

**NORTH YORKSHIRE COUNTY COUNCIL****EXECUTIVE**

18 February 2019

**QUARTERLY PERFORMANCE AND BUDGET MONITORING REPORT****Joint Report of the Chief Executive and  
Corporate Director – Strategic Resources****EXECUTIVE SUMMARY****Background**

The Quarterly Performance and Budget Monitoring Report seeks to bring together key aspects of the County Council performance on a quarterly basis. The Summary below captures the key points in this Quarterly update as set out in the main body of the attached report.

**Performance**

1. The in depth focus for the Quarter 3 Performance report is “Every child & young person has the best possible start in life”
2. The Quarter 4 report will focus on the ‘council plan ambition “Modern Council” and the annual review of Public Health performance.

**Revenue Budget 2019/20**

There is an overall projected net underspend of £6,419k against budget for 2019/20 (**paragraph 2.2.1**), however, this is primarily driven by savings within the corporate contingency budget which are offsetting the significant overspends in demand led services where the cost pressures experienced in 2018/19 continue. The key drivers of the financial position are set out below:

1. There continues to be significant financial pressures within demand led services, especially within Health and Adult Services, where £1m of HAS Corporate Contingency has had to be deployed to help alleviate the in-year pressure (£7m) predominantly on care and support budgets.
2. There continues to be significant financial pressures in Children and Young People’s Services, despite an additional £10m growth built into the 2019/20 budget, the majority of which was for Children and Young People’s Services.
3. There are savings in Business & Environment Services and Corporate Miscellaneous budgets which more than offset the in-year overspending pressure but not all of these are recurring savings.
4. A breakdown of each Directorates forecast variance is provided in **Appendices B to F** with the financial position for NYES provided in **Appendix G**.
5. Actions are being taken in order to address the budget pressures in service areas as well as investigating further opportunities for savings. Work is currently concentrated in three main areas, focussed reviews, service plans and transformation programmes.

## Capital Plan

1. An updated (Quarter 3 2019/20 to 31 December 2019) Capital Plan was reported to Executive on 4 February 2020 as part of the Budget Report for 2020/21.

## Annual Treasury Management and Prudential Indicators

1. External debt stood at £274.1m at 31 December 2019. The average interest rate of this debt was 4.38% (**paragraph 3.18**).
2. The forecast capital borrowing requirement for 2019/20 is £11.6m (**paragraph 3.20**) which will increase the internal borrowing position.
3. Investments outstanding at 31 December 2019 were £465.3m (£466.5m at 30 September 2019) of which £248.6m belonged to other organisations who are part of NYCC's investment pool arrangements, with a daily average balance of £498.4m up to Q3 of 2019/20 (**paragraphs 3.14 & Appendix A**).
4. For cash invested the average interest rate achieved in Q3 was 0.91% which exceeded the 7 day benchmark rate of 0.57% and was above bank rate of 0.75%. (**paragraph 3.14**).

RICHARD FLINTON  
Chief Executive

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County Hall  
Northallerton  
18 February 2019

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**North Yorkshire**  
County Council

# Executive Performance Report

**Quarter 3 • 2019/20**

Enter

Report produced by Strategy and Performance



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# Corporate Summary

## Focus on Best Start to Life

### Progress and Strengths

- **Timeliness of Early Help Service**

Since the introduction of the Early Help Service in March of 2019, the timeliness of referrals being allocated within 5 days has continued to improve. The rate currently stands at 99.4%.

- **Downward trend in demand for support**

Demand for support from the Children & Families Service is following a downward trend. At the end of Q3 the number of contacts has fallen by 2040 which is a 12% reduction compared to the same period last year.

- **Referrals to CSC have fallen**

Referrals to Children's Social Care have also fallen, and at 820 at the end of Q3 were lower than in any quarter since at the beginning of 2011/12 and 17% lower (n=139) compared to Q2.

- **Rates of re-referrals low**

The rate of re-referrals to Children's Social Care remains very low at 16.7% (n= 137). This is significantly better performance than nationally (22.6%) or across statistical neighbours (20.0%).

- **Timeliness of C&F Assessments**

98.5% of Children and Family Assessments were completed in 45 working days or less. This places North Yorkshire among the top 10% best performing LA in England.

- **Leaving Care performance**

Young People leaving care in North Yorkshire are more likely to be in suitable accommodation and in employment than is the case nationally. 91.4% (n=148) of care leavers aged 19, 20 or 21 are in suitable accommodation and 66% (n=107) are in employment, education or training, compared to 85% and 52% nationally.

- **Rate of first time entrants to Criminal Justice System**

The rate of young people entering the criminal justice system for the first time (i.e. the rate per 100,000) is currently lower than national and regional rates. 201 in North Yorkshire, 222 regionally (Yorkshire and the Humber) and 224 nationally.

- **Permanent exclusions**

Numbers of permanent exclusions from education are significantly down on the same period last year. At the end of Q3 there were 26, compared to 34 at the same point last year.

- **Timeliness of EHC plans issued**

Timeliness of producing EHC plans continues to be well above national rates. In Q3 the rate was 87% (81 of 93), the most recent national figure is 58%.

- **GCSE attainment**

Attainment outcomes at Key Stage 4 in 2018/19 are better than national figure. Non-validated figures show that the average Attainment 8 score in North Yorkshire in 2018/19 was 48.6 compared to 46.7 nationally.

- **More children with SEN are educated in mainstream schools**

69% of children with a newly issued Education, Health and Care plan in 2019 were placed in a mainstream school in North Yorkshire, the current national rate is 60%.



# Corporate Summary

## Focus on Best Start to Life

|            |  |
|------------|--|
| Challenges | <ul style="list-style-type: none"> <li> <p>• <b>Second or Subsequent Child Protection Plans</b></p> <p>The rate of second or subsequent Child Protection Plans has risen to 29% (n= 33) this quarter.</p> </li> <li> <p>• <b>The Timeliness of Health Assessments</b></p> <p>The timeliness of health assessment for LAC services fell from 85.3% (n=312) at Q2 to 81.5% (n=300) at Q3. Almost 10% of children eligible for a health assessment are refusing one, which is affecting overall performance.</p> </li> <li> <p>• <b>Elective Home Education</b></p> <p>Children of school age recorded as being educated at home increased again this year. There were a total of 605 children at the end of Q3 2019/20, an increase of 13.9% compared to the end of Q3 2018/19 (531).</p> </li> <li> <p>• <b>EHC plans maintained by North Yorkshire continues to increase</b></p> <p>The number of Education, Health and Care plans (EHCp) maintained at the end of Q3 2019/20 (3057) is 10% higher than the same period of 2018/19 (2780). 32% of those children with a current EHC plan have a primary need of Autistic Spectrum Disorder (ASD). The proportion of children with an EHC plan in North Yorkshire schools has risen from 2.0% in 2016 to 2.5% in 2019, a faster rate of increase than nationally but still below the national benchmark of 3.1%.</p> </li> <li> <p>• <b>Home to school transport for SEN</b></p> <p>There were a total of 1097 children on SEND home to school transport at the end of November 2019 (most recent figures). This is up 3.7% on the 1054 at the end of Q2 2019/20.</p> </li> <li> <p>• <b>Attainment at Key Stage 2</b></p> <p>The percentage of children achieving the expected standard at Key Stage 2 in Reading, Writing and Maths (%RWM) in 2018/19 is lower than the rate nationally. Provisionally this is 63.3% in North Yorkshire schools, compared to an overall rate of 64.8% nationally.</p> </li> <li> <p>• <b>Attainment of disadvantaged children</b></p> <p>The attainment of children from disadvantaged backgrounds varies considerably across the county. For example, in 2018/19 the percentage of disadvantaged children achieving the expected standard at Key Stage 2 in Ryedale was 39.3, in North Yorkshire it was 45.0. Similarly, the average Attainment 8 score for disadvantaged children in Scarborough was 28.3, in North Yorkshire it was 34.9.</p> </li> <li> <p>• <b>Ofsted outcomes</b></p> <p>81.8% of Primary School pupils and 79.9% of Secondary School pupils attend a school judged as 'Good' or 'Outstanding' by Ofsted, compared to 81.7% of primary school pupils and 72.0% of Secondary School pupils across the Yorkshire and Humber region. A gap when compared to national outcomes persists at primary school, with 87.7% of primary school pupils in England being in a school rated 'Good' or 'Outstanding', the rate for secondary schools is 79.2%, as of the end of Quarter 3.</p> </li> </ul> |
|------------|--|



