

CABINET REPORT / 17 November 2020
BUSINESS MANAGEMENT & MONITORING REPORT
September 2020

**Report by Corporate Director for Customers and Organisational Development
and Director of Finance**

Recommendation

1. To note this month's business management and monitoring report.

Executive Summary

2. This report sets out Oxfordshire County Council's (OCC's) progress towards Corporate Plan priorities for 2020/21 - September 2020.

Introduction

3. The Council recognises the importance of timely, accurate and accessible performance and budget management information as part of its commitment to both transparency and demonstrating efficiency and effectiveness.
4. These monthly business management reports are part of a suite of performance and budget documents which set out our ambitions, priorities and financial performance. The Corporate Plan sets out the Council's ambitions for the next two years, under our vision for Thriving Communities. It also shows our priority activities for the current business year.
5. Our Corporate Plan, Medium Term Financial Plan, Outcomes Framework and previous business management reports, can be found on the Council's website.¹
6. This report summarises performance and risk within these Business Management & Monitoring Reports. Further information is provided in three annexes:
 - a. Annex A: performance
 - b. Annex B: risk
 - c. Annex C: finance
7. The continuing impact of the coronavirus (COVID-19) pandemic on the Council's performance can be seen in this report. The majority of councillors and officers continue to work from home, other than those whose work requires otherwise, such as those delivering face to face services or services in particular locations such as highways, libraries and museums (those that are now open). Our fire service colleagues continue to deliver services across the county adhering to social distancing guidelines. When the fire service are using breathing apparatus equipment they wear this in addition to the face coverings. We are proud that our

¹ Corporate Plan and Medium Term Financial Plan: <https://www.oxfordshire.gov.uk/sites/default/files/file/about-council/CorporatePlan2020.pdf>
Outcomes Framework and previous reports: <https://www.oxfordshire.gov.uk/council/about-your-council/plans-performance-and-policies/performance-reports>

flexible and resilient approach has enabled us to continue to deliver vital services on which the people and communities of Oxfordshire depend.

8. However, as can be seen in Annex A of this report, some services' performance continues to be disrupted by the need to vary or suspend normal operations as part of our planned COVID-19 response. For example, 27 out of 44 libraries across the county, the History Centre and the Oxfordshire Museum are now open, to receive in-person visitors, following NHS safety guidance, which includes limited number of visitors.
9. This report helps to demonstrate some of the ways in which the Council is taking climate action for a thriving Oxfordshire. In April 2019, councillors unanimously agreed to take greater action on carbon emissions, including calling on the Leader to set an ambitious target to become carbon neutral by 2030 for our own estate and activities. Since then we have been taking action across all our main areas of influence: our schools, our supply chain, our policy making and our partnerships. This report shows progress towards our ambitions to reduce carbon emissions, improve transport networks and support healthy communities as part of our commitment to tackle climate change (see Annex A indicators 10 to 13).
10. The report also supports our commitment to inclusion and equality, which is enshrined in the Council's vision of "Thriving communities for everyone in Oxfordshire" and the newly agreed Equalities, Diversity and Inclusion Framework, Including Everyone. We know that the data and commentary in this report does not tell the whole story of how the Council is working to address inequality: that commitment also runs throughout services and activities which are not reported here. However, this report helps to demonstrate our commitment in action. We also know that inequality persists in Oxfordshire for a variety of reasons and we will continue to use our knowledge and influence to ensure that our services perform well for everyone.

Progress towards delivery of Oxfordshire County Council's Corporate Plan

11. Oxfordshire County Council's vision for Oxfordshire has six priorities which show our ambitions for the county. Our Corporate Plan specifies outcomes which describe the changes we expect to see as a result of the Council's actions. Performance indicators show the extent to which those outcomes are being achieved, and in turn measures and targets show progress towards the indicators. Collectively, this arrangement is called the Outcomes Framework.
12. This year's Outcomes Framework includes 11 outcomes, 27 indicators and 80 measures.
13. Every reporting period, the indicators are given a Red, Amber or Green (RAG) rating in these reports, signifying whether or not progress is on track. In deciding RAG ratings, we consider data on current performance and an assessment of progress.
14. Each month we use snapshot tables (below) to indicate the main areas of change since the previous report.

15. The information below provides a snapshot of progress towards Corporate Plan outcomes during September 2020, including some of our performance highlights. A full account of progress towards our Corporate Plan priorities is at Annex A.



We listen to residents so we can continuously improve our services and provide value for money

Performance highlights

- During September the Customer Services Centre recorded 9,576 contacts from all channels; 84% (8,030) of those contacts were resolved at first point of contact, against a target of more than 75%.
- The latest satisfaction survey undertaken by the Customer Services Centre (CSC) during September, reflected that 96.5% were happy with the service they received, 2.5% where Neutral and 1% was dissatisfied. 99% of customers where happy with the experience they received from individual officers.

Areas for improvement

The Number of pothole enquiries reported on FixMyStreet repaired, or actioned for repair, against the total during the calendar month prior to reporting date is reporting at 26% against a target of more than 50%. This measure is reported in arrears to enable the inclusion of a full month of activity. During August 464 public enquiries were recorded on FixMyStreet in relation to pothole and other carriageway issues; from those 23% are now repaired, 17% are waiting for officers' decision, 3% are waiting for Skanska to repair and 57% were closed with no action (9% were responsibility of other organisations, 45% didn't meet our intervention criteria, 40% don't warrant immediate action but have been placed onto long term planning and 6% were duplicates).

PERFORMANCE SUMMARY			
OUTCOMES	INDICATORS	RAG	Change since last report
Our services improve	1. Improvement following external inspection/audit	Green	No change
	2. Listening to residents	Amber	No change
We deliver value for money	3. The Council is financially resilient	Green	No change
	4. Effective financial management and governance	Green	No change



We help people live safe and healthy lives and play an active part in their community

Performance highlights

- Eleven call blockers have been fitted in the homes of vulnerable residents, stopping scam and nuisance calls. Research developed by National Trading Standards indicates that the fitting of these units will see a saving of £280k for residents and public services.
- We continue to exceed the local targets, and England averages, in the number of people receiving support to stop smoking or for drug and alcohol dependency; with 10.4% users of opiates, 47.2% users of non-opiates and 54.8% users of alcohol only that left treatment successfully (free of dependence) who do not re-present to treatment again within 6 months. The data for the rate of successful quitters per 100,000 smokers over 18 years old will be published on December 2020.

Areas for improvement

The Numbers of people helped to live safe and healthy lives, is still be affected by COVID-19. As we continue to follow both Government and OCC guidance to remain COVID-19 safe and protect others, much of our work across our risk reduction activities for children and young adults across all of Community Safety Services continues to be paused. However, our Emergency Planning Team has successfully taken on one work experience placement under the social distancing rules. Also, targets will not be set for GP Providers in 2020/21 as these local suppliers are not prepared to commence full delivery until 2021/22; affecting the data collection for the percentage of eligible population 40-74 who have been invited and/or received an NHS Health Check since April 2017. Focus remains on encouraging those with capacity to target their resources to the patients with the greatest CVD/COVID-19 risk.

PERFORMANCE SUMMARY			
OUTCOMES	INDICATORS	RAG	Change since last report
People are helped to live safe and healthy lives	5. Numbers of people helped to live safe and healthy lives	Amber	No change
	6. Timeliness of emergency response	Green	No change
	7. Numbers of people receiving support to stop smoking or for drug and alcohol dependency	Green	No change



We provide services that enhance the quality of life and protect the local environment

Performance highlights

- Work is about to start on a scheme that will open up a new route to benefit cyclists, pedestrians and other users along the A4095 in Bicester. The work, funded by Homes England and the Oxfordshire Housing and Growth Deal, is designed to address expected congestion between Howes Lane (A4095) and Bucknall Road, ensuring road capacity keeps pace with the housing and economic development in and around Bicester.
- People in Oxfordshire has been rated among the best in the whole of the country at recycling. Statistics released by Recycle Now show that through lockdown, Britain has become even more environmentally aware, with nearly 9 in 10 households saying they regularly recycle. The figures come from research carried out during lockdown and an omnibus survey completed in July. The four district councils and the city council in Oxford operate the kerbside collections of household recycling and waste, which Oxfordshire County Council then disposes of. In 2019, 58.62% of household waste was recycled in Oxfordshire overall against a national average of 44.8% according to figures from the Department for Environment, Food and Rural Affairs (Defra).

Areas for improvement

The “Engagement with cultural services measure” continues to be affected by COVID-19. Normal Face to face programmes in our museums were not delivered this month, owing to COVID-19. The Oxfordshire Museum, with a 30% reduction in opening hours, welcomed 5,086 visitors to the site (in comparison with September 2019 which had 10,165) and 16 enquirers visited the Museums Resource Centre. Swalcliffe Barn remains closed to the public. Attendances at activities 38 (rate during September 2019 was 791). The History Centre re-opened to visitors, only during 50% of its pre-lockdown hours, with limited seating and pre-booking only. The service was unable to deliver or host events on site.

PERFORMANCE SUMMARY			
OUTCOMES	INDICATORS	RAG	Change since last report
Our quality of life in Oxfordshire is enhanced	8. Condition of highways	Green	No change
	9. Engagement with cultural services	Amber	No change
Our local environment is protected, and climate change is tackled	10. Reduction in carbon equivalent emissions from OCC's activities	Green	No change
	11. Reduced carbon impact of our transport network	Amber	No change
	12. Air quality	Amber	No change
	13. Household waste re-used, recycled or composted	Amber	No change



We strive to give every child a good start in life and protect everyone from neglect

Performance highlights

- More children in Oxfordshire have returned to school in September than the national average and figures are improving week on week. On the 2nd October 94% of primary and 90% of secondary children were in school compared to a national average of 87%
- We are beginning to see an increase in demand for social care. There were 2411 contacts into the MASH (multi-agency safeguarding hub) in September this year compared to 1611 last September. This rise is likely to move through the social care system and lead to an increase in the number of families we are working with.

Areas for improvement

In the last 12 months 50% of Education health and Care plans have been issued in 20 weeks. Performance has generally been improving with 56% of plans issued in 20 weeks in September. Even with COVID-19 requests this year remain at last year's level and 36% higher than 2018.

PERFORMANCE SUMMARY			
OUTCOMES	INDICATORS	RAG	Change since last report
Children are given a good start in life	14. Prevalence of healthy children	Amber	No change
	15. Number of looked after children	Amber	No change
	16. Numbers of children's social care assessments	Green	No change
	17. Number of child protection plans	Green	No change
Children are able to achieve their potential	18. Timeliness completing Education, Health & Care Plans	Amber	No change



We enable older and disabled people to live independently and care for those in greatest need

Performance highlights

- To support people to live independently we are purchasing more home care, with 19% more hours of care purchased in September compared to the start of the year. This has helped us to help more of the people we support with long term care to stay in their own homes. At the start of the year 68% of the people we supported were

able to live in their own home with 32% in a care home. In the last 6 months this has risen to 71%.

- In the first 6 months of this year the number of requests for advice or support that have come into social work teams this year has increased by 21% compared to the same time last year. We continue to offer advice, signpost and provide one-off interventions where possible, and the number of people receiving on-going services is within 1% of the number at the start of the year.

Areas for improvement

We want more people who may need care to have the opportunity for reablement (a short term intervention to help them to return to their previous level of functioning). As such we are looking to increase the amount of reablement in Oxfordshire next year through a new contract.

PERFORMANCE SUMMARY			
OUTCOMES	INDICATORS	RAG	Change since last report
Care services support independent living	19. People needing short-term support can access an effective service	Not assessed	No change
	20. Number of people with control over their care	Green	No change
	21. Number of people delayed leaving hospital	Green	No change
	22. People needing social care are supported to stay in their own home	Green	No change



We support a thriving local economy by improving transport links to create jobs and homes for the future

Performance highlights

- The Business Safety Week was delivered between 7th and 13th September, with Oxfordshire Fire and Rescue Service encouraging business owners and ‘responsible persons’ to ensure they review fire risk assessments; urging Businesses across Oxfordshire that have had to make changes due to COVID-19 to make sure fire safety remains a top priority.
- The “Enhanced digital connectivity for residents and businesses” measure has changed its status from Amber to Green during September. Connections across Oxfordshire picked up markedly over the Summer with over 1,000 premises being connected. This quarter saw the closure of the Better Broadband for Oxfordshire Programme; this programme had an original target of 64,500 premises to be connected which now stands at over 79,000 achieved. The targeted percentage superfast coverage was 90%, is now standing at 97.9%, the targeted take-up of services was 20% and is currently above 74%. All achieved whilst accruing an underspend of c £3m.

Areas for improvement

The measure “Infrastructure delivery supports growth” has changed its status, from Red to Amber during September. There is a robust plan in place to achieve 100% by end of March 2021 and a full review of the pipeline of work is ongoing currently to re-baseline the programme.

PERFORMANCE SUMMARY			
OUTCOMES	INDICATORS	RAG	Change since last report
Everyone has access to good homes and jobs	23. Infrastructure delivery supports growth	Amber	Red
	24. Number of new homes	Amber	No change
Businesses are able to grow and develop	25. Support for a strong local economy	Amber	No change
People and communities have excellent transport and broadband connections	26. Levels of disruption to journeys	Amber	No change
	27. Enhanced digital connectivity for residents & businesses	Green	Amber

Managing risk

16. The most senior level of risk management in the Council is carried out collectively by the Chief Executive’s Direct Reports (CEDR). CEDR manages the Council’s “leadership risks” – those risks that are significant in size and duration and could impact on the performance of the Council as a whole, and in particular on its ability to deliver its strategic priorities. This may include operational risks escalated from services to the leadership level due to the potential scale of their impact.
17. The Council’s Leadership Risk Register (see Annex B) forms the basis of our COVID-19 risk management approach.

Risk Ref	Risk Title	Residual Risk Score	D’tion of travel	Latest Update
LR1	Demand management	20 High Risk (R)	↔	Risk reviewed
LR2	Safeguarding of vulnerable adults and children	15 High Risk (R)	↔	Risk reviewed
LR3	Capital Infrastructure Programme Delivery	15 High Risk (R)	↔	Risk reviewed
LR4	Local resilience, community resilience, cohesion	8 Medium Risk (A)	↔	Risk reviewed
LR5	Management of partnerships (non-commercial)	6 Low Risk (G)	↔	Risk reviewed
LR6	Supply chain management	8 Medium Risk (A)	↔	Risk Reviewed
LR7	Delivery of statutory duties	4 Low Risk (G)	↔	Risk Reviewed
LR8	Corporate governance	2 Low Risk (G)	↔	Risk reviewed

LR9	Workforce management	9 Medium Risk (A)	↔	Risk reviewed
LR10	Organisational Change and Service Design	12 Medium Risk (A)	↔	Risk reviewed
LR11	Financial resilience	15 High Risk (R)	↔	Risk reviewed
LR12	Property and assets (maintenance cost)	6 Low Risk (G)	↔	Risk Reviewed
LR13	Health and safety	8 Medium Risk (A)	↔	Risk Reviewed
LR14	Business continuity and recovery	8 Medium Risk (A)	↔	Risk reviewed
LR15	Cyber security	12 Medium Risk (A)	↔	Risk Reviewed.
LR16	ICT Infrastructure	8 Medium Risk (A)	↔	Risk reviewed
LR17	COVID-19 – Community and Customers	16 High Risk (R)	↔	Risk reviewed
LR18	COVID-19 – Business Continuity	20 High Risk (R)	↔	Risk reviewed

18. The table above provides a summary of the Council's leadership risks at 21st October 2020. Risks are assessed for both their likelihood (on a scale of 1-4) and their impact if they were to happen (on a scale of 1-5), which are then combined to give each risk a score. Once all management controls are taken in consideration, each risk's "residual score" is recorded. This can be seen in detail in Annex B, and in summary in the table below. Higher scores indicate more significant risks: in OCC a score of 20 is the highest possible.

19. During September all leadership risks have been reviewed thoroughly, and there has been no score changes.

20. The full Leadership Risk Register is attached in Annex B.

Financial management

21. Summary of the Council's financial position

22. Based on expenditure to the end of September 2020 and includes the virements agreed by Council on 8 September 2020, there is a forecast directorate underspend of -£1.1m. There is also a net underspend on Corporate Measures of -£0.5m relating to additional interest earned. There is no change to the position reported last month.

Directorate	Latest Budget 2020/21	Forecast Outturn 2020/21	Forecast Outturn Variance September 2020	Forecast Outturn Variance 2020/21
	£m	£m	£m	%
Children's Services	131.9	131.9	0.0	0.0
Adult Services	196.4	196.4	0.0	0.0
Communities	87.2	87.1	-0.1	0.0
Customers & Organisational Development	27.0	27.3	+0.3	1.1
Commercial Development, Assets and Investments	32.2	30.9	-1.3	-4.0
Total Directorate Position	474.7	473.6	-1.1	-0.2
Corporate Measures	-493.0	-493.5	-0.5	-0.1
COVID-19 – Budget for costs and income losses	18.3	18.3	0.0	0.0
Overall Surplus/Deficit	0.0	-1.6	-1.6	

23. The virements agreed by Council on 8 September 2020 included expenditure budgets in relation to COVID-19 costs to the end of July. It is expected that these costs will increase as the year progresses and that further income losses materialise. The COVID-19 Budget for costs and income losses is a one off budget available in 2020/21 and will be used to fund these pressures. A virement will be requested as part of the next report to move budget from the COVID-19 budget to the services where costs have occurred, or income losses are realised for the period August to October 2020.
24. The current forecast for general balances at 31 March 2021 is £30.3m, compared to the position at 1 April 2020 of £28.7m. This position assumes that forecast Directorate underspend of £1.1m and the Strategic Measures underspend of £0.5m are returned to balances.
25. 83.5% of planned savings totalling £20.3m are on track to be delivered in 2020/21. £1.6m of savings that are not expected to be achieved in year are reflected in the Directorate forecast outturn position. The majority of these savings relate to income generation which has been affected by the Covid-19 pandemic. All the £14.9m in-year savings agreed by Council on 8 September are expected to be delivered.
26. See Annex C for further details and commentary.

