

Committee: Accounts, Audit and Risk Committee
Date: Wednesday 31 July 2019
Time: 6.30 pm
Venue: Bodicote House, Bodicote, Banbury, OX15 4AA

Membership

Councillor Mike Kerford-Byrnes (Chairman)	Councillor Hugo Brown (Vice-Chairman)
Councillor Hannah Banfield	Councillor Nathan Bignell
Councillor Nicholas Mawer	Councillor Les Sibley
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. Petitions and Requests to Address the Meeting

The Chairman to report on any requests to submit petitions or to address the meeting.

4. Minutes (Pages 1 - 6)

To confirm as a correct record the Minutes of the meeting of the Committee held on 29 May 2019.

5. **Chairman's Announcements**

To receive communications from the Chairman.

6. **Urgent Business**

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

7. **Review by Those Charged with Governance** (Pages 7 - 10)

** Please note the Appendix to this report will follow as it is currently being reviewed and finalised **

Report of Executive Director: Finance (Interim)

Purpose of report

To set out the response to Ernst & Young (EY) regarding the review of management assurance.

Recommendations

The committee is recommended to:

- 1.1 Agree that the Chairman of the Accounts, Audit and Risk Committee sign the response relating to management assurances from Those Charged with Governance at Appendix 1 (to follow).

8. **External Audit – Annual Audit Opinion 2018-19** (Pages 11 - 14)

** Please note the Appendix to this report follow as it is currently being reviewed and finalised **

Report of the Executive Director: Finance (Interim)

Purpose of report

To receive a report setting out the External Audit Opinion for 2018/19.

Recommendations

The meeting is recommended:

- 1.1 to note the contents of the External Audit Opinion (ISA260) for 2018/19 from our External Auditors, Ernst & Young (EY).

9. Statement of Accounts, Annual Governance Statement 2018-19 and Letter of Representation (Pages 15 - 18)

** Please note the Appendices to this report will follow as they are currently being reviewed and finalised **

Report of the Executive Director: Finance (Interim)

Purpose of report

To receive a report is to ask members to consider the following:

- The Statement of Accounts 2018/19.
- Annual Governance Statement 2018/19.
- Letter of Representation 2018/19.

Recommendations

The committee is recommended to:

- 1.1 Approve the Statement of Accounts 2018/19.
- 1.2 Endorse the Annual Governance Statement 2018/19.
- 1.3 Approve the Letter of Representation 2018/19.

10. Monthly Performance, Risk and Finance Monitoring Report - May 2019 (Pages 19 - 58)

Report of Assistant Director: Performance and Transformation and Assistant Director: Finance (Interim)

Purpose of report

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

Recommendations

The meeting is recommended:

- 1.1 To note the monthly Performance, Risk and Finance Monitoring Report.
- 1.2 To review the Leadership Risk Register and identify any issues for further consideration.

11. **2018-19 Treasury Management Annual Report** (Pages 59 - 68)

Report of the Executive Director: Finance (Interim)

Purpose of report

This report presents information on treasury management performance and compliance with treasury management policy during 2018/19 as required by the Treasury Management Code of Practice.

Recommendations

The meeting is recommended:

- 1.1 To note the contents of this report in line with the Treasury Management Strategy.

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 227956 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 Aaron Hetherington, Democratic and Elections
aaron.hetherington@cherwellandsouthnorthants.gov.uk, 01295 227956

Yvonne Rees
Chief Executive

Published on Tuesday 23 July 2019

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Cherwell District Council

Accounts, Audit and Risk Committee

Minutes of a meeting of the Accounts, Audit and Risk Committee held at Bodicote House, Bodicote, Banbury, OX15 4AA, on 29 May 2019 at 7.30 pm

Present: Councillor Mike Kerford-Byrnes (Chairman)
Councillor Hugo Brown (Vice-Chairman)

Councillor Hannah Banfield
Councillor Nathan Bignell
Councillor Nicholas Mawer
Councillor Tom Wallis
Councillor Sean Woodcock

Also Present: Councillor Barry Wood, Leader of the Council
Councillor Tony Ilott, Lead Member for Financial Management and Governance
Anand Persaud, CW Audit Services, Internal Audit
Neil Harris, Ernst Young, External Audit

Apologies for absence: Councillor Les Sibley

Officers: Adele Taylor, Executive Director: Finance (Interim) & Section 151 Officer
Kelly Watson, Deputy Section 151 Officer
Isaac Aisu, Closedown Project Manager
Atilla Pek, Principal Accountant - Technical
Natasha Clark, Governance and Elections Manager

3 **Declarations of Interest**

There were no declarations of interest.

4 **Petitions and Requests to Address the Meeting**

There were no petitions or requests to address the meeting.

5 **Urgent Business**

There were no items of urgent business.

6 **Minutes**

The Minutes of the meetings of the Committee held on 13 March 2019 and 14 May 2019 were agreed as correct records and signed by the Chairman.

7 **Chairman's Announcements**

The Chairman made the following announcements:

A Members workshop on the Cherwell Industrial Strategy would be held on Tuesday 11 June, in the Council Chamber. The workshop would run from 6pm to 9pm, buffet style refreshments would be available from 5:30pm. Invitations had been sent to all Members via email in the last few weeks.

There would also be a session on Universal Credit, with representatives attending from the DWP. The session was on Wednesday 17 July and further details would be sent out in due course.

8 **Internal Audit - Annual Report 2018/19**

The Executive Director, Finance (Interim) which presented CW Audit Services Annual Report for 2018/19 in relation to the Internal Audit work undertaken during 2018/19.

Anand Persaud, CW Audit Services, the council's internal auditor introduced the Annual Report and advised the Committee that internal audit opinion fed into the Annual Governance Statement, which Members would consider as a later agenda item. The Annual Report was very positive and the internal audit overall opinion was that significant assurance could be given.

In response to Members' comments regarding areas that had been identified as still having work to be done and issues to be addressed, the Executive Director, Finance (Interim) explained that reviews were undertaken to address these areas and Lead Members were kept fully briefed. Additionally, the audit plan was linked to the strategic risk register.

Resolved

- (1) That the 2018/19 annual report from CW Audit Services, the council's internal auditor, be noted.

9 **External Audit Update (Verbal)**

Neil Harris, Ernst Young, the council's external auditor, gave a verbal update advising the Committee that all work was on track and the issues that had arisen with external audit the previous year had been addressed and he would ensure resource was available for the account sign off. There were no significant concerns and there was full cooperation with the Finance team.

Resolved

- (1) That the verbal update on from Ernst Young, the council's external auditor, be noted.

10

DRAFT Statement of Accounts and Annual Governance Statement 2018/19

The Executive Director Finance (Interim) submitted a report to ask members to consider and note the draft Statement of Accounts 2018/19 and to consider and endorse the Annual Governance Statement 2018/19.

The Executive Director Finance (Interim) commended the Finance Team for their hard work in producing the draft statement of accounts. Members were reminded Members that the accounts were in draft form and the should advise of any typos or areas for clarification that could be addressed for the final statement of accounts.

In introducing the report the Executive Director Finance (Interim) advised Members that the financial statement being considered by the Committee were different to the outturn management accounts which were considered by Budget Planning Committee and Executive.

The Executive Director Finance (Interim) gave an overview of the draft Statement of Accounts 2018/19 and the Annual Governance Statement advising that the overall conclusion was that it was a positive statement.

On behalf of the Committee, the Chairman thanked the Executive Director, Finance (Interim) and the Closedown Team for their hard work in delivering the statement of accounts on time for a second year in a row and noted the positive feedback from the External Auditor.

Resolved

- (1) That, having given due consideration, the DRAFT Statement of Accounts 2018/19.
- (2) That, having given due consideration, the Annual Governance Statement 2018/19 be endorsed.

11

Report of Those Charged with Governance 18/19

The Executive Director Finance (Interim) submitted a report which set out the response to Ernst & Young (EY) regarding the review of management assurance.

In introducing the report, the Deputy Section 151 Officer confirmed that letter would be signed at the end of July at the time the statement of accounts were finalised.

Resolved

- (1) That the response relating to management assurances from those Charged with Governance (annex to the Minutes as set out in the Minute Book) be approved.

12 **External Audit Fees 2019/20**

The Executive Director Finance (Interim) submitted a report for Members to note the indicative external audit fee for 2019/20.

Resolved

- (1) That the contents of the letter setting out the indicative annual audit fees for 2019/20 from the Councils External Auditors, Ernst & Young (EY) be noted.

13 **Exclusion of Press and Public**

Resolved

That under Section 100A of the Local Government Act 1972, the public and press be excluded from the meeting for the following item(s) of business on the grounds that, if the public and press were present, it would be likely that exempt information falling under the provisions of Schedule 12A, Part I, Paragraph 3 would be disclosed to them, and that in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

14 **Progress of Counter Fraud Service**

The Senior Investigation Officer – Corporate Fraud Team submitted an exempt report which provide an overview of the current progress of the Authority's counter fraud response following the delegation of authority in July 2018 to Oxford City Council.

Resolved

- (1) That the current performance of the Corporate Fraud team be noted.
- (2) That the future work plans and the impact that this would have on future performance and income to the authority be noted.

15 **Deputy Section 151 Officer, Kelly Watson**

The Chairman paid tribute to the Deputy Section 151 Officer, Kelly Watson, who would be leaving her role as Assistant Director: Finance, Property and Procurement and Section 151 Officer at South Northamptonshire Council and

associated role as Deputy Section 151 Officer at Cherwell District Council at the end of June to take up a new post with a company in London.

On behalf of the Committee and the Council, the Chairman thanked Kelly for her hard work during her time at CDC during which she had overseen a tremendous improvement in the council's financial management.

The Chairman wished Kelly all the best in her new role.

The meeting ended at 8.45 pm

Chairman:

Date:

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Cherwell District Council

Accounts, Audit & Risk Committee

31 July 2019

Review by Those Charged with Governance
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Report of the Executive Director: Finance (Interim)

This report is public

Purpose of report

To set out the response to Ernst & Young (EY) regarding the review of management assurance.

1.0 Recommendations

The committee is recommended to:

- 1.1 Agree that the Chairman of the Accounts, Audit and Risk Committee sign the response relating to management assurances from Those Charged with Governance at Appendix 1 (to follow).

2.0 Introduction

- 2.1 This report informs members of the committee of the management's assurances set out from Those Charged with Governance.

3.0 Report Details

- 3.1 Auditing standards require external audit to formally update their understanding of the Council's management processes and arrangements each year. They do this by asking the Committee (as Those Charged with Governance) about the Council's management arrangements.
- 3.2 The response is contained in Appendix 1 (to follow).

4.0 Conclusion and Reasons for Recommendations

- 4.1 The Committee is recommended to note the approval of the response set out at Appendix 1 (to follow).

5.0 Consultation

None

6.0 Alternative Options and Reasons for Rejection

6.1 None, the response is a requirement of the regulations.

7.0 Implications

Financial and Resource Implications

7.1 There are no financial implications arising directly from this report.

Comments checked by:

Dominic Oakeshott, Assistant Director, Finance (Interim), 01295 227943
dominic.oakeshott@cherwell-dc.gov.uk

Legal Implications

7.2 There are no legal implications arising directly from this report.

Comments checked by:

Richard Hawtin, Team Leader – Non-contentious, 01295 221695
richard.hawtin@cherwellandsouthnorthants.gov.uk

Risk Management Implications

7.3 There are no risk management issues arising directly from this report

Comments checked by:

Louise Tustian, Team Leader – Insight Team, 01295 221786
louise.tustian@cherwellandsouthnorthants.gov.uk

8.0 Decision Information

Wards Affected

All wards are affected

Links to Corporate Plan and Policy Framework

All corporate plan themes.

Lead Councillor

None

Document Information

Appendix No	Title
Appendix 1	Response from Those Charged with Governance (TCWG)
Background Papers	
None	
Report Author	Adele Taylor, Executive Director, Finance (Interim)
Contact Information	adele.taylor@Cherwell-dc.gov.uk 01295 221634

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Cherwell District Council

Accounts, Audit & Risk Committee

31 July 2019

External Audit – Annual Audit Opinion 2018/19
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Report of the Executive Director: Finance (Interim)

This report is public

Purpose of report

To receive a report setting out the External Audit Opinion for 2018/19.

1.0 Recommendations

The meeting is recommended:

- 1.1 to note the contents of the External Audit Opinion (ISA260) for 2018/19 from our External Auditors, Ernst & Young (EY).

2.0 Introduction

- 2.1 Attached at Appendix 1 (to follow) is the External Audit Opinion 2018/19 which outlines the work undertaken to audit the Statement of Accounts and the overall opinion for 2018/19.

3.0 Report Details

- 3.1 External Audit undertakes its work in line with the Local Audit and Accountability Act 2014, the National Audit Office's 2015 Code of Audit Practice, the Statement of Responsibilities issued by Public Sector Audit Appointments Ltd and auditing standards.
- 3.2 The Audit Opinion (ISA260) sets out the methodology, approach and timescales that EY have taken in relation to undertaking the work required for the audit of the Statement of Accounts 2018/19.
- 3.3 The Audit Opinion sets out the overall assessment of the Statement of Accounts produced. The Statement of Accounts for 2018/19 has been prepared in line with the earlier timescales as required and represents significant improvements for the Council in preparing these accounts.

4.0 Conclusion and Reasons for Recommendations

4.1 The opinion sets out the assessment of External Audit for 2018/19.

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: The committee may seek additional information from the external auditors (EY) and officers.

7.0 Implications

Financial and Resource Implications

7.1 There are no financial implications arising directly from this report.

Comments checked by:

Dominic Oakeshott, Assistant Director, Finance (Interim), 01295 227943
dominic.oakeshott@cherwell-dc.gov.uk

Legal Implications

7.2 There are no legal implication arising from this report.

Comments checked by:

Richard Hawtin, Team Leader – Non-contentious, 01295 221695
richard.hawtin@cherwellandsouthnorthants.gov.uk

Risk Management Implications

7.3 There are no risk management implications arising from this report.

Comments checked by: Louise Tustian

Louise Tustian, Team Leader - Insight Team 01295 221786
louise.tustian@Cherwellandsouthnorthants.gov.uk

8.0 Decision Information

Wards Affected

All wards are affected

Links to Corporate Plan and Policy Framework

All corporate plan themes.

Lead Councillor

None

Document Information

Appendix No	Title
Appendix 1	External Audit Opinion (ISA260) 2018/19 (to follow)
Background Papers	
None	
Report Author	Dominic Oakeshott, Assistant Director, Finance (Interim)
Contact Information	dominic.oakeshott@cherwell-dc.gov.uk 01295 227943

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Cherwell District Council

Accounts, Audit & Risk Committee

31 July 2019

<p>Statement of Accounts, Annual Governance Statement 2018/19 and Letter of Representation</p>

Report of the Executive Director, Finance (Interim)

This report is public

Purpose of report

To receive a report is to ask members to consider the following:

- The Statement of Accounts 2018/19.
- Annual Governance Statement 2018/19.
- Letter of Representation 2018/19.

