

Committee: Budget Planning Committee
Date: Tuesday 27 February 2018
Time: 6.30 pm
Venue: Bodicote House, Bodicote, Banbury, OX15 4AA

Membership

Councillor Nicholas Mawer (Chairman)	Councillor Douglas Webb (Vice-Chairman)
Councillor David Anderson	Councillor Hugo Brown
Councillor Ian Corkin	Councillor Carmen Griffiths
Councillor David Hughes	Councillor Alan MacKenzie-Wintle
Councillor Andrew McHugh	Councillor Barry Richards
Councillor Tom Wallis	Councillor Sean Woodcock

AGENDA

1. **Apologies for Absence and Notification of Substitute Members**

2. **Declarations of Interest**

Members are asked to declare any interest and the nature of that interest which they may have in any of the items under consideration at this meeting.

3. **Urgent Business**

The Chairman to advise whether they have agreed to any item of urgent business being admitted to the agenda.

4. **Minutes** (Pages 1 - 6)

To confirm as a correct record the minutes of the meeting held on 30 January 2018.

5. Chairman's Announcements

To receive communications from the Chairman.

6. Business Rates Monitoring 2017-2018 (Pages 7 - 12)

Report of the Executive Director – Finance and Governance.

Purpose of report

To provide members of Budget Planning Committee with an update on the business rates position as at the end of Quarter 3 of the 2017-2018 financial year.

Recommendations

The meeting is recommended:

1. To note the report.

7. Review of Procurement Strategy Progress (Pages 13 - 18)

Report of Executive Director – Finance and Governance.

Purpose of report

This report summarises the Council's Procurement Strategy progress for Q3 of the financial year 2017-18.

Recommendation

The meeting is recommended:

- 1.1 To note the progress made during Q3 2017-18 in implementing the Council's Procurement Strategy.

8. Quarter 3 2017-18 - Performance, Budget and Risk Monitoring Report (Pages 19 - 58)

Report of the Executive Director of Finance and Governance and Director of Customers and Service Development.

Purpose of report

This report summarises the Council's Performance, Budget and Risk monitoring position as at the end of the third quarter of the financial year 2017-18 with relevant projections for the full year.

Recommendations

The meeting is recommended:

- 1.1 To note the projected revenue, capital and reserves position at December 2017.
- 1.2 To note the performance position at the end of the third quarter.
- 1.3 To note the revised risk register.

9. Review of Committee Work Plan (Pages 59 - 60)

To review the Committee Work Plan.

Councillors are requested to collect any post from their pigeon hole in the Members Room at the end of the meeting.

Information about this Meeting

Apologies for Absence

Apologies for absence should be notified to democracy@cherwellandsouthnorthants.gov.uk or 01295 221591 prior to the start of the meeting.

Declarations of Interest

Members are asked to declare interests at item 2 on the agenda or if arriving after the start of the meeting, at the start of the relevant agenda item.

Local Government and Finance Act 1992 – Budget Setting, Contracts & Supplementary Estimates

Members are reminded that any member who is two months in arrears with Council Tax must declare the fact and may speak but not vote on any decision which involves budget setting, extending or agreeing contracts or incurring expenditure not provided for in the agreed budget for a given year and could affect calculations on the level of Council Tax.

Evacuation Procedure

When the continuous alarm sounds you must evacuate the building by the nearest available fire exit. Members and visitors should proceed to the car park as directed by Democratic Services staff and await further instructions.

Access to Meetings

If you have any special requirements (such as a large print version of these papers or special access facilities) please contact the officer named below, giving as much notice as possible before the meeting.

Mobile Phones

Please ensure that any device is switched to silent operation or switched off.

Queries Regarding this Agenda

Please contact Lesley Farrell, Democratic and Elections
lesley.farrell@cherwellandsouthnorthants.gov.uk, 01295 221591

Yvonne Rees
Chief Executive

Published on Monday 19 February 2018

Cherwell District Council

Budget Planning Committee

Minutes of a meeting of the Budget Planning Committee held at Bodicote House, Bodicote, Banbury, OX15 4AA, on 30 January 2018 at 6.30 pm

Present: Councillor Nicholas Mawer (Chairman)
Councillor Douglas Webb (Vice-Chairman)

Councillor Hugo Brown
Councillor Ian Corkin
Councillor Carmen Griffiths
Councillor David Hughes
Councillor Alan MacKenzie-Wintle
Councillor Andrew McHugh
Councillor Barry Richards
Councillor Tom Wallis
Councillor Sean Woodcock

Substitute Members: Councillor Barry Wood (In place of Councillor David Anderson)

Also Present:: Councillor Debbie Pickford
Councillor Lynn Pratt

Apologies for absence: Councillor David Anderson

Officers: Ian Davies, Director of Operational Delivery
Chris Hipkiss, Interim Property & Investment Manager
Ed Potter, Assistant Director: Environmental Services
Paul Sutton, Executive Director: Finance and Governance /
Section 151 Officer
Claire Taylor, Director: Customers and Service Development
Jane Norman, Housing and Regeneration Development
Manager
Lesley Farrell, Democratic and Elections Officer

1 **Declarations of Interest**

6. Draft Budget and Business Plan 2018/19. – Fees and Charges

Councillor David Hughes, Disclosable Pecuniary Interest, In relation to a partnership in LC Hughes Re-cycling and would leave the room as and if necessary.

2 **Urgent Business**

There were no items of urgent business.

3 **Minutes**

The minutes of the meeting of the Budget Planning Committee held on 28 November 2017 were agreed as a correct record and signed by the Chairman.

4 **Chairman's Announcements**

There were no Chairman's announcements.

5 **Draft Budget and Business Plan 2018/19**

The Committee reviewed the report of Executive Director for Finance and Governance and Interim Director which set out draft proposals for the Corporate Strategy, Revenue and Capital Budgets 2018/19 and Medium Term Revenue Plan.

In response to members concerns that group companies were not covered in the Risk Register the Executive Director for finance and Governance explained that this would go to the Account Audit and Risk Committee.

6 **Exclusion of Public and Press**

Resolved

That, in accordance with Section 100A(4) of Local Government Act 1972, the press and public be excluded from the meeting for the following items of business, on the grounds that they could involve the likely disclosure of exempt information as defined in paragraphs 1 and 4 of Schedule 12A of that Act.

7 **Exempt Appendices Draft Budget and Business Plan**

The Committee reviewed the exempt appendices. Lead officers attended the meeting and gave details of their capital bids and answered questions from the Committee (as set out in the exempt minutes).

In response to members' questions regarding the draft medium term revenue plan, the Executive Director for Finance and Governance explained that the figures were liable to change as many of the quantities were unknown at this stage and were subject to change.

The Chairman thanked the Lead Officers and Members who attended the meeting for their contribution.

8 **Re-admittance of Press and public**

Resolved

That the public and press be readmitted to the meeting.

9 **Draft Budget and Business Plan 2018/19**

Having re-admitted the press and public the Committee voted on the recommendations.

Resolved

- (1) That having reviewed the draft Corporate Strategy 2018/19 it be recommended to Executive and then Council.
- (2) That the draft Risk Register aligned to the draft Corporate Strategy be noted.
- (3) That, having given due consideration, the Fees and Charges for 2018/19 be noted.
- (4) That the 2018/19 draft revenue budget be recommended to Executive and then Council.
- (5) That the level of the Council Tax increase of 0% for 2018/19 be recommended to Executive and then Council.
- (6) That the Medium Term Revenue Plan be recommended to Executive and then Council.
- (7) That the contents of the report relating to 2018/19 expenditure be noted.
- (8) That subject to the following comments, Executive and then Council, be recommended to approve the capital bids and the proposed capital programme as part of the budget for 2018/19:
 - a) Cherwell Community Fund -
 - i) that an equivalent revenue reserve be considered.
 - ii) that the governance and reporting arrangements be considered.
 - b) Build – that a Housing Co-operative be considered to help the build programme.
 - c) Container bin Replacement – that a rolling 5 year programme be considered.

- d) Public Conveniences –
 - i) that the Committee be supportive of the aims and objectives of this programme and of Changing Places.
 - ii) that the programme be brought forward as soon as practicably possible across the district.
- e) Horsefair – that the political implications of tree felling should be taken into consideration and a consensus should be sought through consultation.
- f) Thorpe Way Industrial Units – that the investment in the light of the last 5 years investment and expenditure against the rental income and projected income be considered.

10 **Review of Committee Work Plan**

The Committee considered its work programme.

Resolved

- (1) That the Work Programme be noted.

The meeting ended at 9.30 pm

Chairman:

Date:

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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Cherwell District Council

Budget Planning Committee

27 February 2018

Business Rates Monitoring 2017-2018
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Report of the Executive Director – Finance and Governance

This report is public

Purpose of report

To provide members of Budget Planning Committee with an update on the business rates position as at the end of Quarter 3 of the 2017-2018 financial year.

1.0 Recommendations

The meeting is recommended:

- 1.1 To note this report.

2.0 Introduction

- 2.1 The Business Rates Retention Scheme has been in place since April 2013. Under the scheme, Cherwell retains a proportion of business rates growth.
- 2.2 The monitoring at the end of December 2017 shows the Non-Domestic Rating income, after allowing for accounting adjustments, to be 4% higher than the estimate provided in the NNDR1 return. This is a timing issue based on when properties are brought into the Rating List and does not impact on the General Fund in 2017-18. The table in 3.2 shows the major areas of growth and decline in the quarter. Table 2 in paragraph 3.7 shows the budget monitoring position and the impact on the General Fund for the 2017-18 financial year.

3.0 Report Details

- 3.1 Business rates are a property tax based on the rateable value of each non-domestic property. Rateable values are determined by the Valuation Office Agency (VOA) and are mostly based on rental values. The rateable value for Cherwell District Council at the start of the year on 1 April 2017 was 208,681,878 and at the end of Quarter 3 the rateable value was £215,010,848.

- 3.2 The rateable value for the authority has increased by £3,744,460 from October to December 2017. There are a number of increases and decreases making up this amount. The largest of these are outlined in the table below:

Table 1: Growth and Decline in the District for October to December 2017

Growth	Reason	Change in RV
Amazon, unit 3, Chalker Way, Banbury	New properties	1,280,000
Hello Frresh, Unit 3, Noral Way, Banbury	New properties	870,000
Norbar Torque Tools Ltd, Banbury	New properties	487,500
Karcher House, Banbury	New properties	437,500
Pingle Drive, Bicester Village units	Changes in RV following a reassessment by the VOA	418,500
Show Houses in Banbury and Bicester	New properties	150,000
Leisure Centre, Banbury Cross Retail park	New properties	118,000
Longford Park Road School	New properties	117,000
Various	Miscellaneous small movements in growth and decline	7,960
Major areas of Growth		3,886,460
Decline	Reason	Change in RV
Castleside carpark, Bolton Road, Banbury	Demolished	-142,000
Major areas of Decline		-142,000
Movement in Rateable Value for Quarter 3		3,744,460

Accounting for Business Rates

- 3.3 Billing authorities are required to complete a statutory return called the NNDR1 before the beginning of the financial year to forecast the amount of business rates income that they expect to charge businesses during the course of the year. From this, a number of allowable deductions will be made for a provision for appeals and losses in collection in order to arrive at a figure for its non-domestic rating income.
- 3.4 Once rateable value has been established by the VOA a multiplier is applied to turn it into an amount to be charged to businesses. At the end of Quarter 3, the non-domestic rating income, after applying the multiplier to the rateable value detailed in 3.1, and after allowing for the accounting adjustments, is £88,565,170. The non-domestic rating income collected is then apportioned between Central Government (50%), Cherwell District Council (40%) and Oxfordshire County Council (10%). A tariff is deducted and paid to Central Government. The remaining amount is then compared to the baseline funding figure (for Cherwell this is £3,566,292 for 2017-2018) and a levy of 50% is payable on the excess (any growth) to Central Government. The remainder stays with the Council.
- 3.5 As Cherwell is in a pool, we retain more business rates as the levy rate is 0.7% instead of 50% outside of the pool. In 2017-18, the North Oxfordshire Business Rates Pool consists of Cherwell District Council, West Oxfordshire District Council and Oxfordshire County Council. This combination of authorities results in a levy of 0.7%. Should other authorities join the Pool then the levy would be more than 0.7% and Cherwell would have to pay the levy to Central Government.

- 3.6 For the financial year 2017-18 Cherwell entered into a distribution agreement with the other Oxfordshire authorities under which Oxford City Council and South Oxfordshire District Council agreed to be omitted from the Pool of authorities whose business rates base would be used to maximise the potential funds available for distribution. Under this arrangement the levy remains at 0.7%, but Oxford City Council and South Oxfordshire District Council share in the risks and rewards of being in the Pool. .
- 3.7 The retained business rates income budgeted for in 2017-18, including the baseline funding of £3,566,000, is £6,922,000. At the end of December 2017 the retained business rates income, after allowing for accounting adjustment for provisions, is £6,719,000 which is £203,000 less than budgeted. This is detailed in the table 2 below:

Table 2: Budget monitoring 2017-18

	Budget	Provisional Outturn	Variance
	£'000	£'000	£'000
Baseline funding	-3,566	-3,566	0
Retained Business Rates	-3,356	-3,153	203
2017-2018 impact on General Fund	-6,922	-6,719	203

- 3.8 The main reason for the adverse variance against budget, which will impact on the General Fund in 2017-18, is due to the pooling allocation. The pooling gain is allocated based on each authority's growth above the baseline. As Oxford City is currently reporting more growth at the end of December than budgeted, Cherwell's proportion of the pooling gain is therefore smaller than anticipated and has resulted in a forecast adverse variance against budget at the end of 2017-18 financial year. This will be monitored and reported throughout the financial year.
- 3.9 An earmarked reserve for business rates volatility was set up for this purpose; the current balance is £2,205,000 and this reserve can be used to fund the adverse variance of £203,000 in 2017-18.