## Modern Council



|                        |   |
|------------------------|---|
| Progress and Strengths | <ul style="list-style-type: none"> <li>• 79% increase in website views over the past 12 months due to increased access to online services, promotion of the digital first strategy and increased search engine results attracting more people to the site.</li> <li>• Equivalent of 1 in 5 households now have an NYCC portal account.</li> <li>• For services that are on the Customer Portal, 83% of transactions are now on-line.</li> <li>• 1,300 devices upgraded from Windows 7 (which is now unsupported) to Windows 10 and a further 268 devices deployed.</li> </ul> |
| Challenges             | <ul style="list-style-type: none"> <li>• Despite a number of activities to promote apprenticeships, and 51 new apprentices starting in the quarter, drawing down the full spend against the apprenticeship levy against a very high target remains an ongoing challenge.</li> <li>• With the increased availability of on-line services, the use of the “contact us” function in the online portal will be analysed to identify if these could be usefully diverted elsewhere.</li> </ul>   |

## Growth



|                        |   |
|------------------------|---|
| Progress and Strengths | <ul style="list-style-type: none"> <li>• The Access Fund is promoting more active and sustainable travel in Harrogate, Scarborough and Skipton.</li> <li>• As a result of the Superfast North Yorkshire project, fibre based broadband coverage is now reaching 65% of properties in the county.</li> <li>• Work continues on the A1(M) Junction 47 project and the A59 at Kex Gill.</li> <li>• A further 8 organisations have signed up to the Workplace Wellbeing Award bringing the total to 35 organisations.</li> <li>• The work to support the aspiration for carbon neutrality is progressing including the development of a pathway tool to monitor the progress of the council to net zero.</li> </ul> |
| Challenges             | <ul style="list-style-type: none"> <li>• Growing issues with rail punctuality, timetable changes and reliability in the region.</li> <li>• A bid to the ERDF to fund electric vehicle charging points was unsuccessful and therefore the authority will need to look at alternative ways to fund this important work.</li> </ul>  |



## Healthy and Independent Living

|                                      |  |
|--------------------------------------|--|
| <p><b>Progress and Strengths</b></p> | <ul style="list-style-type: none"> <li>• The proportion of contacts diverted away from traditional social care support by the “front door” arrangements increased slightly in Q3 up from 77.8% to 78.1%, which is 45,661 contacts being diverted. This maintains the step-up in performance achieved since the start of 2019/20.</li> <li>• The prevent, reduce, delay elements of the social care pathway continue to show sustained growth. Referrals into the Care &amp; Support Team based in the contact centre are up by 22% (1,150) year on year. Living Well referrals are up by 64% (830) year on year, and the service continues to report high satisfaction ratings.</li> <li>• North Yorkshire achieved the government’s challenging target for reducing delayed transfers of care (DTOCs) attributable to social care in November after performance slipped in September and October. The November 2019 data showed the rate of social care delayed bed days had returned to 2.7 per 100,000 of population against a target of 2.9. The target has now been achieved in 10 of the last 12 months. The body of the report provides an explanation of what this means in terms of actual delayed days.</li> </ul> |
| <p><b>Challenges</b></p>             | <ul style="list-style-type: none"> <li>• 49.1% of residential/nursing placements for older people are above the authority’s approved rates. In Harrogate, 83% of placements for older people are above approved rates. Work continues on a number of market development initiatives, with a specific focus on the Harrogate area.</li> <li>• The average size of a personal budget, excluding service users with a learning disability, increased to £14.7K in Q3. The year on year increase reduced very slightly between quarters from 5.5% to 5.4%. Work is underway to embed strength-based reassessments for people in supported living settings and early work on strength-based reassessments for people supported by mental health teams is reducing the reliance on paid-for support.</li> <li>• Total DTOCs showed a marked reduction in November, down from 12.3 per 100,000 to 10.1. However, this remains higher than the government target of 9.5. The Transfer of Care Co-ordinators is now in place across the county and will be working closely with local hospitals to improve the transfer process and reduce delays across the whole system.</li> </ul>   |



# Focus on Council Ambition: 'Best Start to Life'

'Every child and young person has the best possible start in life'

## High level outcomes:

1. Education as our greatest liberator with high aspirations, opportunities and achievements.
2. A happy family life in strong families and vibrant communities.
3. A healthy start to life with safe and healthy lifestyles.

## Customer

### Level of demand

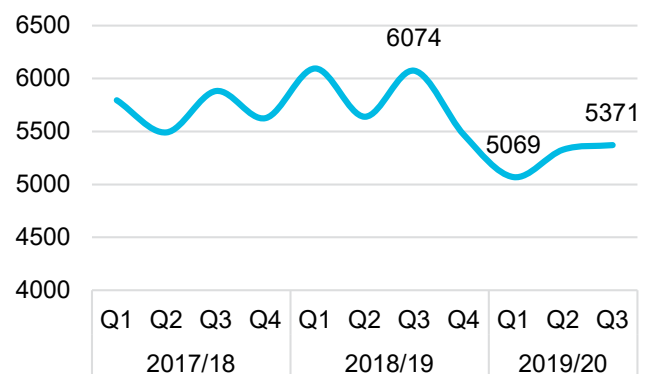
#### Children & Families

Throughout 2019/20 we have seen the emergence of a downward trend in demand for support from the Children & Families Service, and this has continued into this quarter.

Demand at the "front door" into the Multi-Agency Screening Team (MAST) remained stable this quarter in comparison to Q2 (5371 contacts in Q3 19/20, compared with 5328 contacts in the previous quarter). This is unusual, as we'd expect a seasonal "bounce" in the number of contacts received in Q3 (associated with the start of the new academic year). Seasonal comparison with Q3 last year highlights a 12% reduction in the number of contacts received this quarter, and across 2019/20 we have received 2040 fewer contacts than in the same period in 2018/19, which also corresponds to a 12% drop.

After three years of consistent growth in the number of contacts received, culminating in a quarterly average of 5821 contacts in 2018/19, the average number of contacts per quarter in 2019/20 has dropped to 5255, lower than in any of the three preceding years. The following chart illustrates the step change in the number of contacts over the last 3 quarters in comparison to the previous 8 quarters.

Chart: Contacts received by MAST – quarterly comparison



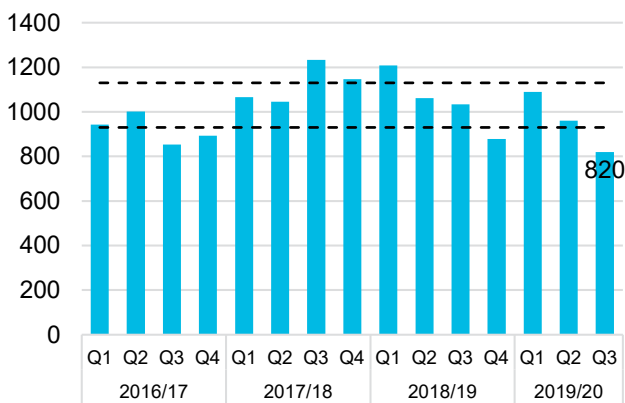
Whilst representing a welcome respite for services, this reduction in demand at the front door should be placed in context. The period from April 2017 to March 2019 saw unprecedented increases in demand for support from the Children & Families Service. During this period, the average number of contacts per quarter increased to 5759, which represents an increase of 7.3% (420 more contacts) in comparison with the quarterly average in 2016/17. The downward trend in demand that has emerged over the course of 2019/20 has alleviated some of the significant pressure on the service. However, it should be noted that with an average of 5256 contacts per quarter so far in 2019/20 this broadly represents a return to levels of demand that were considered typical three years ago.