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ANNEX A – PERFORMANCE DASHBOARDS

WE LISTEN TO RESIDENTS SO WE CAN CONTINUOUSLY IMPROVE OUR SERVICES AND PROVIDE VALUE FOR MONEY								
OUTCOME	INDICATOR	OUT-LOOK	MEASURE	TARGET	RATE / LEVEL	COMMENTARY		
Our services improve	1. Improvement following audit or inspection	GREEN	↔	Proportion of actions dealt with on time after any external inspection (Ofsted, CQC, HM Inspector of Fire & Rescue)	90%	100%	We continue to progress our actions for improvement areas following the HMICFRS inspection and we have moved to closing some actions as completed.	
			↔	The proportion of social care providers rated as 'outstanding' or 'good' by the Care Quality Commission in Oxfordshire remains above the (monthly) national average (84% in Apr 19).	> national average	93%	93% of social care providers in Oxfordshire are rated as good or outstanding, compared to 84% nationally	
	2. Listening to residents	AMBER	↔				Total public enquiries recorded on FixMyStreet in relation to pothole and other carriageway issues in August was 464. Of these: <ul style="list-style-type: none"> • 107 (23%) are now repaired. • 264 (57%) were closed without immediate action. Of this group: <ul style="list-style-type: none"> - 9% were the responsibility of other organisations - 45% did not meet our intervention criteria - 40% don't warrant immediate action but have been placed onto long term planning. (Dragon, Drainage, resurfacing programmes) - 6% were duplicates of other enquiries • 81 (17%) are still awaiting a decision from officers. • 12 (3%) are waiting for Skanska to repair This information is reported in arrears to enable inclusion of full month activity	
					Number of pothole enquiries reported on FixMyStreet repaired, or actioned for repair, against the total during the calendar month prior to reporting date	> 50%	26%	
					Increase the number of FixMyStreet Super-User Volunteers from among members of the public	+4 per month	1	Impacted by COVID-19. However, during September the FMS SuperUser (SU) scheme received a lot of publicity through the Oxford media (TV & radio) holding roadside interviews with the Steeple Aston SU and Cllr Liam Walker successfully generating approx. 20 new SUs interested in being trained. In addition, Banbury, Bicester and Abingdon Town Councils are also interested which could generate a further 10 or more SU's. Site training is still on hold whilst new developments to the FMS system are being progressed. Meanwhile we are sending out agreement contracts for signing and putting in place any pre-site training requirements. Meetings have also been held with Oxford City/ODS who have expressed an interest in the SU scheme covering the inner ring road area.
				Increase the % of residents calling the Customer Services Centre who are satisfied with the overall service that they have received	>85%	96.5%	The Customers Service Centre undertakes a customer satisfaction survey one week every month. Latest satisfaction survey – September – 116 customers surveyed out of 3,073 which is 4%. 96.5% were happy with the service they received from Customer Services. 2.5% where Neutral 1% was dissatisfied	

						99% of customers were happy with the experience they received from individual officers.	
				Increase the % of callers whose enquiry is resolved at the first point of contact	>75%	84%	9,576 contacts recorded from all channels. 8,030 contacts (84%) were resolved at first point of contact.
				Reduce the % of calls to the Customer Services Centre which are abandoned by the caller	<5%	11%	<p>During September, the Customer Services Centre received 16,186 inbound calls and made 8,057 outbound calls. Demand to the CSC has increased and the inbound call volumes are 5.85% higher than the same time last year. The complexity of calls in Adults Social Care, Births and Death enquiries has also resulted in an increase of over 6% in the average handle time.</p> <p>Registration (increased from 689 to 1,786) and Social and Healthcare Team (8% increase) calls continue to be high compared to September 2019.</p> <p>School admissions contacts continued to be high but are comparable to September 2019 due to the number of requests to change schools over the summer holidays.</p> <p>Residential Parking Permits has seen an increase in demand on the phone (1,277 calls) compared to September 2019 (855 calls). This is mainly due to new Controlled Parking Zones coming in, big zones renewing and the number of students moving to the area for Universities. The number of permits to be produced is also high which staff are working through. This includes replacing all the temporary permits that were issued at the beginning of lockdown in March and during lockdown, where we could not be on site to print the permits. Staff are now on-site daily processing and printing the permits to be sent.</p>
Our services improve and deliver value for money	3. The Council is financially resilient	GREEN	↔	Financial indicators contained in the Financial Strategy are on track	100%	65%	The measures taken in response to COVID-19 have impacted on this target, with the temporary suspension of debt recovery in particular resulting in lower levels of performance. Overall, the indicator remains Green as whilst performance levels are below target it is generally related to COVID-19, and mitigation has been taken to maintain good financial resilience.
				General balances remain at or above the risk assessed level	100%	129%	Balances are forecast to be £30.3m at 31 March 2021.
	4. Effective financial management and governance	GREEN	↔	Directorates deliver services and achieve planned performance within agreed budget	< +/-1% variation to net budget	-0.2%	Based on expenditure to the end of September 2020 and including the virements agreed by Council on 8 September 2020, there is a forecast directorate underspend of -£1.1m.
				Capital projects are delivered on time and within budget	>80%	n/a	No variation is reported at this point in the year.
				Systems and processes operate effectively and are well controlled to reduce and detect error and fraud (as measured by the percentage of Green- or Amber-rated internal audit reports relating to financial systems)	100%	n/a	There have been no completed internal audit reports on financial systems and processes at this stage of the year.

WE HELP PEOPLE LIVE SAFE AND HEALTHY LIVES AND PLAY AN ACTIVE PART IN THEIR COMMUNITY						
OUTCOME	INDICATOR	OUT-LOOK	MEASURE	TARGET	RATE / LEVEL	COMMENTARY
People are helped to live safe and healthy lives	5. Numbers of people helped to live safe and healthy lives	AMBER ↔	Number of vulnerable children and adults helped to live more secure and independent lives	3,080	2,930	Since July we have continued to increase the number of physical visits for Safe and Well and have made significant progress to meet our expectations. We continue to ensure prioritisation for high risk households. However, the second wave of COVID-19 has prevented us from being able to increase the numbers of crews carrying out Safe and Well visits. During lockdown, a significant amount of work was undertaken by our Trading Standards team to directly reach those residents who may be more vulnerable to scams and financial abuse (including COVID-19 related scams). Eleven call blockers have been fitted in the homes of vulnerable residents, stopping scam and nuisance calls. Research developed by National Trading Standards indicates that the fitting of these units will see a saving of £280k for residents and public services.
			Number of children better educated to live safer and healthier lives	7,002	63	As we continue to follow both Government and OCC guidance to remain COVID-19 safe and protect others, much of our work across our risk reduction activities for children and young adults across all of Community Safety Services continues to be paused. However, our Emergency Planning Team has successfully taken on one work experience placement under the social distancing rules. Fire Cadet meetings re-started at the beginning of September after a five-month break in an online video meeting format.
			% of eligible population 40-74 who have been <u>invited</u> for an NHS Health Check since April 2017	No target	No data	Targets will not be set for GP Providers in 2020/21 as these local suppliers are not prepared to commence full delivery until 2021/22. Focus remains on encouraging those with capacity to target their resources to the patients with the greatest CVD/COVID-19 risk.
			% of eligible population 40-74 who have <u>received</u> an NHS Health Check since April 2017	No target	No data	Targets will not be set for GP Providers in 2020/21 as these local suppliers are not prepared to commence full delivery until 2021/22. Focus remains on encouraging those with capacity to target their resources to the patients with the greatest CVD/COVID-19 risk.
			Numbers of people walking or cycling increase (5% and 2% respectively) over the 19-20 baseline for Oxfordshire in the Government's Active Lives Survey	Walking 3,060,000 Cycling 666,000	Rate not available	Due to COVID-19 and its varied effects on overall travel patterns and mode share, it is very difficult to forecast performance against this measure and target. However, the current situation has emphasised the importance of significantly increasing levels of Active Travel. In this context, our increased ambition means how we measure / monitor travel by cycling and walking needs reviewing and targets will need to be reset, with the added requirement for more specific indicators to measure the impacts of our interventions where we have developed Local Cycling and Walking Infrastructure Plans.
			Increase in Making Every Contact Count conversations (encouraging behaviour changes that have a positive effect on physical or mental health and wellbeing) initiated with residents by Cultural Services staff	+10%	71%	This is a very important health prevention programme. Aside from the partial reopening and the expected drop in visitors, this is a difficult service to restart as customers are being asked to reduce their time in libraries and avoid direct contact where possible. It has been less conducive to hold a conversation while both parties are wearing face coverings. We will continue to rebuild this programme given its previous positive outcomes.

	6. Timeliness of emergency response	GREEN	↑	More people alive as a result of our “365 Alive” prevention, protection and emergency response activities	533	272	Despite the low number of Co-responding calls, we are on track in all other areas of the measure overall as Co-responding is only one element of the overall measure.
				% of emergency call attendances made within 11 minutes	80%	89.27%	The response times to emergency calls continues in line with OFRS’s expectations.
				% of emergency call attendances made within 14 minutes	95%	97.01%	The response times to emergency calls continues in line with OFRS’s expectations
	7. Numbers of people receiving support to stop smoking or for drug and alcohol dependency	GREEN	↔	Rate of successful quitters per 100,000 smokers 18+	> 3,564	1839	The 2020/21 target was set at 3564 but has been adjusted due to the impact of COVID-19 on Quarter 1 2020/21. Quarter 2 data will be published on 7th December 2020.
				Number of users of OPIATES that left drug treatment successfully (free of drug(s) of dependence) who do not then re-present to treatment again within 6 months as a percentage of the total number of opiate users in treatment.	> 6.6%	10.4%	We continue to exceed local targets and England averages
				Number of users of NON-OPIATES that left drug treatment successfully (free of drug(s) of dependence) who do not then re-present to treatment again within 6 months as a percentage of the total number of non-opiate users in treatment.	> 36.6%	47.2%	We continue to exceed local targets and England averages
				Number of users of ALCOHOL ONLY that left treatment successfully (free of alcohol dependence) who do not re-present to treatment again within 6 months as a percentage of the total number of ALCOHOL ONLY users in treatment.	> 42.8%	54.8%	We continue to exceed local targets and England averages

WE PROVIDE SERVICES THAT ENHANCE THE QUALITY OF LIFE AND PROTECT THE LOCAL ENVIRONMENT						
OUTCOME	INDICATOR	OUT-LOOK	MEASURE	TARGET	RATE / LEVEL	COMMENTARY
Our quality of life in Oxfordshire is enhanced	8. Condition of highways	GREEN ↔	Defects posing immediate risk of injury are repaired within 24 hours	100%	99.3%	Cumulative rate and covers all defects April to August. (Data is reported one month in arrears.)
			Defects creating potential risk of injury repaired within 28 calendar days	90%	99.2%	Cumulative rate and covers all defects April to August. (Data is reported one month in arrears.)
			Kilometres of highway resurfaced as % of total	3.07%	2.42%	The annual plan for 2020 total surfacing programme has been calculated as 3.07% of the network (excluding patching). The figures from April to September are cumulative, therefore as at 30 September 2.42% of the network has been resurfaced.
	9. Engagement with cultural services	AMBER ↔	In person engagement with Heritage services by increasing numbers of a) daily visits, b) attendances over 2019-20 level	a) 3% b) 2%	Museums Service a) -55% b) -95.2% History Service a) -74% b) -79%	Museum Service: Normal Face to face programmes were not delivered this month owing to COVID-19. The Oxfordshire Museum, with a 30% reduction in opening hours, welcomed 5,086 visitors to the site (September 2019 = 10,165) and 16 enquirers visited the Museums Resource Centre (September 2019=17). Swalcliffe Barn remains closed to the public. September 2019 =58). Attendances at activities 38 (September 2019 =791). Service not delivering 'activities' on site or as outreach History Service: In-person engagement September 2020: 78 visitors (September 2019 = 298) 15 attendees at events (September 2020 = 73). History Centre re-opened to visitors for only 50% of its pre-lockdown hours, with limited seating and pre-booking only. The service was unable to deliver or host events on site.
			Online engagement with Cultural Services, (social media, website visits, remote enquiries)	Baseline to be set	Reporting quarterly	Museum Service Overall online engagement in September down by 18.5% on same period last year, but social media interaction up by 49%. History Service: Online/remote engagement September 2020 = 80,083 engagements representing a 11.5 % increase from September 2019. This includes answering 659 remote enquiries, an increase of over 300% on September 2019. Library Services: Online engagement (social media and website visits) for September is 151,999 The figure for Quarter 2 (July/Aug/Sept) is 541,191
			Improve access to library services by increasing numbers of a) active users b) new users and c) daily visits, over 2019-20 levels	a) 3% b) 2% c) 1%	a) -26% b) -60% c) -78.5%	A phased re-opening of the library network commenced in July 2020. a) Active users Sept 2019= 81,829. Active users Sept 2020 = 59,954 – this is a reduction of 26.7%. This figure does not count customers who have borrowed eBooks or engaged with the digital offer (e.g. Ref online or social media output) b) New borrowers Sep 2019 = 2,754. New borrowers Sep 2020 = 1,084.

							c) Daily visits Sep 2019 = 219,422. Daily visits Sep 2020 = 47,274. The reduction is due to the service operating a gradual and phased re-opening after the lockdown restrictions have been eased during the COVID-19 pandemic. Anecdotally, there remains uncertainty amongst many customers and a reluctance to return to library visits at a normal frequency.
Our local environment is protected, and climate change is tackled	10. Reduction in carbon equivalent emissions from OCC's activities	GREEN	↔	Yearly reduction of 6% in carbon equivalent emissions from Council estates & activities (to be Carbon Neutral by 2030)	6%	Rate not available	This is an annual measure and is due to be reported in the October report. It is anticipated that predicted reduction will be achieved.
				% of streetlights fitted with LED lanterns by March 2021	40%	26.5%	As of 30 September, 15,781 LED lanterns have been converted from the 59,631 streetlights across the county over the past 6 years. This is 26.5% of the total streetlight assets. 282 were replaced during September. The capital programme commences in October with the 1st phase replacing 2,898 lanterns with LED equipment by the end of March 2021. <ul style="list-style-type: none"> The LED replacement programme has been reprofiled to be carried out over a 5-year period and to be completed by Summer 2025. The 1st two years of the programme are focused on the units with the most significant consumption and potential to save energy.
				Increase the number of staff who have accessed the Council's Cycle to Work scheme	-	-	The majority of OCC staff were instructed to work from home as part of the Council's response to COVID-19. Reporting on this new measure will begin when offices and workplaces reopen.
	11. Reduced carbon impact of our transport network	AMBER	↔	Increase a) the total number of electric vehicle (EV) charging points and b) the number of electric vehicles charging points per 100,000 population, compared with 2019-20 baseline	150 for Park and Charge Project by end October 2021	Rate not available	Park and Charge project was delayed due to COVID-19 impacts on project partners. The timing plan for charger installation has now been reviewed. It is planned to first do a pilot car park in Bicester - completion in January 2021. Remaining car parks (between 24 to 27) will then be installed between June 2021 and October 2021. <p>The development of the EV Strategy should help with measurable targets for EV installation and vehicle usage. Most factors are market and funding led. Although there are delays in projects, the EV strategy is moving well and there are new funding bids developing and funding being released that OCC's iHUB and partners would like to explore.</p> <p>Annual target relates to the Park and Charge project only. This is being further reviewed. Success of charging installation is not under the control of OCC, but we can facilitate the project. (Note 150 relates to number of chargers - each charger is a twin socket making 300 charging spaces countywide).</p>
				% of highway maintenance construction, demolition and excavation waste diverted from landfill	90%	99.8%	Rate is the average for April to August (data is reported one month in arrears).
	12. Air quality	AMBER	↔	Quarterly assessment of air quality as reported by District and City councils' air quality monitoring	Reporting only	Rate not available	There is limited air quality data, although improved reporting of the assessments is expected to be available from November. This follows the successful recruitment of a new Air Quality Programme Manager to manage the work on air quality strategy, monitoring and action plans as part of the Council's Strategic Planning Team. Discussions will also soon be underway with service areas and partner organisations about establishing a strategic framework for managing air quality, including identifying specific measures and actions required in designated Air Quality Management Areas.

			Minimise the number of traffic routes diverted (e.g. due to roadworks) signposted into Air Quality Management Areas, where air quality has been recognised formally as an issue.	< 10 p.a.	0	No diversions have been sign posted through Air Quality Management Areas.
13. Household waste re-used, recycled or composted	A M B E R	↔	% of household waste a) recycled, b) composted and c) re-used (and total %)	a) 30% b) 29.5% c) 0.5% Total >60%	a) 29.1% b) 30.11% c) 0.21% Total 59.42%	Figures are the forecast end of year performance, which is the combined effort of OCC, City and District Councils. The forecasts are subject to a high degree of uncertainty; please note we use forecasts as the performance measures are based on tonnage and we do not yet know this for the whole year and won't until May 2021 when tonnage data for March 2021 has been verified. We produce the forecasts based on actual data for the previous months, i.e. for September reporting actual data for April - July 2020. Waste tonnages currently continue to be influenced by the COVID-19 restrictions and remain higher than last year. Other influences that could have an impact during the year include economic uncertainty / possible downturn and the rate of housebuilding. Waste tonnes for August seem to show movement towards expected levels.
			% of household waste sent to landfill (forecasted end of year position)	< 3%	2.6%	This end of year forecast is highly uncertain as insufficient data is currently available for accurate forecasting, and the percentage of waste landfilled is expected to increase.
			% of household waste recycled, composted and re-used at our Household Waste Recycling Centres (HWRCs).	> 59%	65.18%	HWRCs re-opened on 18 May after being closed for 8 weeks. This figure is the end of year forecast and is highly uncertain as insufficient data is currently available for accurate forecasting. The increase in August is mainly due to wood being sent to a different processor with a higher recycling rate.

WE STRIVE TO GIVE EVERY CHILD A GOOD START IN LIFE AND PROTECT EVERYONE FROM NEGLECT						
OUTCOME	INDICATOR	OUT-LOOK	MEASURE	TARGET	RATE / LEVEL	COMMENTARY
Children are given a good start in life	14. Prevalence of healthy children	↔	Number of expectant mothers who receive a universal face to face contact at 28 weeks	78%	No Data	This target was achieved in 2019/20. However, it has been impacted by COVID-19. During Wave 1 some of the workforce were redeployed to the NHS response. In Quarter 1 all families were offered a contact but due to COVID-19 restrictions in lockdown, a number of families did not engage. Universal Partnership Plus families (the most vulnerable families) were proactively followed up, and the performance for this cohort was 72.7%.
			Percentage of births that have received a face to face New Birth Visit	95%	97.9%	This mandated check was prioritised by the service during Quarter 1. All families received a new birth visit either face to face were risk assessed or virtually. This indicator includes all births. (1703 births)
			Percentage of children who received a 12-month review	93%	No Data	This target has been impacted by COVID-19, during wave 1 some of the workforce were redeployed to the NHS response. Universal Partnership Plus families (the most vulnerable families) were proactively followed up, the performance for this cohort was 94%
			Percentage of children who received a 2-2½ year review	93%	No Data	This target has been impacted by COVID-19. During Wave 1 some of the workforce were redeployed to the NHS response. Universal Partnership Plus families (the most vulnerable families) were proactively followed up and the performance for this cohort was 94.4%.
			Babies breastfed at 6-8 weeks of age	60%	No Data	This target was achieved in 2019/20, however it has been impacted by COVID-19. During wave 1 some of the workforce were redeployed to the NHS response. Universal partnership Plus (the most vulnerable families) was proactively followed up and the performance for this cohort was 32.1%. The service did continue to support mothers with breastfeeding, offering universal packages of care and virtual help. This indicator is interdependent on midwifery services as feeding methods are often established before babies leave the hospital. Midwifery services were also impacted during Quarter 1.
			% of mothers receiving a Maternal Mood Review in line with the local pathway by the time the infant is aged 8 weeks.	95%	No Data	This target was achieved in 2019/2020 however it has been impacted by COVID-19. During wave 1 some of the workforce were redeployed to the NHS response. Universal Partnership Plus (most vulnerable families) were proactively followed up, performance for this cohort was 87.5%. Appointments/visits were either phone/digital consultation or face to face if risk assessed as necessary.
	15. Number of children we care for	↑	Safely reduce the number of children we care for to bring it nearer to the average of our statistical neighbours during 2020-21	750	788	The number of children we care for was 775 at the end of August. This is 2 more than the start of the financial year, but 37 (5% lower) than the same time last year.
	16. Number of children's social care assessments	↔	Level of social care assessments to not exceed the 2019-20 level	< 7,250	6064	Whilst the annual figure is within target, this is a result of lockdown suppressing referrals in Quarter 1. Quarter 2 has seen assessments steadily rising linked to Police referrals (domestic abuse) and return to school. Early indications of demand exceeding capacity.