1.0 Recommendations

The committee is recommended to:

- 1.1 Approve the Statement of Accounts 2018/19.
- 1.2 Endorse the Annual Governance Statement 2018/19.
- 1.3 Approve the Letter of Representation 2018/19.

2.0 Introduction

- 2.1 The Statement of Accounts has been prepared in accordance with all relevant statutory reporting requirements.
- 2.2 The statutory timescale required that the Statement of Accounts were approved by the S151 Officer and received by the Councils External Auditor, Ernst & Young (EY) by 31 May 2019. Following this the accounts are audited in advance of the External Auditor, Ernst & Young setting out their opinion on the accounts and reported to this committee by 31 July 2019.
- 2.3 The Annual Governance Statement sets out the assurance framework in place across the Council and an assessment of this during 2018/19.

- 2.4 The Letter of Representation is an important part of the audit process whereby the Council, via the Section 151 Officer provides representations around the operation of the Council that allows and helps the auditors to form their opinion as to whether the financial statements give a true and fair view.

3.0 Report Details

- 3.1 The timescales for production and auditing of the 2018/19 Statement of Accounts are shorter than in previous years. The Council has worked closely with External Audit to review the timescales and deliver the Statement of Accounts for 2018/19.
- 3.2 The Statement of Accounts set out the financial performance of the Council during 2018/19 and provides useful information for the public and stakeholders to identify how the Council has managed public resources across the district.
- 3.3 The Annual Governance Statement is part of the CIPFA/SOLACE governance framework. It is a wide ranging document that is governance focussed and must be considered and “owned” corporately.
- 3.4 The Annual Governance Statement describes our governance arrangements and assesses how closely we align with good practice. In overall terms this is a positive statement for the financial year 2018/19.
- 3.5 The Annual Governance Statement takes assurance from several mechanisms including the internal audit work, internal audit reports throughout the year, the work of th

e Accounts, Audit and Risk Committee, the scrutiny process and external audit.

4.0 Conclusion and Reasons for Recommendations

- 4.1 The Statement of Accounts has been prepared in a timely manner and in accordance with statutory requirements. The Annual Governance Statement provides assurance on the Governance Framework in place across the Council.

5.0 Consultation

None

6.0 Alternative Options and Reasons for Rejection

- 6.1 None

7.0 Implications

Financial and Resource Implications

- 7.1 There are no financial implications arising directly from this report.

Comments checked by:
Dominic Oakeshott, Assistant Director, Finance (Interim), 01295 227943
dominic.oakeshott@cherwell-dc.gov.uk

Legal Implications

7.2 There are no legal implications arising from this report.

Comments checked by:
Richard Hawtin, Team Leader – Non-contentious, 01295 221695
richard.hawtin@cherwellandsouthnorthants.gov.uk

Risk Management Implications

7.3 There are no risk management implications arising from this report.

Comments checked by: Louise Tustian
Louise Tustian, Team Leader - Insight Team 01295 221786
louise.tustian@cherwellandsouthnorthants.gov.uk

8.0 Decision Information

Wards Affected

All wards are affected

Links to Corporate Plan and Policy Framework

All corporate plan themes.

Lead Councillor

None

Document Information

Appendix No	Title
Appendix 1	Statement of Accounts and Annual Governance Statement 2018/19
Appendix 2	Letter of Representation
Background Papers	
None	
Report Author	Dominic Oakeshott, Assistant Director, Finance (Interim)
Contact Information	dominic.oakeshott@cherwellds.gov.uk 01295 227943

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Cherwell District Council

Accounts, Audit and Risk Committee

31 July 2019

<p>Monthly Performance, Risk and Finance Monitoring Report – May 2019</p>
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Report of Assistant Director: Performance and Transformation and Assistant Director: Finance (Interim)

This report is public

Purpose of report

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

1.0 Recommendations

The meeting is recommended:

- 1.1 To note the monthly Performance, Risk and Finance Monitoring Report.
- 1.2 To review the Leadership Risk Register and identify any issues for further consideration.

2.0 Introduction

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

2.5 The Report details section is split into three parts:

- Performance Update
- Leadership Risk Register Update
- Finance Update

2.6 There are three appendices to this report:

- Appendix 1 – 2019/20 Business Plan
- Appendix 2 – Monthly Performance Report
- Appendix 3 – Leadership Risk Register

3.0 Report Details




Performance Update

3.1 The Council's performance management framework sets out the key actions, projects and programmes of work that contribute to the delivery of the 2019-20 business plan (see Appendix 1) and the priorities of the Council.

3.2 The 2019-20 business plan set out three strategic priorities:

- Clean, Green and Safe;
- Thriving Communities and Wellbeing;
- District of Opportunity and Growth.

3.3 This report provides a summary of the Council's performance in delivering against each strategic priority. To measure performance a 'traffic light' system is used. Where performance is on or ahead of target it is rated green, where performance is slightly behind the target it is rated amber. A red rating indicated performance is off target.

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

Priority: Clean, Green and Safe

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

3.5 Overview of our performance against this strategic priority:

Preparation for the compost giveaways was well under way during May, with 3 events that happened during early June across Kidlington, Banbury & Bicester. Cherwell collects residents' food and garden waste from their brown bins every fortnight. It is composted at high temperatures at a plant in Ardley before being distributed to farmers, contributing the resilience of local soils. Waste Recycled and Composted is reporting as delivering to plan achieving 61% this month against the target of 56%.

Walk to School Week (20/05/19) enabled Air Quality messages about how we (residents) can help improve air quality. These positive messages were posted on social media channels and the feedback from residents was positive. This supports our objective of protecting our natural environment.



Support Community Safety and Reduce Anti-Social Behaviour has seen the Community Safety Team hold community engagement events in Banbury and Bicester which had a focus on the exploitation of children by organised crime groups and county drug lines gangs. This was part of a National Crime Agency Intensification Week. The team also dealt with a service request about Anti-Social Behaviour from loud noise which resulted in the Community Safety and Environmental Protection Teams seizing stereo equipment from a property after informal attempts to have the householder reduce the volume of music played at night were unsuccessful.



Priority: Thriving Communities and Wellbeing

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

3.7 Overview of our performance against this strategic priority:

Community Resilience - The Emergency Planning and Business Continuity partnership with Oxfordshire County Council (OCC) held its quarterly meeting in May, with preparations for Brexit as the main focus point during the last quarter. The partnership has enabled OCC to invest more time in supporting the development of local community resilience plans in Cherwell, with a number now being progressed by community groups and Parish councils.

Cherwell Lottery Launch – Cherwell Lottery “Good Cause” launch event Happened on 15 May which was well attended and received, with good coverage from local media. So far 30 organisations are now signed up as “Good Cause Partners”

The number of people helped to live independently is reporting as slightly off target for the YTD, however this measure will fluctuate throughout the year. 17 disabled adaptations grants (Disabled Facilities Grants, Discretionary DFG & Extended Minor Works Grants), 7 Minor Works Grants, 14 Small Repairs Essential Repairs Grants and 0 Essential Repairs Grants.

Housing - A Banbury family is being supported into new accommodation after their former landlady was convicted of illegally renting out social housing. The conviction was the result of joint work between Oxford City Council’s Oxford Investigation Service, Cherwell, and Sanctuary Housing. When the tenants were made aware that they were living in an illegally sublet property they were eager to do the right thing and promptly contacted the council and the police for advice. They are expected to move into their new home in the coming fortnight.

The % of Council tax collected and the % of Business Rates collected are both reporting as slightly behind schedule for May and YTD. However, there is a work plan in place to monitor this closely and we are only short of the target by 1%.

Priority: District of Opportunity and Growth

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

The Hill - The rendering has been completed to the north elevation and other elevations will be completed when scaffolding has been removed next week, at which time the external windows/doors will be installed. Roof tiling to the low level area is due to be completed within the next few days. Internal plumbing and electrical installation has commenced. Underfloor heating and floor slab insulation has been completed to the main areas. The new gas supply is due to be installed commencing 10th June.

Hope Close, Banbury – 11 two and three bedroom properties for shared ownership now satisfy the Passive House Institute criteria for Certification as Low Energy Buildings, which is a major milestone. The houses will provide extremely low energy bills for 11 families. A demonstration showhouse is being set up and marketing to commence at the end of summer.



The Admiral Holland site - Started on site at the end of May. Edgar Taylor have erected new hoarding to include the car parking and the initial excavation work has commenced. The former pub site will provide 6 one bedroom flats, 7 two bedroom houses and 1 three bedroom house.

Creampot Crescent, Cropredy – An individual 3 bedroom house due for completion in July will provide a shared ownership family home in a rural location.

Eco Business Centre, Bicester – We have appointed Town Square Spaces Ltd (TSS) to operate the new Perch Eco Business Centre in Elmsbrook, North West Bicester. Following a competitive tender process, TSS was chosen by the council to manage and run the centre. One of two co-working spaces in the town, the Perch Eco Business Centre will provide office space and support start-ups and small businesses. It is situated in the Elmsbrook development in Bicester which benefits from easy access to London, with five regular, non-stop trains running every hour from Bicester North station.

Summary of Performance

3.10 The Council reports on performance against 21 joint business plan measures and 15 key performance indicators on a monthly basis. Performance for this month is summarised in the table below.



The full details, including commentary against each measure and key performance indicator can be found in Appendix 2.

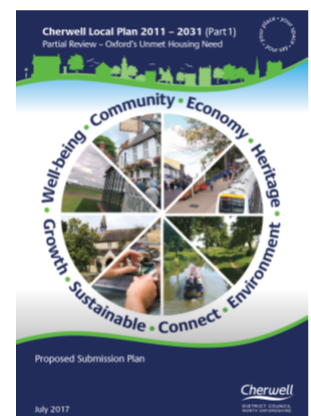
Business Plan Measures and Key Performance Indicators (36)					
Status	Description	May	%	YTD	%
Green	On target	31	86%	31	86%
Amber	Slightly off target	3	8%	4	11%
Red	Off target	2	6%	1	3%

3.11 Spotlight On: Planning

Planning is one of the most talked about services delivered by Cherwell District Council – and with good reason! There are four key areas of planning work that the Council is responsible for. Here is a flavour of what each of the Teams does, our achievements in the past year, and plans for the next:

Planning Policy

The Planning Policy Team is responsible for drafting the District’s planning policies – including allocating sites for new development and working with local communities to produce Neighbourhood Plans – that act as the framework for how we want to manage development and growth in the District over the next few years. A key piece of work being undertaken at the moment is the Partial Review of the Local Plan which is required to assist Oxford in meeting its unmet housing need). The main public hearings on the draft plan were heard in February 2019. The Inspector’s findings are awaited.



At a more local level, following a successful referendum on 21 March 2019, the Mid Cherwell Neighbourhood Plan became part of the statutory Development Plan and was formally 'made' by the Council on 14 May.

Over the rest of 19/20, the Planning Policy Team's priorities will include the Partial Review of the Local Plan; contributing to the production of a County-Wide Oxfordshire Plan to manage the anticipated growth in housing and jobs up to 2050 (and thereby the delivery of the Oxfordshire Housing and Growth Deal); progressing the Cherwell Local Plan review; and, completing the Banbury Canalside Supplementary Planning Document.

Design and Conservation

Within Cherwell District, there are over 60 Conservation Areas and 2,300 listed buildings. The Design and Conservation Team is responsible for ensuring Conservation Area Appraisals are regularly reviewed and kept up to date, and for overseeing the protection of the District's heritage. One key way the Team does this is by providing comments and input into the planning application process.



In 2018 a key milestone was reached with the adoption of a district-wide Residential Design Code. This document provides technical guidance and sets key design principles for new housing development in the District, to ensure new housing respects the character of the District's towns and villages and what makes them special.

During 2019-20 the Team will be producing easy-to-use Heritage/Conservation Advice Notes for use by planning officers and the public, to assist in putting those design principles into practice in the planning application process.

Development Management

The Development Management Team is responsible for processing applications and enquiries for planning permission, ensuring that development happens in line with the Council's planning policies whilst also having regard to the regular changes in Government policy and guidance.

We are a busy on-demand service and to ensure we keep pace with demand we are measured by Government on the speed of our decision making. From April 2018 to March 2019, we dealt with over 3,600 planning applications, statutory notifications, and requests for advice. This included 1,350 applications for planning permission of which we dealt with 91% within an agreed timescale.

The Team is currently dealing with a number of large scale applications for new housing and community facilities at Banbury and Bicester, including the Eco-Town



development at North West Bicester which is leading the way in high sustainable construction standards. Another high profile project is the development at Graven Hill, which is one of the UK's most ambitious self and custom build projects in the country (recently featured on Grand Designs!). The Development Management Team has led on the introduction of a more flexible planning process to encourage innovation and creativity in design.

Planning Enforcement

The Planning Enforcement Team is responsible for investigating alleged breaches of planning law and control (including non-compliance with conditions attached to a planning permission) and has the power to take action to correct breaches where it is clearly in the public interest to do so.

The Enforcement Team is a demand-driven service, and it is an ongoing challenge to respond to enquiries in good time whilst ensuring every case is investigated fully and dealt with fairly. In 2018/19 additional staff, including 3 Monitoring Officers, were recruited to the Team and as a result of this over £3m in outstanding financial contributions owed by developers was collected. A significant portion of this money will be used to fund new and improved community facilities.

As you can see, we are doing a lot to ensure new development makes a positive contribution to the places we live and work and preserves what is special about our District. However, we believe we can and must do better and we are grateful for the customer feedback we receive and suggestions for improvement.

One area that we believe is vitally important is our relationship with Town and Parish Councils, and we are currently actively looking at ways to strengthen our engagement with Town and Parish Councils. Another key change we will be implementing in 2019-20 is a move to a new IT database. This change will unlock opportunities to modernise and speed up all aspects of the planning process, help ensure consistency in our decision making, and will also make it easier for the public to access planning information on the website. Watch this space!

Risk Update

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

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

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

Leadership Risk	Score	DoT	Latest Update
L01 Financial Resilience	9 Low risk	↔	Risk Review completed 10/06 – No changes.
L02 Statutory functions	9 Low risk	↔	
L03 Lack of Organisational Capacity (was Lack of management Capacity)	12 Medium risk	↔	Risk Review completed 10/06 – No changes.
L04 CDC Local Plan (was Local Plan)	9 Low risk	↑	Risk Review completed 06/06 – Residual score increased from 8 to 9 due to delay with JSSP & Local Plan.
L05 Business Continuity	9 Low risk	↔	Risk Review completed 07/06 – comments updated.
L06 Partnering	12 Medium risk		REMOVED
L07 Emergency Planning	12 Medium risk	↔	Risk Review completed 07/06 – mitigating actions updated.
L08 Health & Safety	12 Medium risk	↔	Risk Review completed 07/06 – comments updated.
L09 Cyber Security	15 Medium risk	↔	Risk Review completed 03/06 – mitigating actions updated.
L10 Safeguarding the Vulnerable	8 Low risk	↔	Risk Review completed 07/06 – comments updated.
L11 Sustainability of Council owned companies and delivery of planned financial and other objectives. (was Income generation through council owned companies)	12 Medium risk	↔	Risk Review completed 10/06 – No changes.
L12 Financial sustainability of third-party suppliers including contractors and other partners (was Financial sustainability of third-party suppliers)	8 Low risk	↔	Risk Review completed 10/06 – No changes.
L13 Separation and Joint Working (was Local Government Reorganisation)	15 Medium risk	↔	Risk Review completed 10/06 – comments updated.
L14 Corporate Governance	9 Low risk	↔	Full review completed.
L15 Oxfordshire Growth Deal	12 Medium risk	↔	Risk Review completed 12/06 – comments updated.