### Children’s Social Care

The reduction in demand at the front door has played through to a reduction in referrals to Children’s Social Care, with 820 referrals this quarter. This is 17% lower (n= 139) compared to Q2 and for the year to date is down by 13% (n= 417) from the corresponding period in 2018/19. We have now seen the number of referrals fall for the second successive quarter, and it is likely that 2019/20 will see a lower number of referrals to Children’s Social Care than in 2018/19 or 2017/18.

Chart: Number of referrals to Children’s Social Care

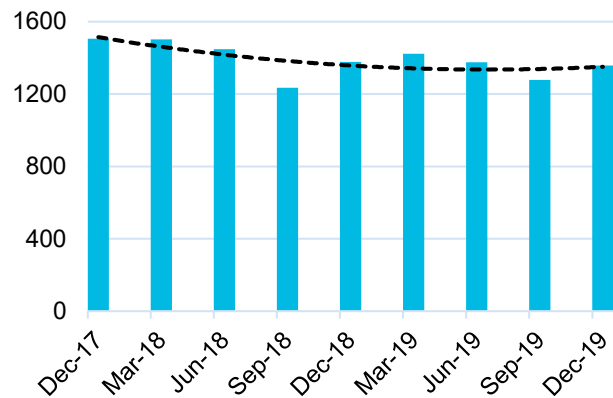


### Early Help

The number of open cases (Households) has decreased over the last two years (December 2017: 1,506; December 2018: 1,378; December 2019: 1,357). However, an increase has been seen in each of the last three months and the reduction in the number of Households open in December 2019 compared with 12 months earlier is now only 1.5%.

*This is the first quarterly increase since the introduction of the new Early Help structure in March 2019. The Service has been informed of this and the position going forward will be closely monitored.*

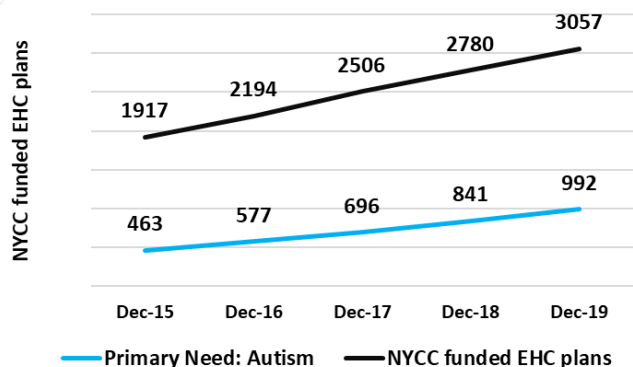
Chart: Early Help – Open cases (households)



### SEN demand

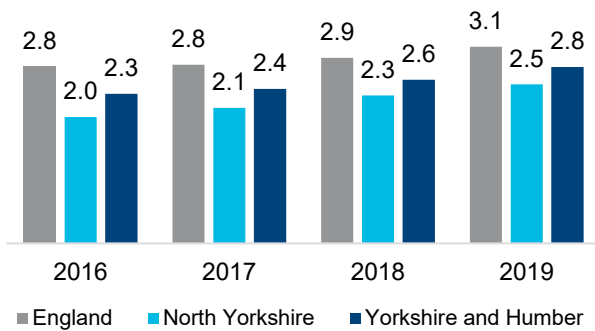
There were a total of 3057 North Yorkshire funded EHC plans at the end of Q3 2019/20, a 10% increase on the same point last year (2780). Since the introduction of the new SEND code of practice in 2014, there has been a 68% increase in EHC plans issued by North Yorkshire, compared to 58% regionally and 49% nationally from January of 2015 to January 2019.

Chart: Total EHC plans funded by North Yorkshire and number with a primary need of ASD



This increase has resulted in an increase in the proportion of the school population in North Yorkshire with an EHC plan, rising from 2.0% in 2016 to 2.5% in 2019, a faster rate of increase than nationally but still below the national benchmark of 3.1%.

Chart: % of school population with an EHC plan



The rise in demand comes in the context of a House of Commons select committee review of the impact the 2014 SEND reforms have had on addressing the special needs of children but also the consequential financial pressure on local authorities. In December 2018, the DfE offered temporary additional funding to North Yorkshire of £1.2 million. However, this was low considering an overspend of £6.1million in the SEND budget. The review, completed at the end of 2019, described SEND funding as being “completely inadequate” but it also identified a need for a culture change towards joint working across local authorities and partners.

The rise of children identified with SEN in North Yorkshire is partly as a result of working jointly with schools and services to better identify children’s special needs at an early stage. This was a strength identified by Ofsted in the most recent joint local area SEND inspection. The support to parents offered through a ‘single point of access’ service has also enabled swifter assessments, evidenced by the above national rate of timeliness for production of EHC plans and a current customer survey return of 88.7% of 230 parents to date feeling that they have been able to contribute fully to the production of their child’s EHC plan.

As is the case nationally, the most common reason for children receiving an EHC plan is diagnosis with Autistic Spectrum Disorder (ASD), currently making up 32% of the total number of North Yorkshire EHC plans.

The total number of new EHC plans issued in the first three quarters of the 2019/20 financial year was 370, a 12% increase on the same period in the previous year (n= 324).

### Customer feedback

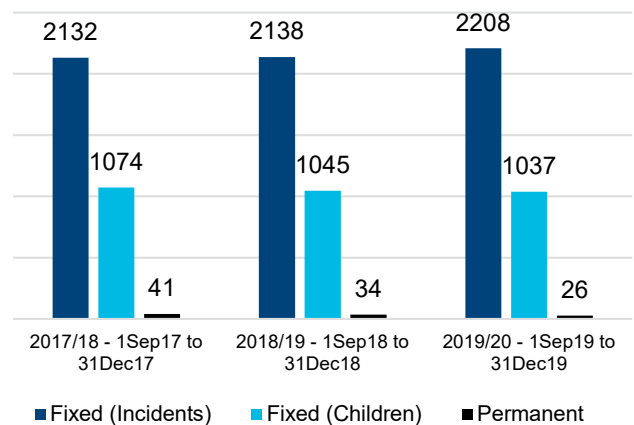
62 complaints were received in Quarter 3, the same number as Quarter 2. We have received one commendation for the No Wrong Door Service and 25 compliments related to support provided to families from Children & Families Service, Disabled Children and Young People’s Service, SEND support including Preparing for Adulthood and the Adult Learning Service. ([for more detail see appendix](#))

### Education as our greatest liberator with high aspirations, opportunities and achievements

#### Exclusions from education

There has been a 23.5% decrease in the number of permanent exclusions to the end of Quarter 3. In the 2019/20 academic year there were 26 permanent exclusions by 31st December compared to 34 in 2018/19. There has however been a slight increase in the number of fixed-period exclusions from 2138 to 2208 (+3.3%) in the same period.

Chart: Fixed-term exclusions (incidents and children excluded) and permanent exclusions from education in Q3 of each year shown



There is a commitment from CYPS to ensure that children remain in education which relies upon good communication with school leadership. This is evidenced through the steady reduction in permanent exclusions there has been since 2017/18 but there is also a focus on improving attendance and reducing the number of children on partial timetables. CYPS has identified initiatives such as the ladder of intervention which involves working with schools to identify children



with Social, Emotional and Mental Health difficulties and supporting them to embed positive change. CYPS has also applied approaches to improve behaviour in schools and initiated 'Thrive', which offers practical strategies to identifying a child's emotional development and provides action plans to improve behaviour.

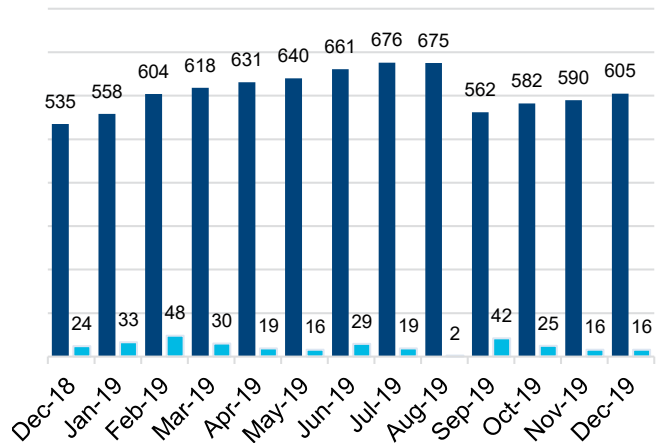
### Elective Home Education

There were a total of 605 children of school age being Electively Home Educated (EHE) in North Yorkshire at 31 December 2019, an increase from 531 for the same period 2018 (+13.9%). A total of 57 children became EHE in the Q3 period down from 81 for the same quarter of 18/19. In many cases a reason for a child being EHE is not recorded, as this is given at the discretion of the parent, of those children where a reason has been given the most prevalent reason was stress or anxiety at school (27%, 166) The next most common reason is 'religious or cultural' at 6% (38).

