire academy athletics provision planned for completion.	★	The Leisure centre and joint use facilities have been improved this year and usage has grown. On line booking will soon be available for when we can reopen the Leisure provision which was closed on 29th March in line with government instruction to reduce the spread of COVID-19.	★
<b>CDC2.1.3 Support the Voluntary Sector</b>	Cllr A McHugh	Ansaf Azhar Nicola Riley	<p>Many planned activities for March have been paused due to the developing COVID-19 pandemic.</p> <p>Team members have worked with partners to ensure a good supply of information, advice and guidance, coordinating efforts across the district.</p>	Collaboration with County Council colleagues and local voluntary organisations to underpin the establishment of Cherwell Community Hub.	★	<p>Residents are receiving the support they need from a variety of voluntary, charitable, community and faith based organisations. This shows the breadth and depth of the support Cherwell District Council gives these organisations and the understanding of their critical place in maintaining community.</p> <p>The Sunshine Centre, The Hill and Banbury Mosque have distributed activity bags to targeted families in the Brighter Futures areas in Banbury, Citizens Advice Community Connect service (the volunteer drivers' scheme) has been re-purposed to be an emergency food delivery service, Age UK are operating a telephone line for elder isolated or anxious residents to be able to talk to someone. Community Halls have closed, and new groups are forming to help neighbors.</p> <p>OCVA (Oxfordshire Community and Voluntary Action) are providing Oxfordshire All In, a digital platform to map these new groups and existing ones, and act as a channel of information and support.</p>	★

**CDC Programme Measures - Thriving Communities & Wellbeing**

Measure	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD	
CDC2.1.4 Enhanced Community Resilience	Cllr A McHugh	Richard Webb Simon Furlong	A workshop to develop the death process management plan was held at the beginning of March. Parish councils and community groups were advised of details of a community resilience fund they could bid into to support their community resilience planning.	The focus for the next period will be on supporting communities through the COVID-19 pandemic and ensuring that critical council services are maintained during the period of disruption to normal activity.	★	As a result of the COVID-19 pandemic the Thames Valley Emergency Response Arrangements were enacted early in March to support the partnership response to this major incident. Work has progressed through the month under existing pandemic flu plans and to create new community support structures to reflect the specific nature of this pandemic and the social isolation measures that have been introduced.  Council services are being maintained where possible and necessary, with significant new activity directed at supporting individuals, communities and businesses.	★	
Page 44	CDC2.1.5 Homelessness Prevention	Cllr J Donaldson	Gillian Douglas Stephen Chandler	After successfully securing additional grant funding Cherwell District Council has tendered for an enhanced Outreach Service to offer more intensive work with those who are rough sleeping in Cherwell and is recruiting a Single Homeless Specialist Options Officer. This position in the Housing Options Team will offer single customers focused advice and assistance to help them resolve their housing issues and address barriers which may prevent them from securing settled accommodation.	Ensure CDC secure sufficient placements to abide by MHCLG directive to place all rough sleepers or those at risk into emergency accommodation.	●	Please note recruitment has been delayed due to COVID-19 crisis.  We are also working with our partner authority Oxfordshire County Council to embed housing help in the Family Safeguarding Model that will be implemented from summer 2020 to help vulnerable families at an early stage. Please note piloting of this scheme has been delayed due to COVID-19 crisis.  The COVID-19 pandemic has required the CDC housing team to stay at home and adopt new working arrangements.  The unprecedented demand from single applicants presenting themselves as homeless, has required the team to focus on responding to this immediate crisis situation. The ability to deliver a fully focused prevention service is curtailed, although Options Officer continue to provide the best service possible.	★

**CDC Programme Measures - Thriving Communities & Wellbeing**

Measure	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
<p align="center">                     Page 45                      CDC 1.6 Support and Safeguard Vulnerable People                 </p>	<p align="center">Cllr A McHugh</p>	<p align="center">Ansaf Azhar Nicola Riley</p>	<p>The Council Tax Reduction (CTR) take-up project has now concluded with some successful outcomes including offering an awareness session to the Universal Credit (UC) team to promote CTR claims and a pro-active approach to inviting customers to claim.</p> <p>A new income banded scheme for CTR has also been introduced in the Cherwell area, this will be a simpler system for customers and will also mean that they experience fewer changes in their level of support.</p> <p>The recruitment of a new safeguarding officer has been achieved.</p> <p>After the conclusion of the Council Tax Reduction Scheme project training for UC has been offered at the Job Centre to promote claims and pro-active work to invite claims for Council Tax Reduction.</p>	<p>The team are now considering the approach and work plan we can take to support our residents throughout the months to come as we also experience an increase in customer contact and the number of new claims.</p> <p>Promoting Safeguarding e-learning for Members and staff and encouraging completion of necessary refresher training.</p>	<p align="center">★</p>	<p>We continue to award Discretionary Housing Payments in a timely way so offering support to residents who are experiencing a shortfall in their rent and protecting their tenancies.</p> <p>Throughout 2019-2020 we have worked with partners both internal and external to support some of our most vulnerable residents. A new safeguarding officer in post has renewed the focus on training and procedures.</p> <p>The safeguarding policy has been updated to reflect the latest guidance.</p>	<p align="center">★</p>

**CDC Programme Measures - Thriving Communities & Wellbeing**

Measure	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
<b>CDC2.1.7 Respond to the Welfare Reform Agenda</b>	Cllr P Rawlinson Cllr T Ilott	Belinda Green Gillian Douglas Lorna Baxter	<p>The time taken to assess new claims and change events has been excellent throughout 19-20 and Discretionary Housing Payments have been awarded to assist those in hardship including those on Universal Credit.</p> <p>We continue to work with partners to offer support to residents who are impacted by Universal Credit.</p>	<p>The next meeting of the Universal Credit project team will be held in May/June. We will continue to work with Department of Work and Pensions to support residents throughout this difficult time.</p>	★	We continue to respond to the challenges presented by the welfare reform agenda.	★
<p>Page 46</p> <p><b>CDC2.1.8 Promote Healthy Place Making</b></p>	Cllr A McHugh	Ansaf Azhar Rosie Rowe	<p>Ward profile on Ruscote finalised and included in the Joint Strategic Needs Assessment published in mid-March.</p> <p>Insight workshops with stakeholders from Banbury Grimsby postponed.</p> <p>Healthy Bicester Annual Stakeholder Meeting held on 12 March 2020 attended by 55 local stakeholders.</p> <p>First meeting of K5 Cycling Forum met and agreed priority areas for action.</p> <p>Procurement of consultant support to undertake evaluation of healthy place shaping has been completed and Public Health Action Support Team (PHAST) appointed.</p>	<p>All public facing activities now on hold.</p> <p>Project planning for K5 way finding project continues.</p> <p>Staff redeployed to support communities' team in meeting the needs of Shielded patients.</p>	●	Team have reviewed project milestones and adjusted them to reflect pause in planned public facing activities. Relationships built with local stakeholders in Bicester and Kidlington and surrounding villages has supported response to COVID-19 emergency.	★