Collection Fund Surplus/Deficit

- 3.10 The accounting arrangements for business rates mean that we account in year for the estimates as per the NNDR1. The difference between the estimate (NNDR1) and the actual at the end of the year (NNDR3) is the Collection Fund surplus or deficit. There is a timing delay between when this occurs and when it actually appears in the accounts as a surplus or deficit for the General Fund.

The current Collection Fund surplus at the end of December 2017 is forecast at £558,000, and the CDC proportion of this is £223,000. This position changes each month as the Rating List is updated by the Valuation Office Agency.

The Collection Fund surplus of £223,000 has been built into the 2018-19 budget setting process.

4.0 Conclusions and Reasons for Recommendations

4.1 Members are asked to note the detail of this report.

5.0 Consultation

None.

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: None: this report is provided for information.

7.0 Implications

Financial and Resource Implications

7.1 These are contained within the report.

Comments checked by:

Cecilie Booth, Interim Assistant Director – Finance and Governance

01295 221731

cecilie.booth@cherwellandsouthnorthants.gov.uk

Legal Implications

7.2 None directly arising as this is a report for information.

Comments checked by:

James Doble, Assistant Director – Law and Governance

01295 221587 james.doble@cherwellsouthnorthants.gov.uk

Risk Management

7.3 The report highlights the need to monitor business rates income against budget to understand the implications of any significant variances. Risk 'S02 – Financial Resilience' is monitored on a regular basis as part of the Council's Corporate Risk Register and will be monitored through the operational risk register. Any increase in risk is reviewed and acted on.

Comments checked by: Louise Tustian

Louise Tustian, Team Leader - Strategic Intelligence and Insight Team 01295

221786

louise.tustian@cherwellandsouthnorthants.gov.uk

Equality and Diversity

7.4 There are no equality and diversity implications arising out of this report.

Comments checked by:

Caroline French, Business Transformation Project Officer 01295 221586
caroline.french@cherwellandsouthnorthants.gov.uk

8.0 Decision Information

Wards Affected

All

Links to Corporate Plan and Policy Framework

This links to the Council's priority of Sound Budgets and a Customer Focused Council.

Lead Councillor

Councillor Tony Illot, Lead Member for Financial Management

Document Information

Appendix No	Title
None	
Report Author	Mandy Anderson, Financial Analyst
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Cherwell District Council

Budget Planning Committee

27 February 2017

Review of Procurement Strategy Progress

Report of Executive Director – Finance and Governance

This report is public

Purpose of report

This report summarises the Council's Procurement Strategy progress for Q3 of the financial year 2017-18.

1.0 Recommendations

- 1.1 That the Committee notes the progress made during Q3 2017-18 in implementing the Council's Procurement Strategy.

2.0 Introduction

- 2.1 The shared procurement team is used to ensure we drive down costs wherever possible, challenge rogue spend, improve the procurement process so it is as streamlined as possible (these are known as process savings) and ensure the regulatory minefield of procurement legislation is adhered to in order to protect the interests of the Council.
- 2.2 Should Officers breach public procurement legislation then unsuccessful bidders may be able to sue the Council for damages at the value of the contract.

3.0 Report Details

- 3.1 The procurement team continue to sell procurement support to the Graven Hill Development Company, advising on procurement projects with a total spend of circa £40m.
- 3.2 The procurement team also provide procurement support to other Council owned companies such as CSN Resources Ltd and Crown House Banbury Ltd
- 3.3 The team work closely with other service areas, including one Senior Procurement Officer working on a part time secondment with the transformation team. This secondment has now ended and the Officer is on another part time secondment to Crown House Banbury Ltd.
- 3.4 The team are currently working alongside the project team for Castle Quay 2 and will be involved in the procurement requirements of all phases of programme.

- 3.5 The team administer and monitor purchase card payments and challenge user's spend where appropriate.
- 3.6 The Procurement Team continue to deliver best value for the Council and aggressively seek to reduce the whole life cost of projects whilst maintaining or improving quality.
- 3.7 Examples of added value achieved by the shared Procurement Team for CDC Q3 17/18 are shown in the table below.
- 3.8 The budget for running the Procurement Team for Cherwell District Council is £104,000 per annum.

Project	Procurement added value			Cumulative Total
	Q1	Q2	Q3	
Cost savings				
Banking services (£18,000 over 4 years-starting q2 16/17)	£1,125	£1,125	£1,125	
Early payment discount for Diesel (£500 over 1 year starting q2 16/17)	£125	£125		
Woodgreen leisure centre management (£938,000 over 18 years starting q2 16/17)	£13,000	£13,000	£13,000	
Legal support (£10,000 over two years starting q3 16/17)	£1,250	£1,250	£1,250	
On line legal database access (£9,000 over three years starting q3 16/17)	£750	£750	£750	
Waste Management software (£7,621 over 4 years starting q4 16/17)	£476	£476	£476	
Agency Staff (£230,000 over 2 years starting q4 16/17)	£28,750	£28,750	£28,750	

Internal Audit (£35,887 over 3 years starting q1 17/18)	£2,990	£2,990	£2,990	
Distribution of Cherwell Link (£15,663 over 3 years starting q1 17/18)	£1,305	£1,305	£1,305	
Car Park Management Services (£461,000 over 5 years starting q1 17/18)	£23,050	£23,050	£23,050	
HR & Payroll software (£115,500 over 4 years starting q1 17/18)	£7,218	£7,218	£7,218	
Wider Area Network supply for both councils (£232,960 over 5 years starting q2 17/18)		£11,648	£11,648	
External Data centre (£137,000 over 5 years starting q2 17/18)		£6,850	£6,850	
Installation of Xmas lights (£1500 over 2 years starting q2 17/18)		£187	£187	
Data Centre Hardware Maintenance Support for new servers (£42,076 over 5 years starting q3 17/18)			£2,103	
Sub total	£80,039	£98,724	£100,702	<u>£279,465</u>

	Q1	Q2	Q3	
Process saving				
Wide area network		£3,000		
Sub total	£0	£3,000	£0	£0
Under budget				
Temp- Community Safety Officer			£1,500	
Sub total	£0	£0	£0	£0
Bid differential				
Sub total	£0	£0	£0	£0
Total	£80,039	£101,724	£102,202	<u>£283,965</u>

3.5 The list below is a sample of current procurement activity:

Project	Comment
External printing	Currently finalising contracts
Corporate Insurance	Currently out to market
Water dispensers	Working with FM to rationalise existing estate prior to competitive process.
Dry Waste Recycling contract	Currently finalising contracts
Eco Business Centre	Completed construction and moving on to procure an operator
Franklins House	Advised on fit out of the building
Occupational Health	Conducting market engagement
Landscape Maintenance	Currently finalising contracts
Mobile polling stations for elections	Currently finalising contracts
Castle Quay 2	Scoping out requirements
Banbury Crown House Ltd	Support Council company procurement requirements

4.0 Conclusion and Reasons for Recommendations

- 4.1 The shared procurement service continues to provide a valuable service to both Councils by delivering added value whilst striving to improve quality and ensuring compliance with Procurement regulations. The Budget Planning Committee is recommended to note the progress made in Q3 2017/18.

5.0 Consultation

The work of the Procurement Team is scrutinised by the Procurement Steering Group that comprises:

- Assistant Director - Law & Governance
- Executive Director – Finance and Governance
- The Resources Portfolio Holder

6.0 Alternative Options and Reasons for Rejection

- 6.1 This report is for information only, members may ask for further information if required.

7.0 Implications

Financial and Resource Implications

- 7.1 There are no adverse financial effects on the Council by implementing the procurement strategy. Cashable savings will assist in protecting Council services and managing funding reductions.

Comments checked by:

Cecilie Booth, Interim Assistant Director of Finance, 01295 221564
Cecilie.booth@cherwellandsouthnorthants.gov.uk

Legal Implications

- 7.2 Legal work closely with procurement to ensure that our processes are compliant and not open to challenge. The monitoring officer also plays a key role as part of the Procurement Steering Group.

Comments checked by:

James Doble, Assistant Director of Law & Governance, 01295221587,
james.doble@cherwellandsouthnorthants.gov.uk

8.0 Decision Information

Wards Affected

All

Links to Corporate Plan and Policy Framework

Sound budgets and customer focused council

Lead Councillor

Not applicable.

Document Information

Background Papers	
None	
Report Author	Cael Sendell-Price J.P.
Contact Information	01295 221665 Cael.sendell-price@cherwellandsouthnorthants.gov.uk

Cherwell District Council

Budget Planning Committee

27 February 2018

<p>Quarter 3 2017-18 – Performance, Budget and Risk Monitoring Report</p>
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Report of the Executive Director of Finance and Governance and Director of Customers and Service Development

This report is public

Purpose of report

This report summarises the Council's Performance, Budget and Risk monitoring position as at the end of the third quarter of the financial year 2017-18 with relevant projections for the full year.

1.0 Recommendations

Committee is recommended:

- 1.1 To note the projected revenue, capital and reserves position at December 2017.
- 1.2 To note the performance position at the end of the third quarter.
- 1.3 To note the revised risk register.

2.0 Introduction

- 2.1 In line with good practice budget monitoring is undertaken on a monthly basis within the Council. The revenue, capital and reserves position is formulated in conjunction with the senior leadership team, budget managers and reported formally to the Budget Planning Committee on a quarterly basis. The report is then considered by the Executive.
- 2.2 The revenue, capital and reserves position to the end of December has been subject to a detailed review by officers.

- 2.3 The Council's performance management framework sets out the key objectives, projects and programmes of work that contribute to the Council's corporate business plan, this plan sits alongside the council's budgets and risk registers.
- 2.4 The appendices to this report provide a full summary of the budget, performance and risk position for the Council at the end of the third quarter.

3.0 Report Details

Projected Revenue Outturn 2017-18

- 3.1 The details of income and expenditure variances to the end of December and projections to the year-end can be found at Appendix 1. It should be noted that this is the final report to be published in the old structure format. Q4 will be published in line with the new Corporate Management restructure.
- 3.2 The overall position for Q3 is a projected underspend of £79k, which is in line with the current year to date and represents a variance of 0.37%. There are a number of budget variances, which are set out below:

Chief Executive

There are no significant variances to report.

Chief Finance Officer

Finance – whilst the year to date is underspent there are additional temporary staffing costs ahead of the corporate management restructure. These total £73k.

Revenues and Benefits – The year to date is on track however there are additional one off costs relating to the previous outsourced services being taken back in house. These are mainly staffing costs and total £63k.

Assets and Facilities Management – the projected overspend is £69k and is due to a reduction in rental income from across the Council's portfolio. This is being reviewed in the light of the Castle Quay acquisition and will be updated and reported in full for Q4.

Housing and Regeneration – a projected overspend of £37k due to additional staffing costs which cannot be capitalised and delays in build completions (reduced rental income). Some of these additional costs may be recouped.

3.7 Of the 81 measures that comprise the performance framework there are 6 measures (7%) reporting as Red, 8 (10%) reporting as Amber and 67 (83%) reporting as Green.

3.8 The Council takes performance management seriously and where performance is off track actions are taken wherever possible to improve. The table below sets out key issues identified this quarter.

Business Plan Objective:	Working with partners to support financial inclusion
<ul style="list-style-type: none"> This has been highlighted in the commentary for previous reports as the Revenues and Benefits team have undertaken a number of major changes over the last 6 months including migration of data to a new software system and the insourcing of the Capita contract. Action plans have been implemented in all 3 measure areas and it is expected that an improvement in performance will be achieved by the end of the financial year. 	

Business Plan Objective:	Work to provide and support health and wellbeing across the district
<ul style="list-style-type: none"> The Council's judicial review of the Horton consultation process with its co claimants was dismissed in December 2017. This means that the proposals from Oxfordshire Clinical Commissioning Group (OCCG) to undertake a number of acute services at Oxford rather than the Horton will be implemented. This relates to acute stroke cases and level 3 critical care. The exception to this is the proposed obstetric service move to Oxford leaving only a freestanding mid wife led unit at the Horton, as this decision is subject to a referral to the Secretary of State for Health and will not therefore be implemented permanently until the Secretary has determined the matter. Workplace Wellbeing accreditation. The councils have been delivering this using a set of national standards. These standards have since been withdrawn and cannot be used by local authorities. We are working at county level and with Public Health England to establish a new set of standards. It is unlikely that this will be complete by March 31st therefore this objective cannot be achieved. This measure cannot be achieved for reasons beyond the Councils control therefore no improvement can be seen before March 31st, this measure is recommended to be closed. 	