The Inclusive Education Service in CYPS provides specialist support to children identified as having underlying special needs which may contribute to anxiety at school. The service consists of educational psychology and social, emotional and mental health support, which can also offer advice to schools and parents. This collaborative approach to the special educational needs of children is provided with the goal of keeping children in school and supporting parents and providers before a child becomes disengaged from education or is 'off-rolled' from a school.

The most recent national figures for EHE come from the 2016/17 academic year which showed that approximately 0.5% of the English and Welsh school aged population were educated at home. The consensus is that this rate has increased in recent years. The rate in North Yorkshire as of the 2018/19 academic year is 0.7% (605).

Chart: Children of school age Electively Home Educated (EHE) in North Yorkshire and those becoming EHE in each month



### Placement of children with SEN

A higher than national rate of children with newly issued EHC plans in North Yorkshire is being placed in mainstream education. Of the 435 new EHC plans issued by North Yorkshire in the 2019 calendar year, 298 were placed in either a North Yorkshire maintained mainstream school or a mainstream Academy (69%) i.e. a primary or secondary school. This is higher than the most recent national rate (2018) for placement in mainstream establishments of 60% and higher than the regional rate of 65%.

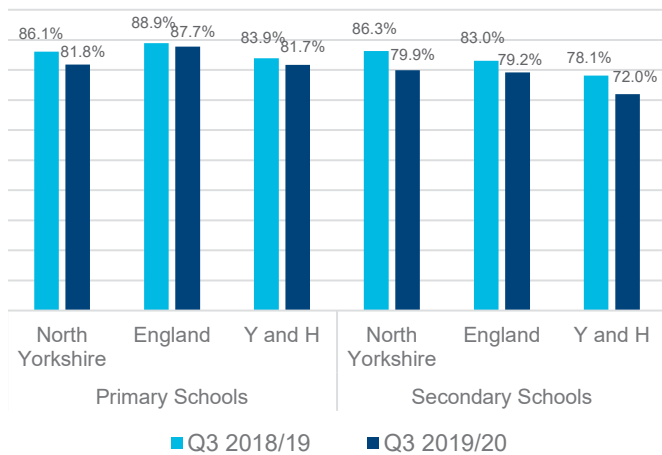
Higher rates of children placed in mainstream schools is indicative of a commitment to educate children with SEN in as local a setting as is feasible and with their peers where appropriate.

### Ofsted outcomes

81.8% of Primary School pupils and 79.9% of Secondary School pupils attend a school judged as good or outstanding by Ofsted compared to 81.7% of primary school pupils and 72.0% of Secondary School pupils across the Yorkshire and Humber region. This is a drop in this outcome across primary schools and secondary schools but this is in the context of Ofsted judgements with a 'Good' or 'Outstanding' outcome falling significantly through the country.



Chart: % of schools with an Ofsted outcome of 'Good' or 'Outstanding'



**Attainment in Education**

GCSE results (still to be validated) show that children in North Yorkshire schools performed better overall than their national peers. In 2018/19 the average attainment 8 score at Key Stage 4 in North Yorkshire was 48.6 (up from 48.5 in the previous year) compared to 46.7 nationally.

Chart: Average Attainment 8 score at Key Stage 4

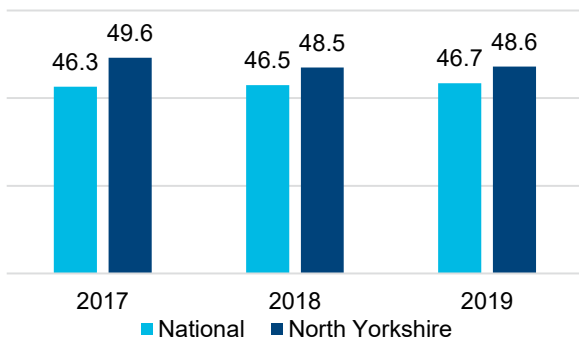
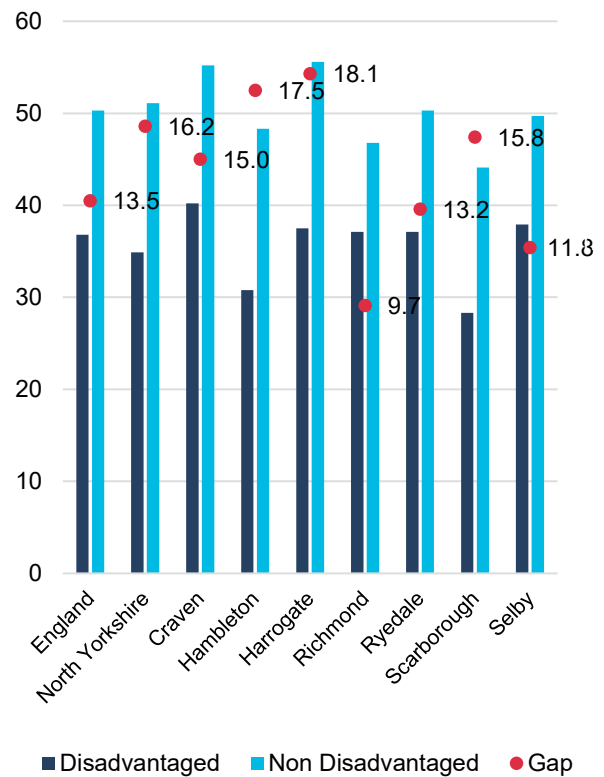


Chart: Average Attainment 8 score at Key Stage 4 – Disadvantaged and Non-Disadvantaged gap – 2018/19



The gap in the attainment of disadvantaged and non-disadvantaged cohorts in Key Stage 4 in the Scarborough district was amongst the lowest in the county at 15.8pp in 2018/19, Harrogate had the biggest gap at 18.1pp, it was also lower than the North Yorkshire gap as a whole (16.2pp). We however also must consider that the non-disadvantaged cohort in Scarborough had the lowest performance of the seven districts, 44.1% compared to 51.1% for North Yorkshire and 50.3% nationally.

In 2018/19 the proportion of children achieving the expected standard at Reading, Writing and Maths (%RWM) at Key Stage 2 in North Yorkshire was 63.3%, the rate nationally was 64.8%. The rate for schools varied across localities, in Harrogate for example, the rate was 68.3%, in Scarborough it was 55.7%. Schools with a higher level of children from disadvantaged backgrounds have been identified as having lower attainment than other schools. The North Yorkshire Coast opportunity area is a plan to improve social mobility in the area running from 2017 to 2020 with a recently announced extension into 2021, maths

and literacy in schools being amongst its key priorities. It has appeared to have had some impact, with the %RWM of children rising from 50.2% in 2017 to 56.9% in 2018 in Scarborough. The slight drop to 55.7% is despite an improvement in North Yorkshire as a whole from 62.2% in 2018 to 63.3% in 2019.

Similar to Key Stage 4 the gap in the attainment of disadvantaged and non-disadvantaged cohorts in Key Stage 2 in the Scarborough district was amongst the lowest in the county at 15.6pp in 2018/19 and was lower than the National gap (19.0pp) and North Yorkshire gap as a whole (20.4pp). We however also must consider that the non-disadvantaged cohort had the lowest performance of the seven districts, 59.9% compared to 65.4% in North Yorkshire and 68.8% nationally.