The full Leadership Risk Register update can be found in Appendix 3. There is one score change for May, please note **L04** Local Plan has increased from 8 to 9 further detail can be found in Appendix 3.

3.15 Finance Update (Revenue & Capital)

During the budget setting process for 2019/20 we reviewed any budget variances in-year that were known at that time and where the financial variations relating to structural issues, these were realigned during that process, as appropriate.

3.16 Revenue Position

The Council's forecast financial position is set out in the table below. Overall, for the financial year 2019/20 Cherwell District Council has a projected an overspend of £230k.

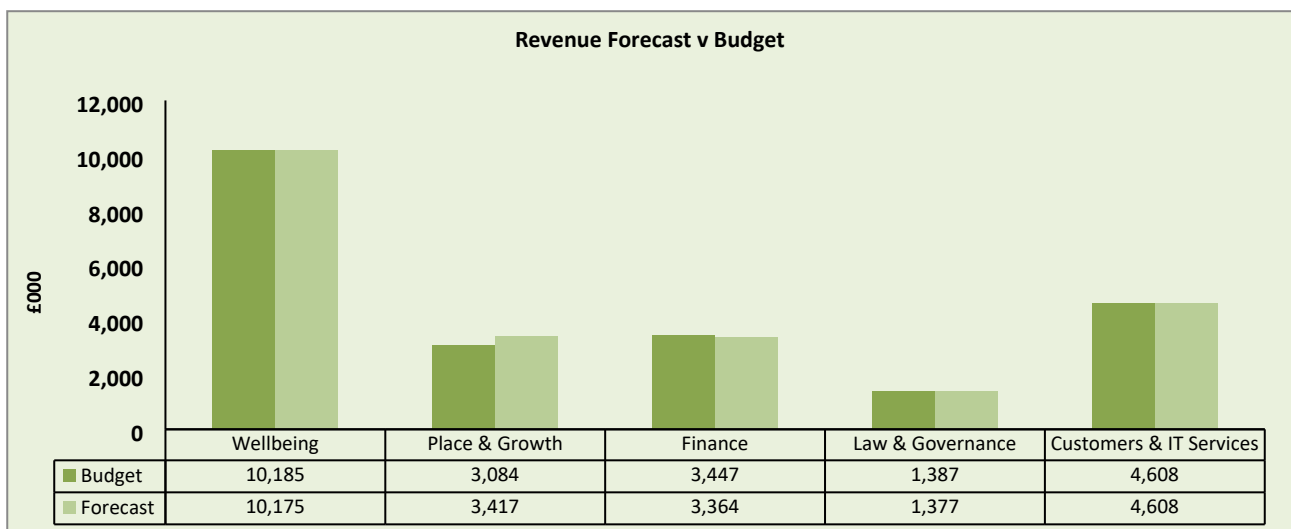
For more detail on the movements across all budgets please see the table below. These detail the main reasons for the variances in 2019/20.

Revenue Monitoring	Budget £000	Forecast £000	Current Month Variances £000	Prior Month Variances £000
<i>(Brackets denotes an Underspend)</i>				
Communities	1,322	1,322	-	0
Leisure & Sport	791	756	(35)	(35)
Housing	2,047	2,019	(28)	0
Environmental Services	4,972	5,025	53	45
Environmental Health & Licensing	1,053	1,053	-	0
WELLBEING TOTAL	10,185	10,175	(10)	10
<p>Leisure & Sport: (£35k) Underspend on salaries due to changes in service delivery. Housing: (£28k) Salary savings due to changes in structure. Environmental Services: £53k Gate fee increase to £8 per tonne amounting to £85k and (£32k) salary vacancies within Waste Collection and Street Cleansing.</p>				
Planning Policy & Development	1,447	1,530	83	83
Economy & Regeneration	1,637	1,887	250	269
PLACE & GROWTH TOTAL	3,084	3,417	333	352
<p>Planning Policy & Development: £83k relating to agency costs. Economy & Regeneration: £250k made up of £100k consultancy costs, £150k relating to Build! And properties yet to be occupied.</p>				
Finance	2,127	2,087	(40)	30
Property	(1,102)	(1,102)	-	0
Finance Total	1,025	985	(40)	30
<p>Finance: (£40k) consists of (£15k) Internal Audit Fees, (£45k) for external audit fees, £70k Interim Executive Director post, rent allowances underspend of (£50k) mainly due to Universal Credit.</p>				
Law & Governance	1,387	1,377	(10)	0
Law & Governance Total	1,387	1,377	(10)	0
<p>Law & Governance: (£10k) relating to joint OCC Director of Law & Governance.</p>				
Customers & IT services	2,543	2,543	-	0
Strategic Marketing & Communications	391	391	-	0
HR, OD & Payroll	751	751	-	0
Performance & Transformation	457	457	-	0
Corporate Services	466	466	-	0
CUSTOMERS & IT SERVICES TOTAL	4,608	4,608	0	0
TOTAL DIRECTORATES	20,289	20,562	273	392
Investment Costs	2,955	2,955	-	-
Interest Receivable	(563)	(606)	(43)	-
Interest from Graven Hill	(2,593)	(2,593)	-	-
Pension Costs	237	237	-	-

Appropriations For Transfer To Reserves	4,402	4,402	-	-
Appropriations For Transfer From Reserve	(3,516)	(3,516)	-	-
Capital Charges	1,500	1,500	-	-
EXECUTIVE MATTERS TOTAL	2,422	2,379	(43)	0
<i>Interest Receivable: (£43k) due to new loan given to Crown House.</i>				
COST OF SERVICES	22,711	22,941	230	392

Funding (Brackets denotes an Underspend)	Budget £000	Forecast £000	Current Month Variances £000	Prior Month Variances £000
Business Rates Retention	(10,760)	(10,760)	-	-
Revenue Support Grant	(114)	(114)	-	-
Transfer to parish Councils for CTRS	349	349	-	-
Transition Grant	0	0	-	-
FORMULA GRANT EQUIVALENT	(10,525)	(10,525)	-	-
New Homes Bonus	(5,087)	(5,087)	-	-
GRANTS AWARDED TOTAL	(5,087)	(5,087)	-	-
Council Tax	(6,923)	(6,923)	-	-
Collection Fund	(176)	(176)	-	-
COUNCIL TAX INCOME TOTAL	(7,099)	(7,099)	-	-
TOTAL INCOME				
	(22,711)	(22,711)	-	-
Reserve management			0	
(Surplus)/Deficit			230	392

The graph overpage shows the overall variance by Directorate and compares the budget to the forecast end of year position.



3.17 Capital Programme

A summary of the capital programme is set out in the table below. The detailed Capital programme is shown in the appendices to this report.

The budget for 2019/20 is £93m. Overall, we are projecting an underspend in year by (£696k) further detail can be found in the table below:

Directorate	Budget £000	Forecast £000	Re- profiled beyond 2019/20 £000	Current Period Variances £000	Prior Period Variances £000
Wellbeing, Environmental & Regulatory	5,270	4,572	30	(668)	0
Place & Growth	29,855	29,855	0	-	0
Customers & Service Development	987	987	0	-	0
Finance Services	56,673	56,645	0	(28)	0
Total	92,785	92,059	30	(696)	-

Current Period Variances:

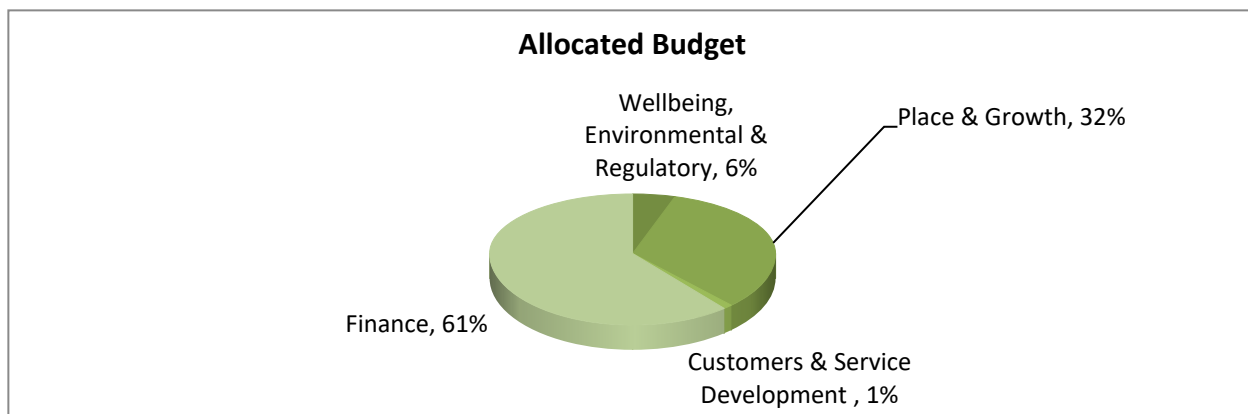
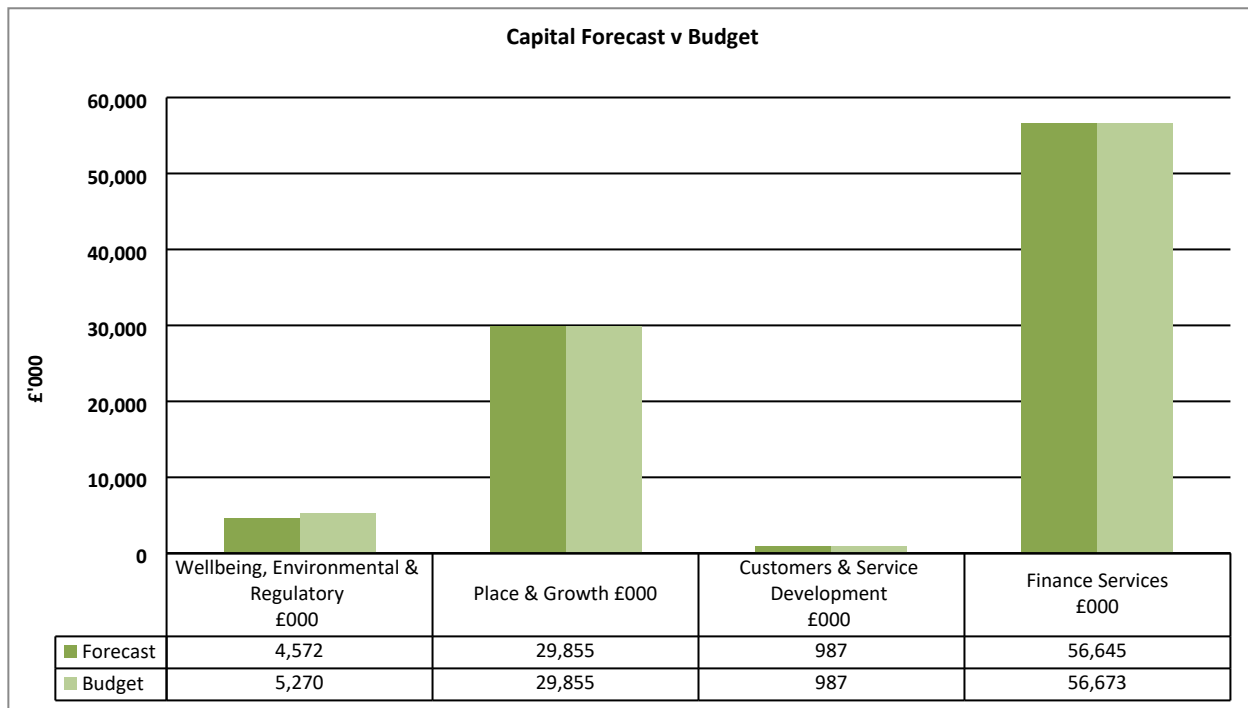
Wellbeing, Environmental & Regulatory Services: (£668k) budgets no longer required for Sunshine Centre (**£22k**), Biomass Heating Bicester Leisure Centre (**£14k**), Solar Photovoltaics at Sports Centre (**£80k**), Abritas Upgrade project (**£33k**), Discretionary Grants Domestic Properties (**£546k**), Glass Recycling Bank spend not budgeted for **£7k**, and potential overspend of **£20k** on vehicle replacement programme.

Finance Services: £28k relating to New E-tendering Portal for procurement no longer required (**£30k**), additional small works on site that we acquired in 18/19 **£15k** and potential small underspends on the following projects Thorpe Place Industrial Units (**£5k**), Thorpe Way Industrial Units (**£4k**), Thorpe Lane Depot Tarmac/Drainage (**£4k**)

Re-profile beyond 2019/20:

Wellbeing, Environmental & Regulatory Services:

£30k Spiceball Leisure Centre Bridge Resurfacing is part of the CQ2 project. Could potentially roll into 2020/21.



3.18 Reserves

The reserves as at 31 March 2019 are detailed below and subject to final external audit. These now include the agreed transfer of 2018/19 underspend into the Business Rates and Risk Reserve following our outturn report for 2018/19. Any spend from these reserves not already included within budgets is subject to the approval of Executive Director of Finance in consultation with the Leader and relevant Director and/or portfolio holder.