Quarter Three Performance Highlights:

3.9 The Council's strategic objectives as set out in its business plan are largely on track, aside from the few exceptions noted above and those highlighted in the appendix. This quarter areas of particular achievement to note include:

Business Plan Objective:	Adoption of the Masterplan document to assist revitalisation of Bicester town centre
<ul style="list-style-type: none"> • A revised programme has been drafted for consultation and completion of the Masterplan. The emerging masterplan proposals have been reviewed to ensure alignment with adopted local plan policy. • The revised programme for adoption of the masterplan as a Supplementary Planning Document (SPD) has been put in place. Consultation will take place in Quarter 1 of 2018. This document is key to setting out the long term vision for the town centre. 	

Business Plan Objective:	Deliver at least 190 units of affordable housing
<ul style="list-style-type: none"> • Delivery remains strong and the third quarter target of 70 units has been exceeded by 24units. This figure includes 19 bungalows, 11 of which are included in a specialist supported housing scheme. 	

Business Plan Objective:	Implementing the actions set out in the new Asset management Strategy
<ul style="list-style-type: none"> • With the acquisition of Castle Quay and the investment made in the project, the council will generate additional revenue and support the long term sustainability of Banbury Town Centre. 	

Risk Management

- 3.10 The Council sets out its approach to the management of risk within its Risk and Opportunities Strategy that is reviewed on an annual basis. The Council's Executive leads on the review of risk and oversees the delivery of the risk strategy; risks are also reviewed by the Accounts, Audit and Risk Committee and are used to shape and inform the Council's internal audit plan. It is important that risk is considered alongside both budget and performance information to ensure there is a comprehensive approach to financial management, the delivery of services and strategic priorities and risks that may impact upon them thereby impacting on customers and local residents.
- 3.11 During the third quarter the Council has undertaken a management review and the new senior leadership team has taken the opportunity to fully review the risk strategy and register. This review has concerned the most significant and strategic risks to the organisation. This fully updated risk register is attached at appendix 5. It should be noted that given the shared service partnership with South Northants Council the risks identified are common to both authorities. The revised risk strategy will be presented in March 2018.

3.12 Risks are owned by Executive Members and each risk also has an accountable Director and senior manager, their role is to oversee, monitor and review the risk controls and mitigating actions. It should be noted that as well as the strategic risks reported in this document the Council has a series of service and project risk registers that manage risks in service or project areas. These are reviewed at an operational level.

3.13 All risks have been reviewed and updated and this takes place on a monthly basis. The risk register (attached as an appendix to this paper) sets out how risks are rated in terms of probability and impact, and the steps to be taken in relation to the control and migration of these risks. Of the twelve risks on the register, four have been scored as medium risks. These are:-

Risk	Score
L05 Business Continuity	12 Moderate risk
L07 Emergency Planning	12 Moderate risk
L08 Health & Safety	12 Moderate risk
L09 Cyber Security	15 Moderate risk

3.14 The remaining have been scored as 'lower risk'.

Risk	Score
L01 Financial Resilience	9 Low risk
L02 Statutory functions	9 Low risk
L03 Lack of management Capacity	6 Low risk
L04 CDC & SNC Local Plans	8 Low risk
L06 Partnering	9 Low risk
L10 Safeguarding the Vulnerable	9 Low risk
L11 Income Generation through council owned companies	8 Low risk
L12 financial sustainability of third party suppliers	9 Low risk

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 budgetary, performance and risk information from the previous quarter 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 2017-18 Financial Targets for Revenue and Capital and sets out the Council's position on Reserves, performance and strategic risk. 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 These are contained in the body of the report. There are no direct costs or other direct financial implications arising from this report.

Comments checked by:

Cecilie Booth, Interim Assistant Director of Finance, 01295 221564

ceciliebooth@cherwellandsouthnorthants.gov.uk

Legal Implications

- 7.2 There are no legal implications. Presentation of this report is in line with the CIPFA Code of Practice.

Comments checked by:

Richard Hawtin, Team Leader – Non-contentious, 01295 221695

richard.hawtin@cherwellandsouthnorthants.gov.uk

Risk management

- 7.3 This report contains a full update with regards to the Council's risk position at the third quarter 2017/8. A risk management strategy is in place and the risk register has been fully reviewed.

Comments checked by:

Louise Tustian, Team Leader – Strategic Intelligence and Insight, 01295 221786

louise.tustian@cherwellandsouthnorthants.gov.uk

Equality and Diversity

- 7.4 Impact assessments were carried out in advance of setting the 2017-18 budgets.

Comments checked by:

Caroline French, Corporate Policy Officer, 01295 221586

caroline.french@cherwellandsouthnorthants.gov.uk

8.0 Decision Information

Wards Affected

All

Links to Corporate Plan and Policy Framework

All

Lead Councillors

Councillor Tony Ilott – Lead Member for Financial Management

Councillor Richard Mould – Lead Member for Performance Management

Document Information

Appendix No	Title
Appendix 1	Directorate Analysis of Revenue Expenditure 2017-18.
Appendix 2	Directorate Analysis of Capital Expenditure 2017-18.
Appendix 3	Reserves 2017-18.
Appendix 4	Performance Update
Appendix 5	Risk Register
Background Papers	
None	
Report Author	Paul Sutton, Executive Director, Claire Taylor, Director
Contact Information	03000 030106 paul.sutton@cherwellandsouthnorthants.gov.uk

CHERWELL DISTRICT COUNCIL
MANAGEMENT ACCOUNTS AS AT 31 DECEMBER 2017

SUMMARY BY SERVICE AREA

	Actual v Profile							Projected v Budget					
	Budget YTD £000's	Use of Reserves 2017/18 £000's	Revised Budget £000's	Actual YTD £000's	Commitment £000's	Variance (Under) / Over £000's	RAG	Budget £000's	Use of Reserves 2017/18 £000's	Revised Budget £000's	Projected £000's	Variance (Under) / Over £000's	RAG
Chief Executive	154	139	293	347	208	262	R	187	132	319	313	(6)	G
CHIEF EXECUTIVE TOTAL	154	139	293	347	208	262	R	187	132	319	313	(6)	G
Finance	1,084	45	1,129	935	218	24	A	1,104	60	1,164	1,237	73	R
Revenues & Benefits	276	0	276	113	96	(67)	A	274	192	466	531	65	R
Procurement	87	0	87	74	10	(3)	G	104	0	104	102	(2)	G
Assets and facilities Management	(335)	149	(186)	(78)	211	319	R	165	225	390	459	69	R
Commercial Dev't and Innovation	1,883	107	1,990	1,515	416	(59)	A	2,384	105	2,489	2,288	(201)	A
Regeneration	86	0	86	91	119	124	R	85	0	85	122	37	R
CHIEF FINANCE OFFICER TOTAL	3,081	301	3,382	2,650	1,070	338	R	4,116	582	4,698	4,739	41	G
Strategic Planning Economy	968	218	1,186	1,201	(37)	(22)	G	1,161	292	1,453	1,455	2	G
Development Management	460	156	616	571	19	(26)	A	552	188	740	746	6	G
Communications and Corporate Publications	264	0	264	228	9	(27)	A	317	0	317	308	(9)	G
Strategic Intelligence & Insight	219	0	219	216	62	59	R	180	0	180	328	148	R
Strategy and Commissioning	91	0	91	107	0	16	G	109	0	109	119	10	G
Governance	742	0	742	934	(132)	60	R	890	0	890	908	18	G
Legal Services	200	0	200	233	10	43	R	240	0	240	226	(14)	G
Bicester Regeneration Projects	788	138	926	752	185	11	G	1,190	160	1,350	1,350	0	G
STRATEGY AND COMMISSIONING TOTAL	3,732	512	4,244	4,242	116	114	R	4,639	640	5,279	5,440	161	R
Community Services	3,793	99	3,892	3,121	661	(110)	A	7,269	178	7,447	7,292	(155)	G
Environmental Services	3,618	0	3,618	3,648	(160)	(130)	A	5,416	0	5,416	5,300	(116)	G
OPERATIONS AND DELIVERY TOTAL	7,411	99	7,510	6,769	501	(240)	A	12,685	178	12,863	12,592	(271)	G
TOTAL DIRECTORATES	14,378	1,051	15,429	14,008	1,895	474	R	21,627	1,532	23,159	23,084	(75)	G

Concern Key

Overspent more than £20k and 2.5% of budget	R
Underspent more than £20k and 2.5% of budget	A
Overspent by £20k and between 1.5% and 2.5% of budget	A
Anything else	G

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**CHERWELL DISTRICT COUNCIL
CAPITAL MONITORING 2017/18**

DESCRIPTION	SERVICE OWNER	PROJECT APPROVED	ORIGINAL BUDGET £000	SLIPPAGE £000	ADJUSTMENTS £000	BUDGET £000	ACTUAL £000	COMMITMENT £000	PROJECTION £000	SLIPPAGE £000	VARIANCE £000	COMMENTS
HR / Payroll System replacement	Paul Sutton	2015/16	0	37		37	34	0	0	0	(3)	Project on target.
Castle Quay 2	Paul Sutton	2017/18	500	0		500	97	2	401	0	0	Scheme changes since we are now undertaking ourselves, these are the initial fee costs and expect to spend all before year end..
Academy Harmonisation	Paul Sutton	2017/18			200	200	42	0	158	0	0	Project complete.
Castle Quay 1	Paul Sutton	2017/18	0		68,000	68,000	138	30	67,832	0	0	Reflects the full approved budget for CQ1 (Dec 17). To be spent in Q4.
Graven Hill - Loans and Equity	Paul Sutton	2014/15	0	13,148	6,452	19,600	14,900	0	4,700		0	Reflects the loans and equity payments made to Graven Hill.
Finance Total			500	13,185	74,652	88,337	15,211	32	73,091	0	(3)	
Bicester Community Building	Adrian Colwell	2011/12	0	94	145	239	244	168	0	0	173	Franklins House completed several years ago but residual budget was retained for the downstairs units and the second floor. Exec approved the transformation of the groundfloor units into Perch Coworking which is scheduled to open in Jan 2018. The Perch project is within budget, but the Franklins House budget remains overspent overall due to construction delays.
NW Bicester Eco Business Centre	Adrian Colwell	2016/17	0	3,726	575	4,301	1,195	400	340	2,366	0	The building construction is on budget and on target for completion in Summer 2018.
Bicester Regeneration Projects Total			0	3,820	720	4,540	1,439	568	340	2,366	173	
East West Railways	Paul Sutton	2015/16	290	580		870	0	0	0	870	0	There is a 5yr schedule of capital contributions to 2019/20, which have not yet been requested so likely to slip again.
Build Programme Phase 1	Paul Sutton	2012/13	4,829	4,790		9,619	5,514	1,486	0	2,619	0	All phase 1 properties will be complete by the end of the first quarter of 18/19. The total council investment in phase 1 is expected to be £15.4m which is an improvement on the budgeted investment of £16.7m. This is mainly due to improved sales values and percentages on shared ownership properties. Phase 1b and 2 have been bid for in the 18/19 budget round.
The Hill Youth Community Centre	Jane Norman	2015/16	0	933	140	1,073	0	0	113	960	0	The team have been through the tendering process. One tender was returned which was significantly over budget. The team plan to have informal discussions with the tenderer to see if there is scope to reduce the cost to be in line with budget. Discussions are scheduled for Feb.
Condition Survey Works	Chris Hipkiss	2013/14	0	101		101	0	0	105		4	Works to be outsourced to specialist consultants (not SMBC). Scope to be finalised, aim to completed by March 2018.
Bradley Arcade Roof Repairs	Chris Hipkiss	2014/15	0	88		88	1	5	82		0	Works planned and on schedule (Phase 1 completed and Phase 2 planned). Works complete by the end of the year, possibly under budget - Solihull Partnership .
Orchard Way Shopping Arcade Front Serv	Chris Hipkiss	2015/16	0	310		310	265	60			15	Work progressing via Solihull Partnership, due for completion by the year end. Current projections show that the budget will be overspent by circa £15k.
Bicester Cattle Market Car Park Phase 2	Chris Hipkiss	2011/12	0	90		90	0	0		90	0	Project to commence in Q4 2017/18 but more likely Q1 18/19
Bicester Town Centre Redevelopment	Chris Hipkiss	2011/12	0	0		0	112	22			134	Pioneer Square costs regarding defect issues. Some costs will be recovered as part of the ongoing legal challenge but amount is unknown at present.
Thorpe Lane Depot - CCTV Replacement	Chris Hipkiss	2015/16	0	25		25	0	0			(25)	Works completed.
Banbury Museum - Refurbishment Programme	Chris Hipkiss	2016/17	0	38		38	0	13			(25)	Work completed via Solihull Partnership.
Community Buildings - Remedial Works	Chris Hipkiss	2016/17	0	150		150	0	0	20	130	0	Planned work being prepared, scope to be finalised - minor works to be completed in Q4 - majority in 18/19.
Spiceball Riverbank Reinstatement	Chris Hipkiss	2016/17	0	50		50	0	0		50	0	Planned work being prepared.
Bolton Road	Jane Norman	2016/17	0	74		74	0	89			15	Commitment relates to the Armac Group for Retention monies (CDC002158).
Banbury Health Centre - Refurbishment of Ventilation, Heating & Cooling Systems	Chris Hipkiss	2017/18	270	0		270	0	0		270	0	Project Plan being drawn up, earliest start date to be Q1 18/19
Thorpe Way Industrial estate - Roof & Roof Lights	Chris Hipkiss	2017/18	100	0		100	0	0		100	0	Phase 2 will commence 18/19
Assets Facilities Management Total			5,489	7,229	140	12,858	5,892	1,674	320	5,089	117	
Land & Property Harmonisation	Tim Spiers	2014/15	77	6		83	0	0		83	0	Funds to be utilized as per Project Plans continuing into 18/19
Business Systems Harmonisation Programme	Tim Spiers	Annual	40	0	(11)	29	0	0		29	0	
Upgrade Uninterrupted Pwr Supp Back up / Datacentre	Tim Spiers	2014/15	0	476	50	526	241	0	0	0	(285)	No longer required for this project. Potentially to be utilised as a part of a new Data Centre project.
Visualifies Replacement	Tim Spiers	2013/14	0	0	11	11	11	0			0	Completed.
IT Strategy Review	Tim Spiers	2017/18	0	139		139	0	0	0	139	0	For implementation in 2018/19 as per Project Plans and encompassing funds from other projects above.
Information Technology Total			167	621	0	788	252	0	0	251	(285)	
Chief Finance Officer Total			6,156	24,855	75,512	106,523	22,794	2,274	73,751	7,706	2	