	17. Number of child protection plans	GREEN	↔	Maintain the number of children who are the subject of a child protection plan to the average of our statistical neighbours during 2020-21	550	539	Although the trajectory is positive there is a risk that the number of children the subject of a plan may increase as people are unable to move through the system e.g. as family court sittings have reduced during COVID-19; and return to school is beginning to trigger child protection investigations.
Children are able to reach their potential	18. Timeliness of completing Education, Health and Care Plans	AMBER	↔	Increase the proportion of Education Health and Care Plans (EHCPs) that are completed within 20 weeks, to be above the national average by March 2021	58.7%	50%	In the last 12 months 50% of Education and Health care plans have been issued in 20 weeks. Performance is generally increasing and was 56% for the month of September. Even with COVID-19 requests for EHCPs have not dropped.

WE ENABLE OLDER AND DISABLED PEOPLE TO LIVE INDEPENDENTLY, AND CARE FOR THOSE IN GREATEST NEED							
OUTCOME	INDICATOR	OUT-LOOK	MEASURE	TARGET	RATE / LEVEL	COMMENTARY	
Care services support independent living	19. People needing short-term support can access an effective service	NOT RATED	↑	Maintain the number of hours of reablement delivered	Targets will be set during Quarter 3	5184	Figures are affected by COVID-19.
				Number of people receiving reablement		1261	
				% of people who need no ongoing care after the end of reablement		42%	
	20. Number of people with control over their care	GREEN	↔	% of people with safeguarding concerns who define the outcomes they want	> 90%	95.4%	This is a local measure so there is no national benchmark. It is included here as a key measure of how people who are the subject of a safeguarding concern can maintain control of the process.
				Number of people with personal budgets remains above the national average	> 90%	92%	92% of people in Oxfordshire who receive on-going social care funded by the council have a personal budget compared with 90% nationally.
				% of people aged over 65 using Adult Social Care services who receive a direct payment remains above the national average	> 17%	25%	25% of people over 65 in Oxfordshire who receive council funded social care in their own home have a direct payment compared with 17.5% nationally
				% of people aged under 65 using Adult Social Care services who receive a direct payment remains above the national average	> 40%	44%	44% of people aged 18-64 in Oxfordshire who receive council funded social care in their own home have a direct payment compared with 40% nationally.
	21. Number of people delayed leaving hospital	GREEN	↔	Reduce the number of people delayed in hospital awaiting health care	22	17	Central government has ceased the reporting of delayed transfers of care going forward as it is recognised that this is not the best measure of timely and appropriate patient flow through hospitals. It is reported here as a local measure till a new national measure is agreed.
				Reduce the number of people delayed in hospital awaiting social care	6	9	
				Reduce the number of people delayed in hospital awaiting both health and social care	26	4	
	22. People needing social care are supported to stay in their own home	GREEN	↔	Maintain the number of home care hours purchased per week	> 21,000 hours	24,304	There has been a 19% increase in the amount of home care hours purchased since April, which is helping to support more people to live at home
				Reduce by 10% the number of people aged 18-64 entering permanent residential care (vs. OCC rate of the past 3 years)	< 39 people	24	24 people so far in the year therefore pro rata 48 in year
				Ensure the % of working age (18-64) service users with a learning disability support, who are living on their own or with their family, remains above the national average (76%)	> 76%	91.2%	The service keeps delivering ahead of target.
Increase to the national average the percentage of older people in long term care who are supported to live in their own home				> 57%	60%	Increasing home care being purchased and fewer care home admissions	
There are 60 successful nominations for Extra Care Housing for older people with care needs in 2020-21				60	11	11 nominations in the year to date, though admissions are higher (at over 50)	

WE SUPPORT A THRIVING LOCAL ECONOMY BY IMPROVING TRANSPORT LINKS TO CREATE JOBS & HOMES FOR THE FUTURE							
OUTCOME	INDICATOR	OUT-LOOK	MEASURE	TARGET	RATE / LEVEL	COMMENTARY	
Everyone has access to good homes and jobs	23. Infrastructure delivery supports growth	AMBER	↑	Percentage of the Capital Programme delivered in line with budget (measured by comparing the Council-approved budget of Feb 2020 for 2020-21 with the outturn budget)	95% (cumulative target to end of March 2021)	59% (position as at 30 th Sept)	This measures the capital infrastructure major programme and means 59% of agreed programme for the year 20/21 has been spent or committed. There is a robust plan in place to achieve 100% by end of March 2021 and a full review of the pipeline of work is ongoing currently to re-baseline the programme.
	24. Number of new homes	AMBER	↔	We support the delivery of new affordable housing starts by March 2021 [the target is being reviewed for confirmation in Summer 2020]	1,322 homes to March 2021	Rate not available	Discussions with MHCLG (Ministry for Housing, Communities and Local Government) have led to a principled agreement that the programme will be extended to a fourth year with the possibility of further extension, on a scheme by scheme basis to ensure delivery. A revised programme that meets the agreed target has been prepared and submitted to Homes England for their confirmation.
Businesses are able to grow and develop	25. Support for a strong local economy	AMBER	↔	Number of businesses given support by Trading Standards interventions or fire risk inspections	1,709	1,247	Performance has remained very strong in quarter two for business interventions from the Trading Standards team: from the number of weighing and measuring equipment that has been tested and verified, along with the number of businesses that have been advised during the investigation of complaints. The team has undertaken a significant amount of work to advise businesses of the COVID-19 business closure requirements, during lockdown and now the new requirements around the track and trace APP, 10 pm closure time etc. The fire protection team has started to return to auditing premises, this will be a slow and steady increase in work output as we have to ensure that the premises are COVID-19 secure as well as receiving all of the documentation to review prior to attending, in order to spend as little duration at the premises as possible.
				Rate of participation in innovation funding bids or new projects in support of the Smart Oxford programme	20	23	Rate is April to end of September. Post COVID-19 it has been noted funding calls have become increasingly competitive, many with short turn around and often lower funding pots. However, we have submitted over our target number and are achieving an adequate number of successful bids. The first successfully secured funding this month is in partnership with Oxbotica and Oxfordshire. A Connected Autonomous vehicle project to scale up CAV vehicles and connected infrastructure on the network. The second new project for September is an exciting first of a kind pilot to trial the use of drones between care homes and pharmacy. Both new funds are from Innovate UK pots.

				Proportion of live iHub (OCC's Innovation Hub) projects progressing on schedule and on budget	>75%	82%	Rate is for September. There is reliance on external partners to reach time and delivery milestones. Government has extended some of the projects by 3 months and has put on hold the Gov tech contributions by 3 months. The Oxfordshire Mobility Model (a cloud-hosted model for simulation of transport demand) may be delayed because of data availability and delays with getting this due to COVID-19. The VPACH project that had been suspended has restarted with IUK approval we have one other, the V2Go project that is now expected to end early however, this is being programmed in from an OCC perspective. Some adult and social care projects have had to be put on hold over COVID-19 and restrictions in visiting care homes.
People and communities have excellent transport and broadband connections	26. Level of disruption to journeys	AMBER	↑	Reduce the number of failed utility works inspected	<15%	14.7%	From 776 sample A/B/C inspections conducted in September (including all follow up inspections) 114 failed. This equates to 14.7% failure rate.
				Increase in the number of days' works on the highway saved via the Council's duration challenges	5% over 19-20 rate	Rate not available	Currently unable to quantify. Service is accelerating work with the IT supplier to identify and log the relevant data.
				Reduce the number of "return repairs" to the Council's own works (i.e. revisiting to correct Non-Compliant Defects)	<5%	0%	The reported rate is for September. The level of non-compliant defects is expected to be low. This is because approximately 90% of all pothole defects are repaired as 'cut' defects rather than 'sweep and fill'. This continues to be monitored. A random 10% check was completed in September by Highway Officers, and data confirms there were no Non-Compliant Defects. September rate calculated as total number of return repairs/visits to own works (NCDs) 0 divided by Total potholes fixed 2,380 = 0%
				Minimise the number of Deemed Permits allowed (i.e. applications for permits approving works on the highway that have been received into the system but not processed in accordance with the Oxfordshire Permit Scheme)	<1%	0%	No permits that entered the system went deemed.
				Delivery of 2020/21 planned programme for number of highway trees surveyed within the 4-year cycle.	100% by end of Mar 2021	95%	4-year inspection programme is in place and underway despite challenges with COVID-19. 95% of the planned annual programme for inspecting 84 parishes has been completed, meaning 79 parishes have been inspected as at end September. Performance Indicators and potential alignments with other indicators for the tree service are being reviewed to look at options to provide further information on the value of the service. Revised measures are due by end of October.
				Average excess waiting time for buses on frequent services (minutes)	5 mins	1.8 mins	Service frequencies have been restored to pre COVID-19 levels as of 30th August. From September onwards increased levels of congestion may lead to lower levels of performance. The target of 5 minutes is under review to ensure consistency with the Punctuality Improvement Partnership (PIP) agreement, to be signed off by OCC and bus operator Directors.
	27. Enhanced digital connectivity for residents and businesses	GREEN	↑	The number of premises we have enabled to have access to superfast broadband within Oxfordshire, via our contracts with BT and Airband	79,600	79,258	Rate is to end of September. Connections across Oxfordshire picked up markedly over the Summer with over 1,000 premises being connected. This quarter saw the closure of the Better Broadband for Oxfordshire Programme (BBfO) programme. This programme had an original target of 64,500 premises to be connected which now stands at over 79,000 achieved. Targeted percentage superfast coverage was 90%, now standing at 97.9%. Targeted take-up of services was 20% and is currently above 74%. All achieved whilst accruing an underspend of c £3m.

						Openreach delivered their first structures this quarter under the DEfRA funded Businesses in Rural Oxfordshire (BiRO) programme. This measure is reported quarterly, with next update due end of December.
			The % of premises in Oxfordshire with access (via either our contract or commercial providers) to superfast/ultrafast/full fibre broadband	99%	97.9%	Rate is to end of September. Figure is for Oxfordshire delivered either via our contracts or via commercial coverage from a range of suppliers. This also covers the full range of available services and not just full fibre to the premise. This measure is reported quarterly, with next update due end of December.
			The % of premises in Oxfordshire without access to: <ul style="list-style-type: none"> • At least Basic Broadband (at least 2Mb/s) • OFCOM 'acceptable' broadband (10Mb/s) 	<=0.1% <=0.5%	0.26% 0.83%	Rates are to end of September. Figures are impacted by the delivery of our managed programmes and commercial delivery across Oxfordshire by suppliers. As the above two measures increase, these figures will fall. This measure is reported quarterly, with next update due end of December. <ul style="list-style-type: none"> • The 2Mb/s measure reflects the difficulty (and expense) in reaching these most isolated and rural dwellings or Hamlets. • The 10Mb/s reduced by a small amount and is slightly above where we would want it to be, however, a plan is in place to address this.

Risk Assessment Guidance

Level of Risk	How the Risk Should Be Managed
High Risk (15 - 20)	Requires active management - to manage down and maintain exposure at an acceptable level. Escalate upwards
Medium Risk (12 - 8)	Contingency plans - a robust contingency plan may suffice together with early warning mechanisms to detect any deviation from the profile
Low Risk (1 - 6)	Good Housekeeping - may require some risk mitigation to reduce likelihood if this can be done cost effectively, but good housekeeping to ensure the impact remains low should be adequate. Re-assess frequently to ensure conditions remain the same.

Impact	Most severe (5)	5	10	15	20
	Major (4)	4	8	12	16
	Moderate (3)	3	6	9	12
	Minor (2)	2	4	6	8
	Insignificant (1)	1	2	3	4
		Unlikely (1)	Possible (2)	Likely (3)	Very likely (4)
		Likelihood			

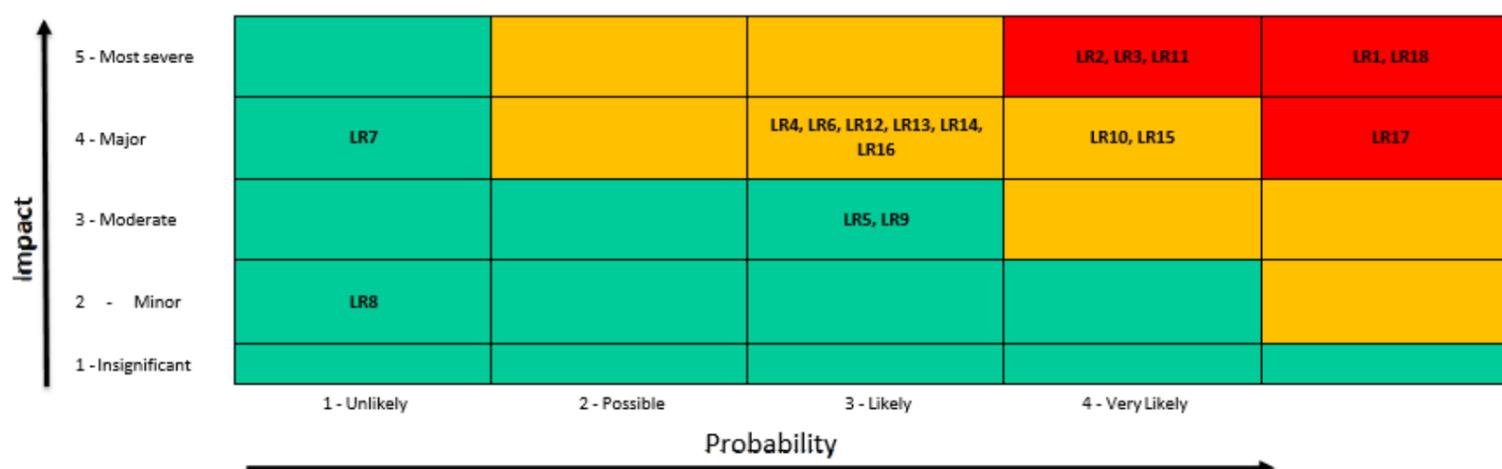
Risk Probability Key				
Score	1	2	3	4
Level	Unlikely	Possible	Likely	Very Likely
Probability	<10%	10 - 40%	41 - 75%	>75%
Timescale	It is unlikely to occur.	Possible in the next 3 or more years.	Likely to occur in the next 1 - 2 years.	Occurred in the last year/very likely to occur in the next year.

Risk Impact Key				
Score	Level	Financial *	Performance / Service Delivery	Reputation
1	Insignificant	Financial loss less than £500k / £2.5m in a year or negative variance against annual revenue or capital budget	Limited disruption to services	A few minor complaints and/or minimal local media attention No impact on council reputation or identity.
2	Minor	Financial loss up to £1m / £5m in a year or negative variance against annual revenue or capital budget	Short term disruption to services that do not directly affect vulnerable groups	A number of complaints but minimal local media attention Minor impact on council reputation or identity with no lasting effects.
3	Moderate	Financial loss up to £1.5m / £7.5m in a year or negative variance against annual revenue or capital budget	Loss of services that do not directly affect vulnerable groups	Extensive adverse local media attention. Perception and identity of Council damaged / undermined in the short term with some rebuilding required.
4	Major	Financial loss up to £2m / £10m in a year or negative variance against annual revenue or capital budget	Significant disruption of services directly affecting vulnerable groups	Extensive national media attention or sustained local media attention. Perception and identity of Council damaged / undermined with long term - major rebuilding required.
5	Most Severe	Financial loss over £2.5m / £12.5m in a year or negative variance against annual revenue or capital budget	Loss of services directly affecting vulnerable groups	Ministerial intervention and/or public enquiry with sustained national media attention. Perception and identity of Council fundamentally damaged and undermined, potentially beyond repair.