Chart: % of children achieving the expected standard at Reading, Writing and Maths (%RWM) at Key Stage 2

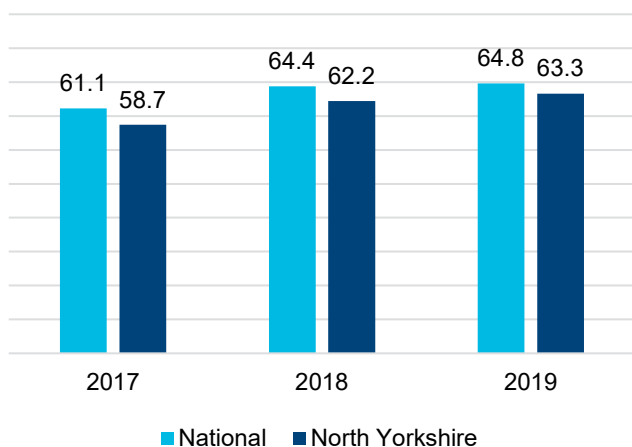


Chart: % of children achieving the expected standard at Reading, Writing and Maths (%RWM) at Key Stage 2 – District of school

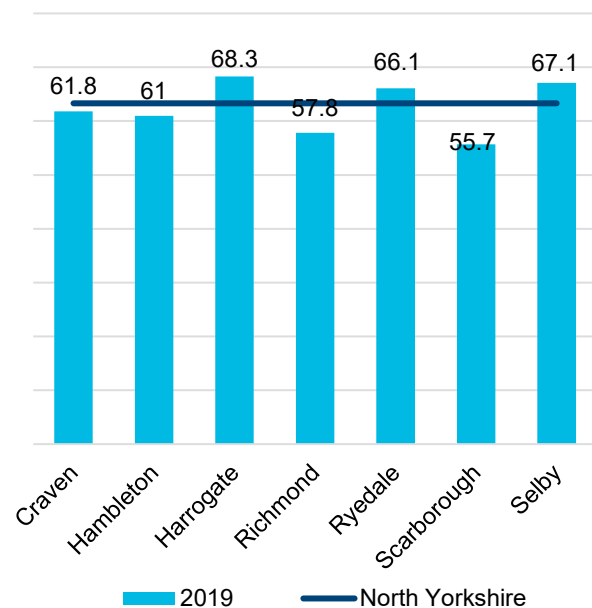
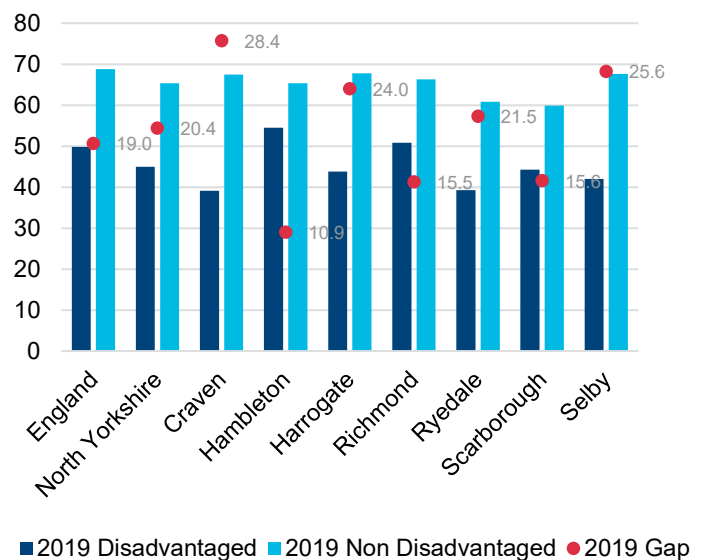


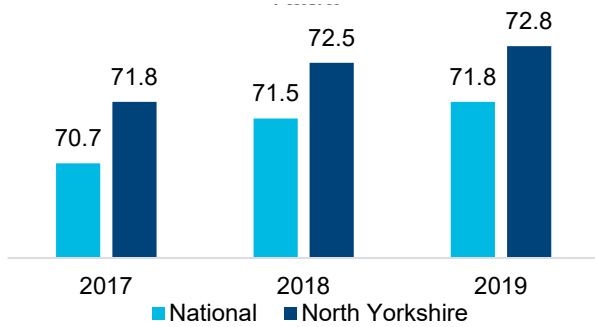
Chart: % of children achieving the expected standard at Reading, Writing and Maths (%RWM) at Key Stage 2 – District of school – Disadvantaged and Non-Disadvantaged gap – 2018/19



The rate of children achieving a Good Level of Development (%GLD) at Early Years continues to be above the national rate. In 2018/19 the rate was 72.8% (up from 72.5% in 2017/8). The rate nationally was 71.8%.



Chart: % of children achieving a Good Level of Development (%GLD) at Early Years Foundation Stage Profile (EYFSP)



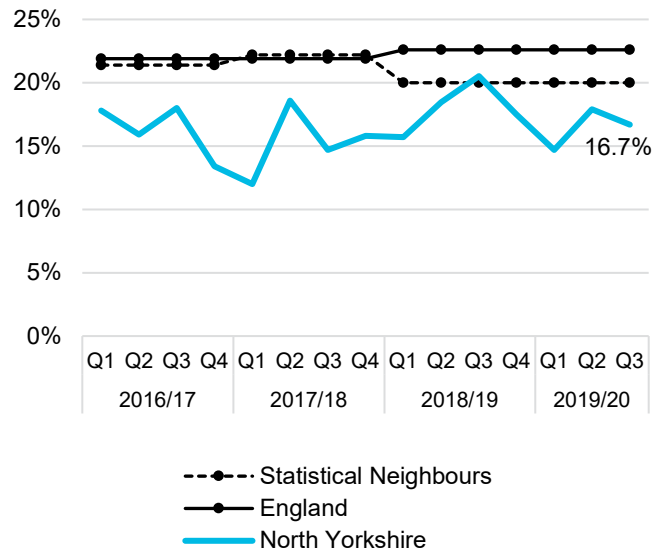
### Adult Education and Training

The final overall achievement rate for Education & Training Funded Learners at the end of academic year 2018/19 was 84.4% (leavers: 1901, achievers: 1599) and is up by 6.1% compared to 2017/18. This is a considerable improvement and highlights the progress that the adult learning service has made over the past year as it continues on its improvement journey. The current position for 2019/20 at Q3 is 65.4% (leavers: 133, achievers 87). This is slightly down compared to the same point last year.

### A happy family life in strong families and vibrant communities

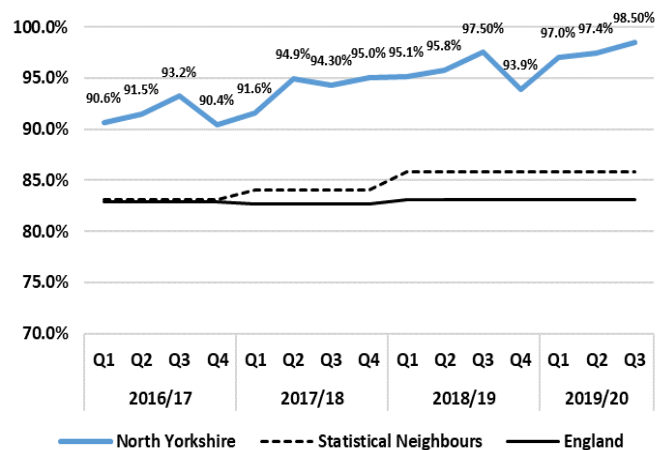
Performance across a range of measures relating to Children’s Social Care remains strong. Of particular note, the re-referral rate (a key measure) remains very low, with a rate of 16.7% recorded in Q3 (n= 137) and 16.3% for the year to date. This represents much stronger performance than that reported nationally or across statistical neighbours, which at the end of 2018/19 (most recent data available) stood at 22.6% nationally and averaged 20.0% across our statistical neighbours. Our performance highlights that in more than 4 out of every 5 cases involving Children’s Social Care, the service supports families to become self-sufficient in the longer term, and works with families to ensure root causes, as well as symptoms, of family dysfunction are tackled.