DESCRIPTION	SERVICE OWNER	PROJECT APPROVED	ORIGINAL BUDGET £000	SLIPPAGE £000	ADJUSTMENTS £000	BUDGET £000	ACTUAL £000	COMMITMENT £000	PROJECTION £000	SLIPPAGE £000	VARIANCE £000	COMMENTS
Biomass Heating Bicester Leisure Centre	Sharon Bolton	2012/13	0	14		14	0	0	0	14	0	Retendered the maintenance contract for the Biomass heater, contract awarded to Framework. This budget may need to be slipped into 18/19 to cover health and safety changes requested by the new maintenance contractor.
Customer Self-Service Portal CRM Solutn	Natasha Barnes	2014/15	0	80		80	0	0	0	80	0	Project delayed but likely to be required once the new management structure is in place..
Corporate Booking System	Sharon Bolton / Nat	2017/18	60		0	60	0	0		60	0	Short term work has been implemented. Now waiting on the Corporate project for long term solution. Some expenditure has occurred in Q4 but the balance will need to be slipped in to next year.
Whitelands Farm Sports ground	Sharon Bolton	2016/17	0	998	2,640	3,638	3,608	30	0		0	This project is now nearing final account but is on budget. S106 funding to be moved into the capital scheme.
Solar Photovoltaics at Sports Centre	Sharon Bolton	2013/14	0	80		80	0	0	0	80	0	This budget is for the replacement of the invertors as they incur. This is an unknown factor but anticipated as they have a limited lifespan. This budget needs to be slipped to cover the costs for replacement. To be placed into a reserve to be drawn down when necessary.
Football Development Plan in Banbury	Sharon Bolton	2013/14	0	20		20	0	0	20		0	Consultancy fees of £20k to be spent in Q4
North Oxfordshire Academy Astro turf	Sharon Bolton	2014/15	340	150		490	283	7	50	150	0	The costs to date are for the artificial turf replace at NOA and Cooper schools. There are still associated works of £50k to take place in Q4. £150k is for the 3G pitch that will now take place in 18/19
Stratfield Brake Repair Works	Sharon Bolton	2014/15	0	22		22	10	12			0	This budget will be fully utilised by year end.
Car Park Refurbishments	Natasha Barnes	2017/18	650	0		650	183	0	467		0	CDC car parks are now outsourced under a new management contract with APCOA. Executive agreed to fund the capital set up costs for the new equipment required in the car parks. It is expected that the budget will be fully utilised but any underspend will need to be slipped as contingency for replacement equipment in the future.
Sports Centre Modernisation Programme	Sharon Bolton	2007/08	0	86		86	46	1		39	0	Retention sum of £245k is held for an outstanding defect to leisure centre. This is currently being progressed through a contract adjudication. The balance of £39k is to be slipped to cover Woodgreen dilapidations
Woodgreen Dry Side Refurbishment	Sharon Bolton	2016/17	0	0		0	(52)	0	52		0	Reversal of accrual from previous year has resulted in the negative expenditure pending receipt of the expected invoice. Retention to be paid once Pratical Completion is achieved, forecast to happen in Q4.
Bicester Leisure Centre Extension	Sharon Bolton	2016/17	0	149		149	27	8		114	0	Feasibility studies have been delayed by the Sports Studies which will capture the facility deficiencies. This budget needs to slip in to 18/19
Spiceball Leis Centre Bridge Resurfacing	Sharon Bolton	2016/17	0	30		30	0	0		30	0	Works to be determined post completion of formation of new bridge connection in 2018, as part of the CQ2 project. As a consequence, capital to slip into 2018/19.
Empty Homes Work-in-Default Recoverable	Ian Davies	2014/15	0	100		100	0	0		100	0	Contingency budget pot. This needs to remain at £100k per annum. Any unspent budget is to be slipped and topped up to £100k
Woodgreen - Condition Survey Works	Liam Didcock	2015/16	0	9		9	7	0	2		0	Ongoing project. Actuals to date in relation to rendering work at Woodgreen Leisure Centre
Disabled Facilities Grants	Ian Davies	Annual	375	493	930	1,798	477	0	483	838	0	Forecast to spend £760m in 2017-18. Currently expecting to slip £838k to continue to implement proposal in 2018-19. Proposing not to build in base budget of £375 for 2018-19 but reinstating in 19-20
Discretionary Grants Domestic Properties	Ian Davies	Annual	275	340		615	155	0	120		(340)	Forecast spend of £275k in 2017-18. Therefore balance of circa £340k can be offered up as a saving with members agreement.
S106 Capital Costs- Various Schemes	Various	Various	0	0	272	272	166	106			0	Projection is the transfer from S106 holding account. This is a year end adjustment.
Bicester Leisure Centre - Access Road Improvements	Sharon Bolton	2017/18	33	0		33	0	0	33		0	Works now complete awaiting invoice from OCC in Q4
Cooper School Performance Hall - Roof, Floor & Seating	Sharon Bolton	2017/18	136	0		136	98	0	0	38	0	Works to roof now completed, however works to the floor and seating has been delayed until summer 2018 as the school has not received sufficient funding this financial year.
North Oxfordshire Academy - Replacement Floodlights	Sharon Bolton	2017/18	95	0		95	48	41	6		0	Works now completed
North Oxfordshire Academy - Sports Pavilion Improvements	Sharon Bolton	2017/18	20	0		20	14	7			1	Some work already completed, to continue in Q4.
Community Services Total			1,984	2,571	3,842	8,397	5,070	212	1,233	1,543	(339)	

DESCRIPTION	SERVICE OWNER	PROJECT APPROVED	ORIGINAL BUDGET £000	SLIPPAGE £000	ADJUSTMENTS £000	BUDGET £000	ACTUAL £000	COMMITMENT £000	PROJECTION £000	SLIPPAGE £000	VARIANCE £000	COMMENTS
Energy Efficiency Projects	Ed Potter	2014/15	0	28		28	0	3	28	0	3	Best estimate. Anticipating purchase order for electric vehicle charging points by end of Q4.
Off Road Parking Facilities	Ed Potter	2015/16	0	18		18	0	0	0	18	0	Project has been delayed due to awaiting decisions on planning. Full £18k to be slipped in to 18/19
Vehicle Replacement Programme	Ed Potter	Annual	959	128		1,087	922	6	30	129	0	Slippage of £129k to be slipped to 18/19 to explore electric vehicle purchases further.
Wheeled Bin Replacement Scheme	Ed Potter	2016/17	0	170		170	0	0	30	140	0	Slippage will definitely be required as this is a rolling programme.
Urban Centre Electricity Installations	Ed Potter	2016/17	0	30		30	0	0	30	0	0	To be committed in Q4. Project delayed due to concentration of team on new grounds maintenance contract.
Environmental Services Total			959	374	0	1,333	922	9	118	287	3	
Operations & Delivery Total			2,943	2,945	3,842	9,730	5,992	221	1,351	1,830	(336)	
Capital Total			9,099	27,800	79,354	116,253	28,786	2,495	75,102	9,536	(334)	

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Earmarked Reserves	Service Owner	Draft Accounts	Transfer In	Transfer Out	Year End Review of Reserves	Estimated Balance
		31-Mar-2017				31-Mar-2018 Post Review
		£000	£000	£000	£000	£000
General Fund:						
Building Control	Tony Brummell	(100)		100		0
Capacity Funding	Jenny Barker	(157)		157		0
Country Park Reserve	Kevin Lamer	(100)				(100)
Elections	James Doble	(109)				(109)
Environmental Warranties	Paul Sutton	(1,000)				(1,000)
Graven Hill Equalisation Reserve	Paul Sutton	0				0
Hanwell Fields Open Space	Adrian Colwell	(79)				(79)
Home Improvement Agency	Tim Mills	(234)	(25)	20		(239)
Housing Reserve	Joanne Barrett	(91)	(23)	46	(31)	(99)
Work in Default reserve	Tim Mills	(100)				(100)
Joint External Bid-writer	Jenny Barker	(19)		11		(8)
Licensing	Nicolas Sutcliffe	(129)				(129)
Local Plan Charges	Adrian Colwell	(75)	(490)	370	195	0
NHB - Affordable Housing	Joanne Barrett	(577)	(278)			(855)
NHB - Economic Development	Adrian Colwell	(2,665)	(2,095)	96	20	(4,644)
NHB - Superfast Broadband	Adrian Colwell	(727)				(727)
Planning Control	Andy Preston	(350)	(92)	94	88	(260)
Corporate Projects	Paul Sutton	(514)		200	225	(89)
Retained Business Rates	Mandy Anderson	(2,205)		203		(2,002)
Sainsbury's Primary Authority	Jackie Fitzsimons	(55)				(55)
Self Insurance	Paul Sutton	(160)				(160)
Transformation and Commercial	Paul Sutton	(313)			265	(48)
VAT Deminimus	Paul Sutton	(500)				(500)
Welfare Reform	Belinda Green	(99)		42		(57)
Wheeled Bin Replacements	Ed Potter	(37)				(37)
Contributions to Health Bus	Nicola Riley	(40)				(40)
Performance Reward Grant ABG	Jackie Fitzsimons	(21)				(21)
Heat Network	Jenny Barker	(50)				(50)
Devolution Viability Work	James Doble	(12)	(41)	53		0
Healthy New Towns	Ian Davies	(20)		7		(13)
Horton General Towns	Ian Davies	(150)				(150)
Museum development	Ian Davies	(30)		18		(12)
Pensions Deficit	Paul Sutton	(3,396)		3,053		(343)
NEW Strategic Intelligence studies	Richard Ellis	0	(10)		10	0
New Car Parks APCOA Consultants fees	Ian Davies	0	(15)		15	0
NEW Art Development	Ian Davies	0	(80)	80		0
NEW Business Support Admin	Ian Davies	0	(15)			(15)
NEW CCTV	Ian Davies	0	(27)	8		(19)
NEW Interim Director	Yvonne Rees	0	(41)	41		0
GF Earmarked Reserves		(14,114)	(3,232)	4,599	787	(11,960)
Earmarked Reserves from Grants & Contributions						
Area Based Grant	Rakesh Kumar	(83)				(83)
Bicester Fields Main Park	Adrian Colwell	(97)				(97)
Brighter Futures - Skills Reward Grant	Nicola Riley	(66)		66		0
Bicester Garden Town	Jenny Barker	(1,197)		629		(568)
Bicester Youth Bus	Jackie Fitzsimons	(65)				(65)
Broadfield Road Yarnton Sports	Sharon Bolton	(4)				(4)
Courtyard Youth Arts	Nicola Riley	(39)				(39)
Dovecote Milcombe	Adrian Colwell	(56)		35		(21)
Eco Town Revenue	Jenny Barker	(472)		282	160	(30)
Emergency Planning	Jackie Fitzsimons	(40)				(40)
Green Deal Pioneer Places	Jenny Barker	(67)				(67)
Homelessness Prevention	Joanne Barrett	(70)				(70)
New Burdens Grant	Paul Sutton	(248)				(248)
Housing and Planning Initiatives	Adrian Colwell	(322)				(322)
PCC - Community Safety Grant	Jackie Fitzsimons	(64)		12		(52)
Thames Valley Police	Jackie Fitzsimons	(86)				(86)
Sportivate Grant	Sharon Bolton	(33)				(33)
Active Women Grant	Sharon Bolton	(22)				(22)
Credit Union Development Officer	Joanne Barratt	(23)	23			0
Laburnham Cres Ambrosden	Adrian Colwell	(38)				(38)
Reserves - Grants & Contributions		(3,092)	23	1,024	160	(1,885)
Total Earmarked Reserves		(17,206)	(3,209)	5,623	947	(13,845)
General Fund		(2,906)				(2,906)
Total Reserves		(20,112)	(3,209)	5,623	947	(16,751)