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

OCC Leadership Risk Register - As at 21/10/2020

Risk Matrix - Ratings (residual risk scores)



Risk Ref	Risk Title	Residual Risk Score	Direction of travel
LR1	Demand management: managing the impact of increased demand on council services	20	↔
LR2	Safeguarding of vulnerable adults and children: ensuring there are effective arrangements in place for safeguarding	15	↔
LR3	Capital Infrastructure Programme Delivery	15	↔
LR4	Local and community resilience ensuring there are plans in place to support and engage communities with regards to resilience, cohesion, and community tension	8	↔
LR5	Management of partnerships (non-commercial) maximising the use of effective partnerships to deliver strategic outcomes and community benefit.	6	↔
LR6	Supply chain management ensuring effective delivery through the supply chain	8	↔
LR7	Delivery of statutory duties delivery of service and duties in compliance with requirements and responding to changes.	4	↔
LR8	Corporate governance creating and embedding an effective and robust management and governance system that provides accountability and transparency.	2	↔
LR9	Workforce management long term plans to ensure a capable and skilled workforce with the capacity to deliver required and new services.	9	↔
LR10	Organisational Change and Service Design ensuring there are effective plans and governance in place to deliver required organisational change.	12	↔
LR11	Financial resilience: ensuring there are effective plans in place to deliver a balanced budget and a sustainable medium-term financial strategy	15	↔
LR12	Property and assets (maintenance cost)	6	↔
LR13	Health and safety: ensuring effective arrangements are in place to meet our duties.	8	↔
LR14	Business continuity and recovery plans Resilience to a additional significant disruption during the Covid-19 Response	8	↔
LR15	Cyber security assurance that effective controls are in place to prevent security issues.	12	↔
LR16	ICT Infrastructure: assurance that IT infrastructure is reliable and fit for purpose.	8	↔
LR17	Covid-19. Community and Customers providing service and support to those impacted by the coronavirus pandemic	16	↔
LR18	Covid-19. Business Continuity: managing the ongoing impact of the pandemic on council operations.	20	↔

OCC Leadership Risk Register

REF	Risk Title	Risk Cause Description of the trigger that could make the risk happen	Risk Effect Description of the consequences of the risk, positive or negative	Risk Owner	Risk Manager	Inherent (gross) risk level (no controls)			Existing Controls Description of actions already taken or controls in place to mitigate the risk	Residual risk level (after existing controls)			Mitigating actions Further actions required	D'tion of travel	Comments	Last Updated	
						Impact	Probability	Rating		Impact	Probability	Rating					
LR1	Demand management: managing the impact of increased demand on council services	That increased demand for statutory service is greater than the resources available to meet statutory duties, community needs and political aspirations. This may be due to changing demographics, growth and the current outbreak of COVID -19, leading to more requests for children's social care, SEN services, elective home education and adult services and housing. Failure to reconfigure services (both directly provided and commissioned by the Council) to become more preventative in their approach, could exacerbate the effect of rising demand. The impact on children's and adults' services is exacerbated by the current situation relating to COVID -19 with the risk of increased vulnerabilities due to isolation and CV 19 measures.	Reduced confidence in the Council's ability to deliver services. Poor timeliness and prioritisation of services leading to poor engagement from partners and the community. Potential for legal requirements not being met. Services to the most vulnerable residents or groups are disrupted or not provided due to ineffective assessment and prioritisation processes. Vulnerable children and young people are ineffectively safeguarded and come to harm, and their educational needs unmet. Failure to balance budget and/or maintain capital investment strategy in infrastructure. Financial – significant overspend in annual budgets Over-reliance on voluntary groups acting without co- ordination	Kevin Gordon & Stephen Chandler	Hannah Farncombe & Karen Fuller	5	4	20	<ul style="list-style-type: none"> Demand management in children's shows success in early help assessments ahead of target. Maintain a good early-help and prevention offer, in partnership with key stakeholders to ensure diversion from high cost services. Maintain good communication of early-help and prevention offer within the community to ensure effective uptake of services. Efficient assessment of need and risk – strong 'Front door' arrangements including effective MASH. Maintain good practice and performance reporting to ensure timely triage and assessment of contacts into services. Management oversight of children's social care plans to ensure timely progress is achieved and drift is eliminated. Child protection numbers continuing to reduce safely: continue to drive successful achievement of child protection plans and step-down of statutory intervention and monitor re-referrals. All services are tasked with managing activities within allocated budgets. Council transformation - moves to reconfigure services to be more preventative in their approach, drive out failure demand, an involve partners and the Voluntary and Community Sector. IMPOWER in October 2019 identified OCC as 5th most productive council for older people Command and control structure implemented to deal with the CV-19 outbreak. (Adult Social Care cell set up at TV and Oxon wide. TV LRF Children's and Education cell also established). Staff reassignment process in place to maintain provision. Children's Social care anticipate surge in referral to early help and children's social services when schools fully reopen in September. 	5	4	20	<ul style="list-style-type: none"> Recruiting new social care workforce, including those recently retired and others willing to train. Staff retraining and redeployment process in place to maintain provision, including children's residential care. Data-modelling of anticipated surge in demand as restrictions ease and year groups return to school. Internal service re-design to direct greater resource into the Front Door and child in need services. September has seen volatile levels of referrals and demand for assessments, including weeks with very high numbers. This is linked to return to school and high levels of police referrals. Consequently, mitigating actions include proposals to retain a number of agency social workers whose contracts were due to end, subject to 6- weekly review of demand management data. Re-design early help partnership work to develop swift access to help in communities for children and families coming out of lockdown and rationalise resources across schools/agencies/MASH/VCS. Keep Transformation projects on track as redesigned services prioritise managing demand, supporting directly provided services and those that we commission, to develop a more preventative approach. Our new Family Safeguarding model will reduce the numbers of looked after children in particular. The planned Early Intervention Service aims to reduce demand on the statutory service by allowing more children to receive support and thrive in mainstream education placements and increase the confidence of parents that their child's needs can be met without the need for a specialist placement. 	↔	<ul style="list-style-type: none"> Early Help networks offering 'pre-front door' swift access to family support have been trialed. Good impact: circa 100 families' needs addressed over 5 weeks. Networks are being reinstated offering direct support to all schools from w/c 14.09.20. Council's locality community support teams have been integrated with the MASH and are absorbing referrals for service. Referrals for social care are rising with return to school, as anticipated. MASH is being reviewed to ensure all roles are being utilised efficiently to absorb additional demand, and any additional temporary staffing requests are properly evidenced. Transformation to FSP is on-track to implement in Oct 20, with excellent levels of perm recruitment to ensure the service transitions safely, whilst reducing agency staffing costs in the long term in the mainstream teams. This prepares us well for any temp extra agency staffing that may be needed in the MASH to deal with potential 'surge' of children's referrals over the winter and spring. A review of SEN services, including EIS, is underway to ensure the forward plan is a cost-effective model of delivery. The council has received 28% increase in requests for elective home education. The internal team (3 staff) are managing the pressures in as timely way as possible and we have requested additional resource from the DIE. 	13/10/2020	
LR2	Safeguarding of vulnerable adults and children: ensuring there are effective arrangements in place for safeguarding	Risk of death or serious injury to children, young people or vulnerable adults through inadequate service delivery or failure to provide protection. This is enhanced due to the social isolation and distancing measures in addition to the partial closures of schools and reductions in home visits.	Potentially devastating impact to an adult, child, family and community. Reduced trust in the Council and partners. Notification of poor performance may affect the Council's current service judgements and lead to Central Government intervention, resulting in a higher financial cost related to improvement activity and intervention.	Kevin Gordon & Stephen Chandler	Lara Patel, Hayley Good & Karen Fuller	5	4	20	<ul style="list-style-type: none"> Maintain strong focus on good practice, performance reporting and statutory requirements, ensuring timely record keeping, compliance with procedures and acting on any poor performance indicators at an early stage. Monitored monthly by CEF Performance Management Framework. Daily monitoring report for ASC deputy-director with monthly scrutiny at ASC Performance Board. Every child known to social care services is RAG rated and priority children receive visits. Efficient assessment of need and risk by having strong 'Front door' arrangements in place, including effective MASH. Centralised Adult Safeguarding Team with overall responsibility for triaging and managing section 42 enquiries. Regular audit of practice casework in both CEF and ASC to ensure good quality service delivery. This is monitored monthly through CEF and ASC Quality Assurance Frameworks and Performance Boards. Completion of CEF Self-evaluation report every quarter which is submitted to Ofsted at the Annual Conversation. Statutory safeguards continue to be upheld at both service level and with individual children. Detailed guidance for social workers implemented to ensure high risk children receive home visits. Quality assurance framework in children's social care currently being assessed for reach, effectiveness and impact. 	5	3	15	<ul style="list-style-type: none"> Ongoing management oversight through the implementation of the CEF and ASC Performance Management Framework and Quality Assurance Framework. Safety ratings for social care providers in Oxfordshire remains higher than elsewhere. Establishing our Community Resilience cell will help us understand local need and identify channels of support to meet that need. Implement provisions of the Coronavirus Act re care assessments, attending to priority cases. Weekly reviews of RAG ratings. Multi-agency Domestic Abuse campaign county wide. Advice and guidance prepared for schools in readiness for anticipated phased return Preparing for recovery and learning from lockdown experiences of working with young people Discussions are taking place between officers from Children's Services and representative Headteachers to identify key considerations as schools admit all children. To the fore in the thinking are safeguarding, emotional wellbeing, health and safety matters. Work is underway to provide mental health training in schools to support returning children. 	↔	<ul style="list-style-type: none"> Performance management and quality assurance frameworks are further embedded with additional quality assurance audit training having been delivered to all senior and front line managers in Aug and Sept. RAG ratings now reviewed monthly rather than weekly as a greater % of children are being seen via face-to-face visits to family homes, schools and placements. This is being monitored weekly and any late recording of statutory visits are addressed directly by team managers with individual workers. 	Risk reviewed - mitigating actions and comments updated.	13/10/2020
LR3	Capital Infrastructure Programme Delivery	Each element of the Capital Infrastructure Programme has a different set of deal conditions formally agreed with Government. The recently signed HIF1 and HIF 2 funding agreements have agreed delivery end dates, which if exceeded would cause all costs from that point onwards to be the responsibility of the County Council. The Growth Deal has greater flexibility, but not delivery would result in the outcomes not being realised and potential reputational risks.	HIF1 potentially could cost OCC E2m per month after the end date of Nov '24. HIF could cost OCC E1m per month after March '24. Other risks could include: Withdrawal of funding, lack of accelerated homes delivered and potential breakdown in collaborative working across Oxfordshire local authorities. Reduced delivery of affordable housing and related impact on the community Lack of investment in road infrastructure to support current housing delivery and future planned growth leading to a severe impact on the network or the Council objecting to new development. Additional strain on the highways network that could restrict the county's ability to improve productivity Lack of a strategic framework for future growth in the county. Constraint on economic development.	Paul Feehily	Owen Jenkins	5	3	15	<ul style="list-style-type: none"> A Director has been allocated to focus on OCC Infrastructure Delivery which will address senior management capacity challenges. The role focuses on delivering the capital programme and establishing internal processes to speed up delivery e.g. a Programme Management Office has been established, a new ICT system for more effective Project Management is being introduced (Oct 2020) and new governance structure to deal with the volume of schemes in the pipeline and provide, for example, technical programme management, risk/assurance management, performance management and a broader partnership function. Temporary additional skills and resources have been brought in to assist with the programme management of the major elements of the programs. 	5	3	15	<ul style="list-style-type: none"> The directorate has started a Service Improvement that links to the Communities directorate redesign and will ensure the long-term resources are put in place and all processes are modernised and in place to manage this large and complex set of programmes. A corporate Assurance Board has been set up, chaired by the CEO to ensure the cross-council focus and support is in place to capture any issues early and enable the prioritisation of resources and effort where needed. The impact remains high; however, the probability is improving. This risk will however remain in place until work is further progressed to be able to give assurance that all programmes of work are fully resourced, processes are in place to ensure delivery and delivery is realised. 	↔	<ul style="list-style-type: none"> Mitigating Action are in place and beginning to take effect, including temporary resources to ensure programmes are progressed. Significant progress has been made in scheme delivery, and although some residual risk remains, the situation is improving. 	Risk Reviewed- Mitigating actions updated	07/10/2020

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						Impact	Probability	Rating		Impact	Probability	Rating			
LR4	Local Community Resilience: ensuring there are plans in place to support and engage communities with regards to resilience, cohesion, and community tension.	Pandemic lockdown, relaxation and outbreak control measures could increase existing tensions or create flashpoints. Equally a united effort may increase community cohesion. Possible triggers are likely to be change in government guidance; local decisions making regarding outbreak control; Lack of compliance with outbreak control measures.	Impact on Council's ability to deliver services if disruption affects particular locations, customers or staff. Impact on Council's ability to deliver Covid-19 Response services. Potential reduction in public trust if the council is not seen to be acting appropriately.	Yvonne Rees	Rob MacDougall	4	3	12	<ul style="list-style-type: none"> Thames Valley Police and Safer Community Partnership are monitoring communities to identify any issues that may indicate escalating community tensions. Communication network in place including local Members to provide single consistent messaging via multiple trusted sources should it be needed. Health Protection Board, MOAC and Surveillance Cell in place to manage local outbreaks and county communications 	4	2	8	↔	Risk reviewed - further review may be required following expected announcements on 12th October.	12/10/2020
LR5	Management of partnerships (non-commercial) maximising the use of effective partnerships to deliver strategic outcomes and community benefit.	ineffective partnership working and relationships with key strategic partners, including District and City Councils, the CCG, NHS, Police, Military and voluntary and community sector, leading to negative impact on service delivery and outcomes for local residents / communities. CV- 19 outbreak heightens both the potential and impact of this, with attention and resources being necessarily diverted to prioritise the outbreak over 'business as usual' relationships.	<ul style="list-style-type: none"> Deterioration of key relationships could reduce the Council's ability to: Meet desired outcomes for residents. Achieve efficient delivery. take opportunities to improve services. <p>It also has the potential to negatively affect public confidence in the Council (e.g. through inspection outcomes)</p> <p>Failure to work effectively with the local Voluntary & Community Sector (VCS) might impact on our ability to both support and utilise the capacity and capability of the sector to help generate community resilience, community willingness to effectively address local needs and help to reduce demand for services (e.g. Prevention).</p>	Claire Taylor	Robin Rogers	4	2	8	<ul style="list-style-type: none"> Ongoing management of existing relationships held at Cabinet and senior officer level, including sharing of priorities and early discussion of potential changes or challenges Supported by regular engagement and interaction at different levels of the organisation, including joint working initiatives and shared posts. Formal/informal meetings with main bodies and sector representatives. Participation and engagement in local partnerships, forums and project / policy development work. The Civilian / Military Partnership is implementing changes to how it operates and has supported the Council to achieve Gold status under the Armed Forces Employer Recognition Scheme. Health and Wellbeing Board has oversight of development of Integrated Care System and pooled budget arrangements. Growth Board retains oversight of the implementation of the Housing and Growth Deal and Housing Infrastructure Fund schemes. Systems recovery structures in place to deliver Recovery strategy and on-going response to CV-19. New liaison arrangements in-place with VCS for Covid-19 response to cover community response, VCS resilience and recovery planning. 	3	2	6	↔	Risk reviewed - Existing controls and mitigating actions updated.	06/10/2020
LR6	Supply chain management ensuring effective delivery through the supply chain.	The supply chain could fail as a result of a major supplier entering insolvency procedures either via administration or liquidation. The supply chain is disrupted due to temporary close down or accessibility issues as a result of CV-19 mitigation measures.	Delays to meeting service requirements or service provision.	Lorna Baxter	Jeremy Richards & Simon Walkden	4	2	8	<ul style="list-style-type: none"> The Procurement team has a contract in place for a credit check service that analyses the financial position of an organisation to determine a credit score. This information is used in the Tender evaluation process to select a suitable supplier and to monitor ongoing performance of current suppliers. Current suppliers that see a drop in their financial rating would trigger an alert that would be considered by the applicable contract manager. 	4	2	8	↔	Risk is being managed by service area contract managers c/w the provision of a monthly report and the weekly joint procurement and finance meeting. Risk Reviewed - No changes	14/10/2020
LR7	Delivery of statutory duties delivery of service and duties in compliance with requirements and responding to changes.	That the Council acts unlawfully by failing to deliver statutory responsibilities.	<ul style="list-style-type: none"> Litigation/judicial review. Financial penalties - Local Government Ombudsman/Regulators/Central Government. Damages liability to residents and commercial counterparties. Central Government intervention. 	Sukdave Ghuman	Glenn Watson	4	3	12	<ul style="list-style-type: none"> Constitution of Council (including Finance Procedure Rules and Contract Procedure Rules) Support role of Finance, Legal and Procurement Audit function Legal Compliance and Service Plan Service Level Agreements between directorates and Legal Dedicated specialist teams for information rights and complaints resolution 	4	1	4	↔	<ul style="list-style-type: none"> Action plans continue to be reviewed and addressed by the Leadership Team. When appropriate, consideration ought to be given to statutory easements for SEN and Social Care. <p>Risk reviewed - Existing controls and mitigating actions.</p>	14/10/2020