**CDC Programme Measures - District of Opportunity & Growth**

	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
<b>CDC3.1.1 Deliver Innovative and Effective Housing Schemes</b>	Cllr J Donaldson	Gillian Douglas Stephen Chandler	8 sales now on hold due to COVID-19.	Secure exchange of contract on 8 houses at Hope Close which are ready to proceed with purchase.	●	The remaining 9 Hope Close completions were due to happen in the next 3 months. One has had to withdraw as they lost their job but the remaining 8 are still interested. Our solicitors have proposed exchanging contracts with a long stop completion date in December 2020 to secure the sales. These are being progressed with the purchasers if they are in agreement.	●
<b>CDC3.1.2 Promote the district as a tourist destination</b>	Cllr L Pratt	Robert Jolley Simon Furlong	Reviewed tourism website pages.	Review status of situation report in light of COVID-19 pandemic.	●	Membership and day-to-day liaison with Experience Oxfordshire (EO) which promotes Cherwell as a visitor destination. We have identified the need for the Visitor Economy sector to be supported through the COVID-19 pandemic.	●
<b>CDC3.1.3 Develop a Cherwell Industrial Strategy</b>	Cllr L Pratt	Robert Jolley Simon Furlong	Feedback & outputs from the engagement workshops analysed to provide input to the strategy development process.	Review progress and priorities of the Cherwell Industrial Strategy in relation to COVID-19.	●	The Cherwell Industrial Strategy (CIS) is important as a process of meaningful engagement with a range of internal and external partners as well as for its end-product. A draft strategy is planned for consultation in Summer 2020, but this timeline is under review because of the current need for staff engagement with the business community in response to COVID-19. CIS links to the OxLEP Local Industrial Strategy which is a key and underpinning component of the Oxfordshire Housing and Growth Deal (Productivity workstream).	●
<b>CDC3.1.4 Promote Inward Investment and Business Growth</b>	Cllr L Pratt	Robert Jolley Simon Furlong	Reviewed shortlisted applicants for the 2020 Cherwell Business Awards and identified interview questions.  One-to-one advice and detailed support provided to 19 businesses during March 2020.	Support Cherwell District Council's implementation of the COVID-19 Government grant schemes to local businesses.  Provide information and advice to local businesses during the COVID-19 pandemic.  Continue to provide support to potential new business investors.  Continue the development of a Digital Strategy for Oxfordshire to ensure the broadband and mobile telephone services in Cherwell are prepared for future demands.	●	Due to the COVID-19 pandemic, Cherwell Business Awards (CBA) shortlisting has been postponed and the final, scheduled for 15 May 2020, has been rescheduled to 20 November 2020.  CDC is in close liaison with colleagues at local authorities in Oxfordshire and at OxLEP and Government departments to ensure support to businesses during the COVID-19 pandemic.  Cherwell District has 97% superfast broadband coverage of premises (with a download speed greater than 24mbps). CDC continues to work with Oxfordshire County Council towards delivering 100% coverage and raising the standard to 'full fibre' (1gbps) to enable 5G mobile technology through an emerging Digital Partnership.	●

**CDC Programme Measures - District of Opportunity & Growth**

	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
<b>CDC3.1.5 Develop Our Town Centres and Increase Employment at Strategic Sites</b>	Cllr L Pratt	Robert Jolley Simon Furlong	<p>Prepared for partnership support to Banbury BID and Bicester Vision for 20/21.</p> <p>Progress was made on developing the Bicester Town Centre workshop (to be held on 30 March). The event has been postponed due to the COVID-19 Government directive.</p>	<p>Review the impact of the COVID-19 pandemic on the district's urban centres.</p> <p>Continue to maintain dialogue with urban centre partners.</p>	●	<p>Continued support provided to Banbury BID (Business Improvement District) in the completion of its Year Two business plan. We are supporting the BID and its members during the COVID-19 pandemic.</p> <p>Following the Bicester Town Centre workshop in June 2019, a task group of volunteers has been working on a plan for the town centre. The planned feedback event scheduled for March 30 has been postponed and will be rescheduled for later this year.</p>	●
Page 48	<b>CDC3.1.6 Deliver the Local Plan</b>	Cllr C Clarke	<p>The Main Modifications to the Partial Review of the Local Plan were approved by the Council on 24 Feb 2020. Officers are currently awaiting the Planning Inspector's report on the Examination of the Local Plan Partial Review.</p> <p>An updated Local Development Scheme (Cherwell's planning policy documents work programme) was approved by the Council's Executive on 2 March 2020.</p> <p>Preparatory work on the district-wide Local Plan Review and Canalside Supplementary Planning Document (SPD) has commenced in line with the LDS approved programme.</p> <p>Oxfordshire Plan 2050: the central Plan team has continued with evidence gathering and the consideration of spatial options for a future options consultation paper.</p>	<p>The Planning Policy team intends to work as close to business as usual as possible during the COVID-19 outbreak.</p> <p>Progress the Local Plan Partial Review to its adoption once the Inspector issues the final Examination report. Continue progressing Canalside SPD work towards formal consultation in September/October 2020.</p> <p>Continue progressing work on the district-wide Local Plan Review to Issues consultation stage in July-August 2020. Continue to support the work of the Oxfordshire Plan team in progressing towards an options consultation paper.</p>	★	<p>The Partial Review of the Local Plan (which seeks to help Oxford with its unmet housing need) is being independently examined. The modifications were approved by the Council on 24 February 2020 and submitted to the planning Inspector the following day. Officers are awaiting the Inspector's final report.</p> <p>An updated Local Development Scheme - the programme for the preparation of future planning policy documents - was approved by the Council's Executive on 2 March 2020. The LDS includes timetables for the completion of the Local Plan Partial Review; work on the Oxfordshire Plan 2050, a new district-wide Local Plan Review, a Banbury Canalside Supplementary Planning Document and a potential Community Infrastructure Levy. Subject to officers being well the Planning Policy team intends to work as close to business as usual as possible during the COVID-19 outbreak and have commenced work on LDS work programme by progressing the Local Plan Review to adoption, the districtwide Local Plan Review to Issues stage and Canalside SPD to formal consultation.</p>	★



**CDC Programme Measures - District of Opportunity & Growth**

	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
<b>CDC3.1.7 Deliver the Growth Deal</b>	Cllr B Wood	Robert Jolley Simon Furlong	Year Three Plans of Work for each Workstream completed.	Review to be undertaken in the light of the COVID-19 pandemic.	●	With the COVID-19 pandemic, the curtailment of construction has had a severe impact upon the delivery of accelerated housing and affordable units.  Evidence gathering for the Oxfordshire Plan is also compromised. A request has been submitted to central government to review the overall programme timescale.	●


CDC KPIs - Clean, Green and Safe

Measure	Portfolio Holder	Director/Lead Officer	Result	Target	Status	Commentary	YTD Result	YTD Target	YTD
CDC1.2.01 % Waste Recycled & Composted	Cllr D Sames	Ed Potter Simon Furlong	55.70%	56.00%	●	Recycling rate for the year was 55.7%, 0.3% short from our 56% target, but still a 1% more than the previous year.	55.70%	56.00%	●

**CDC KPIs - Thriving Communities & Wellbeing**

Measure	Portfolio Holder	Director/Lead Officer	Result	Target	Status	Commentary	YTD Result	YTD Target	YTD
CDC2.2.01 Number of Homeless Households living in Temporary Accommodation	Cllr J Donaldson	Gillian Douglas Stephen Chandler	48.00	35.00	▲	On instruction from MHCLG due to the COVID-19 crisis local authorities have been required to accommodate all those who were rough sleeping or at risk. This has resulted in an unprecedented rise in presentations from single people for placements.	323.00	420.00	★
CDC2.2.02 Number of people helped to live independently through use of DFG & other grants/loans	Cllr J Donaldson	Gillian Douglas Stephen Chandler	73.00	45.00	★	We provided assistance to a total of 73 households in March; 31 by means of completed disabled adaptations grants (larger jobs) and 42 through smaller works. For the year as a whole that meant we helped 642 vulnerable and disabled households against our annual target of 540.	639.00	540.00	★
CDC2.2.03 Homes improved through enforcement action	Cllr J Donaldson	Gillian Douglas Stephen Chandler	5.00	9.00	▲	Enforcement actions were concluded at 5 homes in March (including 3 where energy-efficiency works were undertaken in response to proactive Minimum Energy Efficiency Standards (MEES) interventions). Although work during the month was interrupted by changes to safe-working arrangements caused by the COVID-19 epidemic, we were still able to achieve a total of 111 homes improved during the year, exceeding our target of 108.	111.00	108.00	★
CDC2.2.04 Delivery of affordable housing in line with CDC and Growth Deal targets	Cllr J Donaldson	Gillian Douglas Stephen Chandler	45.00	40.00	★	<b>Total affordable housing completions: 45</b> Of which: 32 x Affordable Rent; 13 x Shared Ownership tenure. There were no Oxfordshire Growth Deal affordable housing units completed this month in Cherwell District.	453.00	407.00	★
☒ CDC2.2.05 Average time taken to process Housing Benefit New Claims	Cllr T Illott	Belinda Green Claire Taylor	11.29	15.00	★	The average time taken to assess new claims for the month of March was 11.29 days against a local target of 15 days and a national average of 20 days. This is an excellent performance which has been sustained throughout the year. This places the service in a strong position to face the challenges presented by COVID-19.	11.47	15.00	★