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Appendix 4 – All measures

Legend of appendices

The following legend applies to all appendices

Colour	Symbol	Meaning for Judgments	Meaning for Numeric Measures
Red		Significantly behind schedule	Significantly worse than target (more than 10% by default)
Amber		Slightly behind schedule	Slightly worse than target (up to 10% worse by default)
Dark Green		Delivering to plan	Delivering to target (up to 10% better by default)
Light Green		Ahead of schedule	Significantly better than target (more than 10% by default)
		Has improved since last month / quarter/ year (arrow signifies which way performance has moved)	
		Has got worse since last month / quarter/ year (arrow signifies which way performance has moved)	
		Direction of travel is not applicable as measures have not previously been reported	

Appendix 4 - All Measures: A District of Opportunity

Objective	Measure	Frequency	Target (pd)	Actual (pd)	Peri...	vs last peri...	Target (YTD)	Actual (YTD)	YTD	vs last Year
CBP1.1 - Manage the growth of the district	CBP1.1.1 Meeting key dates for the proposed submission of Local Plan Part 2	Monthly	Delivering to plan	Delivering to plan	★	?	Delivering to plan	Delivering to plan	★	?
CBP1.1 - Manage the growth of the district	CBP1.1.3 Engaging with all neighbouring councils under the duty to co-operate	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
CBP1.1 - Manage the growth of the district	CBP1.1.4 Preparation of neighbourhood plans to timetables set in regulations	Quarterly	100 %	100 %	★	➡	100 %	100 %	★	?
CBP1.2 -Deliver the growth plans for Bicester	CBP1.2.1 Northwest Bicester continue to facilitate the planning applications for the site	Monthly	Delivering to plan	Slightly behind schedule	●	➡	Delivering to plan	Slightly behind schedule	●	➡
<p>1) What has happened? Planning permission has been granted for the Albion Land site and all remaining current planning applications have resolutions to grant planning permission.</p> <p>2) Why has it happened? Work is continuing on the drafting of legal agreements. The legal agreements are complex as they have to address the infrastructure needs for the large scale development proposed.</p> <p>3) What actions are we taking? Regular meetings are taking place with the Developers and Oxfordshire County Council to progress the legal agreements.</p> <p>4) When will we see improvement? It is anticipated that legal agreements will all progress during 2018.</p>										
CBP1.2 -Deliver the growth plans for Bicester	CBP1.2.2 Northwest Bicester: Delivery of the Eco - Bicester business centre	Monthly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
<p>5) Performance on Green or Green * The Eco Business Centre construction is progressing to program. The concrete frame is now complete and work is starting on the construction of the walls.</p>										
CBP1.2 -Deliver the growth plans for Bicester	CBP1.2.3 Adoption of the Masterplan document to assist revitalisation of Bicester town centre	Monthly	Delivering to plan	Slightly behind schedule	●	✖	Delivering to plan	Slightly behind schedule	●	?
<p>1) What has happened? Revised program has been drafted for consultation and completion of the Masterplan.</p> <p>2) Why has it happened? Emerging masterplan proposals have been reviewed to ensure alignment with adopted local plan policy.</p> <p>3) What actions are we taking? Revised program for adoption of the masterplan as Supplementary Planning Document (SPD) has been put in place.</p> <p>4) When will we see improvement? Consultation will take place in Quarter 1 of 2018</p>										

Appendix 4 - All Measures: A District of Opportunity

Objective	Measure	Frequency	Target (pd)	Actual (pd)	Peri...	vs last peri...	Target (YTD)	Actual (YTD)	YTD	vs last Year
CBP1.2 -Deliver the growth plans for Bicester	CBP1.2.4 Marketing Bicester's employment and investment opportunities	Monthly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
5) Performance on Green or Green * Bicester Marketing Prospectus has been published.										
CBP1.2 -Deliver the growth plans for Bicester	CBP1.2.5 Delivering, in partnership, the Healthy New Town programme for Bicester	Monthly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
5) Performance on Green or Green * A successful partnership meeting was held in October and the project continues to deliver a program of work across the three workstreams; New Models of Care, Built Environment and Community Activation. Work is progressing on planning a Countywide meeting to start disseminating the lessons from the Bicester Healthy New Town Work.										
CBP1.3 - Complete and implement the Masterplan for Banbury	CBP1.3.1 Bolton Road Consult with local businesses and develop preferred option for redevelopment	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
5) Performance on Green or Green * We are in the process of implementing the Masterplan for Banbury and during the last quarter, exchanged contracts on the acquisition of Castle Quay Shopping Centre. This acquisition will bring together alternative uses and plans for Bolton Road car park and the wider area.										
CBP1.3 - Complete and implement the Masterplan for Banbury	CBP1.3.2 Take steps to develop a Masterplan of Canalside in Banbury Town Centre for redevelopment	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
1) What has happened? On track against the timetable set in the approved Local Development Scheme. A consultation on the draft Supplementary Planning Document has begun.										
CBP1.3 - Complete and implement the Masterplan for Banbury	CBP1.3.3a Secure start on site for Castle Quay 2	Quarterly	Delivering to plan	Slightly behind schedule	🟡	🔴	Delivering to plan	Slightly behind schedule	🟡	➡
1) What has happened? The Council has acquired Castle Quay 1, with the intention of delivering Castle Quay 2. Plans will go ahead within spring.										
CBP1.3 - Complete and implement the Masterplan for Banbury	CBP1.3.3b Attend FM Meetings, improve financial reporting & review investment opportunities	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	🟢
5) Performance on Green or Green * During the last quarter, we have reviewed all income and expenditure and put in place controls around better financial reporting where we can then review the investment performance of the portfolios.										
CBP1.3 - Complete and implement the Masterplan for Banbury	CBP1.3.4 Support The Mill as the primary town centre arts provision in its development activities	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
5) Performance on Green or Green * Tripartite partnership working towards a complete business and investment plan										
CBP1.3 - Complete and implement the Masterplan for Banbury	CBP1.3.5 Completing 2nd stage assessment of the Business Improvement District (BID) for Banbury	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
CBP1.4 - Promote Inward	CBP1.4.1 Support business									

Appendix 4 - All Measures: A District of Opportunity

Objective	Measure	Frequency	Target (pd)	Actual (pd)	Peri...	vs last peri...	Target (YTD)	Actual (YTD)	YTD	vs last Year
Investment And Support Business Growth Within The District	growth, skills & employment in local companies & visitor economy	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
CBP1.4 - Promote Inward Investment And Support Business Growth Within The District	CBP1.4.1a Number of business who have received advice	Monthly	10	19	★	➡	10	31	★	?
CBP1.4 - Promote Inward Investment And Support Business Growth Within The District	CBP1.4.2 Continue to use the Cherwell Investment Partnership as a hub for inward investment	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
CBP1.4 - Promote Inward Investment And Support Business Growth Within The District	CBP1.4.3 Ensure that available land and premises for business are promoted locally and nationally	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
CBP1.4 - Promote Inward Investment And Support Business Growth Within The District	CBP1.4.5 Unemployment rate and take up of Job Clubs/Job Fairs by companies	Monthly	0.60 %	0.60 %	★	➡	0.60 %	0.60 %	★	?
CBP1.5 - Develop and implement a 'One Council' offer of support to local businesses	CBP1.5.1 A review of the planning pre-application process	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
CBP1.5 - Develop and implement a 'One Council' offer of support to local businesses	CBP1.5.2 Carrying out a survey and establishing baseline satisfaction with services	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
<p>1) What has happened? Customer Satisfaction Survey's continue to be sent out when cases are closed and data for quarter three will be reviewed.</p> <p>4) When will we see improvement? Quarter three data due December 2017</p>										
CBP1.5 - Develop and implement a 'One Council' offer of support to local businesses	CBP1.5.3 Developing an action plan for improvement of regulatory services	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
<p>1) What has happened? Continue to hold regular meetings with regulatory services and will review procurement and practices.</p>										
CBP1.6 - Consider steps to support the visitor economy and the wellbeing of town centres	CBP1.6.1 Implement the action plan with key attraction and town centres to promote the district	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡

Appendix 4 - All Measures: Safe, Green, Clean

Objective	Measure	Frequency	Target (pd)	Actual (pd)	Peri...	vs last peri...	Target (YTD)	Actual (YTD)	YTD	vs last Year
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Appendix 4 - All Measures: Safe,Green,Clean

Objective	Measure	Frequency	Target (pd)	Actual (pd)	Peri...	vs last peri...	Target (YTD)	Actual (YTD)	YTD	vs last Year
CBP2.1 - Provide High Quality Recycling & Waste Services, Helping Residents Recycle	CBP2.1.1 Achieve 56% recycling rate	Monthly	56.00 %	48.67 %	▲	✖	56.00 %	58.20 %	★	✔
1) What has happened? Recycling rate is currently 0.5% behind where we would have expected it to be at this time of the year.										
2) Why has it happened? Reduced garden waste due to a slower growing season.										
3) What actions are we taking? Increased publicity from the recycling team.										
4) When will we see improvement? Due to the time of year garden waste is not expected to increase until March/April.										
CBP2.1 - Provide High Quality Recycling & Waste Services, Helping Residents Recycle	CBP2.1.2 Residual household waste per household	Monthly	3.55 %	3.41 %	★	✔	3.57 %	3.53 %	★	?
CBP2.2 - Provide High Quality Street Cleansing Services, And Tackle Environmental Crime	CBP2.2.1a Undertake neighbourhood blitzes with community involvement	Quarterly	0	1	★	➡	0	3	★	✖
1) What has happened? All the Neighbourhood Blitz events have gone according to plan and have been well received by local residents. The Street Cleansing Department successfully undertook a Blitz event in November that concentrated on the Bretch Hill area. This proved to be a success and was commented on favourably by the local Councillors. The next area planned is Bure Park and it runs from 22.1.18 until 26.1.18. The Street Cleansing department have recently received very complimentary comments regarding their high standard of work from satisfied local residents and members of both town and parish councils. The customer satisfaction survey also saw a rise in residents happy with the departments standard of work										
CBP2.2 - Provide High Quality Street Cleansing Services, And Tackle Environmental Crime	CBP2.2.1c % of Successful Flytip actions following investigation	Monthly	40.00 %	75.51 %	★	✔	40.00 %	58.48 %	★	✔
CBP2.3 - Work With Partners To Help Ensure The District Remains A Low Crime Area	CBP2.3.1 Maintain CCTV in all urban areas	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
1) What has happened? The old system is being replaced and updated-installation planned Mid January 2018. Working with Thames Valley Police to manage a seamless maintenance programme.										
CBP2.3 - Work With Partners To Help Ensure The District Remains A Low Crime Area	CBP2.3.2 Reducing the number of anti-social behaviour incidents in our town centres	Quarterly	300	158	★	✔	900	488	★	?
5) Performance on Green or Green * The PSPO's and Warden's are having a big impact on ASB in the town centres where offenders respond positively when approached. The Wardens presence in Bicester and Banbury raise the Council's profile and we continue to gain public trust and confidence with having high viz presence. We are planning to raise the Warden's profile with our media services and lead councillor, with positive a stories and a walk about event.										
CBP2.3 - Work With Partners To Help Ensure The District Remains A Low Crime Area	CBP2.3.3 Carrying out operations & initiatives in accordance with the joint CDC /TVP night-safe plan	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
1) What has happened? Partnership initiatives continue to prove successful and popular with the public - Night-safe plan is underway with 3 operations completed, the last being the Departure Zone held over two weekends- 8,9,15,16 December 2017.										
CBP2.3 - Work With Partners To Help Ensure The District Remains A Low Crime Area	drunkenness, begging and rough sleeping in the Banbury PSPO area	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?