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LR8	Corporate governance creating and embedding an effective and robust management and governance system that provides accountability and transparency.	That the Council's corporate governance, including supplementary governance arrangements to support the CV-19 response, is insufficiently robust, either due to incomplete processes or limited staff awareness of its requirements.	Inconsistent, uncompliant or potentially unlawful actions/decisions. Inability to support Council's democratic functions / obligations (e.g. remote public meetings, remote voting). Elements of the Covid-19 response may be compromised or delayed.	Sukdave Ghuman	Glenn Watson	2	2	<ul style="list-style-type: none"> Council governance framework is regularly reviewed and updated by senior managers and members. Constitution - updated and annually reviewed by Monitoring Officer and Full Council - Amendments made to the Constitution to facilitate virtual/remote public meetings. System of internal control - co-ordinated by the Corporate Governance Assurance Group; overseen by the Chief Internal Auditor; elected member oversight by Audit & Governance Committee, which reviews the Annual Governance Statement. Annual Governance Statement - annual opportunity to review the effectiveness of internal controls; signed by Leader and three statutory postholders (HOPS, MO, CFO); overseen by Audit & Governance Committee. Business Continuity Plans are in place which ensure that appropriate leadership of the Covid-19 response. Control measures implemented throughout 2019/20 and updates on key issues are reported to Audit & Governance Committee. 	2	1	<ul style="list-style-type: none"> Continue to undertake control measures throughout 2019-20 and respond to specific matters as they arise. Annual Governance Statement process for 2020/21 is now under way with the Corporate Governance Assurance Group. Whistleblowing Policies updated and new co-ordinated approach in place under the Monitoring Officer (led by Principal Governance Officer) with central log being put in place and co-ordination of cases. Corporate Governance Assurance Group leading a project to review/align governance processes between Cherwell DC and Oxon CC. Constitution Review led by Monitoring Officer at both Oxon CC and Cherwell DC. 	↔	Risk reviewed - Mitigating actions updated.	14/10/2020	
LR9	Workforce management long term plans to ensure a capable and skilled workforce with the capacity to deliver required and new services.	Lack of effective workforce strategies may result in long term under-performance of the organisation or increased costs.	Failure to manage the workforce and develop strategic HR plans may result in the following: <ul style="list-style-type: none"> Recruitment and retention issues. Increased costs of agency staff. Increased costs in training and development. Underperformance or lack of delivery. 	Claire Taylor	Karen Edwards	3	4	<ul style="list-style-type: none"> On-going monitoring of issues and HR data Key staff in post to address risks (e.g. strategic HR business partners, reward manager) Ongoing service redesign will set out long term service requirements. Temporary dedicated resourcing support. 	3	3	<ul style="list-style-type: none"> Development and adoption of sector relevant workforce plans Development of new People and Organisational Development strategy The ability to interrogate and access key data (ongoing) in order to inform workforce strategies. Development of new Learning & Development strategy, including apprenticeships Post Covid-19 recovery plans to support the workforce are under commission. These will include any lessons learnt and training needs and alignment with any new service delivery requirements arising from Covid-19. 	↔	Risk reviewed - No changes	06/10/2020	
LR10	Organisational Change and Service Design ensuring there are effective plans and governance in place to deliver required organisational change.	The Council's portfolio of organisational change and service redesign programmes and projects under-delivers due to lack of capacity, expertise or governance. The ongoing impact of CV-19 may mean that some organisational change projects are delayed. It may also mean that alternative modernisation, change or transformational activities are required in order to deliver new or realigned services in a post Covid-19 world.	The impact of the risk occurring would be failure to realise improved service delivery, quality and ability to respond to growing demands. It may cause inefficiencies, increased costs and/or lack of delivery of planned savings. Furthermore, inefficiencies may result in increased costs and/or lack of delivery of planned savings. The breadth of the programme means that it is built of many constituent parts, so that if any one project fails, it can be 'tied off', replaced or redesigned. This breadth means that risk is managed across a wide portfolio, but it also requires the right capacity, skills and governance to ensure delivery.	Claire Taylor	Tim Spiers	4	4	<ul style="list-style-type: none"> All projects identify benefits to be delivered and long-term financial implications (upfront costs and savings), supported by project plans. Financial benefits realisation articulated in all project plans, monitored via monthly highlight reports and our corporate reporting process. Systematic service improvement activity focused on demand management, and developing a more preventative approach to our services. All project resourcing considered monthly; roles allocated & additional 3rd party support commissioned where there is a lack of internal capacity. Organisation change and service redesign has been fully incorporated into business as usual and so scrutiny and assurance will revert to the Performance Scrutiny and Audit & Governance committees. This will be supplemented by detailed financial analysis that reflects the explicit link between the programme of work and the council's Medium-Term Financial Plan. Where joint activity is planned the Partnership Working Group review progress and delivery. Capacity and expertise is managed through inhouse resources (including development of new skills where necessary) and the use of external professional support where required - a mixed economy model of delivery. CEDR continues to manage in flight change projects and directorates have been directed where possible that implementation of change is to continue e.g. provision cycle, family safeguarding, front office transformation where possible. Delays and the consequences thereof will be considered by CEDR as the accountable body for change management. 	4	3	<ul style="list-style-type: none"> Ensure that the Council's change agenda, including all existing programmes, is integrated into one overall portfolio of change programmes that lead and inform the Service and Resource Planning Process and expand in scope where further savings are required. Continue to ensure that detailed planning and monitoring of projects fully understands interdependencies between projects. Ensure all change activity is fully aligned to, and supportive of, the corporate priority setting and Medium-Term Financial Planning process. CEDR to regularly review the Council's portfolio of change programmes' (both corporate and service focused) fitness for purpose and delivery, as part of quarterly reviews reported to members CEDR to review impact of Covid-19 on organisational change a reprofile projects as required. Align work with CDC programmes wherever possible to achieve increased benefits. 	↔	<ul style="list-style-type: none"> There will be delays to planned work. However, the full impact of Covid-19 on the organisational change and service redesign programmes and projects is still being assessed. Monthly dashboards are now being produced and reported to CEDR. Further work required to ensure programme of work is fully aligned as outlined in mitigating actions. Ongoing work is being undertaken as outlined in mitigating actions. 	Risk reviewed - Comments updated	12/10/2020
LR11	Financial resilience: ensuring there are effective plans in place to deliver a balanced budget and a sustainable medium term financial strategy.	The MTFP and longer-term financial plans are not sustainable or effective due to the outcomes of local government funding reforms; unexpected demand on services; financial management performance; financial support to local businesses and residents as a result of CV-19; or not achieving planned savings and efficiencies on time. CV-19 grant funding not at the required level to meet needs of services.	Significant overspend at year end leading to: <ul style="list-style-type: none"> Extensive use of general balances, taking them below their risk assessed level Extensive use of earmarked reserves resulting in no funding available for earmarked purpose. Further savings or income generation required in year or across the life of the Medium-Term Financial Plan (MTFP) 	Lorna Baxter	Ian Dyson	5	3	<ul style="list-style-type: none"> Progress against current year's savings is tracked monthly and included in the Business Management reports to Cabinet. Progress against future year's savings is also tracked monthly, and if necessary, addressed as part of the Service & Resource Planning process. Additional costs, loss of income and non-achievement of savings are being tracked and inform data returns to MHCLG. Savings under the banner of Organisational Change and Service Design being monitored on a project/activity level with detailed planning, milestones & reporting. Regular meetings between Directors and s151 Officer to discuss significant financial issues and risks. Service & Resource Planning process including reports to Cabinet and Performance Scrutiny Committee and ultimately Council in February 2020s25 report of Chief Finance Officer. 	5	3	<ul style="list-style-type: none"> The financial impact of COVID-19 is being tracked and is being reported to CEDR, Cabinet and Performance Scrutiny Committee and as part of the monthly Business Management report. The Government has provided funding but not sufficient to meet expected costs and reduced income for the year. As a result, a Revised Budget was approved by Council in September which identified £15m of in-year savings to meet the expected shortfall between government funding and the expected costs and reduced income. The first claim relating to lost income on Sales, Fees and Charges related to COVID was submitted at the end of September and was in line with expectations and forecasts. The longer-term financial impacts will become clearer during the recovery phase both locally and nationally, but currently remains uncertain. The Budget and Business Planning process has commenced and the first report to Cabinet in October for 2021/22 set out a scenario plan of savings linked to the economic impact of Covid in terms of the impact of both business rates and council tax. CEF have established a project to develop a strategy and plan for the recovery of the £24M deficit in the High Needs DSG funding. 	↔	<ul style="list-style-type: none"> The impact of Covid19 has changed the financial outlook for the Council, although there are too many variables to fully determine both the medium and long-term impacts beyond the current year; however, the financial pressures in year are clearer, and for 21/22. The action for the High Needs DSG recovery plan has been included. There is no current expectation that Government will seek to recover the deficit from the Council Funding; however, the spending is not yet under control and we have been required to produce a recovery plan for some time. 	Risk reviewed - Mitigating actions and comments updated.	15/10/2020

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LR12	Property and assets (maintenance cost)	Legacy of poor asset condition management information reduces the Council's ability to fully ensure property maintenance and compliance.	Non-compliance issues and potential financial pressures to bring our assets to a compliant and acceptable standard.	Steve Jordan	George Eleftheriou	4	4	<ul style="list-style-type: none"> Property, Investment and Facilities Management function redesign to get the right professionals running the service Develop Property Strategy which would determine where to prioritise efforts/spend on assets. Install right systems to enable us to keep on top of managing information about our assets. 	3	2	↔	<ul style="list-style-type: none"> All of mitigation actions referred to are now in place and activities ongoing. The right team/expertise now inhouse dealing with this with a plan in place to achieve full compliance and maintain programme going forward. H&S team within PIFM overseeing this and KPIs developed as means of checking performance Additional budget allocated to the team to carry out further works. Despite parts of the budget being offered for saving initiatives we are still confident that any risk is mitigated and BAU is unaffected. Risk reviewed - mitigating actions updated.	08/10/2020
LR13	Health and safety: ensuring effective arrangements are in place to meet our duties	Identified weaknesses in governance policy could lead to reduced oversight of health and safety issues and infringe on our associated duty of care to staff and others affected by the activities of the Council. The Covid-19 outbreak also increases risk in relation to greater homeworking activities, risks associated with frontline work and mental health and wellbeing risk.	<ul style="list-style-type: none"> Unsafe services leading to injury or loss. Breach of legislation and potential for enforcement action. Financial impact (compensation or improvement actions). 	Steve Jordan	Paul Lundy	4	3	<ul style="list-style-type: none"> H&S policies and procedures have been reviewed and adopted. Risk Assessments completed including COVID-19. Provision of PPE is priority area of focus for both standard work issue and additional infection control requirements for COVID-19. Information and training programmes in place for staff and volunteers. Communications channels in place including COVID-19 focused H&S information. H&S Governance Board maintains oversight of policy and practice with response to COVID-19 covered within business continuity support structure. Additional budget has been allocated for rectifying all H&S and compliance items across our buildings and to bring full statutory compliance We have established a H&S and Compliance function within PIFM where the right expertise is now in-house to enable us to bring and maintain the right level of compliance H&S monitoring will be carried out in selected services to assess compliance subject to restrictions due to COVID-19. Reporting of key data and issues to Leadership Teams and through business continuity support structure. This will include any incidents of work-related exposure to COVID-19 as per R I D D O R . Home-working arrangements supported by advice, guidance, equipment etc., frequent messages from CEO and Internal Comms. Specific arrangements in place to provide equipment for those with specialist requirements or needs. 	4	2	↔	<ul style="list-style-type: none"> Ensuring staff continue to receive the necessary health and safety training - due current social distancing guidelines and restriction training is moved to online delivery where possible - Ongoing, alternative virtual delivery options now in place for most courses. Implement the actions of the recent H&S Audit (April 2020) to further improve systems and controls - Ongoing PIFIM to implement management systems to monitor property compliance and safe working practices. Process for ensuring all buildings used or reopened are reviewed and risk assessed to ensure they are COVID-Safe. Ongoing as part of recovery plan Review and risk assess any changes in government guidance to ensure safe and compliant practices are followed. This is monitored and reported through the business continuity (COVID-19) support structure. Ongoing - H&S updates and guidance published on intranet and maintained by H&S Team. Arrangements for supply and distribution of PPE is well established - no reported pressures. Focus remains with ensuring services and buildings are COVID-Secure. Risk Assessments and Safe Systems of work in place to mitigate risks of COVID and other BAU operational hazards. Monitoring arrangements in place and controls regularly reviewed in light of guidance changes. Staff continuing to work from home where they can with ongoing support to support safe homeworking arrangements.	14/10/2020
LR14	Business continuity and recovery plans	A further disruption occurs that puts additional pressure on business continuity arrangements.	Essential Council Services and Covid-19 Response services are unable to be recovered within a reasonable time frame. Impacts could include risk to life or welfare, financial loss (for example due to litigation) and reduction of trust in Council services.	Yvonne Rees	Rob MacDougall	4	4	<ul style="list-style-type: none"> A business continuity improvement programme is under way and has led to significant improvements including to a consistent approach to business impact assessments, service business continuity frameworks and business continuity plans. Review of London Bridge undertaken by corporate leads (Command structure moving into Recovery on 1st August) Health Protection Board, MOAC and Surveillance Cell in place to manage local outbreaks and county communications. 	4	2	↔	<ul style="list-style-type: none"> COVID19 security on building are in place to support the restart of services and this is being coordinated by the Organisational Recovery Steering Group and CEDR An urgent review of business continuity plan is currently underway and will be completed by end of October to adjust for COVID19 disruption and possible further outbreaks. Outbreak planning and 12th Annual Operating Procedures completed and virtual table top review carried out at beginning of October. Risk reviewed - updates to Existing Controls and Mitigating Actions. Further review may be required following expected announcements on 12th October.	12/10/2020
LR15	Cyber security	Levels of threat mean that it is possible our defences will be breached, whether through system failure or human error this level may be increased during the CV-19 measures with increased numbers of staff working at home.	A serious and widespread attack (like Wannacry in Health) could mean we cannot function or support services, causing business continuity plans to be invoked. There may be less serious lower level theft of data or a publicity type attack.	Claire Taylor	Tim Spiers	4	4	<ul style="list-style-type: none"> A robust plan is in place and under continuous improvement. OCC and CDC are Cyber Security Essentials Plus accredited. OCC are still receiving PSN whilst going through present submission. CDC are PSN accredited. OCC and CDC are also working with other local government organisations to ensure a co-ordinated approach to Cyber Security events. Guidance has been re-issued to all staff on protective measures to take when home working, less secure apps have been disabled. 	4	3	↔	<ul style="list-style-type: none"> The IT Service at CDC and OCC continue to manage cyber security threats in-line with the required Cyber Essentials Plus standards. As part of the IT service redesign a joint OCC/CDC Cyber Security officer has been appointed, to undertake: <ul style="list-style-type: none"> Responsibility for managing security threats and prevention methods Working with Information Management to ensure implications of GDPR on data security is understood and built in. Working with partners to provide training so that every OCC user is aware of their role in preventing cyber threats. Documenting processes and policy to define roles, responsibilities and procedures. Maximising tech to reduce cyber risks. Ensuring all new and existing suppliers meet cyber security requirements. IT and Cyber Security Officer has been appointed to cover both OCC and CDC. The IT Service continues to work with colleagues and partners to manage the cyber security threat. IT technical resources from OCC and CDC are working closely to ensure both organisations are protected from Cyber security threats. Risk is being treated as a high priority due to the ongoing threat to all organisations. Risk reviewed - Comments updated	12/10/2020
LR16	ICT Infrastructure: assurance that IT infrastructure is reliable and fit for purpose	The server infrastructure, backup and disaster recovery hardware are at or past end of life.	<ul style="list-style-type: none"> There is a risk of ICT failure which could disrupt our ability to sustain parts of the Council's services. We need to plan replacement as the back-up solution has started to fail intermittently. Council's ICT is inadequate and/or inappropriate to support extensive home working during CV-19 response. Difficulties in providing ICT support for new/returning members of staff (and volunteers needing access to council systems?). Limited capacity/effectiveness in meeting the requirements of novel schemes/services required by Govt as part of CV-19 response 	Claire Taylor	Alistair Read	4	3	<ul style="list-style-type: none"> All servers and services have been migrated (by the end of Q4 2019/20) to the new data centre equipment and are operational. The new backup service is operational. The cloud Disaster Recovery solution is configured and running. IT support and provision for new/returning members of Staff is functioning well and demand is being met. IT are working with Integrated Transport to deliver and collect equipment required by Staff working from home. IT Staff have been reassigned to meet any increase in demand due to COVID19 business requirements. 	4	2	↔	<ul style="list-style-type: none"> Maintaining assessment to keep on top of changing needs of workforce, services and cyber threats under CV-19. Ensuring sufficient staff cover is lined up to keep ICT running in the event of staff illness. Replacement datacentre, disaster recovery and backup solution are fully operational. Datacentre network equipment has been updated and the amount of core space used rationalised. Measures remain in place together with the resilience testing to maintain core IT services. Staff resources are assigned to the most in demand IT requirements. An expanded duty team will support delivery of critical services out of hours. New joint cyber security officer has been appointed which enables an even greater focus on protecting the organisation against possible cyber-attacks. Business Continuity Plans and Risk have been updated since the COVID-19 outbreak to capture all new learnings. Mitigation has been put in place to create COVID-19 bubbles to ensure essential staff are separated in case of infection. All projects have been prioritised to ensure that critical work can continue in case of 2nd or 3rd wave. A proposal for a more cost effective and less complex DR solution has been agreed and procurement will start this month for installation in November. This should be able to remove this risk. Demand for Covid-19 related IT activity is minimal, and there is an increase in more standard IT requests and work. IT Service is back to normal workloads and BAU objectives, with project work also increasing, utilising our new ways of working. Work is continuing on our IT Strategy to ensure we have even more flexibility in our IT for agile working. Risk reviewed - Mitigating actions updates.	06/10/2020

OCC Leadership Risk Register

REF	Risk Title	Risk Cause Description of the trigger that could make the risk happen	Risk Effect Description of the consequences of the risk, positive or negative	Risk Owner	Risk Manager	Inherent (gross) risk level (no controls)		Existing Controls Description of actions already taken or controls in place to mitigate the risk	Residual risk level (after existing controls)		Mitigating actions Further actions required	Dtion of travel	Comments	Last Updated
						Impact	Probability		Impact	Probability				
LR17	Covid-19. Community and Customers providing service and support to those impacted by the coronavirus pandemic	Significant spread of the Covid-19 virus results in potential impacts in terms of customers and communities. Including community resilience, ability to access services, consequences of prolonged social distancing or isolation, economic impacts to business, including but not limited to the visitor economy.	<ul style="list-style-type: none"> Possible reductions in frontline service delivery, events, meetings and customer contact. Economic hardship impacting local business and potentially the local workforce. Impact on vulnerable residents who may find it harder to access services. Increased demand on both frontline and enabling services. Prolonged risk of social isolation and the mental and physical consequence thereof. 	Claire Taylor	Mark Haynes	5	4	<ul style="list-style-type: none"> Business Continuity Plans have been reviewed and tested to ensure the ongoing delivery of priority services Remote (home based) working in place, to facilitate self-isolation and limit impact on service delivery. Communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response. Regular updates from Director of Public Health, shared internally and externally. Partnership communications enhanced and regular conversations convened. Regular teleconference with local councils and emergency services discussing updates, concerns and best practice (in-line with usual business continuity and emergency planning protocols). Mutual aid with regional Thames Valley partners enables a tactical response to community resilience. Engagement with suppliers to manage impacts across the supply chain Creation of a dedicated telephony helpline to support the most clinically extremely vulnerable (shielded) residents in the county and operating extended hours each day Provision of additional body storage as temporary place of rest to support the current mortuary provision. Face to face customer events e.g. wedding ceremony, library provision ceased in line with government guidance. 	4	4	<ul style="list-style-type: none"> Ongoing review and implementation of Council and partnership business continuity and emergency planning arrangements. The nature of the risk is such that national public health guidelines will determine the councils' response. The councils will enact any support schemes as set out by national government as they emerge. The council will respond to new modelling figures provided by either Public Health England or Ministry of Housing, Communities and Local Government regarding excess deaths in the community. As the current lockdown is eased, we will review the impact and take the necessary steps to follow the latest guidelines and instructions Customer contact demand will continue to be monitored and resource allocated to key priorities. Appropriate risk assessments are being taken to enable the opening of key cultural sites in July 20. Involvement on the Health Protection Board supporting vulnerable customers if isolated due to tract and trace protocols and in line with Local Outbreak Plan. Easing of lockdown restrictions has enabled a wider range of services to become more available to customers and residents. 91% of core libraries are now open and customer contact at the CSC is back to normal levels. Review of current BCP's underway. Progression on the reopening of cultural services sites on a phased approach. CSC contact volumes at OCC are back to normal and in social care teams, the complexity of assessments being conducted has increased. BCP review completed and lessons learnt incorporated within. Given the increase in cases of covid19 within the country, it is essential that the impact on customers is carefully monitored. An Oxfordshire Local Contact Tracing Service has been introduced to contact cases of COVID-19 that NHS Test and Trace are unable to reach. These cases would then be advised to isolate and asked about details of their close contacts which would then be fed back into NHS Test and Trace for follow up. 	↔	Risk reviewed - Mitigating actions updated.	14/11/2020
LR18	Covid-19. Business Continuity: managing the ongoing impact of the pandemic on council operations.	Significant staff absence due to the Covid-19 virus results in potential impacts on frontline service delivery and the ability to run the councils' business on a day to day basis.	<ul style="list-style-type: none"> Possible reductions in frontline service delivery, events, meetings and customer contact. Potential confusion amongst staff with regards to how to plan and respond to reduced service availability, professional support and maintain business as usual. Requirement to reprioritise service delivery Assess critical services and consider alternative methods of delivery Requirement to offer mutual aid to partner organisations. Potential impact in the medium to long term resilience of staff may result in wider wellbeing issues. 	Claire Taylor	Karen Edwards	5	4	<ul style="list-style-type: none"> Business Continuity Plans have been reviewed, tested and are maintained and updated Remote working in place Staff communications stepped up, to support remote working, reinforce national guidelines and set out the current organisational response. Regular updates from Director of Public Health, shared internally and externally. Regular teleconference with local councils and emergency services discussing updates, concerns and best practice. (in-line with usual business continuity and emergency planning protocols). Regular communication messages following Public Health advice Sanitisers in washrooms/corporate buildings Weekly sickness monitoring implemented Agile working being tested further across services, ensuring equipment and access is in place. Posters around the offices encouraging regular hand washing. Hand sanitisers available in washrooms and shared spaces. Stocks of laptops being maintained / weekly managers bulletin with guidance and support offered / arrangements in place for duty, on call and reassignment where necessary. Improved understanding of the risk factors across the workforce identified through COVID-19 data. Weekly reports on all sickness absences, COVID-19 related and others, are being produced by Directorate. 	5	4	<ul style="list-style-type: none"> The nature of the risk is such that national public health guidelines will determine the council's responses. 	↔	Risk reviewed - No change	06/11/2020

Forecast outturn 2020/21 at September 2020

Children's Services

A breakeven position is forecast by Children's Services against a budget of £131.9m. The directorate forecast outturn includes up to £5.7m of costs relating to COVID-19, of which £1.3m have been funded to date.