Chart: Rate of re-referrals to CSC by Quarter



Teams continue to deliver outstanding performance in terms of completion of children and family assessments within the statutory timescale, with 98.5% of assessments in Q3 completed within the specified 45 working days. This compares with 83% nationally and 86% across statistical neighbours. Analysis of the most recently available benchmarking data highlights we are among the 10% top performing LA nationally in respect of this KPI.

Chart: Proportion of C&F Assessments Completed in 45 Working Days



The number of children subject to a Child Protection Plan (CPP) fell by 8% this quarter to 354 (30 fewer than at the end of Q2). Following 7 quarters which saw considerable volatility in the number of open CPP, numbers have fluctuated between 349 and 384 over



the last 4 quarters and this represents a welcome return to stability and a much more typical number of children subject to a CPP.

Chart: Open Child Protection Plans (CPP) and quarterly trend

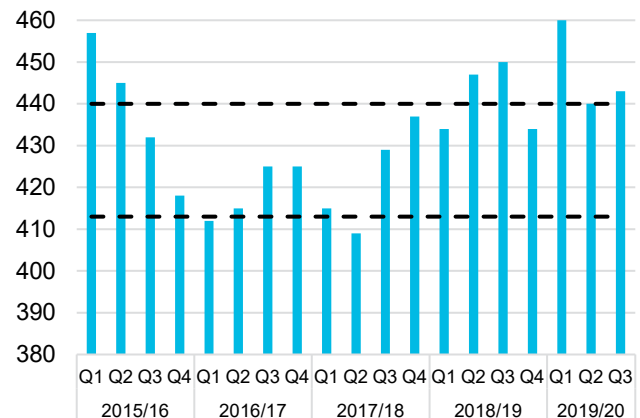


There has been an increase in the number and percentage of second or subsequent CPP. In Q3 there were 33 second or subsequent CPP, equating to 29% of all new CPP in the quarter. This is much higher than in Q2 (23 second or subsequent CPP, 17.8% of all new CPP). It is important to bear in mind that this measure captures any second or subsequent CPP, regardless of the time between CPP. For example, a child may have been subject to a protection plan in 2015, remained on that plan for 11 months until the family could provide a safe and stable home and not come to the attention of services until November this year and then had a protection plan put into place – that child would be captured within this statistic. Nevertheless, the service, supported by Strategy & Performance, will undertake a review of second or subsequent CPP to understand if there are any drivers or themes behind this increase.

Analysis of the proportion of assessments that are closed “no further action” highlights the effectiveness of the screening undertaken by MAST. So far this year 27% (785) of assessments were closed “no further action” – this contrasts with 29% nationally and across statistical neighbours, and compares favourably with the 30% (1033) of assessments closed “no further action” in North Yorkshire in the same period last year. This suggests that the MAST is ensuring that families are receiving the right support at the right time, based

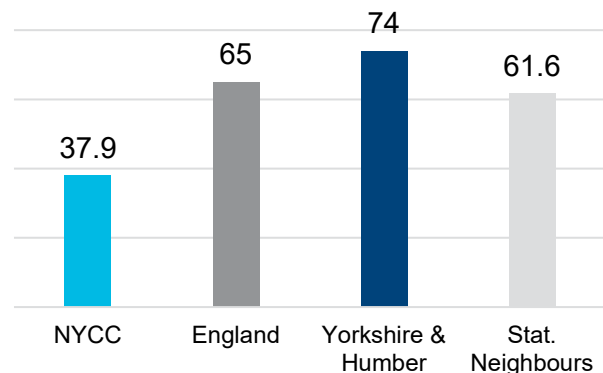
on the information available when cases arrive at the “front door”.

Chart: Number of LAC at Quarter



Having seen a decrease in the number of children in care last Quarter, down to 440, this Quarter has seen a slight increase, up to 443. Whilst this is up from 428 at the end of Quarter 2 2017/18, compared to the same point last year, we have seen the number of children in our care reduce from 452 in December 2018. Over year to date (between 1st April 2019 and 31st December 2019), we have seen 119 admissions to care compared to 99 discharges – it is this deficit between admissions and discharges that has driven the increase in LAC numbers over the current financial year from 434 at the end of 2018/19.

Chart: Looked after Children per 10k



Whilst our LAC numbers are relatively high in ‘traditional’ North Yorkshire terms, looking outwardly, our rate per 10,000 children (0-17 years old) remains very low in relation to our statistical neighbours (61.6 per 10k), regional neighbours (74 per 10k) and the latest national average (65 per 10k) at 37.9 per 10k.

The timeliness of Health Assessments remains something of a challenge for LAC services in North Yorkshire, falling from 85.3% at the end of Quarter 2 2019/20 to 81.5% at the end of Quarter 3 – compared to 88% at the end of Quarter 3 2018/19. Whilst the Christmas period may account for some of this, we know that almost 10% (9.22%) of eligible children refuse Health Assessments. Joint work between NYCC and health colleagues to improve both the uptake and timeliness of Health Assessments is underway.

Leaving Care Services continue to perform exceptionally well across the main indicators. This both highlights the excellent work that the Leaving Care Service is doing to support our Care Leavers and underlines the impact that the introduction of the Opportunities Team (through the Partners in Practice Programme) has had.

|   | North Yorkshire<br>– Q3 2019/20 | National –<br>2018/19 | Regional –<br>2018/19 | Statistical<br>Neighbourhood –<br>2018/19 |
|---|---------------------------------|-----------------------|-----------------------|---|
| <b>% Care Leavers in Suitable Accommodation</b>             | 91.40%                          | 85%                   | 87%                   | 89%                                       |
| <b>% Care Leavers in Employment, Education and Training</b> | 66%                             | 52%                   | 51%                   | 54.30%                                    |
| <b>% Care Leavers not in-touch with the LA</b>              | 3%                              | 7%                    | 5%                    | 6.80%                                     |

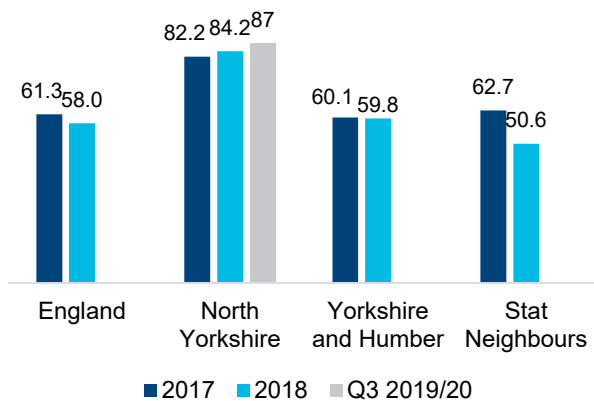


## Supporting children and young people with SEND

### Timeliness of new EHC plans issued continues to be high

The proportion of new EHC plans issued by North Yorkshire within the statutory 20 week timescale continues to be considerably better than national benchmarks. The timeliness rate to date for new EHC plans issued by North Yorkshire in 2019/20 was 90% and in Q3 it was 87%. A higher proportion than the most recent national figure of 58% and regional 60% in the 2018 calendar year.

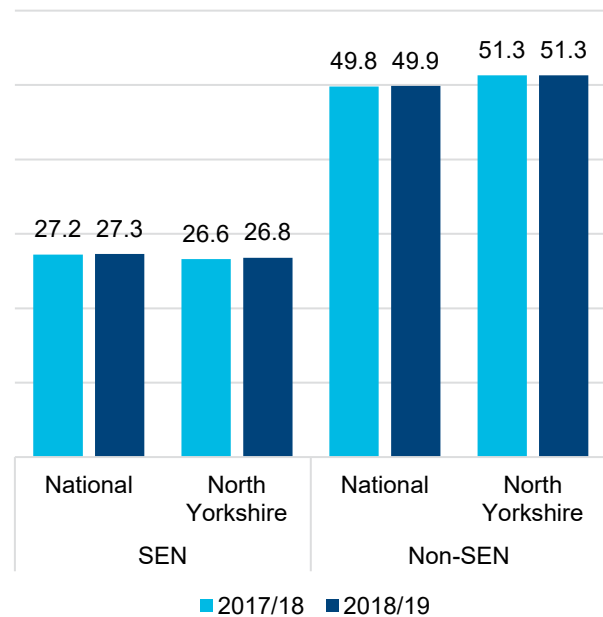
Chart: % of New EHC plans issued within 20 weeks



### Attainment of children with special educational needs (SEN)

Not yet validated data is showing that the gap in attainment between children with SEN and those without SEN at GCSE in 2018/19 has remained similar to 2017/18 both in North Yorkshire and Nationally. The average Attainment 8 score for children with SEN (either having an EHC plan or receiving SEN Support in school) was 26.8 compared to 51.3 for children without SEN, a gap of -24.5 compared to a gap of -24.7 in 2017/18. Nationally the gap was -22.6 in 2018/19 and -22.6 in 2017/18.