CDC KPIs - Thriving Communities & Wellbeing

Measure	Portfolio Holder	Director/Lead Officer	Result	Target	Status	Commentary	YTD Result	YTD Target	YTD
 CDC2.2.06 Average time taken to process Housing Benefit change events	Cllr T Ilott	Belinda Green Claire Taylor	2.43	8.00	★	The average time taken to assess change events during March was 2.85 days against a local target of 8 days and a national average of 8 days. The performance for 19-20 is also good at 5.42 days. This performance has helped to ensure that our residents are receiving the correct level of benefit.	5.04	8.00	★
CDC2.2.07 Number of visits/usage of District Leisure Centre	Cllr G Reynolds	Ansaf Azhar Nicola Riley	89,103	134,053	▲	Usage numbers are lower than expected for March 2020 against the same period last year. This is primarily due to the closure of both the Leisure Centres from Saturday 21st March and the Joint Use Leisure Facilities from Friday 20th March. The usage for March 2020 was 89,103, however this doesn't include the figures for the Joint Use Centres as these are held on paper copy at the individual sites and therefor haven't been received.  There has been a reduction in users at Spiceball irrespective of the closure due to the difficulties with car parking and easy access to the Centre.	1,617,127	1,586,813	★
CDC2.2.08 % of Council Tax collected, increase Council Tax Base	Cllr T Ilott	Belinda Green Claire Taylor	1.31%	1.00%	★	Whilst the collection rates have fallen short of our cumulative collection rate target of 98.04% the amount of payments, we brought in in March 2020 still exceeded £2.18m which shows the vast amount of payers choosing to pay over 12 months now. However, it still proves more difficult to maintain collection rates when there is less time to chase for overdue payments.  The amount of Council Tax we collect has increased by nearly £2.5m since April 2019 bringing the total amount, we need to just short of £105m, this is mainly down to new builds as well as a review on exemptions and discounts. crease again in February and March.  Whilst all reminder and final notices were issued in March 2020 to increase collection rates, we have had a vast amount of direct debit cancellations come through following the onset of the Coronavirus pandemic. We stopped making outbound calls to chase unpaid Council Tax from 23 March 2020 as chasing unpaid Council Tax at this time is not suitable when residents are facing job losses and reduction in earnings.	98.04%	89.25%	★

CDC KPIs - Thriving Communities & Wellbeing

Measure	Portfolio Holder	Director/Lead Officer	Result	Target	Status	Commentary	YTD Result	YTD Target	YTD
CDC2.2.09 % of Business Rates collected, increasing NNDR Base	Cllr T Ilott	Belinda Green Claire Taylor	0.61%	2.50%	▲	Having achieved 98.49% against a target of 98.5% on collection rates, the shortfall equated to approx. £10k. Reminder and final notices were issued week commencing 16 March however we have now experienced a large amount of direct debit cancellations from companies unable to pay their March instalment on either 18 or 25 March. Whilst we had been proactively calling out it is not appropriate to chase money whilst businesses are experiencing hardship due to COVID-19.	98.49%	98.50%	●

**CDC KPIs - District of Opportunity & Growth**

Measure	Portfolio Holder	Director/Lead Officer	Result	Target	Status	Commentary	YTD Result	YTD Target	YTD
⊕ CDC3.2.1 % Major Planning applications processed within 13 weeks	Cllr C Clarke	David Peckford Paul Feehily	100%	60%	★	7 Major Planning Applications were determined during March 2020, all of them within the target period or agreed timeframe. Therefore 100% of applications have been determined within timeframe, against a target to achieve no less than 60% within time.	88%	60%	★
⊕ CDC3.2.2 % Non-Major planning appeal decisions allowed	Cllr C Clarke	David Peckford Paul Feehily	1%	10%	★	1 Non-Major Planning Application Appeal was allowed by the Planning Inspectorate during March 2020 and 76 Non-Major Planning Applications were determined during this month. The target is to have a total % of Planning Appeals allowed, amounting to less than 10% of the total number of Non-Major Planning Applications determined within that month. In March 2020, the total number of Non-Major Planning Appeals allowed amounted to 1.32%	1%	10%	★
CDC3.2.3 % Planning enforcement appeal decisions allowed	Cllr C Clarke	David Peckford Paul Feehily	0%	10%	★	No Planning Enforcement Notice Appeals were allowed by the Planning Inspectorate during March 2020.	0%	10%	★
⊕ CDC3.2.4 % of Non-Major applications processed within 8 weeks	Cllr C Clarke	David Peckford Paul Feehily	86%	70%	★	76 Non-Major Planning Applications were determined during March 2020, 65 of them within target period or agreed timeframe. Therefore 86% of applications have been determined within timeframe, against a target to achieve no less than 70% within time.	83%	70%	★
CDC3.2.5 Maintain 5 Year Land Supply	Cllr C Clarke	David Peckford Simon Furlong	4.60	5.00	●	The 2019 Annual Monitoring Report (AMR) reports a dip below 5 years (to 4.6 years). However, housing delivery in 2018/19 was high (1489 homes) and the Government has provided the Oxfordshire authorities with a 3 year flexibility while the Oxfordshire Plan is produced. In view of the current national situation, there will be a need to review projections for future housing delivery. Government advice on meeting current national targets may be required in due course. Officers will seek to engage with the development industry to understand the position of homebuilders and to inform economic recovery measures.	5.00	5.00	●
CDC3.2.6 Major planning appeal decisions allowed	Cllr C Clarke	David Peckford Paul Feehily	0%	10%	★	No Major Planning Application Appeals were allowed by the Planning Inspectorate during March 2020.	4%	10%	★
CDC3.2.7 Net Additional Housing Completions (Quarterly)	Cllr C Clarke	David Peckford Simon Furlong	0	272	▲	No provisional net housing completions for Q4 can yet be provided. Following Government advice, officers are presently only undertaking site visits where essential to maintain planning services. The completion of 272 net new homes in Q4 would enable the local plan requirement to be met. Officers have commenced desk based monitoring work and will seek to engage with homebuilders to produce a Q4 return as soon as possible. The approach to housing monitoring and site visits will be kept under review having regard to public health advice.	870	1142	▲

Appendix 3 – Leadership Risk Register as at 26/05/2020

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
P a r a m e t e r s	5 - Catastrophic			L09	L19 & L20	
	4 - Major			L04, L07, L08, L10, L11, L12 & L18	L01	
	3 - Moderate		L16	L02, L05, L14, L18 & L21	L15	
	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