An in year overspend of £11.5m is forecast for the High Needs DSG, against a budget of £58.4m, which will be carried forward against DSG balances and is being managed through the High Needs Recovery Project.

Education and Learning	<u>Variation</u> A breakeven position is forecast for this service following the virements agreed by Council on 8 September 2020.
Budget £29.7m	
Variation breakeven	<u>Key Issues</u> As reflected within the performance report demand for EHCPs remains high and has led to issues with timeliness so far this year. This is likely to require investment to address both any backlog and resolve timeliness issues going forward. Existing directorate resources have been targeted at this area. The impact of this will be kept under review and reported in the next budget cycle.
RAG rating	
Amber	
Outcomes Achieved	<u>Financial Impact of COVID-19</u> To date additional funding of £0.3m has been allocated in relation to Covid-19 costs, with spend to date estimated at £0.1m. The forecast for this year is currently £0.3m. It is assumed that any shortfall in the budgets at present will be met from the Covid-19 budget for costs and income losses.
Yes	Significant areas of spend to date are £0.088m for Laptops and Virtual Tuition for children and £0.021m for PPE in Early Years Settings. There is a risk that demand for Education, Health and Care Plans will increase now schools have returned which may increase workloads for Educational Psychologists and the Casework Team resulting in additional costs. It is assumed this pressure will be funded by COVID-19 budget for costs and income losses. In addition, lost income is forecast at £0.2m within Education and Learning as a result of the partial closure of schools. It is forecast that this will total £0.3m for the full year. Most is anticipated to be funded through the Ministry of Housing, Communities and Local Government's (MHCLG) Sales, Fees and Charges Income guarantee scheme, with the balance funded from the Covid-19 budget for costs and income losses.

The overspend reported excludes any impact of the recovery phase for Home to School Transport. At the time of writing the School Transport Service has committed to an additional £0.240m of expenditure to fund extra transport capacity in the systems and anticipate further contingency to be released throughout the first half of the term. On 11 August 2020 the Department for Education (DfE) announced the Local Transport Authority funding allocations. The Council's allocation is £0.5m. This is additional grant to help with the extra costs of providing Home to School Transport in line with the COVID-19 guidance. Modelling is taking place to understand the financial impact of continued extra capacity throughout the school year. Based on the forecast spend up to October, the expectation is that the unspent grant will be carried forward and applied to the period up to the end of the Autumn Term.

**Children's Social
Care**

Budget £30.8m

Variation breakeven

RAG rating

Green

Outcomes Achieved
Yes

Variation

A breakeven position is forecast for this service following the virements agreed by Council on 8 September 2020.

Key Issues

At present there are no variances reported in this area.

Financial Impact of COVID-19

To date additional funding of £0.074m has been allocated in relation to Covid-19 costs, with spend to date estimated at £0.211m. The forecast for this year is currently up to £1.1m. It is assumed that any shortfall in the budgets at present will be met from the Covid-19 budget for costs and income losses.

The main costs incurred to date relate to an increase in allowances to reflect universal credit increases (£0.032m) and costs relating to isolation for Unaccompanied Children on arrival (£0.156m).

Additional spend on staff is now very likely following a significant increase in referrals and assessments following the period of lockdown and partial school closures. A large proportion of this demand is also forecast to flow through to longer-term plans for children and families. On the basis of current trends, the cost in this year to meet this additional demand is forecast to be between £0.4m and £0.7m depending on the length of time additional resource is required. This will be linked to how long demand remains higher than capacity of the existing service and will be closely monitored. £0.2m of this had previously be forecast

within the Covid-19 forecast for the Council and therefore represents an increase of up to £0.5m.

**Children's Social
Care Countywide
Services**

Variation

A breakeven position is forecast for this service following the virements agreed by Council on 8 September.

Budget £65.5m

Key Issues

Variation breakeven

The forecast here remains risky as packages for individual children can cost in excess of £0.2m per annum, and therefore a small change in demand or children with significant support needs can have a significant impact on spend within this budget.

RAG rating

Green

Outcomes Achieved

Yes

The demand seen in the referral and assessment service is likely to result in increased demand in the placement budget as some children enter care. Although some of this demand may be experienced this financial year, it is likely that any growth in demand for placements could be experienced over at least one to two years.

Financial Impact of COVID-19

To date additional funding of £0.814m has been allocated in relation to Covid-19 costs, with spend to date estimated at £0.926m. The forecast for this year is currently that there is £1.034m committed but spend could be as high as £3.510m. It is assumed that any shortfall in the budgets at present will be met from the Covid-19 budget for costs and income losses.

The main areas of spend to date have been in relation to support for families and young people. The costs breakdown in to £0.6m in relation to placements, £0.1m for costs incurred due to the effect of court delays and £0.1m in relation to staffing costs caused by the need for staff to isolate.

**Children's Central
Costs**

Variation

A breakeven position is forecast for this service following the virements agreed by Council on 8 September 2020.

Budget £5.6m

Key Issues

Variation breakeven

No variance is reported at this time.

RAG rating

Green

Outcomes Achieved

Yes

Financial Impact of COVID-19

No variance is reported due to COVID-19 at this time.

Dedicated School Grant

High Needs	<u>Variation</u> The variation forecast is a forecast overspend of £11.5m.
Budget £58.4m	
Variation £11.5m (19.7%) overspend	<u>Key Issues</u> The variance of £11.0m relates to the existing children and an expected growth in demand for Education, Health and Care Plans and support for the current year based on the currently announced high needs dedicated schools grant funding. Significant diagnostic work will be undertaken to analyse the relationship between activity, increased demand and spending pressures across the SEN funding system. Officers will work with Schools, Parents and other stakeholders to develop proposals for the High Needs Block to move into line with its operating budget in the medium term.
RAG rating Red	
Outcomes Achieved Yes	
	<u>Financial Impact of COVID-19</u> There is a forecast cost of £0.5m due to the potential for costs to rise and loss of income due to the COVID-19 pandemic. This is a forecast for the risk of additional resources required for all SEN settings to maintain appropriate standards as schools reopen. It is assumed that any shortfall in the budgets at present will be met from the COVID-19 budget for costs and income losses.
Early Years	<u>Variation</u> £0.2m of COVID costs have been funded in the revised budget.
Budget £38.8m	
Variation breakeven	<u>Key Issues</u> The Early Years DSG is forecast to overspend by between £0.5 to £0.6m within year. There has been an increased take-up of SEN Inclusion Fund – which supports lower level SEN need in settings and a step change in the number of eligible 2 year olds. Options for managing the overspend will be discussed at Schools Forum in November, so this is reported as breakeven at this time.
RAG rating Red	
Outcomes Achieved Yes	
	<u>Financial Impact of COVID-19</u> A package of provider support of £1.3m was agreed in April 2020. Spend to date is estimated at £0.5m with a further £0.3m committed. The forecast for this year is currently £1.3m. The Covid costs relate to provider sustainability payments to early years settings to meet statutory need, including a forecast risk into the future. It also includes additional

opening (e.g. out of term-time), and key worker funding where children have been placed away from their usual setting.

It is assumed that any shortfall in the budgets at present will be met from the Covid-19 budget for costs and income losses.

Adult Services

A breakeven position is forecast for Adult Services against a budget of £196.4m.

The directorate forecast outturn includes **£7.5m** of costs relating to COVID-19, an increase of £0.6m from the previous month.

Better Care Fund Pool	<u>Variation</u> A breakeven position is forecast for the pool. No change from the previous month.
Budget £81.8m	
Variation breakeven	<u>Financial Impact of COVID-19</u> Included in the breakeven position is £4.2m of expenditure relating to costs arising from the COVID-19 pandemic.
RAG rating Green	These include a 10% payment made to contracted care providers in April, May and June 2020.
Outcomes Achieved Yes	Because of a reduction in demand for care home placements there has also been a £0.4m increase in the forecast cost of vacant beds vacancies within the council's block contract arrangements.
	<u>Key Issues</u> The pool combines health and social care expenditure on care homes, activity relating to hospital avoidance and prevention and early support activities for older people and adults with physical disabilities.
	The existing arrangements for the Hospital Discharge Scheme 1 ended on 31 August 2020, with a requirement to move everyone currently funded by the scheme onto business as usual arrangements by 31 March 2021.
	New arrangements for hospital discharges from 1 September 2020 onwards, which support the provision of care for a period of up to six weeks until on-going care needs have been agreed, are now in operation. The funding for Hospital Discharge Scheme 2 is intended to support service activity that has been put in place specifically to support hospital discharge that is additional to business as usual provision, including for people who

would ordinarily be self – funders, so is more limited than for Scheme 1.

Although the underlying level of demand for care home placements has reduced in 2020/21, activity has remained fairly stable since last month. However, the people leaving the service during the month have been replaced by more expensive placements so forecast costs have increased. This increase is offset by an update to the forecast cost relating to Funded Nursing Care.

The forecast assumes that all the in-year savings agreed by Council in September will be achieved.

Adults with Care and Support Needs Pool

Variation

A breakeven position is forecast for the pool. No change from the previous month.

Budget £96.3m

Financial Impact of COVID-19

Variation breakeven

Included in the breakeven position is £2.0m of expenditure relating to costs arising from the COVID-19 pandemic.

RAG rating

Green

These include a 10% payment made to contracted social care providers in April, May and June 2020.

Outcomes Achieved

Yes

Key Issues

The pool supports a mix of health and social care needs for adults of working age with learning disabilities, acquired brain injury or mental health needs. So far, the COVID-19 pandemic has not increased demand in the pool, but this is continuing to be monitored.

The 2019/20 health contribution to the pool was £16.4m. Because Oxfordshire Clinical Commissioning Group have been working under a temporary financial regime because of the COVID-19 pandemic, it has not been possible to confirm the health contribution for 2020/21. Pending that update, expected late in October, the forecast assumes the 2020/21 contribution has been rolled forward at the same level as in 2019/20.

A £0.2m increase in the cost of people with mental health needs falling outside the scope of the Outcome Based Contract with Oxford Health Foundation Trust has been offset by a decrease in the forecast cost of services needed to support people with High Functioning Autism; two service users are now being recognised to be supported through the Outcomes Based Contract.

The forecast assumes that all the in-year savings agreed by Council in September will be achieved.

As part of the 2020/21 service and resource planning process £2.75m one-off funding was built into the budget to support pressures relating to Mental Health and Autism within Oxfordshire. Temporary funding arrangements put in place for NHS providers in response to the COVID-19 pandemic mean that some of this funding has not been needed and remains available to meet future pressures. £2.1m is requested to be moved into reserves for use in 2021/22.

Non-Pool Services

Variation

Budget £11.8m

A breakeven position is forecast for this service. No change from the previous month.

Variation breakeven

Financial Impact of COVID-19

RAG rating

Green

Included in the breakeven position is £1.3m of expenditure relating to costs arising from the COVID-19 pandemic. These include additional staffing costs and a contribution to Homelessness costs in Oxford City. This is an increase of £0.2m from the previous month to cover continuing Adult Social Care workforce pressures. The forecast assumes that this will be covered by the COVID 19 Budget for costs and income losses.

Outcomes Achieved

Yes

There is also a forecast loss of income of £0.1m due to the COVID-19 pandemic.

The forecast assumes that all the in-year savings agreed by Council in September will be achieved.

Commissioning

Variation

Budget £6.5m

A breakeven position is forecast for this service. No change from the previous month.

Variation breakeven

RAG rating

Green

Key Issues

The staffing element of the service is currently reporting a breakeven position although further work is needed to validate that.

Outcomes Achieved

- Yes

Public Health

A forecast breakeven position after the assumed use of the grant to fund Public Health eligible spend.

Variation

Breakeven against
£31.2m ringfenced
grant

Variation

A breakeven position is forecast for this service.

RAG rating

Green

There has been no increase in costs arising from the COVID-19 pandemic or loss of income due to the COVID-19 pandemic but there have been one-off savings due to reductions in service provision in line with national directives.

Outcomes Achieved

Yes

Key Issues

The forecast breakeven position is after taking account of £1.1m reductions in planned spend. This includes a **£1m** reduction in spend due to reduced activity in sexual health services due to COVID-19 together with expediting a move to home testing previously scheduled for 2021/22 and a further **£0.2m** reduction in spend on NHS health checks due to a mandated ceasing of the face to face service during the pandemic. There is also a **£0.2m** underspend relating to staff vacancies at the start of the year.

Offsetting these savings are cost pressures of **£0.1m** in residential rehabilitation for drug and alcohol users due to increased demand and **£0.2m** cost pressure related to additional requirement under the grant to fund NHS pay inflation in contracts.

Work is progressing to agree £1.1m of spend elsewhere in the council that contributes to Public Health outcomes and is eligible to be funded by the grant in 2020/21.

The council has received a £2.9m Test and Trace Service Support Grant to support the mitigation against and management of local outbreaks of COVID-19. To date there have been £1.5m of commitments recorded against this allocation.

Communities

£0.1m (0.1%) forecast underspend compared to a budget of £87.2m, no change to the financial position previously reported.

Planning & Place		<u>Change from previous report</u>
Budget £4.9m		There is no change to the financial position previously reported.
Variation £0.0m (0.0%) breakeven		<u>Financial Impact of COVID-19</u> There is a forecast loss of income of £0.1m of Section 38 income due to the COVID-19 pandemic. It is anticipated that most of the unachieved income will be recovered through the Sales, Fees and Charges Income Guarantee Scheme funded by MHCLG. The remaining pressure will be funded by the COVID-19 budget for costs and income losses.
RAG rating Green		
Outcomes Achieved Yes		
		<u>Key Issues</u> The breakeven financial position includes a shortfall on the Travel Planning team income target of £0.3m. In 2020/21 this will be mitigated through the use of Road Agreement income, however there could be a future impact next year. There is also a risk of increased costs due to planning appeals against South Oxfordshire District Council linked to the delay in the Local Plan adoption. This could amount of £0.350m across 2020/21 and 2021/22 depending on the appeal process outcomes.

Growth & Economy		<u>Change from previous report</u>
Budget £0.1m		There is no change to the financial position previously reported.
Variation £0.0m (0.0%) breakeven		<u>Key Issues</u> There is an on-going risk of a revenue pressure resulting from any reduction in the planned increase in capitalisation of salaries across Planning & Growth and/or not adopting new charge-out rates that do not accommodate service overheads, to support the planned increase cost of the Programme Office.
RAG rating Green		
Outcomes Achieved Yes		

Communities Management	<u>Change from previous report</u> There is no change to the financial position previously reported.
Budget £0.4m	
Variation £0.0m (0.0%) breakeven	<u>Financial Impact of COVID-19</u> Included in the breakeven position is £0.1m of COVID-19 related expenditure covering Communities Directorate. This primarily relates to costs associated with re-opening the Household Waste Recycling Centres.
RAG rating Green	
Outcomes Achieved Yes	<u>Key Issues</u> None to be reported
Community Operations	<u>Change from previous report</u> There is no change to the financial position previously reported. Although the income losses forecast as a result from the impact of COVID-19 have reduced.
Budget £57.9m	
Variation £0.0m (0.0%) breakeven	<u>Financial Impact of COVID-19</u> There is also a forecast loss of income of £3.0m of income due to the COVID-19 pandemic. This relates to parking and permit income (£1.9m), Supported Transport (£0.9m) and Waste Management (£0.2m). It is anticipated that most of the unachieved income will be recovered through the Sales, Fees and Charges Income Guarantee Scheme funded by MHCLG. The remaining £0.8m pressure will be funded by the COVID-19 budget for costs and income losses.
RAG rating Green	
Outcomes Achieved Yes	<u>Key Issues</u> The forecast for Waste Management remains breakeven, however, there are abnormal monthly fluctuations in spend, when compared to the seasonal trend and although this is being closely monitored the future forecast is likely to vary either up or down from the current prediction.
	At the time of writing this report, the recovery phase for Home to School Transport, is underway and the current forecast reflects Government Guidelines, which is largely a return to normal operations. A. The risk still remains however, that social distancing restrictions may be reintroduced later in the year.
	The cost of additional transport needed for a limited number of larger schools requiring an increase in routes to satisfy current social distancing rules, will be funded for the first 6-weeks of the new Academic Year, by a Government grant. The forecast outturn for Mainstream Home to School Transport assumes a breakeven position and for SEND a -£0.7m underspend is forecast. This underspend is due to

lower than expected growth and spend during - 2019/20 which was then built into the 2020/21 budget on an ongoing basis.

Community Safety

Change from previous report

Budget £24.0m

There is no change to the financial position previously reported.

Variation £0.1m
(0.4%) underspend

Financial Impact of COVID-19

Included in the breakeven position is £0.1m expenditure relates to the costs arising from the COVID-19 pandemic. These include equipment costs, secondments to Ambulance services.

RAG rating
Green

Outcomes Achieved
Yes

Key Issues

None to be reported.

Customers & Organisational Development

£0.3m (1.1%) forecast overspend compared to a budget of £27.0m, no change to the financial position previously reported.

Corporate Services

Change from previous report

Budget £2.0m

There is no change to the financial position previously reported.

Variation £0.0m (0%)
breakeven

Financial Impact of COVID-19

Included in the breakeven position is £0.2m of COVID-19 related expenditure covering COD Directorate. This includes staff costs for extending the Customer Service Centre operating hours, additional ICT needs to support home working, Occupational Health Assessments for non-school staff returning to work and Health & Safety costs for re-opening Libraries.

RAG rating
Green

Outcomes Achieved
Yes

Key Issues

None to be reported

Human Resources & Organisational Development Change from previous report
There is no change to the financial position previously reported.

Budget £2.4m Key Issues

Variation £0.0m The review of unfunded posts is complete, and a paper
(0.0%) breakeven presented to CEDR in September was agreed.

RAG rating
Green

Outcomes Achieved
Yes

Communications, Strategy & Insight Change from previous report
There is no change to the financial position previously reported.

Budget £2.5m

Variation £0.0m Financial Impact of COVID-19
(0.0%) breakeven There is a forecast loss of income of £0.02m due to the COVID-19 pandemic, relating to lack of provision of data assessment services. It is assumed that this pressure will be met from the COVID-19 budget for cost and income losses.