Chart: Average Attainment 8 outcomes of children with SEN and non-SEN



The recently published Strategic Plan for SEND Education provision has identified a path to improving outcomes for children with SEN, through:

- Ensuring a continuum of SEND education provision across the County
- Robust and local governance, accountability decision making and support
- Re-shaping the High Needs Budget

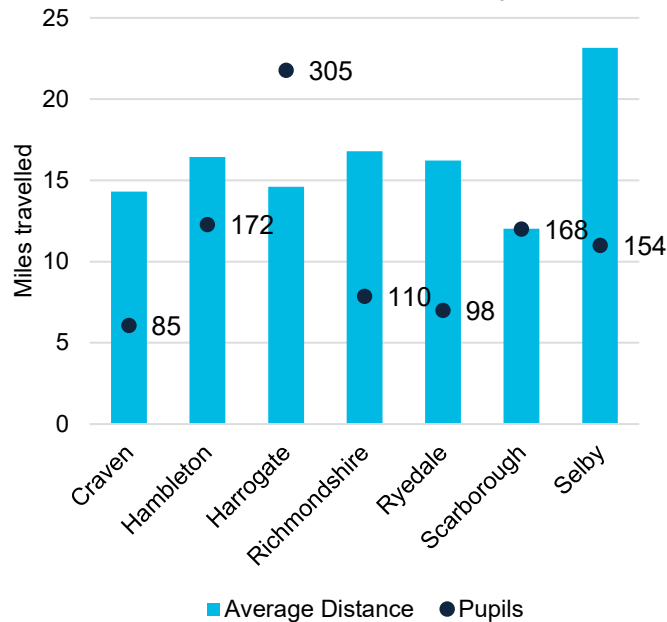
### SEND Home to School Transport

There were 1,097 children on SEND home to school transport at the end of November 2019 (most recent figures). This is up on the end of Q2 2019/20 (September, 1054). The total daily cost of SEND transport is currently £57,894 which is up by approximately £3700 since the end of Q2 (£54,182). However, the highest daily cost this year was £58,153 in June. This is a considerable increase (+ 83%) on the total daily cost at the end of 2014/15 of £31,778. This increase correlates with the 75% increase there has been in the number of EHC plans maintained by NYCC in the same period. As a response to the increasing demands, the total Home to School transport budget has increased from £4,873,700 in 2014/15 to £10,693,700 in 2019/20 (+119%).

The SEND strategy is ambitious about children with special needs being educated in a local setting. Where it is appropriate, children will be educated in a mainstream school and the locality based approach will have children being educated more locally as a core policy. The success of a bid for a special school in the Selby district will have an expected effect of reducing children from the area travelling longer than average distances. There are also novel approaches being undertaken such as travel training for children with special needs so they can learn the skill of using public transport independently.

The highest number of children on SEND transport are from the Harrogate district, 305 as of November 2019, travelling on average 14.6 miles to school. However, the district where children, on average, travel the furthest distance is Selby, 154 children travelling on average 23.1 miles to school.

Chart: Pupils on SEND Home to School transport (Q3 2019) and average distance travelled – from home district



## Healthy start to life

### Healthy Child Programme

The 0-5 service continues to perform at above national averages for universal core contacts. The service for 5-19 year-olds received 765 referrals in the fourth quarter of the academic year, of which more than two thirds (68%) were related to emotional health issues.

### Compass REACH

There were 243 referrals received by Compass REACH in Q1 2019/20 (latest data available). This is 45 more than Q4 2018/19 (198) and 81 more referrals than in the same quarter last year (162). This is a 50% increase year-on-year and will continue to be monitored.

Two-thirds of support demand is consistently across Harrogate and Scarborough areas, which have only 45% of the population aged under 20.



## National Child Measurement Programme

Rates of excess weight in children in Reception classes (age 4-5 years) increased for the third consecutive year and are now slightly higher than the England average, although the difference is not statistically significant. Within the county, Selby and Scarborough districts have rates which are significantly higher than England; all other districts are not significantly different from England.

|                        | 2014/15     | 2015/16     | 2016/17     | 2017/18     |              | 2018/19     |              |
|------------------------|-------------|-------------|-------------|-------------|--------------|-------------|--------------|
|                        | %           | %           | %           | %           | Number       | %           | Number       |
| England                | 21.9        | 22.1        | 22.6        | 22.4        |              | 22.6        |              |
| <b>North Yorkshire</b> | <b>21.1</b> | <b>20.6</b> | <b>21.2</b> | <b>22.3</b> | <b>1,239</b> | <b>23.4</b> | <b>1,223</b> |
| Selby                  | 19.8        | 20.7        | 20.2        | 23.0        | 224          | 26.4        | 247          |
| Scarborough            | 23.1        | 22.6        | 24.4        | 27.8        | 270          | 26.0        | 201          |
| Richmondshire          | 25.6        | 22          | 21.7        | 20.8        | 98           | 24.1        | 111          |
| Craven                 | 18.9        | 19.2        | 20.9        | 21.2        | 102          | 22.9        | 104          |
| Harrogate              | 20.5        | 19.4        | 19          | 21.1        | 302          | 22.2        | 314          |
| Ryedale                | 18.1        | 19.6        | 21.3        | 20.4        | 89           | 21.5        | 90           |
| Hambleton              | 21.6        | 20.9        | 22.1        | 19.4        | 154          | 20.0        | 156          |

Excess weight in children in Year 6 classes (age 10-11 years) is higher than for Reception classes but is significantly lower than England and reduced slightly from 2017/18. Rates in Harrogate, Richmondshire and Hambleton are all significantly lower than England; other districts are not significantly different from England.

|                        | 2014/15     | 2015/16     | 2016/17     | 2017/18     |              | 2018/19     |              |
|------------------------|-------------|-------------|-------------|-------------|--------------|-------------|--------------|
|                        | %           | %           | %           | %           | Number       | %           | Number       |
| England                | 33.2        | 34.2        | 34.2        | 34.3        |              | 34.3        |              |
| <b>North Yorkshire</b> | <b>30.1</b> | <b>29.5</b> | <b>30.6</b> | <b>31.6</b> | <b>1,697</b> | <b>30.6</b> | <b>1,688</b> |
| Selby                  | 31.4        | 31.9        | 31.4        | 32.2        | 290          | 33.8        | 321          |
| Scarborough            | 28.5        | 28          | 35.9        | 34.8        | 333          | 32.8        | 266          |
| Richmondshire          | 26.4        | 27          | 29.6        | 30.1        | 133          | 32.3        | 171          |
| Craven                 | 32.3        | 32.4        | 28.6        | 27.7        | 124          | 31.6        | 133          |
| Harrogate              | 34.5        | 30.6        | 29.1        | 31.2        | 227          | 30.8        | 257          |
| Ryedale                | 34.8        | 28.2        | 37          | 33.0        | 148          | 28.5        | 118          |
| Hambleton              | 26.6        | 29          | 26.6        | 30.6        | 442          | 27.3        | 422          |

### Healthy Choices Weight Management Service for children, young people and families

Activity for Q2 (latest data available) showed:

- 41 children & young people referred
- 40 contacted, 1 unable to contact
- 12 commenced the programme: all 12 currently active
- 19 awaiting enrolment
- 10 non-starters

Outcome measures show that the service exceeded 5 out of 9 targets but did not meet 3 targets:

- 57% from most deprived areas maintained or reduced weight at exit (target 65%)
- 66% reduced their sedentary time at exit (target 80%)
- 63% had improved self-esteem at exit (target 80%)

The service has been piloting a new, more frequent follow up support package (post-programme) in Scarborough which, so far, is having good results and is helping families to maintain or increase their weight loss. Running in a local community venue, this is a much more time-efficient way to deliver maintenance sessions.