Ref	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)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
2020/21																	
L01 -	<b>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 effective	Councillor Tony Illot	Lorna Baxter	Dominic Oakeshott	4	4	16	<p>Key staff recruited to and review of workload and capacity across the team. Additional resilience and resource for financial accounting and reporting engaged through external partners and agencies. Assessment of national picture undertaken and being reported through senior managers and members highlighting the medium term challenges.</p> <p>Investment strategy approach agreed and operating and all potential investments now taken through the working groups prior to formal sign off. Robust review and challenge of our investment options to be regularly undertaken through our usual monitoring processes.</p> <p>Timeliness and quality of budget monitoring particularly property income and capital improving.</p> <p>Financial Systems replacement project underway. LEAN review of budget monitoring undertaken with significant engagement from within the wider business.</p> <p>Asset Management Strategy being reviewed and refreshed.</p> <p>Review of BUILD! to ensure procurement and capital monitoring arrangements are in place and development of forward programme - work still underway.</p> <p>Finance support and engagement with programme management processes continuing.</p> <p>Further integration and development of Performance, Finance and Risk reporting</p> <p>Regular involvement and engagement with senior management across County as well as involvement in Regional and National finance forums.</p> <p>Regular member meetings, training and support in place and regularly reviewed. Briefings provided on key topics to members with particular focus on key skills for specific committees such as audit committee.</p> <p>New approach to budget setting introduced linked to service planning. Additional challenge added into the process to ensure robustness of estimates</p> <p>Regular utilisation of advisors as appropriate.</p> <p>Internal Audits being undertaken for core financial activity and capital as well as service activity</p> <p>Assessment of national picture via Pixel and LG Futures has identified that the funding available in later years is likely to be significantly reduced, adding longer term resilience challenges.</p>	<p>Maintaining focus in this area with ongoing review, staff and member training and awareness raising.</p> <p>Investment options considered as and when they arise, MTFs and budget setting being developed to enhance the scrutiny and quality of investments.</p> <p>Financial System Solution Project continuing to consider future finance system options, incorporating budget management via Lean, extension of Civica and new procurement.</p> <p>Review underway</p> <p>Review in hand.</p> <p>Finance business partners involved with reflection locally on outcomes.</p> <p>Integrated reporting has been embedded</p> <p>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 2020/21 and impact on our MTFs.</p> <p>Regular training will be undertaken.</p> <p>Budget setting for 2020/21 underway.</p> <p>Review of borrowing approach being considered alongside our financial advisors</p> <p>Regular reporting of progress on internal audits considered by the committee</p> <p>Medium/long term position assessed as significantly worse, increasing risk alongside the capacity needed to work on activity to reduce spending levels. Budget setting for 2021/22 will begin at the Budget Planning Committee in March 2020 in order to ensure full and thorough consideration of the budget in conjunction with members to alleviate the challenges over the medium term. The impact of the UK national Budget on 11 March 2020 and the medium term impact of the reduction in the Bank Base rate by 0.5% on 11 March 2020 will be assessed.</p> <p>The impact of Covid19 has changed the financial outlook for the Council, with regular updates helping to outline the impact on the Council both in the short, medium and longer term. The Council currently anticipates a significant, short, medium and long term funding shortfall in overall terms, requiring the use of/depletion of Council reserves. Set alongside the anticipated funding reductions due to start from 2021-22 the financial resilience of the Council could be severely impacted.</p>	Risk reviewed - 19/05/2020 - Residual impact score increased from 3 to 4, comments updated.	
Reduction in services to customers	Balanced medium term and dynamic ability to prioritise resources	Fully															
Increased volatility and inability to manage and respond to changes in funding levels	Highly professional, competent, qualified staff	Partially															
Reduced financial returns (or losses) on investments/assets	Good networks established locally, regionally and nationally	Fully															
Inability to deliver financial efficiencies	National guidance interpreting legislation available and used regularly	Fully															
Inability to deliver commercial objectives (increased income)	Members aware and are briefed regularly	Fully															
Poor customer service and satisfaction	Participate in Oxfordshire Treasurers' Association's work streams	Fully															
Increased complexity in governance arrangements	Review of best practice guidance from bodies such as CIPFA, LGA and NAO	Fully															
Lack of officer capacity to meet service demand	Treasury management and capital strategies in place	Fully															
Lack of financial awareness and understanding throughout the council	Investment strategies in place	Fully															
	Regular financial and performance monitoring in place	Fully															
	Independent third party advisers in place	Fully															
	Regular bulletins and advice received from advisers	Fully															
	Property portfolio income monitored through financial management arrangements on a regular basis	Partially															
	Asset Management Strategy in place and embedded.	Partially															
	Transformation Programme in place to deliver efficiencies and increased income in the future	Fully															



Ref	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)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
2020/21																	
L02 -	<b>Statutory functions</b> – Failure to meet statutory obligations and policy and legislative changes are not anticipated or planned for.	Legal challenge Loss of opportunity to influence national policy / legislation Financial penalties Reduced service to customers	3	4	12	Embedded system of legislation and policy tracking in place, with clear accountabilities, reviewed regularly by Directors Clear accountability for responding to consultations with defined process to ensure Member engagement National guidance interpreting legislation available and used regularly Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit Internal Audit Plan risk based to provide necessary assurances Strong networks established locally, regionally and nationally to ensure influence on policy issues Senior Members aware and briefed regularly in 1:1s by Directors	Partially Fully Fully Partially Partially Partially Fully Partially	Councillor Barry Wood	Steve Jorden	Nick Graham	3	3	9	↔	Establish corporate repository and accountability for policy/legislative changes Review Directorate/Service risk registers Ensure Committee forward plans are reviewed regularly by senior officers Ensure Internal Audit plan focusses on key leadership risks Develop stakeholder map, with Director responsibility allocated for managing key relationships Standardise agendas for Director / PFH 1:1s New legislation and Government guidance in response to COVID19 will assist service adjustment Allocate specific resource to support new projects/policies or statutory requirements e.g. GDPR	Service plans for 2019-20 received and currently being reviewed. Performance framework for 2020-21 to be agreed. Review of Leadership Risk Register and Risk Strategy for 2020-21 in progress.	Risk reviewed 19/05/20 - no changes
L04 -	<b>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	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 Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity. Some additional resource budgeted for 20/21. Delegations to Chief Exec agreed to ensure timely decisions On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies	Partially Partially Partially Fully Partially	Councillor Colin Clarke	Paul Feehily	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 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 was updated in March 2020. It includes the programmes for the Partial Review of the Local Plan, the Oxfordshire Plan 2050, a Local Plan Review, the Banbury Canalside Supplementary Planning Document and work on a Community Infrastructure Level (CIL). COVID19 may affect the progress made by the central plan team on the Oxon Plan. However, the residual risk score of '12' has not been changed as the risk of consequential delay for the district Local Plan has already been considered. Significant delay may require re-consideration of the risk. The 2019 Annual Monitoring Report was approved by the Executive on 7/1/2020.	Risk reviewed 19/05/2020 - no changes.
L05 -	<b>Business Continuity</b> - Failure to ensure that critical services can be maintained in the event of a short or long term incident affecting the Councils' operations	Inability to deliver critical services to customers/residents Financial loss Loss of important data Inability to recover sufficiently to restore non-critical services before they become critical Loss of reputation	4	4	16	Business continuity strategy in place Services prioritised and recovery plans reflect the requirements of critical services ICT disaster recovery arrangements in place Incident management team identified in Business Continuity Strategy All services undertake annual business impact assessments and update plans Business Continuity Plans tested	Fully Fully Fully Partially Fully Partially	Councillor Andrew McHugh	Rob MacDougall	Richard Webb	3	3	9	↔	Business Continuity Statement of Intent and Framework agreed by CEDR Cross-council BC Steering Group meets regularly to identify BC improvements needed ICT transition to data centre and cloud services have reduced likelihood of ICT loss and data loss Corporate ownership and governance sits at senior officer level BC Impact assessments and BCPs in place for all teams and peer reviewed by OCC's Emergency Planning team Progress report was provided to CEDR in March 2019 BC assurance framework under development	The council's extended leadership team are providing business continuity status reports for their critical services on a twice weekly during the current covid-19 pandemic. Remote working enables most teams to work effectively from home and sustain services whilst also avoid unnecessary social contacts. Command structures are in place for managing the council's response to the pandemic in line with the BC framework. Business continuity impacts are being identified, managed locally and escalated if necessary to the joint OCC/ CDC silver group and supporting cells. Recovery planning includes consideration of the response to a second wave of the virus.	Risk Reviewed 19/05/2020 - Comments updated
L07 -	<b>Emergency Planning (EP)</b> - Failure to ensure that the local authority has plans in place to respond appropriately to a civil emergency fulfilling its duty as a category one responder	Inability of council to respond effectively to an emergency Unnecessary hardship to residents and/or communities Risk to human welfare and the environment Legal challenge Potential financial loss through compensation claims Ineffective Cat 1 partnership relationships	4	4	16	Key contact lists updated monthly. Emergency Planning Lead Officer defined with responsibility to review, test and exercise plan and to establish, monitor and ensure all elements are covered Added resilience from cover between shared Environmental Health and Community Safety Teams as officers with appropriate skill Senior management attend Civil Emergency training Multi agency emergency exercises conducted to ensure readiness On-call rota established for Duty Emergency Response Co-ordinators Active participation in Local Resilience Forum (LRF) activities	Fully Partially Fully Fully Fully Fully Fully	Councillor Andrew McHugh	Rob MacDougall	Richard Webb	3	4	12	↔	Emergency plan contacts list being updated monthly and reissued to all duty managers. OCC Emergency Planning providing expert advice and support under a partnership arrangement. Accountability for both OCC and CDC's arrangements now sit with the Chief Fire Officer who reviews the arrangements with the Assistant Director. Supporting officers for incident response identified in the emergency plan and wallet guide Drop in training session now taking place monthly (from June) covering a range of topics. Senior managers have attended multi-agency exercises and duty manager training with OCC senior managers. On-call rota being maintained Authority represented at the Local Resilience Forum	Emergency plans enacted and command structures established with partner organisations to support the response to the Covid-19 pandemic. The council is also maintaining its duty director rota for any other emergency incidents that might arise.	Risk Reviewed 19/05/2020 - No changes.