CDC Earmarked Reserves

Reserves	Service Owner	Purpose	Estimated Balance 31-Mar-19
General Fund Reserves:			£000
Building Control	Paul Feehilly	To manage the trading account for Building Control	(24)
Country Park Reserve	Graeme Kane	This reserve is used to fund major improvement works at the County Parks	(100)

Elections	Nick Graham	The reserve has been set up to recognise that standalone district elections are now annual in all wards.	(253)
Environmental Warranties	Adele Taylor	The reserve is in place to protect the council against potential asbestos claims in Sanctuary Homes	(1,000)
Hanwell Fields Open Space	Paul Feehilly	This reserve has been created from S106 monies and will be used towards the cost of the maintenance on Hanwell Fields open space as required	(79)
Housing Reserve	Graeme Kane	The reserve is to be used to support the delivery of a Single Person's Housing Strategy including the development and management of single person's housing units in Cherwell.	(114)
Work in Default reserve	Graeme Kane	This reserve has been set up to cover the cost of emergency enforcement as required	(100)
Local Plan Charges	Paul Feehilly	The reserve has been created to fund the one-off costs associated with the provision of the Local Plan	(124)
NHB - Affordable Housing	Graeme Kane	The reserve has been created from New Homes Bonus grant income and will be used on the strategic housing projects	(1,063)
NHB - Economic Development	Paul Feehilly	The reserve has been created from New Homes Bonus grant income and will be used to fund the costs of Economic Growth projects across the district	(2,527)
NHB - Superfast Broadband	Paul Feehilly	The reserve has been created from New Homes Bonus grant income and will be used to fund the costs associated with the Better Broadband for Oxfordshire programme	(727)
Planning Control	Paul Feehilly	This reserve will be used to fund the costs associated with major planning applications where the costs fall over more than one financial year	(259)
Business Rates and Risk reserve	Adele Taylor	This reserve is to mitigate risks arising from business rates volatility and general risks facing the organisation	(1,752)
Sainsbury's Primary Authority	Graeme Kane	This reserve is to fund the commercial projects within public protection	(55)
Self Insurance	Adele Taylor	This reserve holds self-insurance for small items that are otherwise not insured.	(137)
VAT Deminimus	Adele Taylor	This reserve has been set up to protect the council against the risk of breaching the VAT deminimus level of 5%	(500)
Welfare Reform	Belinda Green	The reserve is to fund potential repayments of overpaid benefit subsidy and to cover any potential costs associated with Welfare reform and Benefits	(99)
Horton General Towns	Graeme Kane	The reserve will be used to fund the cost of the Horton Hospital review	(84)
Pensions Deficit	Adele Taylor	To mitigate the cost of the pension deficit at the next triannual review	(1,814)
Graven Hill	Adele Taylor	Equalisation reserve for Graven Hill	(1,529)
Art Development	Graeme Kane	Art development reserve.	(52)
CCTV	Graeme Kane	The reserve will be used to fund the potential cost of CCTV	(27)
Broadfield Road Yarnton Sports	Graeme Kane		(4)

Castle Quay	Adele Taylor	The reserve is to manage the volatility of income and for reinvestment into Castle Quay	(80)
Bicester reserve	Paul Feehilly	To assist the Council with funding Bicester projects	(403)
Eco Town Revenue	Paul Feehilly	The reserve is used to fund Eco Town project as monitored by Place Programme and Project Board	(88)
Corporate and Commercial Reserve	Adele Taylor	To assist the council with funding the costs associated with corporate transformation and commercial investment projects. This includes monies transferred in from SNC that was originally held in a jointly owned transformation reserve that has now been proportioned following separation.	(6,052)
Brexit	Adele Taylor	This is a grant that was awarded to CDC in relation to any additional costs arising from management of changes in relation to Brexit	(17)
Member Services	Nick Graham	This is a reserve set aside for one off costs arising from member services	(12)
Sub-total			(19,076)
Earmarked Reserves from Grants & Contributions:			
Area Based Grant	Claire Taylor	This reserve supports the work in community consultation and engagement	(83)
Bicester Fields Main Park	Graeme Kane	The reserve has been generated from S106 monies and will be used as maintenance funds to be used on an ongoing basis	(97)
Brighter Futures - Skills Reward Grant	Graeme Kane	Projects for early years, employment support and skills, family support & young people, financial inclusion & housing, health & well-being, safer & stronger communities	(17)
Bicester Garden Town	Paul Feehilly	The reserve is for initiatives and studies pertaining to the development of Bicester as a Garden Town	(1,005)
Oxfordshire Youth Arts Partnership and Bicester Arts	Graeme Kane	Supporting the cultural development of the town over the medium term	(104)
Eco Town Revenue	Paul Feehilly	The reserve is used to fund Eco Town project as monitored by Place Programme and Project Board	(30)
Flood Recovery Grant	Nick Graham	The reserve has been created to cover the cost of emergency planning contingencies	(40)
Green Deal Pioneer Places	Paul Feehilly	The reserve has been created from a ring fenced grant which is used on projects relating to the Government's Green Deal initiative	(67)
Home Improvement Agency	Graeme Kane	This reserve is for covering the costs of Home Improvement Agency Projects as required	(221)
Homelessness Prevention	Graeme Kane	The reserve has been created from ring fenced grant to be spent in conjunction with Service Level Agreements with partnerships in conjunction with Cherwell's Homeless Action Plan	(486)
New Burdens Grant	Adele Taylor	The reserve has been created from various government grants awarded to fund any additional costs associated with administering new government initiatives	(248)
Performance Reward Grant ABG	Graeme Kane	This is CSP money that is not to be spent without the permission of the CSP.	(21)

Police & Crime Commissioner	Graeme Kane	The reserve is created from ring-fenced grant to be spent on specific projects to be approved by the Community Safety Partnership	(64)
Thames Valley Police	Graeme Kane	This reserve is being used to fund the cost of CCTV replacement.	(28)
Sportivate Initiatives	Graeme Kane	The reserve has been created for Sportivate activities to research and pilot projects to engage inactive residents.	(55)
Housing and Planning Initiatives	Paul Feehilly	This reserve supports work within Housing and Planning to support one-off costs associated with growth within the District	(322)
Laburnham Cres Ambrosden	Paul Feehilly	The reserve has been generated from S106 monies and will be used as maintenance funds to be used on an ongoing basis	(38)
Sub-total			(2,982)
Total Earmarked Reserves			(22,059)
General Fund Balance			(1,001)
Useable Reserves			(23,060)

4.0 Conclusion and Reasons for Recommendations

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

5.0 Consultation

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

6.0 Alternative Options and Reasons for Rejection

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

Option 1: This report illustrates the Council's performance against the 2018-19 business plan. As this is a monitoring report, no further options have been considered. However, members may wish to request that officers provide additional information.

7.0 Implications

Financial and Resource Implications

7.1 The financial implications are detailed within section 3.15 to 3.18 of this report.

Comments checked by:
Adele Taylor, Executive Director: Finance (Interim) Adele.taylor@cherwell-dc.gov.uk

Legal Implications

7.2 There are no legal implications from this report.

Comments checked by:
Nick Graham, Director Law & Governance Nick.Graham@cherwell-dc.gov.uk

Risk management

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

Comments checked by:
Louise Tustian, Team Leader: Insight Team,
Louise.tustian@cherwellandsouthnorthants.gov.uk

8.0 Decision Information

Wards Affected

All

Links to Corporate Plan and Policy Framework

All

Lead Councillors –

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

Document Information

Appendix No	Title
Appendix 1	2019/20 Business Plan
Appendix 2	Monthly Performance Report
Appendix 3	Leadership Risk Register
Background Papers	
None	
Report Author	Hedd Vaughan-Evans – Assistant Director: Performance and Transformation
Contact Information	Tel: 0300 003 0111 hedd.vaughanEvans@cherwellandsouthnorthants.gov.uk

Cherwell District Council Business Plan 2019-20



DISTRICT COUNCIL
NORTH OXFORDSHIRE



Organisational Plan

Operational Excellence

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

Customer Focus

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

Best Council to work for

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

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Appendix 2 – Monthly Performance Report

May 2019

Includes:

- Programme Measures
- Key Performance Measures (KPIs)

Key to symbols

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

CDC Programme Measures - Clean, Green and Safe

Measure	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
CDC1.1.1 High Quality Waste & Recycling	Cllr D Sames	Kane, Graeme Potter, Ed	Tonnages for garden waste remain on track.	Compost giveaway events taking place during June in Kidlington, Banbury & Bicester	★	Collections are continuing according to the schedule. Some changes have had to be made to adjust for the teams supporting the election logistics.	★
CDC1.1.2 Ensure Clean & Tidy Streets	Cllr D Sames	Kane, Graeme Potter, Ed	Programme of Neighbourhood Blitz events underway.	Develop plans to extend the opportunities to recycle using street bins. Expansion underway.	★	A34 verge cleaning took place successfully with lane closures on two Sunday mornings.	★
CDC1.1.3 Reduce Environmental Crime	Cllr D Sames	Kane, Graeme Potter, Ed	A number of investigations underway.	Neighbourhood blitz programme commences soon and will aim to increase awareness amongst residents of how to safely dispose of waste.	★	In line with national trends, fly tipping levels are still higher compared to a few years ago.	★
CDC1.1.4 Protect Our Natural Environment and Promote Environmental Sustainability	Cllr A McHugh	Kane, Graeme Webb, Richard	'Walk to School Week' (week commencing 20 May) air quality messages. Work on the Annual Status Report.	The Annual Status Report, which includes a review of the actions in the Air Quality Action Plan, is due to be submitted to Defra by the end of June.	★	To coincide with 'Walk to School Week' (week commencing 20 May) air quality messages about the actions individuals can take to help improve air quality were put out through Social Media and the feedback was very positive. Air quality monitoring continues at 47 locations across the District.	★
CDC1.1.5 Support Community Safety and Reduce Anti-Social Behaviour	Cllr A McHugh	Kane, Graeme Webb, Richard	Multi-agency community engagement events in Banbury and Bicester. Joint patrols with Thames Valley Police in parks and recreational facilities. First 'All About Youth' Programme Board meeting in May.	Team will attend the Banbury and District Show and a 'Have Your Say' event with Thames Valley Police. Joint operation with Neighbourhood Officers to prevent ASB and underage drinking in Adderbury during the Party in the Park event. Attend next round of Community Forums. Continue review of Banbury Public Space Protection Order. Review of Cherwell Community Safety Strategy with the aim of agreeing a refreshed strategy in September.	★	A new Community Safety team Facebook page has been established and is now operational providing a means for the team to highlight local initiatives and safety messages. This Facebook page will be promoted over the next few months to increase follower numbers, providing a simple and quick way to communicate with residents and businesses. May's community engagement events in Banbury and Bicester had a focus on the exploitation of children by organised crime groups and county drug lines gangs. This was part of a National Crime Agency Intensification Week. Successful action following a noise complaint resulted in the team seizing a stereo from a property causing a persistent problem. The Licensing Team continues to assess and review the mandatory safeguarding awareness training for taxi licence applicants to ensure that it is still fit for purpose. All new applicants for taxi licences are required to undertake the training ahead of being issued with a licence.	★

CDC Programme Measures - Clean, Green and Safe

Measure	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
CDC1.1.6 Protect the Built Heritage	Cllr C Clarke	Feehily, Paul Jolley, Robert	A review of conservation area appraisal priorities has been undertaken in consultation with Development Management. A review of the priorities for the preparation of heritage/conservation advice notes has also taken place.	Commencement of work on heritage/conservation guidance notes within the next month.	★	In consultation with Development Management, the Conservation team has identified priorities for the next conservation area appraisals and for the production of heritage/conservation advice notes. Consultation procedures with Development Management have also been adjusted to help improve service delivery.	★

CDC Programme Measures - Thriving Communities & Wellbeing

Measure	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
CDC2.1.1 Promote Health & Wellbeing	Cllr A McHugh Cllr C Clarke	Kane, Graeme Riley, Nicola	CDC staff volunteering scheme 'live' on Etarms and intranet.	Community Partnership Network meeting on 4 June will receive presentations on Social Prescribing and future of Health & Care in Banbury.	★	The Community Partnership Network, which involves key health sector partners and campaigners, met. This included a presentation about the future provision of health care services across Cherwell.	★
CDC2.1.2 Improve Leisure & Community Facilities	Cllr G Reynolds	Kane, Graeme Riley, Nicola	Project to replace the Artificial Turf Pitch at Cooper School (Bicester Learning Academy) continues. On 1 May Spiceball Leisure Centre swimming pool closed to allow the remedial and improvement works to be undertaken	The more detailed scope of works for the Fencing Project at Cooper School will be sent out. Works are continuing on the remedial /improvement to Spiceball Leisure Centre swimming pools.	★	Work is continuing at Spiceball Leisure Centre in regards to the improvement/remedial works. This is progressing to the scheduled programme at present. The next improvement to the Joint Use Facilities is the replacement of the fencing to the Artificial Turf Pitches at Cooper Sports Facility. Expressions of interest have been sent out with a more detailed specification to follow. Works to be completed in August 2019	★
Page 40	Cllr A McHugh	Kane, Graeme Riley, Nicola	Launch Cherwell Lottery. Approve Age of Creativity Festival. Graven Hill Connecting Communities event. Brighter Futures Play Day - Bretch Hill.	Recruit 30+ Cherwell Lottery 'Good Cause partners' before first draw on 06 July. Publicity to promote public support once ticket sales go live on 11 June.	★	Community Services partnered with Age UK to facilitate The Age of Creativity from 13-17 May. The event provided a 'shop front' for a varied programme of creative activity for older people that already exists in Banbury but may be unseen to all but the participants. Tutors relocated their art, singing, dance classes to the empty shop Unit in Castle Quay. Over 150 people visited the shop each day. Food Poverty Training – 40 Community partners and professionals attended the training to identify the issues we face in the district and methods to address food poverty and holiday hunger in Brighter Future wards. Graven Hill Connecting Communities event was successfully delivered with over 60 residents attending to meet organisations and partners who deliver services locally to them, themes included community safety / Recycling and Health & Wellbeing.	★
				Parish Liaison meeting on 12 June. Banbury Volunteer Fair- 7 June - Banbury Town Hall. Cherwell Young People, Play & Wellbeing Partnership forum - 2 July. Banbury Play Day 10 Year celebration event - 25 July - Peoples Park.	Brighter Futures Play Day successfully delivered in Bretch Hill with 200 people attending the event. The event engaged residents with free activities and provided Play:Full free lunches for all and promoted messages of health & wellbeing and positive activities in the community. Cherwell Lottery 'Good Cause' launch event on 15 May was well attended and received good coverage in local media. 20 organisations are now signed up as 'Good Cause Partners' Two Community grants were approved, totalling £2,915. Key themes for the June Parish Liaison meeting will be Planning (Development Management) and Housing Strategy.		