Appendix 4 - All Measures: Safe, Green, Clean

Objective	Measure	Frequency	Target (pd)	Actual (pd)	Peri...	vs last peri...	Target (YTD)	Actual (YTD)	YTD	vs last Year
<p>5) Performance on Green or Green * PSPO continues to reduce street drinking and complaints or reported begging and rough sleeping has had a significant impact. Offenders continue to comply when requested to stop. December is a busy month for celebrations, and the outcomes for this month illustrate our successes that we are making a difference. Housing reported that the Police have been really helpful with Rough Sleepers in the area and the PSPO's have made a significant difference, where the figures have notably reduced.</p> <p>The latest Rough Sleeper count recently carried out in Cherwell, illustrates the figures are going down:</p> <p>9 reported in 2017 17 reported in 2016 21 reported in 2015</p>										
CBP2.3 - Work With Partners To Help Ensure The District Remains A Low Crime Area	CBP2.3.5 Embedding new Taxi Policy incl. safeguarding awareness training for licensed taxi drivers	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
<p>5) Performance on Green or Green * The taxi policy has now been in place for almost 12 months. Our target was to ensure that 85% of drivers had undergone Safeguarding Awareness Training by the end of Jan 18. We are currently on track to achieve that</p>										
CBP2.3 - Work With Partners To Help Ensure The District Remains A Low Crime Area	CBP2.3.6 Responding to incidents / complaints regarding licensed premises	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
<p>5) Performance on Green or Green * We work alongside Safer Communities and TVP in responding to complaints from licensed premises across the district. As it stands all complaints are being dealt with within the required timescales</p>										
CBP2.3 - Work With Partners To Help Ensure The District Remains A Low Crime Area	CBP2.3.7 Undertaking routine food/health and safety inspections as per programme.	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
CBP2.4 - Reduce our carbon footprint and protect the natural environment	CBP2.4.1 Deliver the Council's Biodiversity Action Plan	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
CBP2.4 - Reduce our carbon footprint and protect the natural environment	CBP2.4.3 Implementing agreed action plans including the promotion of cycling and walking	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
<p>5) Performance on Green or Green * The Council's Travel Plan and action plans to support sustainable travel continue to be implemented as part of the Council's implementation of its Local Plan policies and proposals.</p>										
CBP2.4 - Reduce our carbon footprint and protect the natural environment	CBP2.4.4 Reviewing progress of the actions in the Air Quality Action Plans with partner agencies	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
<p>5) Performance on Green or Green * A report on the progress of the actions in the AQAP will be going to the Executive Committee on 20th February 2018.</p>										

Objective	Measure	Frequency	Target (pd)	Actual (pd)	Peri...	vs last peri...	Target (YTD)	Actual (YTD)	YTD	vs last Year
CBP3.1 - Deliver Affordable Housing & Work With Private Sector Landlords	CBP3.1.1 Deliver at least 190 Units of affordable housing	Quarterly	23.00	94.00	★	✖	56.00	300.00	★	?
5) Performance on Green or Green * Delivery remains strong and the third quarter target of 70 units has been exceeded by 24units. This figure includes 19 bungalows, 11 of which are included in a specialist supported housing scheme.										
CBP3.1 - Deliver Affordable Housing & Work With Private Sector Landlords	CBP3.1.2 Monitor no.of additional affordable housing units delivered on new developments	Quarterly	Delivering to plan	Ahead of schedule	★	➡	Delivering to plan	Ahead of schedule	★	?
5) Performance on Green or Green * The affordable housing units are five x 1 bedroom bungalows at St Edberg's Path Bicester.										
CBP3.1 - Deliver Affordable Housing & Work With Private Sector Landlords	CBP3.1.3 Create 10 units of accommodation for nomination by the council	Quarterly	2	5	★	➡	6	10	★	?
CBP3.2 - Work with partners to support financial inclusion	CBP3.2.1 Monitoring of contract for high quality financial & debt advice for vulnerable residents	Quarterly	Delivering to plan	Delivering to plan	★	✖	Delivering to plan	Delivering to plan	★	➡
5) Performance on Green or Green * The Corporate Debt and Money Advice contract continues to be delivered by Citizens Advice North Oxfordshire and South Northants. In the last quarter 1524 clients were supported through the contract and is on target to fulfil its KPI to assist 5000 people each year. The main reasons for people seeking advice and support during the quarter were related to issues around Benefits and Tax Credits, Debt, Employment and Housing. The contract supported local residents to receive income gains of £859,924 (annual increase) and helped to write off £127,570 of debt.										
CBP3.2 - Work with partners to support financial inclusion	CBP3.2.2 Effective implementation of welfare reform and administration of benefits	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
CBP3.2 - Work with partners to support financial inclusion	CBP3.2.2a Average time taken to process new Housing Benefit claims	Monthly	22.00	27.17	▲	✖	22.00	28.60	▲	✖
1) What has happened? The average time taken to assess new claims for Housing Benefit was 27.17 days for December against a target of 22 days. 2) Why has it happened? As highlighted in the commentary for previous months the Revenues and Benefits team have undertaken a number of major changes over the last 6 months including migration of data to a new software system resulting in the loss of systems for a period of time and the insourcing of the Capita contract. 3) What actions are we taking? There is a backlog action plan in place which involves ring-fencing any work prior to 1 December and having a team of officers working from home to maximise output. The backlog has reduced from 2,500 (new and changes) in November to 450 claims as at 2nd January 2018. The direction of travel on new claims is good: 38 days for August 17, 34 days in September, 28 days in October and November and 27 days for December. Although the direction of travel is good for the time taken to assess new claims the clearance of the older backlog work does mean that the PI will improve more slowly. taken to assess new claims										
4) When will we see improvement? The performance is improving month on month and the aim is to be at target of 22 days by the end of March 18.										

Appendix 4 - All Measures: A Thriving Community

Objective	Measure	Frequency	Target (pd)	Actual (pd)	Peri...	vs last peri...	Target (YTD)	Actual (YTD)	YTD	vs last Year
CBP3.2 - Work with partners to support financial inclusion	CBP3.2.2b Average time taken to process change in circumstances	Monthly	8.00	13.76	▲	✖	8.00	11.31	▲	✖
<p>1) What has happened? The average time taken to assess changes in circumstances is 13.76 days for December against a target of 8 days.</p> <p>2) Why has it happened? As highlighted in previous monthly commentary Revenues and Benefits have undertaken some major changes over the previous 6 months including the insource of the Capita contract and migration of data to a new software system resulting in a loss of systems for a period of time.</p> <p>3) What actions are we taking? We have a backlog action plan in place for CDC which involves ring-fencing any work prior to 1 December and having a team of officers working from home to maximise output. The backlog has reduced from 2,500 (new and changes) in November to 450 claims as at 3rd January 18.</p> <p>Although the direction of travel has been good for the time taken to assess changes the clearance of the older work does mean that the PI has taken a dip this month and will improve again in January 18 and we are hopeful of being at target by 31st March 18.</p> <p>4) When will we see improvement? Performance will be monitored each day and the aim is to be at target by 31st March 18</p>										
CBP3.2 - Work with partners to support financial inclusion	CBP3.2.2c Average time taken to process new claims and changes for HB	Monthly	10.00	15.39	▲	✖	10.00	12.66	▲	✖
<p>1) What has happened? The performance on assessment of new claims and changes for December is 15.39 days against a target of 10 days</p> <p>2) Why has it happened? As per the commentary in the new claims and changes sections the Revenues and Benefits team have undertaken huge changes over the last 6 months including insourcing the Capita contract and migrating all the data to a new software system resulting in a loss of systems for a period of time. This indicator is a combination of new claims and changes and the action plan highlighted in the commentary on both new and changes is now in place.</p> <p>3) What actions are we taking? The backlog of work prior to 1st December has been ringfenced and a team of officers are working on this. It has reduced from 2,500 to 450 as at 2nd January 2018. Clearance of the older work has had an impact on the indicators for December but the direction of travel is still good and further improvement is expected in January 18. A process is in place to ensure that any urgent claims are prioritised.</p> <p>4) When will we see improvement? Performance will continue to be monitored daily and we expect improvement to continue month on month.</p>										
CBP3.3 - Provide High Quality Housing Options Advice & Support To Prevent Homelessness	CBP3.3.1 Deliver the actions identified within the revised Homelessness prevention strategy	Monthly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
<p>5) Performance on Green or Green * The Homeless Action plan has retained the same priorities as the previous year and are being delivered in partnership with other departments within the council and with a community and faith groups working within the district.</p> <p>Officers are currently undertaking a review of homelessness within the district and will be holding a community event on 24 January for other agencies/groups to provide insight into their experiences of working with people who are homeless or at risk of homelessness. The review and event will then be used to help shape a new Homelessness Strategy ready for April 2018.</p> <p>Officers also continue to working in partnership with the other Oxfordshire District Councils, Oxfordshire County Council and Oxfordshire Clinical Commissioning Group to oversee an approved plan to de-commission beds within the Adult Homeless Pathway as a result of a reduction in funding from the County Council. Cherwell will be making a financial contribution of £62,700 per year for the next three years and guarantees Cherwell access to 11 complex needs (24 hour support) bed spaces based in Oxford for people found rough sleeping from the district and 13 beds based within the Cherwell District providing a lower level of support to enable individuals to move onto alternative accommodation.</p>										
CBP3.3 - Provide High Quality Housing Options Advice & Support To Prevent	CBP3.3.1a Number of households living in Temporary Accommodation	Monthly	41	24	★	✔	41	24	★	✔

Appendix 4 - All Measures: A Thriving Community

Objective	Measure	Frequency	Target (pd)	Actual (pd)	Peri...	vs last peri...	Target (YTD)	Actual (YTD)	YTD	vs last Year
Homelessness	(TA)									
5) Performance on Green or Green *										
The close and effective management of our temporary accommodation resources has ensured time spent in temporary housing is as brief as possible and permanent sustainable solutions are found.										
CBP3.3 - Provide High Quality Housing Options Advice & Support To Prevent Homelessness	CBP3.3.1b Housing Advice: repeat homelessness cases	Monthly	0	0	★	➡	0	0	★	➡
5) Performance on Green or Green *										
At the end of December 0 households met the criteria to be considered repeat homeless cases										
CBP3.3 - Provide High Quality Housing Options Advice & Support To Prevent Homelessness	CBP3.3.2 Prevent people from becoming homeless through use of Housing Advice Service	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
1) What has happened?										
During this quarter 208 cases were completed – of these only 20 became homeless. In the month of December 46 cases were completed and 3 became homeless.										
CBP3.3 - Provide High Quality Housing Options Advice & Support To Prevent Homelessness	CBP3.3.3 10 CHEEP grants allotted to private sector landlords	Quarterly	1	2	★	➡	3	4	★	?
CBP3.4 - Work to provide and support health and wellbeing across the district.	CBP3.4.2 Work with partners to provide the widest level of health care at the Horton Hospital	Quarterly	Delivering to plan	Very behind schedule	▲	✖	Delivering to plan	Very behind schedule	▲	?
1) What has happened?										
The Council's judicial review of the Horton consultation process with its co claimants was dismissed in December 2017. This means that the proposals from Oxfordshire Clinical Commissioning Group (OCCG) to undertake a number of acute services at Oxford rather than the Horton will be implemented. This relates to acute stroke cases and level 3 critical care. The exception to this is the proposed obstetric service move to Oxford leaving only a freestanding mid wife led unit at the Horton, as this decision is subject to a referral to the Secretary of State for Health and will not therefore be implemented permanently until the SoS has determined the matter.										
4) When will we see improvement?										
This is uncertain as it depends on the view taken by the Secretary of State for health in relation to the removal of the obstetric service from the Horton. Such a view could result in a number of options - dismissing the referral/upholding the OCCG decision; referral to the Independent Reconfiguration Panel or reinstatement of the obstetric service without referral. Should the judicial review dismissal decision be the subject of an appeal by the Keep the Horton Group (KTHG), then whilst the process of legal challenge is still live, the Secretary of State is unlikely to take any action which in effect will extend the period of uncertainty for the service.										
CBP3.4 - Work to provide and support health and wellbeing across the district.	CBP3.4.3 With partners help improve lives of most vulnerable from Brighter Futures initiative	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
1) What has happened?										
A series of action planning meetings with Theme Leads over the last quarter has resulted in an actionable plan within resources tied to specific outcome targets. Planning a community engagement workshop with the wider reference group for March to continue to recognise and inspire local voluntary organisations.										
5) Performance on Green or Green *										
Milestones achieved include the delivery of an actionable plan and resource allocation to achieve the plan outputs. The Community Impact Zone initiative of he County Council is in a nascent stage but complementarity between its objectives and the overarching aims of Brighter Futures have been established.										
CBP3.4 - Work to provide and support health and wellbeing across the district.	CBP3.4.4 Get commitment from five local businesses to work towards Workplace Wellbeing accreditation	Quarterly	Delivering to plan	Very behind schedule	▲	➡	Delivering to plan	Very behind schedule	▲	?
1) What has happened?										
The councils have been delivering this using a set of national standards. These standards have since been withdrawn and can not be used by local authorities. We are working at county level and with Public Health England to set a new set of standards. It is unlikely that this will be complete by March 31st therefore this objective cannot be achieved and is										