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			Probability	Impact	Rating						Probability	Impact	Rating				
2020/21																	
L08 -	Health and safety - Failure to comply with health and safety legislation, corporate H&S policies and corporate H&S landlord responsibilities	<p>Fatality, serious injury &amp; ill health to employees or members of the public</p> <p>Criminal prosecution for failings</p> <p>Financial loss due to compensation claims</p> <p>Enforcement action – cost of regulator (HSE) time</p> <p>Increased agency costs</p> <p>Reduction in capacity impacts service delivery</p> <p>Reputational Impact</p>	5	4	20	<p>New Health &amp; Safety Corporate HS&amp;W Policy and Corporate Arrangements &amp; guidance in place as part of the newly adopted HSE's recommended called 'HSG65' Management System HSG 65. Organisations have a legal duty to put in place suitable arrangements to manage health &amp; safety.</p> <p>Clearly identified accountability and responsibilities for Health and Safety established at all levels throughout the organisation</p> <p>Corporate H&amp;S Manager &amp; H&amp;S Officer in post to formalise the H&amp;S Management System &amp; provide competent H&amp;S advice &amp; assistance to managers &amp; employees.</p> <p>Proactive monitoring of Health &amp; Safety performance management internally</p> <p>Effective induction and training regime in place for all staff</p> <p>Positive Health &amp; Safety risk aware culture</p> <p>Corporate Health &amp; Safety meeting structure in place for co-ordination and consultation</p> <p>Corporate body &amp; Member overview of Health &amp; Safety performance</p> <p>Assurance that third party organisations subscribe to and follow Council Health &amp; Safety guidelines and are performance managed where required</p>	<p>Partially</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Partially</p> <p>Partially</p> <p>Partially</p> <p>Fully</p> <p>Fully</p>	Councillor Lynn Pratt	Yvonne Rees	Ceri Harris	3	4	12	↔	<p>A Corporate Health, Safety and Wellbeing Policy was ratified BPM meeting on 17th June 2019, it is due for review no later than June 2021. The Corporate Arrangements are subject to a continuing programme of updates to ensure they remain up to date and relevant to council business.</p> <p>Following the ratification of the Corporate Health, Safety and Wellbeing Policy all Assistant Directors have been asked to complete a Departmental Risk Assessment Checklist. The Checklist identified the areas of risk within the department and whether there is a risk assessment in place to cover the risks.</p> <p>As Health and Safety Officers are in place no further action is required and risk mitigated.</p> <p>A 2-year internal Health and Safety Audit programme is in place covering the period until May 2021. The health and safety internal audit programme covers all elements of our overall H&amp;S management system to ensure compliance with legislative standards. This is temporarily on hold due to the Coronavirus Lockdown</p> <p>Management of H&amp;S training will now be included within the new eLearning programme which is in the process of being procured. A central list of risk assessments is to be created to enable more proactive monitoring of risk assessment across the council. Risk Assessment Workshop training is being developed. Robust training already in place in Environmental Services.</p> <p>Good awareness in higher risk areas of the business, e.g. Environmental Services. However other areas need improved awareness of risk assessment process. This needs to be achieved by a review of training needs across CDC and the mandatory training of managers on risk assessment. Property team have undertaken a review of CDC owned operational properties to ensure health and safety compliance is fully maintained in line with the legislative compliance requirements.</p> <p>Currently the Council has no formal committee structure in place for the consultation of health safety with staff.</p> <p>Quarterly reporting to ELT and to the Portfolio Holder by the Corporate Health and Safety Manager</p> <p>Robust procurement process that requires health and safety documentation and commitment to be proven prior to engagement of contractors.</p>	<p>The Executive Leadership Team (ELT) receives a quarterly report from the Corporate H&amp;S Manager.</p> <p>Corporate Health and Safety Team to ensure all departments to responds to the Departmental Risk Assessment Checklist and to follow up with departments on areas of concern. Responses are being collated on a central spreadsheet which will become the database of all risk assessments across the Council.</p> <p>These two posts are established posts and budgeted accordingly to secure future funding for continuity.</p> <p>The H&amp;S team are conducting health and safety inspections internally across all services and teams. To date a total of 17 audits have been carried out across the Council however, the audits are currently on hold due to Corona Virus. The audit reports have been provided to the relevant service managers, including recommendations, advise and timescales for remediation.</p> <p>Final sign off from the HR/Training Manager for training procurement and implementation due. Final tweaks being made prior to launch of eLearning package</p> <p>A review has been undertaken of all CDC owned properties to ensure that fire risk assessments, water hygiene surveys and asbestos surveys have been completed where required. A compliance review of tenanted properties leased by CDC is also under way to ensure that the tenants are managing the property in accordance with legislative requirements.</p> <p>A proposal for the formation of a Health and Safety Committee to report to the ELT will be submitted to ELT in April 2020. The purposed of this committee, if ratified, will monitor the activities of the Corporate Health and Safety Team and to act as a scrutiny committee for the Corporate Arrangements.</p> <p>Reporting dates have been agreed and adhered to.</p> <p>Corporate Health and Safety has scheduled to undertake a review of Procurement process to ensure compliance.</p>	Risk reviewed 19/05/2020 - Mitigating actions and Comments updated