CDC Programme Measures - Thriving Communities & Wellbeing

Measure	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
CDC2.1.4 Enhanced Community Resilience	Cllr A McHugh	Kane, Graeme Webb, Richard	Quarterly review of the Emergency Planning and Business Continuity partnership with Oxfordshire County Council (OCC).	In June council officers will support a Reception Centre exercise in West Oxfordshire. Also, in June Oxfordshire County Council's Emergency Planning Team will be commencing monthly training sessions for Cherwell staff on aspects of our partnership emergency planning arrangements	★	Cherwell District Council has a partnership in place with Oxfordshire County Council through which the County Council's Emergency Planning team undertake work on our behalf. This includes- Supporting parish councils and community groups to develop community emergency plans which identify particular local risks (e.g. flooding) and document plans for responding if these risks arise. Supporting the response to any emergency incidents that arise. Developing joint plans for foreseeable emergency incidents. Training council managers and staff on the plans that are in place for emergency incidents across the area. The council maintains an emergency plan to support its response to emergency incidents and maintains a duty director rota to ensure that there is a director available to coordinate the response to any incident at any time.	★
CDC2.1.5 Homelessness Prevention	Cllr J Donaldson	Douglas, Gillian Kane, Graeme	Review of our temporary accommodation to identify voids.	Recruitment of a county-wide Homelessness co-ordinator and building Surveyor Apprentice.	★	A reduction in use of temporary accommodation has allowed us to reflect on using these units more flexibly to increase options for clients and to minimise temporary accommodation void charges. Work continues to deliver on the successful Rough Sleeper Initiative funding. The first 3 units have been identified for the Housing First project and the new Outreach Worker has been appointed to enhance services for those rough sleeping or at risk in our district.	★

CDC Programme Measures - Thriving Communities & Wellbeing

Measure	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
CDC2.1.6 Support and Safeguard Vulnerable People	Cllr A McHugh	Kane, Graeme Riley, Nicola	Consider additional Discretionary Housing Payment (DHP) fund to support those residents impacted by Universal Credit.	We will continue to monitor the awards and expenditure of DHP to ensure that the most vulnerable residents are protected.	★	All on target, Performance on Housing Benefit is carefully monitored, and the team continue to seek further service improvements. Elected members at CDC have recently agreed an additional £50k for the Discretionary Housing Payment fund to support those residents impacted by Universal Credit.	★
CDC2.1.7 Respond to the Welfare Reform Agenda	Cllr P Rawlinson Cllr T Ilott	Douglas, Gillian Green, Belinda Taylor, Adele	Members of Executive BPM received a report on the impact of Universal Credit on residents and the Councils.	Department Works Pensions (DWP) Universal Credit (UC) team will be offering a presentation to elected members in July 19. A meeting with local MPs is also planned to explain the impacts we are feeling from UC.	★	This remains on target and this will be ensured by the work of the Universal Credit project team for Cherwell and also by the pro-active work we will be undertaking with partners such as DWP Universal Credit team.	★
Page 42 CDC2.1.8 Promote Healthy Place Making	Cllr A McHugh	Kane, Graeme Rowe, Rosie	Advertise project officer posts to scale healthy place shaping. Bicester Big Lunch. Install digital signage on health routes in Bicester. Growth Board healthy place shaping workshop .	Agree with districts and Sport England plans for their investment in healthy place shaping across the county. Hold workshop with Bicester third sector to identify support available for under 5s and where there are still gaps. Agree with relevant stakeholders whether to progress development of a meeting centre for people with dementia in Bicester.	★	Project officer posts have been advertised to scale healthy place shaping. Bicester Big Lunch well attended with significant interest in the Healthy Bicester stand. Digital signage now installed on all health routes in Bicester and residents are being encouraged to sign up. Growth Board healthy place shaping workshop organised and attended by over 70 officers and councillors from across the districts.	★

CDC Programme Measures - District of Opportunity & Growth

	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
CDC3.1.1 Deliver Innovative and Effective Housing Schemes	Cllr J Donaldson	Douglas, Gillian Kane, Graeme	Contract due to start on site at Admiral Holland	Completion of the shared ownership three bedroom house at Cropredy on target for the 12th July with marketing commencing in June 2019.	★	Contractual start on site was achieved on the 28th May at Admiral Holland in Banbury to meet the Year One target for the Growth Deal. Creampot Crescent, Cropredy, our three bedroom house is also on target to complete in the middle of July.	★
CDC3.1.2 Promote the district as a tourist destination	Cllr L Pratt	Feehily, Paul Jolley, Robert	Banbury Dance event: July 2019. Businesses being engaged.	Banbury Dance event: to be promoted in June 2019. Developing the Visitor Economy: manage investment enquiries. Tourism economic impact: Commission report July 2019.	★	We continue with activities to increase the volume (nos of jobs and visitors) and value of the Visitor Economy through on-going contract management of the Banbury and Bicester Visitor Information Centres, engaging as members of and through regular liaison with Experience Oxfordshire to promote Cherwell as a visitor destination. We have been engaging businesses to support the OVO Cycle event through the District in June 2020 and are working to ensure Cherwell derives the fullest possible economic benefits from the event.	★
CDC3.1.3 Develop a Cherwell Industrial Strategy	Cllr C Clarke	Feehily, Paul Jolley, Robert	Workshop with Members: Planning and promotion for 11th June. Business workshops: confirmed dates, venues and key stakeholders	Workshop with Members to be held 11th June Plan and Promote Business Workshops to be held 19th June and 24th July	★	The Cherwell Industrial Strategy (CIS) is important as a process of meaningful engagement with a range of internal and external partners as well as for its end-product. We have held staff and member workshops and are now planning the next rounds of engagement with small and large businesses before widening further to include other stakeholders. The outputs from the workshops held to date are being analysed and have been supported by innovative and insightful external research. CIS links to the Local Industrial Strategy which is a key and underpinning component of the Oxfordshire Housing and Growth Deal. It will provide the local interpretation of the higher level document as well as demonstrate how Cherwell commits to the Productivity workstream within the Growth Deal.	★
CDC3.1.4 Promote Inward Investment and Business Growth	Cllr L Pratt	Feehily, Paul Jolley, Robert	12 detailed Business Enquiries from inward and indigenous investors: responded promptly to all. Cherwell Business Awards: Completion of 2019 round.	Develop a 'Welcome Pack' for new business investors. Planning applications: Respond to key employment-related proposals. Investment website: Create website to promote commercial investment and job creation.	★	We have met and provided practical advice and guidance at 6 meetings at business premises in order to help businesses in their strategic investment decisions that will be to the benefit of Cherwell residents. While we have around 97% superfast broadband coverage across the District (greater than 24mbps) we recognise that for 3% (mostly households and businesses in rural areas) access requires enhanced coverage. We are working with Broadband providers to deliver 100% coverage and are considering options to achieve that outcome".	★

CDC Programme Measures - District of Opportunity & Growth

	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
CDC3.1.5 Develop Our Town Centres and Increase Employment at Strategic Sites	Cllr C Clarke	Feehily, Paul Jolley, Robert	Bicester Town Centre workshop: 25th June - Planning of the event and finalising delegate list.	Future High Streets Fund: Funding decision expected Bicester Town Centre workshop: to be held on 25th June	★	Preparations are in their final stages for the important Bicester Town Centre workshop on 25 June at which Bill Grimsey is the confirmed keynote speaker. Actions and commitments from this event will be quickly assimilated and translated into a programme of work and activities that will build momentum and demonstrate a shift in approach to the town centre that moves us away from thinking purely in traditional retail based terms about Bicester's role and future contribution. Lessons from Bicester will be rolled out across our other urban centres. We continue to support Banbury BID (Business Improvement District) in the delivery of its year 2 business plan.	★
Page 44 CDC3.1.6 Deliver the Local Plan	Cllr C Clarke	Feehily, Paul Peckford, David	Partial Review of the Local Plan - the Inspector's advice has not yet been received following the public hearings in February and the informal consultation in April. Oxon Plan 2050 - work continues by the central Plan team with a view to producing an Options Paper later in the year. Local Plan Review - work programming and initial preparatory work has commenced.	Partial Review of the Local Plan - the Inspector's advice is still awaited following the public hearings in February and the informal consultation in April. There is no precise date for the receipt of this advice. Oxon Plan 2050 - each Council will need to consider the proposed Options Paper produced by the central Plan team when it is completed and before consultation commences. Local Plan Review - the next milestone will be the preparation of an Issues Paper for consideration by the Executive.	●	Partial Review of the Local Plan - at examination. Informal consultation on technical documents ended on 4 April. The Council responded to the comments made by 27 April as agreed with the Inspector. At the time of this update CDC still awaits the Inspectors report. Further information has been requested by the Inspector and provided within his time limits which have had the effect of extending the period he needs in order to write his report. Most recent questions have been forwarded to CDC are in relation to the City's local plan preparation which are being addressed, although these are detailed technical questions that will require examination at the pending hearings into the City's plan. All work required by CDC officers has therefore been completed but the risk to the measure 'Deliver the local plan' remains Amber due to factors outside CDC's control. Officers will continue to oversee and manage any further issues arising in relation to the Partial Review as they emerge in order to mitigate and reduce the risk of further delays and interventions. Oxon Plan 2050 - A 'call for location ideas' ended on 12 April. The central team are evidence gathering and working towards consultation on an Options Paper assisted by the individual district councils. Local Plan Review - programming work commenced in April in accordance with the Local Development Scheme. The timetable for the Local Plan Review is influenced by that for the Oxon Plan 2050.	●

CDC Programme Measures - District of Opportunity & Growth

	Portfolio Holder	Director/Lead Officer	Last Milestone	Next Milestone	Status	Commentary	YTD
CDC3.1.7 Deliver the Growth Deal	Cllr C Clarke	Feehily, Paul Jolley, Robert	Draft Year 2 Plan presented to Growth Deal Board.	Year 2 plan presented to CEDR (Chief Executive Direct Reports) for approval on the 10th June 2019.	★	We have now organised ourselves around the 4 work streams of the Oxfordshire Housing and Growth Deal and are better placed to ensure we deliver against CDC's commitments within the Growth Deal contract with Government. We have an agreed Year 2 Plan and have an organisational commitment to make available the resources identified to deliver the Year 2 Plan. We can now track progress against the Plan. We continue to engage at officer and Member levels with the various groups and meetings formed as part of the governance arrangements of the Oxfordshire Growth Deal assisted by our new internal organisational capability built around our Work Stream Leads and Programme Management Office support.	★

CDC KPIs - Clean, Green and Safe

Measure	Portfolio Holder	Director/Lead Officer	Result	Target	Status	Commentary	YTD Result	YTD Target	YTD
CDC1.2.01 % Waste Recycled & Composted	Cllr D Sames	Kane, Graeme Potter, Ed	61%	56%	★	Recycling is strong at this time of year owing to the popularity of the garden waste collection service.	59%	56%	★

CDC KPIs - Thriving Communities & Wellbeing

Measure	Portfolio Holder	Director/Lead Officer	Result	Target	Status	Commentary	YTD Result	YTD Target	YTD
CDC2.2.01 Number of Homeless Households living in Temporary Accommodation	Cllr J Donaldson	Douglas, Gillian Kane, Graeme	18.00	35.00	★	The number of households in temporary accommodation has reduced to 18, representing the focus of the Housing Options Team on working with clients to resolve their issues before the point of crisis. This reduction has allowed the team to consider more flexible use of the current temporary accommodation units to meet the needs of some clients who do not fall under the statutory duties and to be diverted for other projects such as the Housing First initiative. Eight units have been handed back to minimise void costs. These will be returned to the general social housing stock and let permanently via the Housing Register. The Housing Options Team continue to focus on preventing homelessness and this, along with the increased delivery of affordable accommodation has kept the demand for temporary accommodation to a minimum. Caseloads for officers, carrying out prevention work is rising and increasingly complex which is very challenging.	43.00	70.00	★
CDC2.2.02 Number of people helped to live independently through use of DFG & other grants/loans	Cllr J Donaldson	Douglas, Gillian Kane, Graeme	38.00	45.00	▲	Comprising: 17 disabled adaptations grants (Disabled Facilities Grants, Discretionary DFG & Extended Minor Works Grants), 7 Minor Works Grants, 14 Small Repairs and 0 Essential Repairs Grants. This composite measure includes a number of different grants which can vary in scale and duration. The number of completions in a particular month is therefore difficult to predict with accuracy and will fluctuate month on month.	85.00	90.00	●
CDC2.2.03 Homes improved through enforcement action	Cllr J Donaldson	Douglas, Gillian Kane, Graeme	4.00	9.00	▲	Enforcement action was completed at four homes during May. (With enforcement notices issued in relation to a further 6) Note however that this work is a mixture of reactive and proactive cases and that their complexity and duration can vary significantly. As a result, there will inevitably be variation in the number of cases concluded each month. Significant officer resource has been committed during May to two forthcoming appeals (in relation to cases involving a civil penalty and an improvement notice) and with a successful application and hearing for a Rent Repayment Order.	11.00	18.00	▲

CDC KPIs - Thriving Communities & Wellbeing

Measure	Portfolio Holder	Director/Lead Officer	Result	Target	Status	Commentary	YTD Result	YTD Target	YTD
CDC2.2.04 Delivery of affordable housing in line with CDC and Growth Deal targets	Cllr J Donaldson	Douglas, Gillian Kane, Graeme	21.00	20.00	★	21 completions, comprising 19 affordable rent and 2 shared ownership. 19 x affordable rent 4 x 1 bed flats 1 x 1 bed house 4 x 2 bed houses 5 x 3 bed houses 3 x 4 bed houses 1 x 2 bed bungalow 1 x 3 bed bungalow 2 x sharedownership 2 x 3 bed houses None of these units were delivered as part of the Oxfordshire Growth Deal; the Growth Deal units are scheduled for later in the year.	45.00	40.00	★
CDC2.2.05 Average time taken to process Housing Benefit New Claims	Cllr T Ilott	Green, Belinda Taylor, Claire	9.91	15.00	★	Following the usual busy periods following year end the team have worked hard to bring new claims back within target which we can build on to ensure more consistent performance delivery.	14.29	15.00	★
CDC2.2.06 Average time taken to process Housing Benefit change events	Cllr T Ilott	Green, Belinda Taylor, Claire	7.82	8.00	★	The team continue to effectively balance the demand of change events received directly from the Department of Work and Pensions, particularly from Universal Credit, with those coming from customers to provide a service within target.	6.59	8.00	★
CDC2.2.07 Number of visits/usages of District Leisure Centre	Cllr G Reynolds	Kane, Graeme Riley, Nicola	133,891	137,969	★	Throughputs for May 2019 compared to the same period last year have been significantly affected by the closure of the swimming pools and some ancillary facilities at Spiceball Leisure Centre. Fortunately, due to the increase of usage at some of the other Leisure Centres this has been partially mitigated. In May 2018 there were 138,646 visits compared to 133,891 in May 2019. As above the majority of this is attributable to the closure of the swimming pools resulting in a decrease of attendances from 49,114 to 23,732. Due to the transference of some of the swimming programme at Woodgreen this has been partially offset by an increase of 8,000 visits to the Centre compared to May 2018. Whitelands Sports Ground has also shown a significant increase in usage from circa 8,000 in 2018 to 18,000 in 2019. The Main Leisure Centres at Bicester and Kidlington were fairly consistent with their performance of last year. Usage will be under pressure to maintain its 2018 position over the next 3 months due to the closure of the swimming pools at Spiceball Leisure Centre, however this will be monitored, and reasons given for any underperformance.	276,589	275,714	★

CDC KPIs - Thriving Communities & Wellbeing

Measure	Portfolio Holder	Director/Lead Officer	Result	Target	Status	Commentary	YTD Result	YTD Target	YTD
CDC2.2.08 % of Council Tax collected, increase Council Tax Base	Cllr T Ilott	Green, Belinda Taylor, Claire	9%	10%	●	Following on from a recent recovery run work processing time has slightly dipped. We have a work plan in place to improve work processing times over the remainder of the month whilst still continuing to send recovery documents which in turn will improve collection.	20%	21%	●
CDC2.2.09 % of Business Rates collected, increasing NNDR Base	Cllr T Ilott	Green, Belinda Taylor, Claire	8.9%	9.5%	●	There is a payment for a large assessment that is overdue and is due in within the next few days, this payment will put us back ahead of target.	21.2%	21.3%	●