RAG rating
Green

Outcomes Achieved Key Issues
Yes None to be reported.

ICT & Digital Change from previous report
There is no change to the financial position previously reported.

Budget £9.7m

Variation £0.0m Key Issues
(0.0%) breakeven The service continues to work to meet its in year savings targets and delivery against the agreed IT strategy, recognising that some projects have been delayed due to the Covid pandemic and that the service is currently respond to increased demand.

RAG rating
Green

Outcomes Achieved
Yes

Culture & Customer Experience Change from previous report
There is no change to the financial position previously reported.

Budget £10.4m

Variation £0.3m (2.9%) overspend Financial Impact of COVID-19
Included in the above position is £1.9m of COVID-19 expenditure. These include the setting up and ongoing 'hibernation' costs of the Temporary Place of Rest facility.

RAG rating

Amber

Outcomes Achieved

No

There is also a forecast loss of income of £1.6m of income due to the COVID-19 pandemic. This relates to closure of public libraries (£0.2m), cessation of music lessons (£0.6m) and cessation of all ceremonies and other Registration services (£0.8m). It is anticipated that most of the unachieved income will be recovered through the Sales, Fees and Charges Income Guarantee Scheme funded by MHCLG. The remaining £0.4m pressure will be funded by the COVID-19 budget for costs and income losses.

Key Issues

Registration, Library and Music Services are gradually reopening and beginning to reintroduce chargeable services. It is likely that the services will continue to see less income than budgeted due to COVID19 restrictions and the ongoing effect of this is being closely monitored on a monthly basis

Commercial Development, Assets & Investment

£1.3m (4.0%) forecast underspend compared to a budget of £32.2m a change of - no change to the position previously reported.

Property & Community Facilities Management Change from previous report
There is no change to that reported in the previous financial report.

Budget £17.3m

Variation -£1.5m (8.7%) underspend Financial Impact of COVID-19
There is an underlying loss of income of £1.1m forecast due to the COVID-19 pandemic. This includes the loss of income on parent purchased meals across the Summer term and into the Autumn. It is anticipated that most of the unachieved income will be recovered through the Sales, Fees and Charges Income Guarantee Scheme funded by MHCLG. The remaining £0.3m pressure will be funded by the COVID-19 budget for costs and income losses.

RAG rating

Amber

Outcomes Achieved

Yes

Key Issues

None to be reported.

Law & Governance Change from previous report
An overspend of £0.2m is reported.

Budget £5.7m

Variation £0.2m Key Issues
(3.5%) overspend None

RAG rating

Amber

Outcomes Achieved

Yes

Finance & Procurement Change from previous report
There is no change to that reported in the previous financial report.

Budget £8.9m

Variation £0.0m Financial Impact of COVID-19
(0.0%) breakeven Included in the breakeven position is £1.3m of expenditure relates to the costs of PPE purchased in response to the COVID-19 pandemic. This central stock was for use across the Council to ensure all that all front-line workers met COVID-19 regulations.

RAG rating

Green

Outcomes Achieved

Yes

Key Issues

The Provision Cycle transformation is cross-directorate and the implementation of Hub and spokes will be subject to timing differences. Depending on the outcome of the Hub consultation and appointment to posts there could be an in-year pressure of up to £0.1m, this will be monitored and reported as appropriate.

Corporate Measures

General Balances	As set out in the table on Annex C -4 the current forecast for general balances at 31 March 2021 is £30.3m , compared to the position at 1 April 2020 of £28.7m . This position assumes that forecast Directorate underspend of £1.1m and the Strategic Measures underspend of £0.5m are returned to balances.
RAG rating Green	

Reserves	On the 31 March 2020 Earmarked Reserves totalled £102.9m. As set out in Annex 3 reserves are forecast to be £80.2m at 31 March 2021 a increase of £0.2m from last month. The change reflects a decrease of £0.2m in the High Needs Deficit Reserve.
RAG rating Green	

This position is after a transfer of £6.0m to a new Council Tax Collection Fund Reserve that is subject to agreement by Council 8 September 2020.

This includes a £22.7m deficit on the High Needs DSG grant reserve which reflects the forecast overspend of £11.7m during 2020/21. This is forecast to be carried forward to future years via earmarked reserves in accordance with recent clarification and guidance from DfE.

Grants	Government grants totalling £387.9m will be received by the Council during 2020/21. This is an increase of £6.9m since the position reported last month.
RAG rating Green	Changes this month include ringfenced grants relating to the second tranche of the Infection Control Grant (£6.3m) and the Food and Essential Supplies (Covid-19) Grant (£0.5m), both detailed below, and a grant from the DfE relating to Virtual School Headteacher (£0.1m).

Infection Control Grant

The first tranche of the Infection Control Grant of £7.3m (part of the £600m national total) was available to support providers with infection control measures from May to September 2020. This was required to be used to support adult social care providers to reduce the rate of COVID-19 transmission in and between care homes (75% of the grant total) and to support wider workforce resilience measures (25% of the grant).

As at 30 September, £5.4m was passed to care homes and £1.4m to domiciliary care providers to provide financial support with infection control measures. £0.4m was used to support external day time support providers to restart their services safely. Out of the total care home allocation £0.1m related to duplicate or dual registrations

Of the total passed to care homes, £0.1m was not spent on eligible activity and £0.2m had not been spent by the end of September. We are awaiting guidance from the Department of Health and Social Care (DHSC) about how these amounts should be handled.

A second tranche of Infection Control Grant of £6.3m (part of £546m national total) has been allocated to the council to reduce the rate of COVID-19

transmission within and between care settings. The conditions specify that 60% the grant needs to be passed to care homes and a further 20% to domiciliary care providers. 20% of the grant can be allocated at the discretion of the council in line with the relevant guidelines.

The council has received the first half of the grant, with the remainder expected to be available in December if the criteria have all been met. The funding is required to be fully spent by care providers by 31st March 2021. Each provider will be required to report on the use of the grant monthly from November onwards.

Food and Essential Supplies (Covid-19) Grant

A national £63m emergency scheme to support people who are struggling to afford food and other essentials due to COVID-19 was announced by government in June 2020. Details on the local allocation of £0.5m along with guidance on the purpose and use of the fund was published in July and the funding was received on 31 July. Guidance set out that government anticipated the funds would be utilised within 12 weeks.

The funding allocations have been made to upper tier authorities, but councils are expected to collaborate with partners to make most effective use of the funding in the interest of residents.

The Joint District Community Hub Working Group coordinates the Oxfordshire system's community engagement and support activity in relation to COVID-19 and this group was consulted to agree the approach to allocating the funding.

The majority of the funding was passed to the City and District Councils based on a formula that replicated the national allocation. Three County wide schemes also received funding:

Good Food Oxford - £15,000

- Coordination of Community Food Networks
- Design and deliver of a remotely delivered training package for volunteers at foodbanks and larders
- Second release of the Food Access Map to incorporate post code search facility by user location
- Training volunteer Cooking Tutors in local areas

Citizens Advice - £30,000

- A project run jointly between the County's Citizen Advice organisations to enhance and expand the existing Benefits in Practice advice service
 - The project will pilot a digitally enabled version of the *Benefits in Practice* project, building on existing objectives and established partnerships to
-

improve access to quality, free, independent advice to those in most need across the whole county.

- This will include
 - Digital access and coaching
 - County-wide referrals system
 - Evaluation

SOFEA - £7,500

- Support to continue the employment of a warehouse manager to manage additional volumes of goods through the crises period.
- Additional support to SOFEA will be available directly and through applications to VCS organisations that are customers of SOFEA supported to each of the City and District grant schemes.

Test and Trace Service Support Grant (£2.8m)

This grant is being used to support four pillars of activity agreed with the Health Protection Board:

- Surveillance to monitor COVID-19 activity
- Communication to minimise outbreaks
- Rapid testing in Oxfordshire
- Measures to interrupt transmission

To date there have been £1.5m of commitments recorded against this allocation.

Contain Outbreak Management Fund

This fund was established by the Department of Health and Social Care on 19 October 2020 to help local authorities put in place proactive containment and intervention measures. The funding will be paid to upper tier authorities with the expectation that it will be distributed to partners.

The grant allocations are linked to the Local COVID alert levels which were put in place on 12 October. Authorities at medium alert level will received funding of £1 per head of population. This increases to £3 per head for high alert areas and £8 per head for areas on very high alert.

Payments will be made on a one-off basis with a top up to higher levels of funding if local areas move into a higher alert category.

At the time of writing, the timing of payment of the grant is unknown. An update will be included in the next monitoring report.

Tranche 4 – COVID-19 Emergency Funding

On 21 October 2020, MHCLG announced the allocation of a fourth tranche of unringfenced funding to help local authorities manage the impact of additional costs and pressures. Of the total £1bn fund the Council’s allocation is £3.9m. This will take the total ringfenced funding received by the Council to 34.9m. The additional grant will be included in the next monitoring report.

Sales Fees and Charges Income Guarantee Scheme

The first claim has been submitted for the Sales, Fees and Charges Income Guarantee Scheme for income losses of £1.4m up to 31 July 2020. The scheme allows Councils to claim 75% of income losses against 95% of the relevant income budgets. At the time of writing the outcome of the application and timing of the grant payment is unknown. Two further claims will be submitted during 2020/21 with the final claim covering the period to 31 March 2021 and including a reconciliation of the total losses for the financial year.

**Medium
Term
Financial
Plan
Savings**

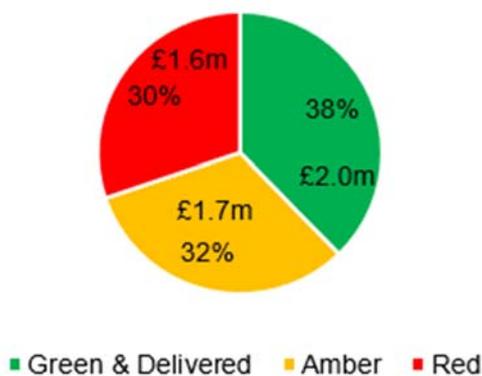
The 2020/21 budget agreed by Council in February 2020, includes planned savings of **£20.3m** of which £14.2m relates to Corporate saving plans and £6.1m relates to Directorate saving plans. Overall, 83.5% of these savings have been delivered or are forecast to be delivered by year end compared to the target of 95% set out in the budget agreed by Council in February 2020.

RAG rating
Red

£14.2m, 100%, of Corporate Savings Plans have been or are forecast to be delivered by year end.

**% of
savings
expected to
be achieved**
79.9%

Directorate Saving Plans



£2.0m, 38%, of Directorate savings plans have been or are forecast to be delivered by year end.

£1.7m, 32%, are assessed as amber and are at risk of not being delivered in full year.

A further £1.6m, 30% are assessed as red, and are not expected to be delivered in year. The majority of these savings relate to income

generation which has been affected by the Covid-19 pandemic.

The budget pressures arising from the non-delivery of savings form part of the Directorate positions reported above.

Some of the service redesign savings due to be achieved in 2020/21 have been temporarily funded as part of the in-year savings proposals. Permanent savings proposals will be included in the 2021/22 Budget and Business Planning process.

The Revised Budget agreed by Council on 8 September 2020 included additional one off savings proposals in 2020/21 of £14.9m. A significant proportion of the savings have already been delivered as a result of reduced activity up to 31 July 2020 as the Council put in place measures to comply with the Coronavirus Act, Health Protection Regulations and government guidance to manage the impact of the COVID-19 pandemic. The reported position assumes that 100% of the in year savings will be achieved by year end.

Strategic Measures

The table in Annex C - 4 sets out average in-house cash balances and average rates of return for September 2020. The current forecast outturn position for in house interest receivable is **£3.0m**, which is **£0.5m** above budget.

RAG rating
Green

External Fund dividends are paid quarterly. The forecast outturn position for external fund returns is **£3.1m**, which is a breakeven position. This is £0.8m below the original budget which has been reduced to reflect the impact of Covid-19 on the performance of the external funds.

Interest Payable is forecast to be in line with the budgeted figure of **£15.0m**. The performance indicators relating to treasury management activity are set out in Annex C-4.

On 8 September 2020 Council agreed to transfer £3.3m from the Corporate Contingency to support increased costs on the placement budget within Children's Social Care. The remaining £1.5m budget to fund the Green Book and Hay pay awards have now been agreed at 2.75%, 0.75% higher than the budgeted amount of 2%. Pay budgets relating to these pay awards will be increased in November to correspond with the payments being made to employees which will include a backdated increase to 1 April 2020.

The virements agreed by Council on 8 September 2020 included creating expenditure budgets to fund COVID-19 costs that had been incurred or committed to at the end of July. A virement covering the period to the end of October 2020 will be included in the next report. The total financial impact of COVID-19 is forecast to be £50.9m in 2020/21. If this remains unchanged, after taking account of additional funding, by the year end the COVID-19 Budget will be utilised in full. If there is insufficient funding in the COVID-19 Budget to meet costs or lost income, this will need to be met from general balances.

The current forecast of additional costs and lost income relating to COVID-19 for the financial year could change and we continue to revisit assumptions and implications as we move towards the autumn and winter.

As set out in the Corporate Debtors section below there is likely to be an increase in the debt impairment at the end of the year. This would need to be funded by Corporate Contingency or General Balances.

Debt and Loan Write Offs & Impairments The impact of Covid-19 on overall debt levels remains, as reported in previous months this is primarily linked to settlement of S106 invoices. Issues collecting income linked to financial hardship from both business and individuals accounts for £1.1m of the total debt balance. There is potential that aged and bad debt will be impacted at year end requiring additional funds to be added to top up the debtor impairment.

Corporate Debtors

RAG rating The average collection rate has started to return to pre-Covid 19 levels; in March 20 the rate was 93.7%. The collection rate based on the value of invoices for this period is 97.8%.

Red

Debt requiring impairment is slightly reduced this month but still well above target; as with last month the majority is linked to S106 arrears. As reported, collection of contributions was paused for these cases in line with government guidance; the service has agreed revised settlement dates on some schemes, however, some are still to be resolved. It is likely that these will not be settled before December. Performance Indicators for this area are set out in Annex C-4.

Debt and Loan Write Offs & Impairments The invoice collection rate continues to be stable with no material movement; as reported work is underway to meet the target rate by the end of the year. The Days Revenue outstanding has increased, this aligns with the increasing aged and bad debt.

– Adult Contribution to Care Charges Disruptions to case work are still in effect due to Covid-19 (C19) and levels of bad debt requiring impairment (DRI) have increased slightly for the third consecutive month; the current DRI balance is now £0.162m above the balance held.

RAG rating The ASC Income team are working through a detailed action plan linked to reducing the level of bad debt by year end. This includes escalating cases quickly to the cross-department debt panel (made up of management representatives from social care, safeguarding, finance, fraud). Progress has been made on several cases and learnings are being taken forward to inform process changes or staff training in both operational and finance teams.

Red

Performance Indicators for this area are set out in Annex C-4.

Business Management & Monitoring Report
Position to the end of September 2020
Budget Monitoring

Directorate	Net Budget (Latest Estimate)	Outturn Forecast Year End	Total Projected Year End Variance underspend- overspend+	Total Projected Year End Variance	Variance Last Month	Change in Variance	Projected Year End Traffic Light
	£000	£000	£000	%	£000	£000	Red > 1% Green on track
Children's Services	131,880	131,880	0	0.0%	0	0	G
Adults Services	196,432	196,432	0	0.0%	0	0	G
Public Health	0	0	0		0	0	
Communities	87,202	87,108	-94	-0.1%	-94	0	G
Customers & Organisational Development	26,953	27,253	300	1.1%	300	0	R
Commerical Development, Assets and Investments	32,192	30,892	-1,300	-4.0%	-1,300	0	R
Directorate Total Net	474,659	473,565	-1,094	-0.2%	-1,094	0	G

Business Management & Monitoring Report
Position to the end of September 2020
Budget Monitoring

Directorate	Net Budget (Latest Estimate)	Outturn Forecast Year End	Total Projected Year End Variance underspend- overspend+	Total Projected Year End Variance	Variance Last Month	Change in Variance	Projected Year End Traffic Light
	£000	£000	£000	%	£000	£000	Red > 1% Green on track
Contributions to (+)/from (-)reserves	-3,773	-3,773	0	0.0%		0	
Contribution to (+)/from(-) balances	4,591	6,185	1,594	34.7%	1,594	0	
Public Health Saving Recharge	-1,571	-1,571	0	0.0%		0	
Transformation Savings	-300	-300	0	0.0%		0	
Contingency	1,523	1,523	0	0.0%		0	
COVID-19 Contingency	18,267	18,267	0	0.0%		0	
Insurance	2,942	2,942	0	0.0%		0	
Capital Financing	24,077	24,077	0	0.0%		0	
Interest on Balances	-9,649	-10,149	-500	-5.2%	-500	0	
Strategic Measures Budget	36,107	37,201	1,094	3.0%	1,094	0	
Unringfenced Government Grants	-35,061	-35,061	0	0.0%		0	
Council Tax Surpluses	-8,589	-8,589	0	0.0%		0	
Business Rates Top-Up	-40,546	-40,546	0	0.0%		0	
Business Rates From District Councils	-35,125	-35,125	0	0.0%		0	
Council Tax Requirement	391,445	391,445	0	0.0%	0	0	

Business Management & Monitoring Report
Position to the end of September 2020
Budget Monitoring - Children's Services

		Net Budget (Latest Estimate)	Outturn Forecast Year End	Total Projected Year End Variance underspend- overspend+	Total Projected Year End Variance	Variance Last Month	Change in Variance	Projected Year End Traffic Light
		£000	£000	£000	%	£000	£000	Red > 1% Green on track
CEF1	Education & Learning	29,653	29,653	0	0.0%	0	0	G
CEF2	Children's Social Care	30,767	30,767	0	0.0%	0	0	G
CEF3	Children's Social Care Countywide	65,496	65,496	0	0.0%	0	0	G
CEF4	Schools	403	403	0	0.0%	0	0	G
CEF5	Children's Services Central Costs	5,561	5,561	0	0.0%	0	0	G
Directorate Total		131,880	131,880	0	0.0%	0	0	G

Business Management & Monitoring Report
Position to the end of September 2020
Budget Monitoring - Adult Services

		Net Budget (Latest Estimate)	Outturn Forecast Year End	Total Projected Year End Variance underspend- overspend+	Total Projected Year End Variance	Variance Last Month	Change in Variance	Projected Year End Traffic Light
		£000	£000	£000	%	£000	£000	Red > 1% Green on track
SCS1-1A	Better Care Pool	79,745	79,745	0	0.0%	0	0	G
SCS1-1B	Adults with Care and Support Needs Pool	98,362	98,362	0	0.0%	0	0	G
SCS1-2 to SCS1-9	Other Adult Social Care	11,839	11,839	0	0.0%	0	0	G
	Subtotal Adult Social Care	189,946	189,946	0	0.0%	0	0	G
SCS3	Commissioning	6,486	6,486	0	0.0%	0	0	G
Directorate Total		196,432	196,432	0	0.0%	0	0	G