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			Probability	Impact	Rating						Probability	Impact	Rating				
2020/21																	
L09 -	<b>Cyber Security</b> - If there is insufficient security with regards to the data held and IT systems used by the councils and insufficient protection against malicious attacks on council's systems then there is a risk of: a data breach, a loss of service, cyber- ransom.	<p>Service disruption</p> <p>Financial loss / fine</p> <p>Prosecution – penalties imposed</p> <p>Individuals could be placed at risk of harm</p> <p>Reduced capability to deliver customer facing services</p> <p>Unlawful disclosure of sensitive information</p> <p>Inability to share services or work with partners</p> <p>Loss of reputation</p>	4	5	20	<p>File and Data encryption on computer devices</p> <p>Managing access permissions and privileged users through AD and individual applications</p> <p>Consistent approach to information and data management and security across the councils</p> <p>Effective information management and security training and awareness programme for staff</p> <p>Password security controls in place</p> <p>Robust information and data related incident management procedures in place</p> <p>Appropriate robust contractual arrangements in place with all third parties that supply systems or data processing services</p> <p>Appropriate plans in place to ensure ongoing PSN compliance</p> <p>Adequate preventative measures in place to mitigate insider threat, including physical and system security</p> <p>Insider threat mitigated through recruitment and line management processes</p> <p>Cookie pop-ups on the website</p> <p>Increased threat to security during Covid-19 period in part due to most staff working from home.</p>	<p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Partially</p> <p>Fully</p>	Councillor Ian Corkin	Claire Taylor	David Spilsbury	3	5	15	↔	<p>The cyber-essentials plus certification has now been passed.</p> <p>Accounts, Audit &amp; Risk Committee Members updated and given a presentation on Cyber Security November 2019</p> <p>The Regional Police Cyber Security Advisor gave the IT management team two training sessions (full cyber awareness Oct18 and table top DR exercise Nov18) followed by a series of all-Council staff awareness sessions in January 2019. Mop-up on e-learning options now being explored by IT and HR.</p> <p>Implemented an intrusion prevention and detection system.</p> <p>Agreed Terms of Reference and re-implementation of the security forum as the Information Governance Group, with meetings to be held on a minimum quarterly basis chaired by the Information Governance Manager. Information Governance support is now provided to Cherwell as part of a joint working relationship with Oxfordshire County Council. An action for the next month will be to ensure there are effective partnership working arrangements in place under this new service.</p> <p>Cyber Awareness e-learning available and will be part of new starters induction training.</p> <p>Cyber Security issues regularly highlighted to all staff.</p> <p>External Health Check undertaken January 2020, no high risk security issues highlighted.</p> <p>Internal Audit commencing a cyber security audit May/June 2020</p> <p>Implementation using Cookiebot in progress with 3rd party website provider.</p> <p>Additional IT security advice provided for all staff during the Covid-19 working at home period including online coronavirus related scams</p>	<p>Cyber security incidents are inevitable. The only way to manage this risk is to have effective controls and mitigations in place including audit and review.</p>	Risk Reviewed 19/05/20 - Mitigation actions updated.
L10 -	<b>Safeguarding the vulnerable (adults and children)</b> - Failure to follow our policies and procedures in relation to safeguarding vulnerable adults and children or raising concerns about their welfare	<p>Increased harm and distress caused to vulnerable individuals and their families</p> <p>Council could face criminal prosecution</p> <p>Criminal investigations potentially compromised</p> <p>Potential financial liability if council deemed to be negligent</p>	4	4	16	<p>Safeguarding lead in place and clear lines of responsibility established</p> <p>Safeguarding Policy and procedures in place</p> <p>Information on the intranet on how to escalate a concern</p> <p>Mandatory training and awareness raising sessions are now in place for all staff.</p> <p>Safer recruitment practices and DBS checks for staff with direct contact</p> <p>Action plan developed by CSE Prevention group as part of the Community Safety Partnership</p> <p>Data sharing agreement with other partners</p> <p>Attendance at Children and Young People Partnership Board (CYPPB)</p> <p>Annual Section 11 return compiled and submitted as required by legislation.</p> <p>Engagement with Joint Agency Tasking and Co-ordinating Group (JATAC) and relevant Oxfordshire County Council (OCC) safeguarding sub group</p> <p>Engagement at an operational and tactical level with relevant external agencies and networks</p>	<p>Partially</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Partially</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Fully</p>	Councillor Barry Wood	Ansaf Azhar	Nicola Riley	3	4	12	↔	<p>Ongoing internal awareness campaigns</p> <p>Ongoing external awareness campaigns</p> <p>Annual refresher and new training programmes including training for new members</p> <p>Continue to attend groups focused on tackling child exploitation</p>	<p>The new HR payroll system ( was expected in April 2020 postponed ) will hold training records. The new safeguarding officer will ensure there is appropriate take-up of training across staff and members. Safeguarding Policy annual review in place. Close monitoring of Training needs/changes to roles and need for enhanced safeguarding training requirements. During C-19 staff working from home Internet safety brief on keeping children safe at home via LOOP. Joint working with safeguarding officers from local District councils New online training supplier Incorporating safeguarding as part of the 9 compulsory training sessions.</p>	Risk Reviewed 16/05/2020 - No changes.

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			Probability	Impact	Rating						Probability	Impact	Rating				
2020/21																	
L11 -	<b>Sustainability of Council owned companies and delivery of planned financial and other objectives</b> - failure of council owned companies to achieve their intended outcomes or fail to meet financial objectives	Unclear governance leading to lack of clarity and oversight in terms of financial and business outcomes  Non achievement of business and finance outcomes directly or indirectly impacting on other council services  Lack of understanding at officer and member level about the different roles of responsibilities required when managing council owned companies	3	4	12	Annual business planning in place for all companies to include understanding of the link between our objectives being delivered and financial impact for the council  Financial planning for the companies undertaken that will then be included within our own Medium term financial plan  Ensure strong corporate governance mechanisms are in place  Sound monitoring in place of both business and financial aspects of the companies and the impact on overall council performance  Training in place for those undertaking roles relating to the companies	Fully  Fully  Partially  Fully  Partially	Councillor Tony Illot	Steve Jordan	Jonathan MacWilliam	3	4	12	↔	Additional oversight from senior managers including performance dashboards at CEDR  Specific company support skills (company secretary) being developed within the council  Review of governance of companies underway to ensure appropriate structures are in place  Regular meetings in place with all companies to ensure issues are effectively managed and, where necessary escalated	COVID-19 impact being felt by all three companies.  CSN under pressure processing changes to NDR etc. as part of government relief package for businesses  Graven hill site closed in line with government restrictions. Impact on sales and business plan being monitored through regular discussions  Crown House has been completed but no residents have moved in in line with	Risk reviewed - 19/05/2020 - Mitigating actions and comments updated
L12 -	<b>Financial sustainability of third party suppliers including contractors and other partners</b> - the failure of a key partner of supplier impacting on the business of the council	The financial failure of a third party supplier or partner results in the inability or reduced ability to deliver a service to customers.  Failure to ensure the necessary governance of third party relationships (council businesses, partners, suppliers) are in place to have sufficient oversight of our suppliers	3	4	12	Ensure contract management in place review and anticipate problems within key service suppliers and partners  Business continuity planning arrangements in place in regards to key suppliers  Ensuring that proactive review and monitoring is in place for key suppliers to ensure we are able to anticipate any potential service failures	Partially  Partially  Partially	Councillor Tony Illot	Lorna Baxter	Wayne Welsby	3	4	12	↔	Meetings take place when required with suppliers to review higher risk areas.  Some review of appropriate information in regards to key supplier performance through trade press, information from networks in place.	Council departments monitor suppliers financial stability as part of their contract management responsibilities. In addition, through collaboration with Oxfordshire CC, a joint Provision Hub will be established in FY20/21 that will put in place greater commercial skills and controls across the two authorities. This will result in improved monitoring and management of commercial contract risk across the council's supply chain. In addition, a Provider Cell has been established to provide oversight of procurement and contract matters in response to Covid19. To support this, a complete new data set of CDC spend (FY2019/20 Qtr. 1, 2 & 3) has been produced and placed in the Provider Cell files in MS Teams which can be accessed by CDC members of the Provider Cell. This spreadsheet also includes a financial credit risk score of all suppliers with a spend above £40k. Contracts Managers are expected to put in place appropriate mitigation plans to manage any identified risks identified.  In addition, Castle Quay 1 - Due diligence and credit reports carried out on a monthly basis for all suppliers and contractors for any advance warnings being flagged up.  Castle Quay 2- Due diligence and credit report carried out on McLaren on a bi-monthly basis for any advance warnings being flagged up on updated credit reports.	Risk reviewed 19/05/2020 - No changes.
L14 -	<b>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.  Risk of ultra vires activity or lack of legal compliance  Risk of fraud or corruption  Risk to financial sustainability if lack of governance results in poor investment decisions or budgetary control.  Failure of corporate governance in terms of major projects, budgets or council owned companies impacts upon financial sustainability of the councils.  Inability to support Council's democratic functions / obligations (e.g. remote public meetings, remote voting).  Elements of the COVID-19 response may be compromised, delayed or not taken forwards.	4	4	16	Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc.  Clear accountability and resource for corporate governance (including the shareholder role).  Integrated budget, performance and risk reporting framework.  Corporate programme office and project management framework. Includes project and programme governance.  Internal audit programme aligned to leadership risk register.  Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc.  HR policy framework.  Annual governance statement process under review and deadline delayed by Government.  Business Continuity Plans are in place which ensure that appropriate structures and leadership are put in place at the outset of the CV-19 response.  Control measures implemented throughout 2019/20 and updates on key issues reported (e.g. Property/Security) reported to Audit & Governance Committee as requested by Members.	Partially  Partially  Partially  Partially  Partially  Partially	Councillor Barry Wood	Yvonne Rees	Nick Graham	3	3	9	↔	Standing item at senior officer meetings – regular review of risk and control measures  Implementation of corporate programme office – May 2018  Full review of HR policy to be undertaken during 2018/19  Monitoring Officer to attend management team meetings  Annual Governance Statement process under review (reviewing previous actions and identifying new) and draft Corporate Lead Statements which identify potential actions for 2020/21 are being produced for review by the Corporate Governance Assurance Group - on schedule.	S113 Agreement terminates on 16 January 2019. Collaboration Agreement being developed. Executive and Cabinet will consider its adoption on 7 and 14 January 2019 respectively. Service schedules are being developed for all services that require ongoing joint working - and these are programmed to be in place by 16 January 2019.	Risk reviewed 19/05/20 - Controls updated.