CDC KPIs - District of Opportunity & Growth

Measure	Portfolio Holder	Director/Lead Officer	Result	Target	Status	Commentary	YTD Result	YTD Target	YTD
⊕ CDC3.2.1 % Major Planning applications processed within 13 weeks	Cllr C Clarke	Feehily, Paul Seckington, Paul	100%	60%	★	1 Major Planning Application was determined during May 2019 and it was determined within its target period or agreed time-frame. Therefore 100% have been decided within the target time-frame.	100%	60%	★
⊕ CDC3.2.2 % Non-Major planning appeal decisions allowed	Cllr C Clarke	Feehily, Paul Jolley, Robert	2%	10%	★	2 Non-Major Planning Appeals were allowed by the Planning Inspectorate during May 2019 and 103 Non-Major Planning Applications were determined during that period. As such, 1.94% of Non-Major Planning Appeals were allowed against a target to achieve less than 10%	1%	10%	★
CDC3.2.3 % Planning enforcement appeal decisions allowed	Cllr C Clarke	Feehily, Paul Jolley, Robert	0%	10%	★	No Planning Enforcement Appeals were allowed by the Planning Inspectorate during May 2019	0%	10%	★
⊕ CDC3.2.4 % of Non-Major applications processed within 8 weeks	Cllr C Clarke	Feehily, Paul Jolley, Robert	88%	70%	★	88.35% of 103 Non-Major Planning Applications were determined within the target time-frame.	90%	70%	★
⊕ CDC3.2.6 Major planning appeal decisions allowed	Cllr C Clarke	Feehily, Paul Jolley, Robert	0%	10%	★	Zero Major Planning Appeal decisions were allowed during May 2019	0%	10%	★

Appendix 3 – Cherwell District Council – Latest Leadership Risk Register as at 12/06/2019

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

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

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
2019/20																	
L01 -	Financial resilience – Failure to react to external financial shocks, new policy and increased service demand. Poor investment and asset management decisions.	Reduced medium and long term financial viability Reduction in services to customers 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 Lack of financial awareness and understanding throughout the council	4	4	16	Medium Term Revenue Plan reported regularly to members. Balanced medium term and dynamic ability to prioritise resources 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 Oxfordshire Treasurers' Association's work streams Treasury management and capital strategies 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 Fully Partially Fully Fully Fully Fully Fully Fully Fully Fully Partially Partially Fully	Councillor Tony Illot	Adele Taylor	Adele Taylor	3	3	9	↔	Key staff recruited to and review of workload and capacity across the team. Additional resilience and resource for financial accounting and reporting engaged through external partners and agencies. Investment strategy approach agreed and operating and all potential investments now taken through the working groups prior to formal sign off. Robust review and challenge of our investment options to be regularly undertaken through our usual monitoring processes. Timeliness and quality of budget monitoring particularly property income and capital improving. Financial Systems replacement project underway. LEAN review of budget monitoring undertaken with significant engagement from within the wider business. Asset Management Strategy being reviewed and refreshed in the new year. Review of BUILD! to ensure procurement and capital monitoring arrangements are in place and development of forward programme - work still underway. Finance support and engagement with programme management processes continuing. Further integration and development of Performance, Finance and Risk reporting Regular involvement and engagement with senior management across County as well as involvement in Regional and National finance forums. Regular member meetings, training and support in place and regularly reviewed. Briefings provided on key topics to members with particular focus on key skills for specific committees such as audit committee. Regular utilisation of advisors as appropriate. Internal Audits being undertaken for core financial activity and capital as well as service activity	Maintaining focus in this area with ongoing review, staff and member training and awareness raising. Investment options considered as and when they arise Financial System Solution Project continuing to consider future finance system options ready for go-live 2020 Review underway Integrated reporting has been embedded Engagement with a number of national and regional networks to ensure we are as up-to-date as we can be in relation to potential funding changes from 2020/21 and impact on our MTFP Regular training will be undertaken Regular reporting of progress on internal audits considered by the committee	Risk reviewed - 10/06/19 - No changes
L02 -	Statutory functions – Failure to meet statutory obligations and policy and legislative changes are not anticipated or planned for.	Legal challenge Loss of opportunity to influence national policy / legislation Financial penalties Reduced service to customers	3	4	12	Embedded system of legislation and policy tracking in place, with clear accountabilities, reviewed regularly by Directors Clear accountability for responding to consultations with defined process to ensure Member engagement National guidance interpreting legislation available and used regularly Risks and issues associated with Statutory functions incorporated into Directorate Risk Registers and regularly reviewed Clear accountability for horizon scanning, risk identification / categorisation / escalation and policy interpretation in place Robust Committee forward plans to allow member oversight of policy issues and risk management, including Scrutiny and Audit Internal Audit Plan risk based to provide necessary assurances Strong networks established locally, regionally and nationally to ensure influence on policy issues Senior Members aware and briefed regularly in 1:1s by Directors	Partially Fully Fully Partially Partially Partially Fully Partially	Councillor Barry Wood	Yvonne Rees	Nick Graham	3	3	9	↔	Establish corporate repository and accountability for policy/legislative changes Review Directorate/Service risk registers Ensure Committee forward plans are reviewed regularly by senior officers Ensure Internal Audit plan focusses on key leadership risks Develop stakeholder map, with Director responsibility allocated for managing key relationships Standardise agendas for Director / PFH 1:1s New NPPF published 05/03/18 will guide revised approach to planning policy and development management. Allocate specific resource to support new projects/policies or statutory requirements e.g. GDPR	Service plans for 2019-20 received and currently being reviewed. Performance framework for 2019-20 to be agreed. Review of Leadership Risk Register and Risk Strategy for 2019-20 in progress.	Risk reviewed 13/06/19 - No changes
L03 -	Lack of Organisational Capacity - Ability to deliver Council priorities and services impacted by increased workload and reduced capacity/resilience following end of joint working arrangements with South Northamptonshire Council.	Financial impact due to use of agency staff, possible impact on customers and frontline service delivery if capacity risks are not managed. Inability to deliver council's plans Inability to realise commercial opportunities or efficiencies Reduced resilience and business continuity	4	4	16	Weekly HR Vacancy Control process in place to ensure appropriate resourcing decisions are made. Arrangements in place to source appropriate interim resource if needed Ongoing programme of internal communication Programme Boards in place to oversee key corporate projects and ensure resources are allocated as required.	Partially Fully Fully Fully	Councillor Barry Wood	Yvonne Rees	Claire Taylor	4	3	12	↔	Monthly CEDR and ELT meetings with clear escalation pathways for issues to be resolved. Learning and development opportunities identified and promoted by the Chief Executive. Regular communications from Chief Executive. Quarterly staff briefings from Assistant Directors. External support secured for key corporate projects including CDC/OCC joint working, Growth Deal and IT Transformation Programme.	Separation programme to date delivered without reducing capacity at CDC, however resilience is an issue as teams are no longer shared with SNC. Separation Project Board meeting fortnightly with Joint CEDR meetings monthly to oversee Opportunities for joint working with OCC being explored for Legal, Finance and Strategic Capability (corporate services).	Risk reviewed 10/6/19 - No changes.

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
2019/20																	
L04 -	CDC Local Plan - Failure to ensure sound, up to date local plan remains in place for Cherwell resulting in poor planning decisions such as development in inappropriate locations, inability to demonstrate an adequate supply of land for housing and planning by appeal	Poor planning decisions leading to inappropriate growth in inappropriate place. Negative (or failure to optimise) economic, social, community and environmental gain Negative impact on the council's ability to deliver its strategic objectives, including its commitments within the Oxfordshire Housing & Growth Increased costs in planning appeals Possible financial penalties through not delivering forecasted New Homes Bonus (NHB) Reputational damage with investor community of Cherwell as a good place to do business created by uncertainty/ lack of policy clarity	3	5	15	Local Development Scheme (LDS) is actively managed and reviewed, built into Service Plan, and integral to staff appraisals of all those significantly involved in Plan preparation and review Team capacity and capability kept under continual review with gaps and pressures identified and managed at the earliest opportunity. Arrangements in place to source appropriate additional, time-bound resource if needed Delegations to Chief Exec agreed to ensure timely decisions Ongoing programme of internal communication, including Members updates and training programme On-going review of planning appeal decisions to assess robustness and relevance of Local Plan policies Updates on annual NHB payments	Partially Partially Partially Fully Fully Not	Councillor Colin Clarke	Paul Feehily	David Peckford	3	3	9	↑	Regular review meetings on progress and critical path review Regular Portfolio briefings and political review LDS updated as required with programme management approach adopted to ensure progress against plan LDS timeline built into Directorate level objectives (e.g. via Service Plans) and incorporated into SMART targets within staff appraisals Additional evidence commissioned as required. Need to keep under review staff and financial resources to ensure delivery to timetable (LDS) for Local Plan Review. Authority Monitoring Reports continue to be prepared on a regular annual basis Hearings into CDC partial review took place in February 2019.	The latest Local Development Scheme is that approved by the Executive in December 2018. It includes the programmes for the Partial Review of the Local Plan, the Oxfordshire Plan 2050, a Local Plan Review, the Banbury Canalside Supplementary Planning Document and work on a Community Infrastructure Level (CIL). Score has increased from 8 to 9, increase due to the delay with JSSP & Local Plan.	Risk reviewed 06/06/19. Comments updated, additional information on tab 3.
L05 -	Business Continuity - Failure to ensure that critical services can be maintained in the event of a short or long term incident affecting the Councils' operations	Inability to deliver critical services to customers/residents Financial loss Loss of important data Inability to recover sufficiently to restore non-critical services before they become critical Loss of reputation	4	4	16	Business continuity strategy in place Services prioritised and recovery plans reflect the requirements of critical services ICT disaster recovery arrangements in place Incident management team identified in Business Continuity Strategy All services undertake annual business impact assessments and update plans Business Continuity Plans tested	Fully Fully Fully Partially Fully Partially	Councillor Andrew McHugh	Graeme Kane	Richard Webb	3	3	9	↔	Business Continuity Statement of Intent and Framework agreed by CEDR BC Improvement Plan agreed with CEDR ICT transition to data centre and cloud services have reduced likelihood of ICT loss and data loss Corporate ownership and governance sits at senior officer level BC Impact assessments and BCPs in place for all teams and peer reviewed by OCC's Emergency Planning team Progress report was provided to CEDR in March	OCC's Emergency Planning team have provided drop-in sessions to review these BCPs and provide support the BC authors. An internal audit was undertaken in December and January to quality assure our plans and the final report was taken to CEDR in March along with an improvement plan. An officer Steering Group is in place to provide professional advice on critical aspects of the plans and is meeting in June to take forward the post-audit improvement plan. The BC statement of intent and framework have been approved.	Risk Reviewed and Comments updated 7/6/19

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
2019/20																	
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	Inability of council to respond effectively to an emergency Unnecessary hardship to residents and/or communities Risk to human welfare and the environment Legal challenge Potential financial loss through compensation claims Ineffective Cat 1 partnership relationships	4	4	16	Key contact lists updated monthly. Emergency Planning Lead Officer defined with responsibility to review, test and exercise plan and to establish, monitor and ensure all elements are covered Added resilience from cover between shared Environmental Health and Community Safety Teams as officers with appropriate skill Senior management attend Civil Emergency training Multi agency emergency exercises conducted to ensure readiness On-call rota established for Duty Emergency Response Co- ordinators Active participation in Local Resilience Forum (LRF) activities	Fully Partially Fully Fully Fully Fully	Councillor Andrew McHugh	Graeme Kane	Richard Webb	3	4	12	↔	Emergency plan contacts list being updated monthly and reissued to all duty managers. OCC Emergency Planning providing expert advice and support under a partnership arrangement. Chief Operating Officer meets with ACO Oxfordshire Fire and Rescue quarterly to oversee shared EP arrangements. Supporting officers for incident response identified in the emergency plan and wallet guide Drop in training session now taking place monthly (from June) covering a range of topics. Senior managers have attended multi-agency exercises and duty manager training with OCC senior managers. On-call rota being maintained Authority represented at the Local Resilience Forum	Active plans are in place to ensure the authority is prepared for a variety of emergencies. Continual improvements are being made as a result of a review of these plans and in partnership with the Local Resilience Forum. Two separate Duty Manager 'on-call' systems were implemented for SNC and CDC in January 2019. Separate Emergency Plans are being created. OCC now providing expert advice and support. Emergency Planning update provided to Overview and Scrutiny March 19. Active involvement in the LRF Brexit planning arrangements is on-going but currently suspended given the delay to Brexit.	Risk Reviewed and Comments updated 7/6/19
L08 -	Health and safety - Failure to comply with health and safety legislation, corporate H&S policies and corporate H&S landlord responsibilities	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	New Health & Safety Corporate H&S arrangements & guidance in place as part of the newly adopted HSG65 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 formalise the H&S Management System & provide competent H&S advice & assistance to managers & employees. Proactive monitoring of Health & Safety performance management internally Proactive monitoring of Health & Safety performance management externally Effective induction and 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 Partially Partially Partially Fully Partially Partially Fully Partially	Councillor Lynn Pratt	Adele Taylor	Ceri Harris	4	3	12	↔	A new Corporate Health, Safety and Wellbeing Policy has been drafted and will be going to CEDR on 10th June. Following this it will be going to the BPN meeting on 17th June for ratification. The Corporate arrangements are in the process of being updated. These will be finalised by end of June 2019. Following the ratification of the new Corporate Health, Safety and Wellbeing Policy in June new AD checklists will be issued. The H&S team also conduct audits internally across all services and teams, the current program will require review to ensure it reflects CDC and takes into account available resources. scope will be expanded from topic-based themes to cover all elements of our overall H&S management system to ensure compliance with our standards. Management of H&S training will now be included within the new eLearning programme which is in the process of being procured. Risk Assessment Workshop training is being developed. Robust training already in place in Environmental Services. Corporate Arrangements are being updated. These will be completed by June 2019. 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.	Senior Officer Meeting receives regular updates from Corporate H&S Manager. Relevant updates taken to appropriate committee. Joint Council and Employee Engagement Committee (JCEEC) to be formed by HR in Oct/Nov time. To be in place to ensure robust communication methods are in place for consultation between HR/H&S and TU. HR AD in the process of co-ordinating JCEEC meetings. First JCEEC meeting took place 11/06/2019. The Internal Audit programme has undergone a review due to reduction in the resources available to carry out the existing 3 year program. A new 2 year schedule has been developed to replace the existing schedule. Role out of the new audit schedule commenced in May 2019. Still awaiting final sign off from the HR/Training Manager for training procurement and implementation. Final tweaks being made prior to launch of eLearning package A review has been undertaken of all CDC owned properties to ensure that fire risk assessments, water hygiene surveys and asbestos surveys have been completed where required	Risk reviewed 03/06/19 - Mitigating actions and comments updated.