Appendix 4 - All Measures: A Thriving Community

Objective	Measure	Frequency	Target (pd)	Actual (pd)	Peri...	vs last peri...	Target (YTD)	Actual (YTD)	YTD	vs last Year
no longer relevant.										
2) Why has it happened? Because Health @Work (the company who own the rights to the Workplace Wellbeing Charter) have reviewed the delivery model of the Charter and decided to change it to a single provider, meaning that local authorities can no longer assess, accredit or provide advice on the Charter										
3) What actions are we taking? The Councils are working at county level with other local authorities and also with Public Health England to clarify how this can be overcome and to develop and agree a county strategy for Workplace Wellbeing. This is not likely to come to fruition until 2018/19										
4) When will we see improvement? This objective cannot be achieved for reasons beyond the Councils control and is no longer relevant therefore no improvement will be seen before March 31st.										
CBP3.5 - Provide High Quality & Accessible Leisure Opportunities	CBP3.5.1 Maintain a minimum usage level of visits to CDC Leisure facilities	Monthly	129,000...	87,535.00			1,161,0...	1,124,4...		
5) Performance on Green or Green * Usage figures across all Leisure Facilities are down against the same period last year however a proportion of this will be linked to the Snow and Icy conditions which caused early closures to the Leisure Centres and affected the ability for customers to get to and from the facilities. Some facilities such as NOA and Cooper were significantly affected as the usage is generally driven from outdoor use.										
CBP3.5 - Provide High Quality & Accessible Leisure Opportunities	CBP3.5.1a Number of Visits/Usage to District Leisure Centres	Monthly	11,000.00	79,239.00			99,000.00	898,690...		
5) Performance on Green or Green * Usage figures at all 3 of the Main Leisure Centres in the District were down on the same period last year however as previously mentioned there is a proportion of this downturn linked to the snow and icy weather conditions which made travel difficult and on occasions led to early closures/restricted facilities										
CBP3.5 - Provide High Quality & Accessible Leisure Opportunities	CBP3.5.1b Number of visit to Cooper, NOA and WGLC	Monthly	11,000.00	8,296.00			99,000.00	108,450...		
5) Performance on Green or Green * Usage figures at WGLC, NOA and Cooper were reduced against the same period last year. For NOA and Cooper the participation driver is outdoor use on the Artificial Pitches however due to the weather conditions throughout part of December these remained closed										
CBP3.5 - Provide High Quality & Accessible Leisure Opportunities	CBP3.5.2 Undertake feasibility studies for new indoor leisure facilities in Banbury and Bicester	Quarterly	Delivering to plan	Delivering to plan			Delivering to plan	Delivering to plan		
1) What has happened? Draft feasibility studies received but waiting on Sports Studies to inform facility mix requirements based on needs analysis.										
CBP3.5 - Provide High Quality & Accessible Leisure Opportunities	CBP3.5.3 Complete work on Whitelands Farm Sports Ground outdoor sports pitches	Quarterly	Delivering to plan	Delivering to plan			Delivering to plan	Delivering to plan		
1) What has happened? Works completed.										
CBP3.5 - Provide High Quality & Accessible Leisure Opportunities	CBP3.5.4 Establish sports pitch and facilities strategies for the district	Quarterly	Delivering to plan	Delivering to plan			Delivering to plan	Delivering to plan		
1) What has happened? SNC stage D draft studies currently being reviewed by leisure and planning. CDC stage C playing pitch strategy currently being reviewed. 4) When will we see improvement? SNC anticipated completion February/March 2018 CDC anticipated completion March/April 2018										

Appendix 4 - All Measures: A Thriving Community

Objective	Measure	Frequency	Target (pd)	Actual (pd)	Peri...	vs last peri...	Target (YTD)	Actual (YTD)	YTD	vs last Year
CBP3.5 - Provide High Quality & Accessible Leisure Opportunities	CBP3.5.5 Commence, with the aid of external funding the redevelopment of the Hill in Banbury	Quarterly	Delivering to plan	Slightly behind schedule	●	➡	Delivering to plan	Slightly behind schedule	●	✖
1) What has happened? We have been waiting for the tender process to be completed on the 3rd January 4) When will we see improvement? At the start of February										
CBP3.6 - Provide Support To The Voluntary & Community Sector	CBP3.6.2 Put in place partner organisation with commissioning arrangements to promote volunteering	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
5) Performance on Green or Green * Citizens Advice have been a responsive and involved partner since the new funding agreement came into action in April. Their focus on developing volunteers and volunteering is delivering to plan.										
CBP3.6 - Provide Support To The Voluntary & Community Sector	CBP3.6.3 Support the growth & development of neighbourhood community associations	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
5) Performance on Green or Green * New community association on Longford Park and another for Kingsmere whose sole focus will be the governance of the community centre. New arrangements being considered for West Bicester.										
CBP3.6 - Provide Support To The Voluntary & Community Sector	CBP3.6.5 Support the Local Strategic Partnership in addressing the key issues in the District	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
5) Performance on Green or Green * Reports have been received on Brighter Futures and Healthy New Towns and quarterly meetings are getting through the anticipated work plan for the partnership										
CBP3.7 - Protect Our Built Heritage	CBP3.7.1 Continue programme of Conservation Reviews (5pa)	Quarterly	2	1	▲	✔	2	1	▲	➡
1) What has happened? Resources since June have impacted on completion of 2 reviews this quarter, however we are on track to complete all 5 by the end of the financial year. The team is now fully staffed following the successful appointment of a conservation officer into the team.										
CBP3.7 - Protect Our Built Heritage	CBP3.7.2 Respond to consultations from Development Management with design guidance	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	➡
CBP3.7 - Protect Our Built Heritage	CBP3.7.3 Processing of major applications within 13 weeks	Monthly	60.00 %	50.00 %	▲	✖	60.00 %	83.05 %	★	✖
1) What has happened? A performance figure of 50% was achieved in December. 2) Why has it happened? Whilst the performance for December is 50%, it should be noted that the measure is volatile as it is based on low overall application numbers and therefore each decision can impact on the performance measure for majors. 3) What actions are we taking? N/A 4) When will we see improvement? Due to the low numbers, it is likely that the percentage will be within target next month.										
CBP3.7 - Protect Our Built Heritage	CBP3.7.4 Processing of non-major applications within 8 weeks	Monthly	70.00 %	87.74 %	★	✔	70.00 %	90.72 %	★	✔

Appendix 4 - All Measures: A Thriving Community

Objective	Measure	Frequency	Target (pd)	Actual (pd)	Peri...	vs last peri...	Target (YTD)	Actual (YTD)	YTD	vs last Year
5) Performance on Green or Green * Performance in December was 88%. Performance for December was high and significantly above the national target.										
CBP3.7 - Protect Our Built Heritage	CBP3.7.6 Major Planning appeals allowed	Monthly	10.00 %	0.00 %	🌟	📈	10.00 %	6.78 %	🌟	📈
5) Performance on Green or Green * Performance in December was 0%. Performance for December was excellent and was significantly below the national threshold of 10%.										
CBP3.7 - Protect Our Built Heritage	CBP3.7.7 Non Major Planning appeals allowed	Monthly	10.00	0.00	🌟	📈	10.00	0.96	🌟	?
5) Performance on Green or Green * Performance in December was 0%. Performance for December was excellent and was significantly below the national threshold of 10%.										
CBP3.8 - Work To Ensure Rural Areas Are Connected To Local Services.	CBP3.8.1 Work with BT/BDUK & Oxfordshire County Council to extend Superfast Broadband District wide	Quarterly	Delivering to plan	Delivering to plan	🌟	➡	Delivering to plan	Delivering to plan	🌟	➡

Appendix 4 - All Measures: Sound budgets and customer focussed council

Objective	Measure	Frequency	Target (pd)	Actual (pd)	Peri...	vs last peri...	Target (YTD)	Actual (YTD)	YTD	vs last Year
CBP4.1 - Reduce the cost of providing our services through efficiencies	CBP4.1.2 Implement the shared corporate IT strategy including a new council website	Quarterly	Delivering to plan	Slightly behind schedule	🟡	📉	Delivering to plan	Slightly behind schedule	🟡	?
<p>1) What has happened? Good progress continues, although some minor delays have been experienced on some projects.</p> <p>2) Why has it happened? Minor delays have been due to third party supplier requirements and to minimize impact and disruption on users.</p> <p>3) What actions are we taking? Plans have been reviewed and revised timelines agreed.</p> <p>4) When will we see improvement? New delivery dates have been agreed and programme is on track to fully deliver by July 2018.</p>										
CBP4.1 - Reduce the cost of providing our services through efficiencies	CBP4.1.3 Percentage of Council Tax collected, increasing Council Tax Base	Monthly	86.00 %	79.95 %	🟡	📈	86.00 %	79.95 %	🟡	📉
<p>1) What has happened? We have missed the target for Council Tax collection</p> <p>2) Why has it happened? We converted our data to another system in June and our first recover run started in November.</p> <p>3) What actions are we taking? we issued reminders to all customers due a reminder for 2017/18 debt in November 2017, summonses were issued on 13 December to those customers still in arrears and we will be attending court on 9.1.2017 to allow for further recovery action to take place such as enforcement agent and attachment to earnings. We are starting to contact the customers who are due a liability order on 9.1.2018 to either take payment or make an arrangement, failing which we will try another method for recovery. A number of staff will be dedicated to working on the collection throughout 2017 -18 to maximise the position making outbound calls recovery calls for payment. This will be headed up by Senior Revenues and Recovery Officer who will monitor the progress.</p> <p>4) When will we see improvement? we hope to see an improvement month on month now we are sending recovery letters on a monthly basis.</p>										
CBP4.1 - Reduce the cost of providing our services through efficiencies		Monthly	84.00 %	82.03 %	🟡	📈	84.00 %	82.03 %	🟡	📉
1) What has happened?										

Appendix 4 - All Measures: Sound budgets and customer focussed council

Objective	Measure	Frequency	Target (pd)	Actual (pd)	Peri...	vs last peri...	Target (YTD)	Actual (YTD)	YTD	vs last Year
<p>We have missed the target for Business Rates collection</p> <p>2) Why has it happened? We converted our data to another system in June and this has caused a backlog of work.</p> <p>3) What actions are we taking? telephone calls to businesses who need to make payment to bring their accounts up to date, this way we can ensure the bills have reached the payment section.</p> <p>4) When will we see improvement? we should see an improvement on the current collection month on month as we are now chasing customers on a regular basis.</p>										
CBP4.2 - Communicate effectively with local residents & businesses, access to services online	CBP4.2.1a Social media ratings : Facebook (Target 12000 likes)	Monthly	4,000	9,910	★	📈	36,000	86,684	★	📈
CBP4.2 - Communicate effectively with local residents & businesses, access to services online	CBP4.2.1b Social media ratings : Twitter (9000 Hits)	Monthly	3,000	7,066	★	📈	27,000	61,810	★	📈
CBP4.2 - Communicate effectively with local residents & businesses, access to services online	CBP4.2.2 Making five more services available online	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
CBP4.2 - Communicate effectively with local residents & businesses, access to services online	CBP4.2.3 Reducing face to face contact time	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
CBP4.4 - Deliver the outcomes of the commercial strategy to reduce the funding gap in the MTRP	CBP4.4.3 Undertaking feasibility studies for the delivery of new commercial services and projects	Quarterly	Delivering to plan	Slightly behind schedule	●	➡	Delivering to plan	Slightly behind schedule	●	?
<p>1) What has happened? Fit out for PERCH (the business incubator unit at Franklins House) is slightly behind schedule and now due to be completed in January. The lease agreement is currently being drafted. Construction continues on the new Bicester Eco-Innovation centre. Branding is in development and the operator contract specification is being drafted. The second cohort of the Succeeding in a Commercial Environment development programme continues. A proposal from the first cohort to support self-build mortgages will be considered by Executive in January.</p>										
CBP4.4 - Deliver the outcomes of the commercial strategy to reduce the funding gap in the MTRP	CBP4.4.4 Implementing the actions set out in the new Asset Management Strategy	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
<p>5) Performance on Green or Green * With the acquisition of Castle Quay and the investment we have made, this will turn the team into an income producing department and in turn, have a surplus rather than funding gap.</p>										
CBP4.5 - Ensure effective governance arrangements are in place for all council owned companies	CBP4.5.2 Include full legal implications in member reports on establishment of companies/entities	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?
CBP4.5 - Ensure effective governance arrangements are in place for all council owned companies	CBP4.5.3 Incorporating each approved company entity in accordance with project plan timescale	Quarterly	Delivering to plan	Delivering to plan	★	➡	Delivering to plan	Delivering to plan	★	?

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Cherwell District and South Northants Councils – Leadership Risk Register as at 17/01/18

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

Level of risk	How the risk should be managed
High Risk (16-25)	Requires active management to manage down and maintain the exposure at an acceptable level. Escalate upwards.
Medium Risk (10 -15)	Contingency Plans - a robust contingency plan may suffice together with early warning mechanisms to detect any deviation from the profile.
Low Risk (1 – 9)	Good Housekeeping - 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 Definition	
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 strategic priorities
Operational	Risks to corporate systems or processes that underpin the organisation's overall governance, operation and ability to deliver services

Ref	Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment			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		(Fully effective) (Partially effective) (Not effective)	Probability	Impact			Rating							
L01	Financial resilience – Failure to react to external financial shocks, new policy and increased service demand. Poor investment and asset management decisions.	<ul style="list-style-type: none"> Reduced medium and long term financial viability Reduction in services to customers Continued reliance on central govt (RSG) and therefore reduced opportunity for independent decision making Reduced financial returns (or losses) on investments/assets Inability to deliver financial efficiencies Inability to deliver commercial objectives (increased income) Poor customer service and satisfaction Increased complexity in governance arrangements Lack of officer capacity to meet service demand 	4	4	16	<ul style="list-style-type: none"> Medium Term Revenue Plan reported regularly to members. Efficiency plan in place and balanced medium term Highly professional, competent, qualified staff Good networks established locally, regionally and nationally National guidance interpreting legislation available and used regularly Members aware and are briefed regularly Participate in Northamptonshire Finance Officers and Oxfordshire Treasurers' Association's work streams Programme management approach being taken Treasury management policies in place Investment strategies in place Regular financial and performance monitoring in place Independent third party advisers in place Regular bulletins and advice received from advisers Property portfolio income monitored through financial management arrangements on a regular basis Asset Management Strategy in place and embedded. Transformation Programme in place to deliver efficiencies and increased income in the future 	Fully	Fully	Partially	Fully	Partially	Fully	Partially	Fully	Partially	Fully	Partially	<ul style="list-style-type: none"> AD Finance and Governance to be recruited asap. Investment strategy for both authorities to be approved in 18/19 budget cycle. Timeliness and quality of budget monitoring particularly property income and capital to be improved. Project with Civica is ongoing. Asset Management Strategy to be reviewed and refreshed in the new year. 	