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L15 -	<b>Oxfordshire Growth Deal (contract with HMG)</b> The complex external environment for Growth Deal creates a number of risks that might impact on both the partnership and CDCs ability to deliver on its contractual obligations.	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.  Infrastructure milestone delivery late (for infrastructure linked to accelerated housing)  Accelerated housing numbers delivered late, outside of the programme time scale  Delivery of Infrastructure projects fail to accelerate housing delivery as commercial pressures impact house builders Delivery of affordable houses below programme targets as GD contributions insufficient to attract sufficient builders/ registered providers Oxfordshire Plan delivered late	5	5	25	Established programme structure and partnership ethos to support effective programme delivery  Engagement with housing developers to understand their commercial constraints.  Engage with developers to ascertain which sites would benefit most from infrastructure delivery  Identify potential "top up" schemes to supplement GD affordable housing scheme  Utilise effective Programme controls to facilitate prompt escalation of issues to enable appropriate decision making and delivery timescale review  Develop Year 3 Plans of Work to detail the expected delivery by CDC for Year 3 of the Growth Deal Programme; building on the experiences and knowledge gained during Year 2.	Fully  Partially  Partially  Fully  Fully  Partially	Councillor Barry Wood	Robert Jolley	Jonathan MacWilliam	4	3	12	↔	A CDC GD programme and programme board capability  Work stream plans of work (work stream brief, schedule, RAID log)  Structured engagement with developers to better understand their needs  Appropriate escalation of issues to agree programme flexibilities where required Improved collaboration working with partners  Securing approval of a resourced GD Y3 plan to be delivered in a collaborative partnership environment	With the easing of Lock down restrictions, construction work on sites has recommenced. The operating restrictions will, however, impact the speed of delivery as will the delayed impact on the supply chain. The medium to long term impact on the demand side of the housing market will take time to manifest which reduce developers commitment to maintaining housing trajectories. If there is a down turn in the market there is potential for a positive impact as developers increase the number of social housing units they release, selling additional units to RPs as a way to off load unsold stock.	Risk reviewed 18/05/2020 - Description of risk, potential impact, controls, control assessment, mitigating actions and comments updated.
L16 -	<b>Joint Working</b> That the challenges and risks associated with joint working outweigh the benefits and impacts on the provision of services to residents and communities.	Opportunities for joint working take longer to develop than planned delaying potential service improvements for residents and communities. Resources are allocated to the development of proposals, reducing the capacity of the Council to deliver on its priorities and plans, impacting on quality of services delivered to residents and communities.  Uncertainty around joint working could lead to reduced staff morale and potentially increase staff turnover. Benefits to be realised from joint working business cases do not materialise or take longer to deliver than planned.	3	3	9	S113 agreement in place with Oxfordshire County Council  Partnership Working Group established with OCC to oversee the development of joint working proposals.  Robust programme and project management methodologies in place.	Fully  Fully  Fully	Councillor Ian Corkin	Yvonne Rees	Claire Taylor	2	3	6	↔	Regular reporting on joint working proposals to the senior management team.	Joint senior appointments in the customers and organisational development directorate have been completed. The business case for a joint strategy and communications service is in its implementation phase.  The partnership working group will review a schedule of projects for the next phase of development at their next meeting. The Audit plan for 2020/21 will ensure joint working arrangements are included.	Risk reviewed - 20/05/20 - no changes. Plans are on-going.
L17 -	<b>Separation</b> That the separation of joint working arrangements with South Northamptonshire Council impacts on the provision of services to residents and communities.	Separation of joint working arrangements result in reduced capacity and resilience to deliver services.  Services being delivered to SNC are impacted by re-organisation in Northamptonshire, impacting on the quality of services delivered to residents and communities	3	3	9	On-going service delivery arrangements to SNC set out clearly and underpinned by the Collaboration Agreement with protocols in place for dealing with any emerging issues.  Robust programme and project management frameworks in place.	Fully  Fully	Councillor Ian Corkin	Yvonne Rees	Claire Taylor	3	3	9	↑	Regular reporting on joint working proposals to the senior management team.	The majority of services have now separated or been moved into a service delivery arrangement. Although Customer Services has now been separated, there is a lack of clarity of CSN and IT in the transition into the unitary. Plans are being prepared to ensure both areas are ready to separate in line with unitary deadlines.  Work has begun to explore the impact of local government reorganisation on the jointly owned arm's length company that delivers revenues and benefits services. This will require additional resource and oversight if a decision to separate is taken.	Risk reviewed - 20/05/20 - Residual slightly elevated (impact to 3 from 2) and comments updated.
L18 -	<b>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  Impact on our ability to deliver high quality services Overreliance on temporary staff Additional training and development costs	3	4	12	Analysis of workforce data and on-going monitoring of issues  Key staff in post to address risks (e.g. strategic HR business partners) Weekly Vacancy Management process in place Ongoing service redesign will set out long term service requirements .	Partially effective  Fully  Fully  Partially	Councillor Ian Corkin	Claire Taylor	Karen Edwards	3	3	9	↑	Development of relevant workforce plans .  Development of new L&D strategy, including apprenticeships. Development of specific recruitment and retention strategies. New IT system is being implemented to improve our workforce data. The ability to interrogate and access key data (ongoing) in order to inform workforce strategies.	Training on workforce planning for the HR team planned to start in Jan/Feb 2020.	Risk reviewed 20/05/2020 - Residual risk slightly elevated (from 2 to 3)