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
2019/20						Fully effective Partially effective Not effective											
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.	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	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	Fully Fully Fully Partially Fully Fully Fully Fully Partially Fully	Councillor Ian Corkin	Claire Taylor	David Spilsbury	3	5	15	↔	The cyber-essentials plus certification has now been passed. Cyber-security was reviewed by Internal Audit in May 2017 and a review meeting was held on 30th August 2018. The output has been received and signed off with good progress summary noted. The Regional Police Cyber Security Advisor gave the IT management team two training sessions (full cyber awareness Oct18 and table top DR exercise Nov18) followed by a series of all-Council staff awareness sessions in January 2019. Mop-up on e-learning options now being explored by IT and HR. To complete the implementation of the intrusion prevention and detection system. Agreed Terms of Reference and re-implementation of the security forum as the Information Governance Group, with meetings to be held on a minimum quarterly basis chaired by the Information Governance Manager. Develop a comprehensive information security training programme with annual mandated completion which is assessed by June 2019. Cyber Security highlighted during the recent all staff briefing in relation to cyber essentials plus External Health Check undertaken April 2019, executive summary gives us a high security posture and no critical security issues.	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.	Risk Reviewed 03/06/19 - Mitigating actions updated.
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	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	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 Mandatory training and awareness raising sessions are now in place for all staff. 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 Data sharing agreement with other partners Attendance at Children and Young People Partnership Board (CYPPB) Annual Section 11 return compiled and submitted as required by legislation. 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	Fully Fully Fully Fully Partially Fully Fully Fully Fully	Councillor Barry Wood	Graeme Kane	Nicola Riley	2	4	8	↔	Ongoing internal awareness campaigns Ongoing external awareness campaigns Annual refresher and new training programmes including training for new members Training monitoring to be developed through new HR/Payroll system Continue to attend groups focused on tackling child exploitation	Continued focus in this area with ongoing programme of training and awareness raising. The annual Section 11 submission has been made; it reflects the strong arrangements that in place at CDC. Recruitment for a new post holder post separation will begin in June.	Risk Reviewed 11/06/19 - Comments updated.
L11 -	Sustainability of Council owned companies and delivery of planned financial and other objectives - failure of council owned companies to achieve their intended outcomes of fail to meet financial objectives	Unclear governance leading to lack of clarity and oversight in terms of financial and business outcomes Non achievement of business and finance outcomes directly or indirectly impacting on other council services Lack of understanding at officer and member level about the different roles of responsibilities required when managing council owned companies	3	4	12	Annual business planning in place for all companies to include understanding of the link between our objectives being delivered and financial impact for the council Financial planning for the companies undertaken that will then be included within our own Medium term financial plan Ensure strong corporate governance mechanisms are in place Sound monitoring in place of both business and financial aspects of the companies and the impact on overall council performance Training in place for those undertaking roles relating to the companies	Partially Partially Partially Partially Partially	Councillor Tony Illot	Adele Taylor	Adele Taylor	3	4	12	↔	Changes in the shareholder support side line management been put in place. Additional oversight and capacity from senior managers including performance dashboards at CEDR Resilience and support being developed across business to support and enhance knowledge around council companies Skills and experience being enhanced to deliver and support development, challenge and oversight.	Knowledge and experience building take place with training and support as required. Further oversight processes for CEDR currently being developed including a dashboard of key information for each company. This will be ready for use for 19/20.	Risk reviewed - 10/06/19 - No changes

Ref	Name and Description of risk	Potential impact	Inherent (gross) risk level (no Controls)			Controls	Control assessment	Lead Member	Risk owner	Risk manager	Residual risk level (after existing controls)			Direct'n of travel	Mitigating actions (to address control issues)	Comments	Last updated
			Probability	Impact	Rating						Probability	Impact	Rating				
2019/20																	
L12 -	Financial sustainability of third party suppliers including contractors and other partners - the failure of a key partner or supplier impacting on the business of the council	The financial failure of a third party supplier or partner results in the inability or reduced ability to deliver a service to customers. Failure to ensure the necessary governance of third party relationships (council businesses, partners, suppliers) are in place to have sufficient oversight of our suppliers	3	4	12	Ensure contract management in place review and anticipate problems within key service suppliers and partners Business continuity planning arrangements in place Ensuring that proactive review and monitoring is in place for key suppliers to ensure we are able to anticipate any potential service failures	Partially Partially Partially	Councillor Tony Illot	Adele Taylor	Adele Taylor	2	4	8	↔	Meetings take place when required with suppliers to review higher risk areas. Some review of appropriate information in regards to key supplier performance through trade press, information from networks in place.	Risk previously escalated due to suppliers financial difficulties which could result in loss of service. The Council continues to monitor suppliers financial stability and meets with suppliers when required. Financial company insight being gained through use of monitoring tools and financial advice. This needs to be extended to other partners.	Risk reviewed - 10/06/19 - No changes
L13 -	Separation and Joint Working - Separation of joint services with SNC and development of joint working partnership with OCC impacts on the provision of services to residents and communities.	Inability to deliver Council priorities and plans, impacting on quality of services delivered to residents and communities. Reduced resilience and business continuity Reduced staff morale, increased workload and uncertainty may lead to loss of good people Opportunities for joint working with OCC take longer to develop than planned delaying potential service improvements for residents and communities. Northamptonshire re-organisation impacts on services being delivered to SNC from CDC, impacting on the quality of services delivered to residents and communities.	5	4	20	Agreed programme of separation in place between CDC and SNC Programme Board and Project Team established to deliver separation. S113 agreement in place with Oxfordshire County Council Partnership Working Group established with OCC to oversee the development of joint working proposals. On-going service delivery arrangements to SNC set out clearly and underpinned by the Collaboration Agreement with protocols in place for dealing with any emerging issues. Regular review and sharing of partnership activity / engagement at senior officer meetings	Fully Fully Fully Fully Partially Partially	Councillor Barry Wood	Yvonne Rees	Claire Taylor	5	3	15	↔	Standing item at senior officer meetings - regular review of risk and control measures. Legal advice sought with regards to the employment implications of re-organisation and separation proposals. Separation tracker and risk register to be circulated at all senior management meetings. Collaboration Agreement to underpin joint working with SNC following the end of the s113 to be agreed. Changing Times staff magazine issued on monthly basis. Regular communications plan with cascade briefings from Assistant Directors planned quarterly.	Programme of separation on track. Decisions regarding the separation of all front-line services expected to be made by April 2019. Final decision on HR separation expected in July. Service delivery models in place for some services e.g. Payroll where separation is not possible within current timetable. Task and Finish groups set up with OCC to progress the Strategic Capability (corporate services) joint working project.	Risk reviewed 10/06/19 - commentary updated.
L14 -	Corporate Governance - Failure of corporate governance leads to negative impact on service delivery or the implementation of major projects providing value to customers.	Threat to service delivery and performance if good management practices and controls are not adhered to. Risk of ultra vires activity or lack of legal compliance Risk of fraud or corruption Risk to financial sustainability if lack of governance results in poor investment decisions or budgetary control. Failure of corporate governance in terms of major projects, budgets or council owned companies impacts upon financial sustainability of the councils.	4	4	16	Clear and robust control framework including: constitution, scheme of delegation, ethical walls policy etc. Clear accountability and resource for corporate governance (including the shareholder role). Integrated budget, performance and risk reporting framework. Corporate programme office and project management framework. Includes project and programme governance. Internal audit programme aligned to leadership risk register. Training and development resource targeted to address priority issues; examples include GDPR, safeguarding etc. HR policy framework. Annual governance statements	Partially Partially Partially Partially Partially Partially Partially	Councillor Barry Wood	Yvonne Rees	Nick Graham	3	3	9	↔	Standing item at senior officer meetings – regular review of risk and control measures Review of constitution to take place 2018/19 Implementation of corporate programme office – May 2018 Full review of HR policy to be undertaken during 2018/19 Monitoring Officer to attend management team meetings	S113 Agreement terminates on 16 January 2019. Collaboration Agreement being developed. Executive and Cabinet will consider its adoption on 7 and 14 January 2019 respectively. Service schedules are being developed for all services that require ongoing joint working - and these are programmed to be in place by 16 January 2019.	Risk reviewed 13/06 - No changes.
L15 -	Oxfordshire Growth Deal (contract with HMG) As a result of a lack of experience of this scale and nature of partnership delivery there is a risk that inadequate levels of control will be applied by the Partnership to Oxfordshire Housing and Growth Deal governance, resourcing and delivery and that CDC (and its partners) will fail to meet its publicly stated Contractual commitments to its Partners and Government over the 5-year term.	Failure to meet its obligations as a partner within the Growth Deal could see Cherwell as a factor in Government holding back some or all of its funding and/or cease to extend the arrangement beyond 2023. Infrastructure milestone delivery late (for infrastructure linked to accelerated housing) Accelerated housing numbers delivered to plan late Cost of infrastructure to accelerate circa 6500 homes within 5-year term significantly beyond 2018 budget cost estimate DC GVA: no defined metrics in HGDDP but linked to homes accelerated/infrastructure/affordable homes delivered/JSSP progress and delivery JSSP Affordable Houses Productivity	5	5	25	Appointment of an interim advisor to guide and support delivery of the GD programme and risk management controls Recognition of issues in CDC GD arrangements and delivery of a 6-week review to identify and propose an action plan to manage and bring the issues within control (see 6-week plan) Establish CDC organisational fit of GDC GD as a programme capability reporting to CEDR through the Place Board Secured approval for CDC GD next stage plan at CEDR 17/12/18 which targets setting up CDC GD programme board, work stream capability and leadership supported by CDC Transformation PMO by end March 19 (see Board paper and Next stage Plan Proccall) Built on CDC PMO RAID principles and developed initial RAID logs for each work stream (capture risks, issues, dependencies and assumptions) to help define "gives and gets" as a basis for holding all to account for defined and transparent baseline delivery	Fully Partially Fully Fully	Councillor Barry Wood	Paul Feehily	Jonathan MacWilliam	4	3	12	↔	A CDC GD programme and programme board capability Work stream plans of work (work stream brief, schedule, RAID log) Appropriate engagement with members in support of their advisory/scrutiny at GD Board level Governance and performance management Improved collaboration working with partners to hold them to account for their part of delivery Securing approval of a resourced GD Y2 plan to be delivered in a collaborative partnership environment Extending support from interim advisor to end March 19	CEDR have approved the Year 2 Plan for Growth Deal delivery. Included in the decision was the agreement in principal to deliver the resources required by the Plan. Having the resourced plan in place will enable the residual risk to be managed downwards. However until the resources are available we consider it appropriate that the risk remains unchanged in this period.	Risk reviewed 12/06 - Comments updated.

L04 - Local Plan Risk

The latest Local Development Scheme is that approved by the Executive in December 2018. It includes the programmes for the Partial Review of the Local Plan, the Oxfordshire Plan 2050, a Local Plan Review, the Banbury Canalside Supplementary Planning Document and work on a Community Infrastructure Level (CIL).

Partial Review

A Partial Review of the Local Plan, to assist Oxford with its unmet housing need, was submitted to Government for Examination on 5 March 2018. A preliminary public hearing was held on 28 September 2018. On 29 October, the Inspector advised that the Council could proceed to main hearings. Main hearings were held during the weeks commencing 4 and 11 February 2019. An informal post-hearing consultation on technical documents took place in March/April. The Council responded to the comments made on 27 April. A response from the

Oxfordshire Plan 2050

A Growth Deal commitment. The Plan is being prepared by a central Plan team appointed through the Oxfordshire Growth Board. It must be submitted to Government for Examination by March 2020. The Council contributes to the plan-making process as a partner with a view to it being adopted as part of the Development Public consultation on an Issues Paper ended on 25 March 2019. A public 'call for location ideas' ended on 12 April. The central Plan team is evidence gathering and an Options Paper is presently expected to be ready for consultation in November 2019 (subject to the approval of each Council). The overall programme is very tight and may be affected by a future Government announcement on a proposed route for the Oxford-Cambridge

Local Plan Review

Work programming and initial preparatory work is underway to inform Director / Assistant Director discussion. There is a statutory requirement to review Local Plans within five years from adoption (the adopted Local Plan having been adopted in July 2015). The Plan will need to take account of the Oxfordshire Plan 2050 and consequently there are dependencies between the two work programmes.

Banbury Canalside SPD

Work has been stalled due to the need to review the work undertaken to date, particularly in the context of wider business plan objectives, and due to capacity issues within the Planning Policy team. A scope of work is

Community Infrastructure Levy

Not a Local Development Document but a potential means of securing funding for infrastructure to assist overall delivery (should the Council decide to implement CIL). Work on a potential charging levy was paused due to a Government review of how CIL operates but could be recommenced subject to resourcing.

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Cherwell District Council

Accounts, Audit & Risk Committee

31 July 2019

2018/19 Treasury Management Annual Report

Report of the Executive Director: Finance (Interim)

This report is public

Purpose of report

This report presents information on treasury management performance and compliance with treasury management policy during 2018/19 as required by the Treasury Management Code of Practice.

1.0 Recommendations

The meeting is recommended:

- 1.1 To note the contents of this report in line with the Treasury Management Strategy.

2.0 Introduction

- 2.1 In 2012 the Council adopted the Chartered Institute of Public Finance and Accountancy's *Treasury Management in the Public Services: Code of Practice* (the CIPFA Code) which requires the Council to approve treasury management semi-annual and annual reports.
- 2.2 The Council's treasury management strategy for 2018/19 was approved by full Council 26 February 2018. The Council has borrowed and invested substantial sums of money and is therefore exposed to financial risks including the loss of invested funds and the revenue effect of changing interest rates. The successful identification, monitoring and control of risk remains central to the Council's treasury management strategy.
- 2.3 Treasury risk management at the Council is conducted within the framework of the Chartered Institute of Public Finance and Accountancy's *Treasury Management in the Public Services: Code of Practice 2017 Edition* (the CIPFA Code) which requires the Council to approve a treasury management strategy before the start of each financial year and, as a minimum, a semi-annual and annual treasury outturn report. This report fulfils the Council's legal obligation under the Local Government Act 2003 to have regard to the CIPFA Code.
- 2.4 The 2017 Prudential Code includes a requirement for local authorities to provide a Capital Strategy, a summary document approved by full Council covering capital expenditure and financing, treasury management and non-treasury investments.

The Council's Capital Strategy, complying with CIPFA's requirement, was approved by full Council on 25 February 2019.

3.0 External Context – see Appendix 1

3.1 A detailed economic commentary provided by our Treasury advisers, Arlingclose, as at 31 March 2019 can be found at Appendix 1.

4.0 Local Context

4.1 On 31 March 2019, the Council had net borrowing of £95.7m (2018 £92.4m) arising from its revenue and capital income and expenditure. The underlying need to borrow for capital purposes is measured by the Capital Financing Requirement (CFR), while usable reserves and working capital are the underlying resources available for investment. These factors are summarised in Table 1 below:

Table 1: Balance Sheet Summary

	31.3.19 Actual £m
General Fund CFR / Borrowing CFR	146.2
Less: Usable reserves	(21.4)
Less: Working capital	(28.7)
Net borrowing / (investments)	95.7

4.2 The Council's strategy was to maintain borrowing and investments below their underlying levels, sometimes known as internal borrowing, in order to reduce risk and keep interest costs low.

4.3 The treasury management position as at 31 March 2019 and the year-on-year change is shown in table 2 below.

Table 2: Treasury Management Summary

	31.3.18 Balance £m	2018/19 Movement £m	31.3.19 Balance £m	2018/19 Rate %
Long-term borrowing	-21.0	-47.0	-68.0	2.02
Short-term borrowing	-90.5	47.5	-43.0	0.85
Total borrowing	-111.5	0.5	-111.0	1.39
Long-term investments	0	0	0	-
Short-term investments	7.0	-1.0	6.0	0.45
Cash and cash equivalents	12.1	-2.8	9.3	0.61
Total investments	19.1	-3.8	15.3	0.50
Net (borrowing) / investments	-92.4	-3.3	-95.7	

Note: the figures in the table are principle amounts and do not include accrued interest, therefore differ from those shown in the statement of accounts.