Business Management & Monitoring Report
Position to the end of September 2020
Budget Monitoring - Public Health

	Net Budget (Latest Estimate)	Outturn Forecast Year End	Total Projected Year End Variance underspend- overspend+	Total Projected Year End Variance	Variance Last Month	Change in Variance	Projected Year End Traffic Light
	£000	£000	£000	%	£000	£000	Red > 1% Green on track
PH1& 2 Public Health Functions	30,607	30,607	0	0.0%	0	0	 G
PH3 Public Health Recharges	633	633	0	0.0%	0	0	 G
PH4 Grant Income	-31,240	-31,240	0	0.0%	0	0	 G
Transfer to Public Health Reserve	0	0	0	0.0%	0	0	 G
Directorate Total	0	0	0	0.0%	0	0	

Business Management & Monitoring Report
Position to the end of September 2020
Budget Monitoring - Communities

		Net Budget (Latest Estimate)	Outturn Forecast Year End	Total Projected Year End Variance underspend- overspend+	Total Projected Year End Variance	Variance Last Month	Change in Variance	Projected Year End Traffic Light
		£000	£000	£000	%	£000	£000	Red > 1% Green on track
PG1	Planning & Growth Management	0	0	0	0.0%	0	0	G
PG2	Planning & Place	4,862	4,862	0	0.0%	0	0	G
PG3	Growth & Economy	88	88	0	0.0%	0	0	G
Subtotal Planning & Growth		4,950	4,950	0	0.0%	0	0	
COM1	Communities Management	436	436	0	0.0%	0	0	G
COM2	Community Operations	57,852	57,852	0	0.0%	0	0	G
COM4	Community Safety	23,964	23,870	-94	-0.4%	-94	0	G
Subtotal Communities		82,252	82,158	-94	-0.1%	-94	0	G
Directorate Total		87,202	87,108	-94	-0.1%	-94	0	G

Business Management & Monitoring Report
Position to the end of September 2020
Budget Monitoring - Customers and Organisational Development

		Net Budget (Latest Estimate)	Outturn Forecast Year End	Total Projected Year End Variance underspend- overspend+	Total Projected Year End Variance	Variance Last Month	Change in Variance	Projected Year End Traffic Light
		£000	£000	£000	%	£000	£000	Red > 1% Green on track
COD1	Corporate Services	1,962	1,962	0	0.0%	0	0	G
COD2	Human Resources & Organisational Development	2,375	2,375	0	0.0%	0	0	G
COD3	Communications, Strategy & Insight	2,466	2,466	0	0.0%	0	0	G
COD4	ICT & Digital	9,736	9,736	0	0.0%	0	0	G
COD5	Culture & Customer Experience	10,414	10,714	300	2.9%	300	0	R
Directorate Total		26,953	27,253	300	1.1%	300	0	G

Business Management & Monitoring Report
Position to the end of September 2020
Budget Monitoring - Customers and Organisational Development

		Net Budget (Latest Estimate)	Outturn Forecast Year End	Total Projected Year End Variance underspend- overspend+	Forecast COVID-19 Variance	Forecast Business as Usual Variance	Total Projected Year End Variance	Variance Last Month	Change in Variance	Projected Year End Traffic Light
		£000	£000	£000	£000	£000	%	£000	£000	Red > 1% Green on track
CDAI1	Property, Investment & Facilities Management	17,311	15,811	-1,500	0	0	-8.7%	-1,500	0	R
CDAI2	Law & Governance	5,739	5,939	200	0	0	3.5%	200	0	R
CDAI3	Finance & Procurement	8,878	8,878	0	0	0	0.0%	0	0	G
CDAI4	CDAI Management Costs	264	264	0	0	0	0.0%	0	0	G
Directorate Total		32,192	30,892	-1,300	0	0	-4.0%	-1,300	0	G

Business Management & Monitoring Report: Children's Services
Position to the end of September 2020
Revenue Budget Monitoring

		BUDGET 2020/21		
		Original Budget	Movement to Date	Latest Estimate
		£000	£000	£000
CEF1	Education & Learning			
	Gross Expenditure	92,408	-2,248	90,160
	Gross Income	-61,899	1,392	-60,507
		30,509	-856	29,653
CEF2	Children's Social Care			
	Gross Expenditure	36,328	-3,320	33,008
	Gross Income	-3,260	1,019	-2,241
		33,068	-2,301	30,767
CEF3	Children's Social Care Countywide Services			
	Gross Expenditure	65,463	4,796	70,259
	Gross Income	-4,245	-518	-4,763
		61,218	4,278	65,496
CEF4	Schools			
	Gross Expenditure	190,476	-820	189,656
	Gross Income	-190,260	1,007	-189,253
		216	187	403
CEF5	Children's Services Central Costs			
	Gross Expenditure	6,182	-102	6,080
	Gross Income	-519	0	-519
		5,663	-102	5,561
	Expenditure Total	390,857	-1,694	389,163
	Income Total	-260,183	2,900	-257,283
	Total Children's Services Net Budget	130,674	1,206	131,880
MEMORANDUM: DEDICATED SCHOOLS GRANT - DSG Funded Expenditure (Gross)				
	Schools DSG	121,258	-4,193	117,065
	High Needs DSG	52,798	5,583	58,381
	Early Years DSG	37,375	1,378	38,753
	Central DSG	4,118	8	4,126
	Total Gross	215,549	2,776	218,325

Business Management & Monitoring Report: Children's Services
Position to the end of September 2020
Revenue Budget Monitoring

		BUDGET 2020/21		
		Original Budget	Movement to Date	Latest Estimate
		£000	£000	£000
SCS1	Adult Social Care			
SCS1-1A	Better Care Fund Pool Contribution			
	Gross Expenditure.	79,720	25	79,745
	Gross Income.	0	0	0
		79,720	25	79,745
SCS1-1B	Adults with Care and Support Needs Pool Contribution			
	Gross Expenditure.	95,358	3,004	98,362
	Gross Income.	-2	2	0
		95,356	3,006	98,362
SCS1-2 to SCS1-9	Other Adult Social Care Services			
	Gross Expenditure	32,914	-1,274	31,640
	Gross Income	-19,582	-219	-19,801
		13,332	-1,493	11,839
	Total Adult Social Care	188,408	1,538	189,946
SCS2	Commissioning			
	Gross Expenditure	6,700	1,097	7,797
	Gross Income	-1,061	-250	-1,311
	Total Commissioning	5,639	847	6,486
	Expenditure Total	214,692	2,852	217,544
	Income Total	-20,645	-467	-21,112
	Total Adult Services Net Budget	194,047	2,385	196,432

Business Management & Monitoring Report: Children's Services
Position to the end of September 2020
Revenue Budget Monitoring

		BUDGET 2020/21		
		Original Budget	Movement to Date	Latest Estimate
		£000	£000	£000
PH 1 & 2	Public Health Functions			
	Gross Expenditure	29,317	1,518	30,835
	Gross Income	-228	0	-228
		29,089	1,518	30,607
PH3	Public Health Recharges			
	Gross Expenditure	633	0	633
	Gross Income	0	0	0
		633	0	633
PH4	Grant Income			
	Gross Expenditure	0	0	0
	Gross Income	-29,722	-1,518	-31,240
		-29,722	-1,518	-31,240
	Expenditure Total	29,950	1,518	31,468
	Income Total	-29,950	-1,518	-31,468
	Total Public Health Net Budget	0	0	0

Business Management & Monitoring Report: Communities
Position to the end of September 2020
Revenue Budget Monitoring

		BUDGET 2020/21		
		Original Budget	Movement to Date	Latest Estimate
		£000	£000	£000
Planning & Growth				
PG1	Planning & Growth Management			
	Gross Expenditure	0	0	0
	Gross Income	0	0	0
		0	0	0
PG2	Planning & Place			
	Gross Expenditure	11,412	2,661	14,073
	Gross Income	-6,198	-3,013	-9,211
		5,214	-352	4,862
PG3	Growth & Economy			
	Gross Expenditure	625	0	625
	Gross Income	-537	0	-537
		88	0	88
Total Planning & Growth		5,302	-352	4,950

Business Management & Monitoring Report: Communities
Position to the end of September 2020
Revenue Budget Monitoring

		BUDGET 2020/21		
		Original Budget	Movement to Date	Latest Estimate
		£000	£000	£000
Communities				
COM1	Communities Management			
	Gross Expenditure	0	0	0
	Gross Income	0	0	0
		0	0	0
COM2	Community Operations			
	Gross Expenditure	100,345	2,461	102,806
	Gross Income	-41,386	-3,568	-44,954
		58,959	-1,107	57,852
COM4	Community Safety			
	Gross Expenditure	27,865	-1,074	26,791
	Gross Income	-3,120	293	-2,827
		24,745	-781	23,964
Total Communities		83,704	-1,452	82,252
Expenditure Total		140,247	4,484	144,731
Income Total		-51,241	-6,288	-57,529
Total Communities Net Budget		89,006	-1,804	87,202

Business Management & Monitoring Report: Communities
Position to the end of September 2020
Revenue Budget Monitoring

		BUDGET 2020/21		
		Original Budget	Movement to Date	Latest Estimate
		£000	£000	£000
COD1	Corporate Services			
	Gross Expenditure	1,751	211	1,962
	Gross Income	0	0	0
		1,751	211	1,962
COD2	Human Resources & Organisational Development			
	Gross Expenditure	3,621	-76	3,545
	Gross Income	-1,179	9	-1,170
		2,442	-67	2,375
COD3	Communications, Strategy & Insight			
	Gross Expenditure	4,127	-64	4,063
	Gross Income	-1,108	-489	-1,597
		3,019	-553	2,466
COD4	ICT & Digital			
	Gross Expenditure	11,531	-752	10,779
	Gross Income	-317	-726	-1,043
		11,214	-1,478	9,736
COD5	Culture & Customer Experience			
	Gross Expenditure	16,570	1,540	18,110
	Gross Income	-8,408	712	-7,696
		8,162	2,252	10,414
	Expenditure Total	37,600	859	38,459
	Income Total	-11,012	-494	-11,506
	Total Customers & Organisational Development Net Budget	26,588	365	26,953

Business Management & Monitoring Report: Commercial Development, Assets & Investment
Position to the end of September 2020
Revenue Budget Monitoring

		BUDGET 2020/21		
		Original Budget	Movement to Date	Latest Estimate
		£000	£000	£000
CDAI1	Property, Investment & Facilities Management			
	Gross Expenditure	30,532	-5,480	25,052
	Gross Income	-11,058	3,317	-7,741
	Total Property, Investment & Facilities Management	19,474	-2,163	17,311
CDAI2	Law & Governance			
	Gross Expenditure	6,637	-102	6,535
	Gross Income	-797	1	-797
	Total Law & Governance	5,840	-101	5,738
CDAI3	Finance & Procurement			
	Gross Expenditure	9,820	1,856	11,676
	Gross Income	-2,485	-313	-2,798
	Total Finance & Procurement	7,335	1,543	8,878
CDAI4	Finance & Procurement			
	Gross Expenditure	9,820	264	264
	Gross Income	-2,485	0	0
	Total Finance & Procurement	7,335	264	264
	Expenditure Total	56,809	-3,462	43,527
	Income Total	-16,825	3,005	-11,336
	Total Commercial Development, Assets & Investment Net Budget	39,984	-457	32,191

Business Management Report
Position to the end of September 2020

CABINET IS RECOMMENDED TO NOTE THE VIREMENTS AS DETAILED BELOW:

Directorate (CD = Cross Directorate)	Month of Cabinet meeting	Month of Directorate MMR	Narration	Budget Book Line	Service Area	Permanent / Temporary	Expenditure + increase / - decrease £000	Income - increase / + decrease £000
CS	Nov	Sep	Hn DSG Budget re allocation Jul 2020	CEF1-2	SEND	P	-1,167	1,167
			Family Solutions Plus Budget Creation	CEF4-1	Delegated Budgets	P	-825	825
				CEF2-1	Management & Central Costs	T	984	0
				CEF2-2	Social Care	T	-980	0
				CEF3-2	Safeguarding	T	89	0
				CEF3-4	Youth Offending Service	T	-34	0
				CEF5-1	Management, Admin & Central Support Service Recharges	T	-59	0
			Under 18's - Staff/Hsg Property Management contract & Rental contract	CEF2-2	Social Care	T	22	0
				CEF3-1	Corporate Parenting	T	-46	24
			Budget virement to setup the budget for the new YPSH Commissioned service for Support charges for 18 + young people	CEF2-2	Social Care	T	0	0
				CEF3-1	Corporate Parenting	T	444	-444
			Extension of the role of Virtual School Head grant Children In Care Council Allocation	CEF1-3	Learning & School Improvement	T	66	-66
				CEF3-2	Safeguarding	T	20	0
CEF5-1	Management, Admin & Central Support Service Recharges	T	-20	0				
COD	Nov	Sep	Funding for food and essential supplies proposal	COD3	Communications, Strategy & Insight	T	507	-507
COM	Nov	Sep	Additional Dedicated Home to School and College Transport Grant	COM2-2	Infrastructure Operations	T	519	-519
Grand Total							-480	480

Business Management & Monitoring Report - September 2020
Cabinet - 19 November 2020
Earmarked Reserves

	2020/21			Last reported forecast as at 31 March 2021 £000	Change in closing balance to last forecast £000	Commentary
	Balance at 1 April 2020 £000	Movement £000	Balance at 31 March 2021 £000			
Schools' Reserves	14,565	13	14,578	14,578	0	In accordance with the Education Reform Act 1988, the scheme of Local Management of Schools provides for the carry forward of individual schools surpluses and deficits. These reserves are committed to be spent on schools. Other School Reserves cover a number of miscellaneous education activities, including amounts loaned to individual schools against school reserves, and School Partnership Accounts which are operated in respect of inter-school activities, primarily relating
Vehicle and Equipment Reserve	2,871	-871	2,000	2,000	0	This reserve is to fund future replacements of vehicles and equipment.
*Grants and Contributions Reserve	21,415	-32,461	-11,046	-11,246	200	This reserve has been set up to hold unspent grants and contributions committed to be spent in future years. This includes the Dedicated Schools Grant and Public Health Grant
Government Initiatives	806	-605	201	201	0	This reserve is used to hold underspends on budgets funded by unringfenced grants held that relate to specific agreed outcomes or the implementation of Government initiatives.

Business Management & Monitoring Report - September 2020
Cabinet - 19 November 2020
Earmarked Reserves

	2020/21			Last reported forecast as at 31 March 2021 £000	Change in closing balance to last forecast £000	Commentary
	Balance at 1 April 2020 £000	Movement £000	Balance at 31 March 2021 £000			
Trading Accounts	542	-240	302	302	0	This reserve holds funds relating to traded activities to help manage investment.
Council Elections	531	218	749	749	0	This will be used to fund future elections. In years where no County Elections take place any underspend on the Council Elections budget will be transferred to this reserve.
Partnership Reserves	3,003	0	3,003	3,003	0	To be spent on OxLEP related project expenditure and the Growth Deal
On Street Car Parking	2,010	0	2,010	2,010	0	This surplus has arisen under the operation of the Road Traffic Regulation Act 1984 (section 55). The purposes for which these monies can be used are defined by statute.
Transformation Reserve	3,134	-934	2,200	2,200	0	£1.0m allocated over 2019/20 and 2020/21 to provide seed funding for locality based youth provision
Demographic Risk Reserve	3,000	3,000	6,000	6,000	0	In light of the significant pressures relating to High Needs DSG and other budgets with demographic volatility. This reserve will help to manage demographic risk.
Youth Provision Reserve	1,000	-1,000	0	0	0	This reserve is needed to fund the implementation costs of the Council's Transformation programme.
Budget Prioritisation Reserve	3,444	-1,459	1,985	1,985	0	This reserve is being used to support the implementation of the Council's priorities and the Medium Term Financial Plan.

Business Management & Monitoring Report - September 2020
Cabinet - 19 November 2020
Earmarked Reserves

	2020/21			Last reported forecast as at 31 March 2021 £000	Change in closing balance to last forecast £000	Commentary
	Balance at 1 April 2020 £000	Movement £000	Balance at 31 March 2021 £000			
Insurance Reserve	11,392	-1,000	11,392	11,392	0	<p>This reserve covers the County Council for insurance claims that, based on the previous experience of the County Council, are likely to be received, as well as a number of insurance related issues.</p> <p>This reserve is to smooth the volatility of Business Rates income.</p> <p>This reserve has been established for the purpose of financing capital expenditure in future years.</p> <p>This reserve is being used to manage the cash flow implications of the variations to the Medium Term Financial Plan.</p>
Business Rates Reserve	1,049	0	1,049	1,049	0	
Capital Reserves	33,554	1,685	35,239	35,239	0	
Budget Equalisation Reserve	0	0	0	0	0	
Investment Pump Priming Reserve	0	2,000	2,000	2,000	0	
Council Tax Collection Fund Reserve	0	6,000	6,000	6,000	0	
Redundancy Reserve	548	2,000	2,548	2,548	0	
Total Reserves	102,864	-23,654	80,210	80,010	200	
*Includes DSG High Needs Deficit Reserv	-11,221	-11,500	-22,721			

General Balances

	£m	£m
General Balances at 31 March 2020		24.1
Planned contribution as per MTFP in 2020/21		4.6
General Balances at 1 April 2020		28.7
Directorate and Strategic Measures Underspend		1.6
Projected Level of General Balances at 31 March 2021		30.3
Risked Assessed Level of General Balances 2020/21		23.4

Strategic Measures

Month	Average cash balance	Average rate of return
September 2020	£396.24m	0.88%

Performance Indicator	Actual	Target
Average interest rate achieved in-house compared to treasury Management Budgeted Rate	0.88%	>=0.85%
Average Annualised Return achieved compared to Benchmark Rate* (Pooled Fund)	3.20%	>=3.75%

Debt and Loan Write Offs & Impairments - Corporate Debtors

Corporate Debtors

Performance Indicator	Target	July	August	September
Invoice collection rate	97.50%	89.20%	83.60%	92.20%
Avg. days outstanding	35	20	25	25
Debt requiring impairment	<£0.30m	£1.12m	£1.08m	£1.05m
Unsecure debt over 1 year	<£0.50m	£1.03m	£1.05m	£1.03m
Write offs as % of income YTD	<0.10%	0.00%	0.00%	0.00%

Adult Contribution to Care Charges

Performance Indicator	Target	July	August	September
Invoice collection rate	92.00%	90.60%	90.30%	90.30%
Avg. days outstanding	100	114	115	116
Debt requiring impairment	<£2.00m	£2.88m	£2.95m	£2.97m
Unsecure debt over 1 year	<£1.60m	£3.88m	£4.09m	£3.88m
Write offs as % of income YTD	<1.0%	0.17%	0.17%	0.88%