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L19 -	<b>Covid-19 Community and Customers</b> Significant spread of the Covid-19 virus results in potential impacts in terms of customers and communities. Including community resilience, ability to access services, consequences of prolonged social distancing or isolation, economic impacts to business, including but not limited to the visitor economy.	Possible reductions in frontline service delivery, events, meetings and customer contact.  Economic hardship impacting local business and potentially the local workforce.  Impact on vulnerable residents who may find it harder to access services.  Increased demand on both frontline and enabling services.  Prolonged risk of social isolation and the mental and physical consequence thereof.	5	4	20	Business Continuity Plans have been reviewed and tested to ensure the ongoing delivery of priority services  Remote (home based) working in place, to facilitate self isolation and limit impact on service delivery.  Communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response.  Regular updates from Director of Public Health, shared internally and externally. Partnership communications. Partnership communications enhanced and regular conversations convened.  Regular teleconference with local councils and emergency services discussing updates, concerns and best practice. (in-line with usual business continuity and emergency planning protocols). Mutual aid where appropriate with regional Thames Valley partners enable a tactical response to community resilience..  Tactical response to community resilience.  Creation of a dedicated telephony helpline to support the most clinically extremely vulnerable (shielded) residents in the county and operating extended hours each day  Provision of additional body storage as temporary place of rest to support the current mortuary provision.  Face to face customer events e.g. wedding ceremony, library provision ceased in line with government guidance  Engagement with suppliers to manage impacts across the supply chain.	Fully  Partially  Fully  Partially  Fully  Fully  Fully  Fully  Partially	Councillor Barry Wood	Yvonne Rees	Simon Furlong	4	4	16	↓	Ongoing review and implementation of Council and partnership business continuity and emergency planning arrangements.  The council will respond to new modelling figures provided by either Public Health England or Ministry of Housing, Communities and Local Government regarding excess deaths in the community  As the current lockdown is eased, we will review the impact and take the necessary steps to follow the latest guidelines and instructions  Customer contact demand will continue to be monitored and resource allocated to key priorities  Contract tracing and testing to be implemented to identify localised outbreaks.  Scenario planning to inform BCP for a local outbreak  Engagement with PHE and the DPH to manage localised outbreak scenarios	The nature of the risk is such that national public health guidelines will determine the councils' response. The councils will enact any support schemes as set out by national government as they emerge.	Risk reviewed 20/05/2020 - Residual probability risk slightly reduced (from 5 to 4) Controls and mitigating actions updated.
L20 -	<b>Covid-19 Business Continuity</b> Significant staff absence due to the Covid-19 virus results in potential impacts on frontline service delivery and the ability to run the councils' business on a day to day basis.	Possible reductions in frontline service delivery, events, meetings and customer contact.  Potential confusion amongst staff with regards to how to plan and respond to reduced service availability, professional support and maintain business as usual.  Requirement to reprioritise service delivery.  Requirement to offer mutual aid to partner organisations.  Potential impact in the medium to long term resilience of staff may result in wider wellbeing issues.	5	5	25	Business Continuity Plans have been reviewed and tested  Remote working in place  Staff communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response.  Regular updates from Director of Public Health, shared internally and externally.  Regular teleconference with local councils and emergency services discussing updates, concerns and best practice. (in-line with usual business continuity and emergency planning protocols).  Regular communication messages following Public Health advice  Sanitisers in washrooms  Agile working being tested further across services, ensuring equipment and access is in place.  Posters around the offices encouraging regular hand washing. Hand sanitisers available in washrooms and shared spaces.  Stocks of laptops being maintained	Fully  Partially  Fully  Fully  Fully  Fully  Partially  Fully  Fully	Councillor Barry Wood	Yvonne Rees	Claire Taylor	5	4	20	↔	Ongoing review and implementation of Council and partnership business continuity and emergency planning arrangements.	The nature of the risk is such that national public health guidelines will determine the councils' response. Various scenario planning for organisational readiness for Covid-19 peaks is underway.	Risk reviewed 20/05/2020 - No change.
L21 -	<b>Post Covid-19 Recovery</b> - challenges associated with adverse impact on customers, our workforce and the budget.	Long term response to the current covid-19 pandemic  Requirement to review service delivery  Budget implications	4	4	16	Work underway, a governance programme is currently under development.  Working through a new corporate programme underpinned by policy research.  Working through the budget	Partially  Partially  Partially	Councillor Barry Wood	Yvonne Rees	Claire Taylor	3	3	9	NEW	Governance programme to be shared and implemented.  CEDR and ELT working towards new corporate programme liaising with Insight and policy support.		Risk added 20/05/2020

<b>L04 - Local Plan Risk</b>
<p>The latest Local Development Scheme is that approved by the Executive in March 2020. It includes the programmes for the Partial Review of the Local Plan, the Oxfordshire Plan 2050, a Local Plan Review, the Banbury Canalside Supplementary Planning Document and work on a Community Infrastructure Level (CIL).</p>
<p><b>Partial Review</b></p> <p>The Partial Review of the Local Plan (which seeks to help Oxford with its unmet housing need) is being independently examined. The Planning Inspector's preliminary views were received in July 2019 and were largely supportive. He recommended the deletion of a single proposed strategic housing allocation (land south east of Woodstock) and requested additional work for the re-distribution of the affected 410 homes. The necessary Main Modifications were consulted upon from 8 November to 20 December 2019. The modifications were approved by the Council on 24 February 2020 and submitted to the planning Inspector the following day. His final report is awaited. The Inspector will consider whether the Plan is 'sound' and legally compliant. No issues of legal compliance have been identified to date and in light of his preliminary advice, there is a <b>low risk</b> that he will find the Plan 'unsound'.</p>
<p><b>Oxfordshire Plan 2050</b></p> <p>A Growth Deal commitment. The Plan is being prepared by a central Plan team appointed through the Oxfordshire Growth Board.. The Council contributes to the plan-making process as a partner with a view to it being adopted as part of the Development Plan upon completion.</p> <p>Public consultation on an Issues Paper ended on 25 March 2019. A public 'call for location ideas' ended on 12 April. The central Plan team is evidence gathering and scoping 'spatial options' for Plan development. On 24 September 2019 the Oxfordshire Growth Board agreed a new timetable for completion of the Plan. This allows for further stakeholder engagement in Autumn/Winter 2019/20; public consultation on a formal Options Paper in June/July 2020; and, consultation on a proposed Plan at the end of 2020. The intention is to submit the Plan for Examination in March 2021. As the Plan covers five Local Planning Authority areas, is not under the immediate control of Cherwell officers and can be affected by wider regional influences, it had been considered that there was a <b>medium to high risk</b> that that the programme would be delayed. This has increased to <b>high risk</b> due to COVID19.</p>
<p><b>Local Plan Review</b></p> <p>The timetable for the district-wide Local Plan review in the new Local Development Scheme requires:</p> <ul style="list-style-type: none"> <li>- commencement in April 2020</li> <li>- Consultation on Issues: July-August 2020</li> <li>- Consultation on Options: February-March 2021</li> <li>- Consultation on a draft Plan: October-November 2021</li> </ul> <p>Additional staffing budget has been secured to help deliver this programme. The <b>risk to the programme is considered to be low</b> subject to the required staffing levels being achieved. The influence of the Oxfordshire Plan and its risk of delay to the district Plan raises the risk to <b>medium with mitigation</b>.</p>
<p><b>Banbury Canalside Supplementary Planning Document</b></p> <p>The timetable for the Banbury Canalside SPD as set out in the new Local Development Scheme requires:</p> <ul style="list-style-type: none"> <li>- preparation: March-September 2020</li> <li>- formal consultation: September-October 2020</li> <li>- adoption: December 2020</li> </ul> <p>Additional staffing budget has been secured to help deliver this programme. The <b>risk to the programme would be low</b> subject to the required staffing levels being achieved. COVID19 and associated difficulties of site planning make this a <b>medium risk</b>.</p>
<p><b>Community Infrastructure Levy (CIL)</b></p> <p>The timetable for CIL as set out in the new Local Development Scheme is aligned to Local Plan preparation. It requires:</p> <ul style="list-style-type: none"> <li>- re-commencement: March 2021</li> <li>- focused consultation on a draft charging schedule: October-November 2021</li> <li>- formal consultation on a draft charging schedule: July-August 2022</li> <li>- potential (if approved) submission of charging schedule: November 2022</li> </ul>

Additional staffing budget has been secured to help deliver this programme. The **risk to the programme is low** subject to the required staffing levels being achieved.



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