5.0 Borrowing Activity

- 5.1 At 31 March 2019, the Council held £111m of loans as part of its strategy for funding previous and current years' capital programmes. The year-end borrowing position and the year-on-year change is shown in table 3 below.

Table 3: Borrowing Position

	31.3.18 Balance £m	2018/19 Movement £m	31.3.19 Balance £m	31.3.19 Rate %	31.3.19 WAM* years
Public Works Loan Board	21.0	20.0	41.0	2.21	15.5
Local authorities (long-term)	0	27.0	27.0	1.28	2.0
Local authorities (short-term)	90.5	-47.5	43.0	1.11	0.8
Total borrowing	111.5	-0.5	111.0	1.54	5.1

*Weighted average maturity

- 5.2 The Council's chief objective when borrowing has been to strike an appropriately low risk balance between securing low interest costs and achieving cost certainty over the period for which funds are required, with flexibility to renegotiate loans should the Council's long-term plans change being a secondary objective.
- 5.3 In keeping with these objectives, new borrowing was kept to a minimum in 2018/19. This strategy enabled the Council to reduce net borrowing costs (despite foregone investment income) and reduce overall treasury risk.
- 5.4 The Council has an increasing CFR due to the capital programme and an estimated borrowing requirement which also takes into account usable reserves and working capital. Having considered the appropriate duration and structure of the Council's borrowing need based on realistic projections, it was decided to take a higher proportion of medium/longer-term fixed rate loans, to provide some certainty and stability to the debt portfolio.

6.0 Treasury Investment Activity

- 6.1 The Council holds invested funds, representing income received in advance of expenditure plus balances and reserves held. During 2018/19, the Council's investment balance ranged between £7.3m and £39.5 million due to timing differences between income and expenditure. The year-end investment position and the year-on-year change is shown in table 4 below.

Table 4: Investment Position (Treasury Investments)

	31.3.18 Balance £m	2018/19 Movement £m	31.3.19 Balance £m	31.3.19 Rate %
Banks & building societies	2.6	0.9	3.5	0.98
UK Government	7.0	-4.0	3.0	0.50
Money Market Funds	9.5	-0.7	8.8	0.75
Total investments	19.1	-3.8	15.3	0.74

- 6.2 Both the CIPFA Code and government guidance require the Council to invest its funds prudently, and to have regard to the security and liquidity of its investments before seeking the highest rate of return, or yield. The Council's objective when investing money is to strike an appropriate balance between risk and return, minimising the risk of incurring losses from defaults and the risk of receiving unsuitably low investment income.
- 6.3 As only a relatively low level of investment balances is held, and invested for shorter durations, the interest rates achieved are lower than could otherwise be expected. The type of investments during the year is constantly monitored and adjusted to reflect market conditions and cashflow requirements.

7.0 Financial Implications

- 7.1 The outturn for debt interest paid in 2018/19 was £1.325m on an average debt portfolio of £95.3m at an average interest rate of 1.39%, against a budgeted £2.074m debt interest payable.
- 7.2 The outturn for treasury investment income received in 2018/19 was £90.9k on an average credit portfolio of £18.2m at an average interest rate of 0.50%, against a budgeted £42k investment income receivable.

8.0 Non-Treasury Investments

- 8.1 The definition of investments in CIPFA's revised Treasury Management Code now covers all the financial assets of the Council as well as other non-financial assets which the Council holds primarily for financial return. This is replicated in MHCLG's Investment Guidance, in which the definition of investments is further broadened to also include all such assets held partially for financial return.
- 8.2 These non-treasury investments are not financially motivated, and contribute to the Council's service delivery and regeneration objectives.
- 8.3 However, they do generate additional investment income for the Council, at a higher rate of return of than earned on treasury investments, reflecting the longer term nature and/or additional risks to the Council of holding such investments.
- 8.4 As at 31 March 2019 the Council held the following non-treasury investments:
- Graven Hill equity £21.7m
 - Graven Hill loans £38.8m
 - Crown House equity £1.1m
 - Crown House loans £8.0m
 - Silverstone Heritage loan £1.0m
 - Other external loans (total) £0.3m
- 8.5 The total interest earned on the above loans in 2018/19 was £3.3m.

9.0 Performance Report

9.1 The Council measures the financial performance of its treasury management activities in terms of its impact on the revenue budget, as shown in table 5 below.

Table 5: Performance

	Actual £k	Budget £k	Over/ Under	Actual %	Budget %	Over/under %
Total debt interest payable	(2,074)	(1,325)	749	1.39	1.66	0.27
Total investment interest receivable	42	90	48	0.50	0.35	0.15
GRAND TOTAL	(2,032)	(1,235)	797	n/a	n/a	n/a

10.0 Compliance Report

10.1 The Executive Director of Finance (Interim) is pleased to report that all treasury management activities undertaken during 2018/19 complied fully with the CIPFA Code of Practice and the Council's approved Treasury Management Strategy.

10.2 Compliance with the authorised limit and operational boundary for external debt is demonstrated in table 6 below.

Table 6: Debt Limits

	2018/19 Maximum £m	31.3.19 Actual £m	2018/19 Operational Boundary £m	2018/19 Authorised Limit £m	Complied
Borrowing / Total debt	116.5	111.0	205	225	✓

10.3 Since the operational boundary is a management tool for in-year monitoring it is not significant if the operational boundary is breached on occasions due to variations in cash flow, and this is not counted as a compliance failure. Total debt did not exceed the operational boundary during 2018/19.

Table 7: Investment Limits

	2018/19 Maximum £m	31.3.19 Actual £m	2018/19 Limit £m	Complied
Any single organisation, except the UK Central Government	6.6	4.7	10	✓
Any group of organisations under the same ownership	6.6	4.7	10	✓
Any group of pooled funds under the same management	6.6	4.7	10	✓
Negotiable instruments held in a broker's nominee account	0	0	10	✓
Foreign countries	0	0	10	✓

Registered Providers	0	0	10	✓
Unsecured investments with Building Societies	0	0	10	✓
Loans to unrated corporates	0	0	10	✓
Money Market Funds (total)	11.6	8.8	15	✓

11.0 Treasury Management Indicators

11.1 The Council measures and manages its exposures to treasury management risks using the following indicators.

11.2 **Interest Rate Exposures:** This indicator is set to control the Council's exposure to interest rate risk. The upper limits on fixed and variable rate interest rate exposures, expressed as the proportion of principal borrowed was:

	31.3.19 Actual	2018/19 Limit	Complied
Upper limit on fixed interest rate exposure	66%	100%	✓
Upper limit on variable interest rate exposure	34%	100%	✓

11.3 Fixed rate investments are those where the rate of interest is fixed for at least 12 months, measured from the start of the financial year or the transaction date if later. All other instruments are classed as variable rate.

11.4 **Maturity Structure of Borrowing:** This indicator is set to control the Council's exposure to refinancing risk. The upper and lower limits on the maturity structure of fixed rate borrowing were:

	31.3.19 Actual	Upper Limit	Lower Limit	Complied
Under 12 months	39%	100%	0%	✓
12 months and within 24 months	24%	100%	0%	✓
24 months and within 5 years	-	100%	0%	✓
5 years and within 10 years	28%	100%	0%	✓
10 years and above	9%	100%	0%	✓

11.5 Time periods start on the first day of each financial year. The maturity date of borrowing is the earliest date on which the lender can demand repayment.

11.6 **Principal Sums Invested for Periods Longer than 364 days:** The purpose of this indicator is to control the Council's exposure to the risk of incurring losses by seeking early repayment of its investments. The limits on the long-term principal sum invested to final maturities beyond the period end were:

	2018/19 £m	2019/20 £m	2020/21 £m
Actual principal invested beyond year end	0	0	0
Limit on principal invested beyond year end	5	5	5
Complied	✓	✓	✓

12.0 Conclusion and Reasons for Recommendations

12.1 The annual treasury report is a requirement of the Council's reporting procedures. It covers the treasury activity during 2018/19, including performance against budget and compliance with Indicators.

13.0 Alternative Options and Reasons for Rejection

13.1 This report illustrates the Council's Treasury performance for 2018/19 against budget and includes the Annual Treasury Report for 2018/19.

The following options have been identified. The approach in the recommendations is believed to be the best way forward:

Option One To review current performance levels, and consider any actions arising.

Option Two To approve or reject the recommendations above or request that Officers provide additional information.

14.0 Implications

Financial and Resource Implications

14.1 There are no specific financial effects arising directly from this report.

Comments checked by:

Dominic Oakeshott, Assistant Director - Finance (Interim)

Dominic.oakeshott@cherwell-dc.gov.uk 01295 227943

Legal Implications

14.2 There are no legal implications arising directly from any outcome of this report.

Comments checked by:

Richard Hawtin, Team Leader – Non-contentious Business

richard.hawtin@cherwell-dc.gov.uk, 01295 221695

Risk management

14.3 There are no risk implications arising directly from any outcome of this report. All projects maintain their own risk registers and these are monitored corporately.

Comments checked by:
Louise Tustian, Team Leader – Strategic Intelligence & Insight
louise.tustian@cherwellandsouthnorthants.gov.uk 01295 221786

15.0 Decision Information

Wards Affected

All

Links to Corporate Plan and Policy Framework

All

Lead Councillor

Councillor Tony Ilott – Lead Member for Financial Management and Governance

Document Information

Appendix No	Title
Appendix 1	Arlingclose economic background report
Background Papers	
None	
Report Author	Ian Robinson – Finance Business Partner
Contact Information	Direct Dial: 01295 221762 ian.robinson@cherwell-dc.gov.uk

Appendix 1

External Context (provided by Arlingclose – April 2019)

Economic background: After spiking at over \$85/barrel in October 2018, oil prices fell back sharply by the end of the year, declining to just over \$50 in late December before steadily climbing toward \$70 in April 2019. UK Consumer Price Inflation (CPI) for February 2019 was up 1.9% year/year, just above the consensus forecast but broadly in line with the Bank of England's February Inflation Report. The most recent labour market data for the three months to January 2019 showed the unemployment rate fell to a new low 3.9% while the employment rate of 76.1% was the highest on record. The 3-month average annual growth rate for pay excluding bonuses was 3.4% as wages continue to rise steadily and provide some upward pressure on general inflation. Once adjusted for inflation, real wages were up 1.4%.

After rising to 0.6% in the third calendar quarter from 0.4% in the second, fourth quarter economic growth slowed to 0.2% as weaker expansion in production, construction and services dragged on overall activity. Annual GDP growth at 1.4% continues to remain below trend. Following the Bank of England's decision to increase Bank Rate to 0.75% in August, no changes to monetary policy have been made since.

The US Federal Reserve continued its tightening bias throughout 2018, pushing rates to the 2.25%-2.50% range in December. However, a recent softening in US data caused the Fed to signal a pause in hiking interest rates at the last Federal Open Market Committee (FOMC) meeting in March.

With the 29th March 2019, the original EU 'exit day' now been and gone, having failed to pass a number of meaningful votes in Parliament, including shooting down Theresa May's deal for the third time, MPs voted by a majority of one (313 to 312) to force the prime minister to ask for an extension to the Brexit process beyond 12th April in order to avoid a no-deal scenario. Recent talks between the Conservative and Labour parties to try to reach common ground on a deal which may pass a vote by MPs have yet to yield any positive results. The EU must grant any extension and its leaders have been clear that the terms of the deal are not up for further negotiation. The ongoing uncertainty continues to weigh on sterling and UK markets.

While the domestic focus has been on Brexit's potential impact on the UK economy, globally the first quarter of 2019 has been overshadowed by a gathering level of broader based economic uncertainty. The US continues to be set on a path of protectionist trade policies and tensions with China in particular, but with the potential for this to spill over into wider trade relationships, most notably with EU. The EU itself appeared to be show signs of a rapid slowdown in economic growth with the major engines of its economy, Germany and France, both suffering misfires from downturns in manufacturing alongside continued domestic/populist unrest in France. The International Monetary Fund downgraded its forecasts for global economic growth in 2019 and beyond as a consequence.

Financial markets: December was a month to forget in terms of performance of riskier asset classes, most notably equities. The FTSE 100 (a good indicator of global corporate sentiment) returned -8.8% assuming dividends were reinvested; in pure price terms it fell around 13%. However, since the beginning of 2019 markets have rallied, and the FTSE 100 and FTSE All share indices were both around 10% higher than at the end of 2018.

Gilt yields continued to display significant volatility over the period on the back of ongoing economic and political uncertainty in the UK and Europe. After rising in October, gilts regained their safe-haven status throughout December and into the new year - the 5-year benchmark gilt yield fell as low as 0.80% and there were similar falls in the 10-year and 20-year gilts over the same period dropping from 1.73% to 1.08% and from 1.90% to 1.55%. The increase in Bank Rate pushed up money markets rates over the year and 1-month, 3-month and 12-month LIBID (London Interbank Bid) rates averaged 0.53%, 0.67% and 0.94% respectively over the period.

Recent activity in the bond markets and PWLB interest rates highlight that weaker economic growth is not just a UK phenomenon but a global risk. During March the US yield curve inverted (10-year Treasury yields were lower than US 3 month money market rates) and German 10-year Bund yields turned negative. The drivers are a significant shift in global economic growth prospects and subsequent official interest rate expectations given its impact on inflation expectations. Further to this is world trade growth which collapsed at the end of 2018 falling by 1.8% year-on-year. A large proportion of this downturn in trade can be ascribed to the ongoing trade tensions between the US and China which despite some moderation in January does suggest that the International Monetary Fund's (IMF) and Organisation for Economic Co-Operation & Development's (OECD) forecasts for global growth in 2019 of 3.5% might need to be revised downwards.

Credit background: Credit Default Swap (CDS) spreads drifted up towards the end of 2018 on the back of Brexit uncertainty before declining again in 2019 and continuing to remain low in historical terms. After hitting around 129 basis points in December 2018, the spread on non-ringfenced bank NatWest Markets plc fell back to around 96bps at the end of March, while for the ringfenced entity, National Westminster Bank plc, the CDS spread held relatively steady around 40bps. The other main UK banks, as yet not separated into ringfenced and non-ringfenced from a CDS perspective, traded between 33 and 79bps at the end of the period.

The ringfencing of the big four UK banks (Barclays, Bank of Scotland/Lloyds, HSBC and RBS/Natwest Bank plc) transferred their business lines into retail (ringfenced) and investment banking (non-ringfenced) entities.

In February, Fitch put the UK AA sovereign long-term rating on Rating Watch Negative as a result of Brexit uncertainty, following this move with the same treatment for UK banks and a number of government-related entities.

There were minimal other credit rating changes during the period. Moody's revised the outlook on Santander UK to positive from stable to reflect the bank's expected issuance plans which will provide additional protection for the its senior unsecured debt and deposits.