Ref	Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment (Fully effective) (Partially effective) (Not effective)	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				
L02	Statutory functions – Failure to meet statutory obligations and policy and legislative changes are not anticipated or planned for.	<ul style="list-style-type: none"> Legal challenge Loss of opportunity to influence national policy/legislation Financial penalties Reduced service to customers 	3	4	12	<ul style="list-style-type: none"> Embedded system of legislation and policy tracking In place, with clear accountabilities, reviewed regularly by Directors 	Partially	Yvonne Rees	Richard Ellis	3	3	9	<ul style="list-style-type: none"> Establish corporate repository and accountability for policy/legislative changes Review Directorate/Service risk registers Ensure Committee forward plans are reviewed regularly at CEDR level 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 			
						<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> Fully Partially Partially Partially Partially Fully Partially 									
L03	Lack of Management Capacity - Delays to completing the management restructure reduces capacity at management level	<ul style="list-style-type: none"> Financial impact due to use of agency staff Inability to deliver council's plans Inability to realise commercial opportunities or efficiencies Reduced resilience and business continuity Reduced staff morale and uncertainty may lead to loss of good people 	3	4	12	<ul style="list-style-type: none"> Rigorous and aggressive assessment and recruitment timetable for senior management roles Arrangements in place to source appropriate interim resource if needed Delegations to Chief Exec agreed to ensure timely decisions HR/Specialist resource in place to support recruitment process and manage implications Ongoing programme of internal communication 	<ul style="list-style-type: none"> Fully Fully Fully Fully Fully 	Yvonne Rees	Richard Ellis	2	3	6	<ul style="list-style-type: none"> Discussions with Penna to ensure rapid response should interim resource be required AD HR/OD briefed and leading the process Communications to be delivered by CEO 			

Ref	Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment (Fully effective) (Partially effective) (Not effective)	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				
L04	CDC & SNC Local Plans - Failure to ensure sound local plans are submitted on time for each District.	<ul style="list-style-type: none"> Inappropriate growth in inappropriate places Negative (or failure to optimise) economic, social, community and environmental gain Negative impact on each council's ability to deliver its strategic objectives Increased costs in planning appeals Possible financial penalties through not delivering forecasted New Homes Bonus 	3	5	15	<ul style="list-style-type: none"> Local Development Schemes are in place at each Council which detail the timeframes and deliverables to underpin the work Resources are in place to support delivery including QC support for each Local Plan. For issues which are solely within the control of SNC or CDC policies, plans and resources are in place Work is at Reg 19 on Cherwell Partial Review, preparing submission plan for Feb 2018 sign off and to re-commence in 2018 on Local Plan part 2. Work is advancing to Reg 19 stage On South Northants Local Plan part 2 on issues for reps, policies and development control policies. Statements of Community Involvement are in place. 	Fully Partially Partially Fully Fully Fully	Adrian Colwell	Andy Darcy (SNC) David Peckford (CDC)	2	4	8	•	<ul style="list-style-type: none"> Regular review meetings on progress and critical path review at each Council Regular Portfolio briefings and political review LDS updated as required Additional evidence commissioned as required Need to review resources at CDC to speed up Local Plan part 2. 		
L05	Business Continuity - Failure to ensure that critical services can be maintained in the event of an incident	<ul style="list-style-type: none"> Inability to deliver key services to customers/residents Financial loss 	4	4	16	<ul style="list-style-type: none"> 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 	Partially Partially Partially Partially Partially	Ian Davies	Jackie Fitzsimons	4	3	12	•	<ul style="list-style-type: none"> All individual service BC plans recently updated Corporate BC to be reviewed Testing to be programmed BC solutions between both councils to be further developed Corporate ownership and governance to sit at CEDR 		

Ref	Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment (Fully effective) (Partially effective) (Not effective)	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				
L06	Partnering - Failure to build the necessary partnership relationships to deliver our strategic plan. Failure to ensure the necessary governance of third party relationships (council businesses, partners, suppliers)	<ul style="list-style-type: none"> Poor service delivery Inability to deliver council's plans and outcomes for communities Legal challenge Financial loss Inability to partner in the future Reduced opportunity for inward investment in the future 	4	4	16	<ul style="list-style-type: none"> Stakeholder Map, allocating responsibility for key relationships at Director/PFH level Regular review and sharing of partnership activity/engagement at CEDR/BPM meetings Robust governance/contract management framework in place for key third party relationships Training and development of senior officers/members to fulfil their responsibilities with partner organisations 	Not Partially Partially Partially	Yvonne Rees	Richard Ellis	3	3	9	•	<ul style="list-style-type: none"> Develop stakeholder Map Standard agenda item at CEDR Develop governance guidelines for all key third party relationships Review existing arrangements/ contracts to ensure appropriate governance 		
L07	Emergency Planning (EP) - 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Emergency plan reviewed quarterly and on activation Dedicated Emergency Planning Officer in post to review, test and exercise plan and to establish, monitor and ensure all elements are covered Added resilience from cover between shared Public Protection Team as officers with appropriate skill JMT regularly attend Civil Emergency training Twice yearly mock emergency exercises conducted to ensure readiness On-call rota established for Duty Emergency Response Co-ordinators (JMT) Full participation in LRF activities 	Partially Fully Fully Partially Partially Partially Not	Ian Davies	Jackie Fitzsimons	4	3	12	•	<ul style="list-style-type: none"> To be updated when new management structure is in place New call out arrangements to be established New annual training regime for GS&B officers to be set up Training monitoring to be developed through new HR/Payroll system Member training for disaster recovery and comms 		

Ref	Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment (Fully effective) (Partially effective) (Not effective)	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				
L08	Health and safety - Failure to comply with health and safety legislation, corporate H&S policies and corporate H&S landlord responsibilities	<ul style="list-style-type: none"> Fatality, serious injury & ill health to employees or members of the public Criminal prosecution for failings Financial loss due to compensation claims Enforcement action – cost of regulator (HSE) time Increased sickness absence Increased agency costs Reduction in capacity impacts service delivery 	5	4	20	<ul style="list-style-type: none"> Robust Health & Safety policies and Corporate H&S arrangements in place as part of an Integrated H&S Management System Clearly identified accountability and responsibilities for Health and Safety established at all levels throughout the organisation Corporate H&S Manager & H&S Officer in post to maintain the H&S Management System & provide competent H&S advice & assistance to managers & employees Directorate Health & Safety Improvement Plans established with embedded reporting and recording arrangements in place Proactive monitoring of Health & Safety performance management internally Proactive monitoring of Health & Safety performance management externally Effective training regime in place for all staff Positive Health & Safety risk aware culture Corporate Health & Safety meeting structure in place for co-ordination and consultation Corporate body & Member overview of Health & Safety performance via appropriate committee Assurance that third party organisations subscribe to and follow Council Health & Safety guidelines and are performance managed where required 	Partially Not Fully Not Partially Fully Partially Partially Fully Fully Partially	Paul Sutton	Mark Wills	4	3	12	<ul style="list-style-type: none"> Corporate H&S Policy to be developed & implemented across the organisation to ensure that roles & responsibilities at all levels are discharged effectively. Policy to be developed following restructure. Update key Corporate H&S arrangements which are out-of-date. Directorate H&S Improvement Plans to be produced Expand scope of internal audits to cover all elements of the H&S Management System Management of H&S training programme to be developed and rolled out. Robust training already in place in Environmental Services Good awareness in higher risk areas of the business, e.g. Environmental Services. However other areas need improved awareness of risk assessment process Reviews of leases and performance monitoring to be reviewed to satisfy the Councils providers/ contractors are managing significant risks. 	<p>OHSAS 18001 Health & Safety Management System accreditation achieved through Exova BM Trada. Annual surveillance visits undertaken to supplement main accreditation visits.</p> <p>CEDR Meeting receives quarterly updates from Corporate H&S Manager. Relevant updates taken to appropriate committee.</p>		

Ref	Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment (Fully effective) (Partially effective) (Not effective)	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				
L09	Cyber Security - 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.	<ul style="list-style-type: none"> Service disruption Financial loss / fine Prosecution – penalties imposed Individuals could be placed at risk of harm Reduced capability to deliver customer facing services Unlawful disclosure of sensitive information Inability to share services or work with partners Loss of reputation 	4	5	20	<ul style="list-style-type: none"> File and Data encryption on computer devices Managing access permissions and privileged users through AD and individual applications Consistent approach to information and data management and security across the councils Effective information management and security training and awareness programme for staff Password security controls in place Robust information and data related incident management procedures in place Appropriate robust contractual arrangements in place with all third parties that supply systems or data processing services Appropriate plans in place to ensure ongoing PSN compliance Adequate preventative measures in place to mitigate insider threat, including physical and system security Insider threat mitigated through recruitment and line management processes 	<p>Fully</p> <p>Fully</p> <p>Partially</p> <p>Partially</p> <p>Fully</p> <p>Partially</p> <p>Partially</p> <p>Fully</p> <p>Partially</p> <p>Partially</p>	Claire Taylor	Tim Spiers	3	5	15	<ul style="list-style-type: none"> We are working with a security company to review our cyber security status and achieve the cyber essentials + accreditation This work is underway and the outcomes are expected in February 2018 This will provide an action plan against any control issues identified Cyber-security was reviewed by Internal Audit in May 2017 and will be reviewed again in April 2018. HR also have actions to complete regarding recruitment and processes identified by Internal Audit. The IT Transformation Programme includes migrating server rooms to external data centre which will increase physical security. As part of this work improved monitoring solutions will also be implemented. The Councils will also be completing the annual independent IT security health check in quarter 1 2018. 	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.		

Ref	Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment (Fully effective) (Partially effective) (Not effective)	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				
L10	Safeguarding the vulnerable (adults and children) - Failure to follow our policies and procedures in relation to safeguarding vulnerable adults and children or raising concerns about their welfare	<ul style="list-style-type: none"> Increased harm and distress caused to vulnerable individuals and their families Council could face criminal prosecution Criminal investigations potentially compromised Potential financial liability if council deemed to be negligent 	3	4	12	<ul style="list-style-type: none"> Safeguarding lead in place and clear lines of responsibility established Safeguarding Policy and procedures in place Information on the intranet on how to escalate a concern Staff training - new whole staff shared approach being launched in the summer Safer recruitment practices and DBS checks for staff with direct contact Action plan developed by CSE Prevention group as part of the Community Safety Partnership Local Safeguarding Children's Board Northamptonshire (LSCBN) pathways and thresholds Data sharing agreement with other partners Attendance at Children and Young People Partnership Board (CYPPB) Annual Section 11 return complied for each council Engagement with Joint Agency Tasking and Co-ordinating Group (JATAC) and relevant Oxfordshire County Council (OCC) safeguarding sub group Engagement at an operational and tactical level with relevant external agencies and networks 	<p>Fully</p> <p>Fully</p> <p>Partially</p> <p>Partially</p> <p>Partially</p> <p>Partially</p> <p>Fully</p> <p>Partially</p> <p>Fully</p> <p>Fully</p> <p>Fully</p> <p>Partially</p>	Ian Davies	Nicola Riley	3	3	9	<ul style="list-style-type: none"> Ongoing internal awareness campaigns Ongoing external awareness campaigns Annual refresher and new training programmes Training monitoring to be developed through new HR/Payroll system 			

Ref	Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment (Fully effective) (Partially effective) (Not effective)	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				
L11	Income Generation through council owned companies	<ul style="list-style-type: none"> Through failure of governance or robust financial / business planning the councils fail to generate expected income. 	3	4	12	<ul style="list-style-type: none"> Annual business planning Financial planning Corporate governance mechanisms Due diligence Business casing 	Partially Partially Partially Partially Partially	Paul Sutton		2	4	8	New	<ul style="list-style-type: none"> Recruiting to support shareholder and client side capacity 	Resources to be in place March 2018	
L12	Financial sustainability of third party suppliers	<ul style="list-style-type: none"> The financial failure of a third party supplier results in the inability or reduced ability to deliver a service to customers. 	3	4	12	<ul style="list-style-type: none"> Contracts in place to cover default. Business continuity planning 	Partially Partially	Paul Sutton		3	3	9	New	<ul style="list-style-type: none"> Meetings planned with suppliers to review higher risk areas. 	Risk recently escalated due to external environment whereby suppliers have financial difficulties which could result in loss of service. Current work investigating impact across contracts.	

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Date	Agenda Items
30 January	Corporate Strategy, Revenue and Capital Budget 2018/19 (Incl. MTFS)
27 February	Q3 Budget Monitoring: Revenue, Funding, Capital & Reserves Q3 Procurement Monitoring Q3 Business Rates Monitoring

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