### Oral Health

To date, 91 professionals (0-19 Healthy Child Team) have been trained to deliver oral health brief advice interventions. All 25 settings continue to receive their input, confirming stock levels and that supervised tooth brushing provision is continuing.



## Future Focus

- *We are continuing to work closely with Middlesbrough Borough Council as a trailblazer for the rollout of the innovative No Wrong Door as part of the Department for Education's Strengthening Families Protecting Children project.*
- *As the Partners in Practice funding comes to a close in March 2020, work is now in place to take the learning forward to inform wider practice and/or mainstream the elements of the project that have made a considerable impact.*
- *The school readiness pilot is intended to test the strategic approach and it is proposed that the wider roll out of the strategy will be incorporated in the 'Childhood Futures' transformation programme. The pilot will create local neighbourhood based partnerships to develop a range of locally led interventions across the 0-5 pathway. The focus of interventions will be on developing sounds and early speech with a consistency of approach in the home, settings and the community.*
- *Given the rise in Autism over the past year, work is on-going to ensure we are effectively meeting the needs of young people with autism in the most appropriate setting.*
- *Ongoing work by the Inclusion Service is implementing the Strategic Plan for SEND for children and young people with special educational needs and disabilities (SEND) between the ages of 0 to 25. The plan builds upon both the Council Plan and the Young and Yorkshire 2 Plan, with a focus on the principles of building on our inclusive culture and ethos, a joint commitment to accountability to children and young people and making sure the right support is provided at the right time and in the right place. The plan will run from 2018 to 2023.*
- *After meeting with North Yorkshire Schools Forum, and consulting with all schools, we have agreed to continue to use the National Funding Formula (NFF) as the basis for funding schools in 2019-20. This being said, there is uncertainty over funding arrangements for 2020-21. We remain concerned that the High Needs Funding Block of the Dedicated Schools Grant (DSG) is insufficient to meet rising needs and we are working to develop measures to ensure it has maximum impact.*





# Council Ambition: 'Modern Council'

We are a Modern Council which puts our customers at the heart of everything we do'

## High level outcomes:

1. Customers easily and effectively access the County Council services they need
2. More resilient, resourceful and confident communities co-producing with the County Council
3. We have a motivated and agile workforce working in modern and efficient ways
4. Staff and Councillors are supported by professional services to work in as effective and efficient a way as possible
5. We operate on a commercial basis, where this is prudent and appropriate, to deliver a return which supports service delivery.

## Customer feedback

17 stage 1 complaints were received this quarter, 16 less than last quarter. 1 complaint was received at stage 2. During the quarter Central Services also received 222 compliments, which although a reduction of 19 compared to the previous quarter is still very good, with a seasonal peak in Quarter 2 (the "Wedding Season") ([for more detail see appendix](#))

## Customers easily and effectively access the County Council services they need

### Website traffic

Improvements are constantly being carried out to the website and as a result the number of customers accessing the council's website is increasing.

## Of those views, the top ten pages were:

|                |                                      |
|----------------|--------------------------------------|
| <b>132,193</b> | Website home page                    |
| <b>116,550</b> | Jobs and careers                     |
| <b>59,846</b>  | Site search                          |
| <b>42,125</b>  | My Account                           |
| <b>38,112</b>  | School term/holidays                 |
| <b>32,544</b>  | Road cameras/weather                 |
| <b>30,484</b>  | Roadworks, closures & diversions     |
| <b>24,184</b>  | Libraries – browse and reserve items |
| <b>22,882</b>  | Apply for a school place             |
| <b>21,978</b>  | Roadworks map                        |

**3,171,731** views of webpages in Q3

**79%** increase on Q3 2018



The views of the website are 79% higher than the same period last year and have been increasing over the year. However, the top ten pages are much the same as previous years. The increase in the number of visits to the website is the result of a number of factors:

- a reflection of the general national trend of accessing services online.
- our digital first strategy and increased promotion.
- the additional online services that have been added but also more people browsing job categories and specific services.
- increased search engine results attracting more people to the site. The homepage which had 132,000 visits last quarter is down circa 60,000 hits a quarter year on year as people are now going directly to the content they want.
- the increased usage of the site results in more repeat visits.

### Customer portal

The portal continues to grow and at the end of December we had 57,109 customers with an NYCC account, equivalent of 21% of households. During Q3 we launched three new services;

- reporting grit bins;
- financial assessments for care; and
- a new contact us form for managing customer information enquiries, which enables us to ensure customers are directed to the right department, first time.

The online take up for services which are in the customer portal continues to grow. 83% (4,547) of all transactions which can currently be carried out using the portal used this method in December 2019. While 53% (4,084) of all requests for citizen services (managed by the CRC) came through the portal.

### Blue Badges

Communications and marketing campaigns are increasingly being used to proactively provide customers with the information that they need, to create awareness and to influence how customers interact with the council.

In October we ran a Blue Badge campaign encouraging people to go online to renew or apply for a blue badge. This is a continuation of a campaign we ran previously.



The Blue Badge campaign resulted in:

- 56,834 views on social media
- 14,995 web page views compared to 8,038 for the same period last year – an 87% increase

During the period 97% of applications were made online, maintaining the level of the previous quarter. The number of calls handled by the Service Delivery Team reduced by 51%, from 6,687 in 2018 to 3140 in 2019. This was at a time where badges issued increased slightly from 3,111 in Q3 2018 to 3,131 in Q3 2019 and the scheme has been extended to include the hidden disabilities.

The increase in online applications has created efficiencies for the Service Delivery Team who administer the Blue Badges, enabled them to manage the additional workload created by hidden disabilities, deliver customer requests quicker and improved the overall customer experience. Online applications mean that staff have everything that is needed: the information, supporting documents, photograph and payment. This means that staff no longer have to chase missing information or documents or to ask for payment. The eligibility check function within the online application in particular has helped as previously

around half of the customers applying would not complete the application but by that time staff had set up records, adding information from the application to the electronic record, checked other systems and chased the customer for more information.

## More resilient, resourceful and confident communities coproducing with the County Council

### Rural Commission

The independent Rural Commission, which has been established to give a fresh perspective on the challenges to our most rural communities and to find new ways to create opportunities for them to grow and prosper, held its first evidence session. The action plan and recommendations of the Commission, expected by summer 2020, will provide a refreshed evidence base for making North Yorkshire's case to the Government for increased support for our rural communities.

### Stronger communities

During the quarter the Stronger Communities programme:

- approved 34 new Inspire projects, including 26 groups new to the programme.
- Provided £9,969 worth of grant to support voluntary and community sector organisations to use 123 volunteers, of whom 42 were new recruits, to deliver 1,162 hours. This volunteering is worth £17,198 in value to these organisations.
- benefited 3,580 individuals

The contribution by volunteers to the council's service delivery is significant. Volunteers gave 1,014 hours to the Archives service and 38,664 hours to libraries in quarter 3 alone. Of the hours to the libraries around 40% were for council run libraries and 60% for community libraries. This is worth approximately £230,000 to the council and £350,000 to the community libraries.

### Communities and school readiness

The council, is one of eight councils which have been awarded £20k by the LGA for behavioural insight work. This project will aim to improve school readiness by encouraging more parents, families and community support networks to read with their children to assist with speech and language development.

The "Ready Communities" pilot which aims to improve outcomes for pre-school age children in relation to school readiness, was launched by Stronger Communities who are seeking one or two partners to work with community groups but also families, primarily on speech, language and communications development. There is a grant of £50,000 available to work in Ryedale (specifically the towns of Malton, Norton, Kirkbymoorside and Pickering) and East Whitby.

Access to books is essential in providing a good start in life to children. The number of under 5s who are members of the libraries and are active borrowers has grown from 2,615 in Q1 to 5,136 this quarter. This is in part due to the 379 activities for under 5s that have been held this quarter alone.

## We have a motivated and agile workforce working in modern and efficient ways

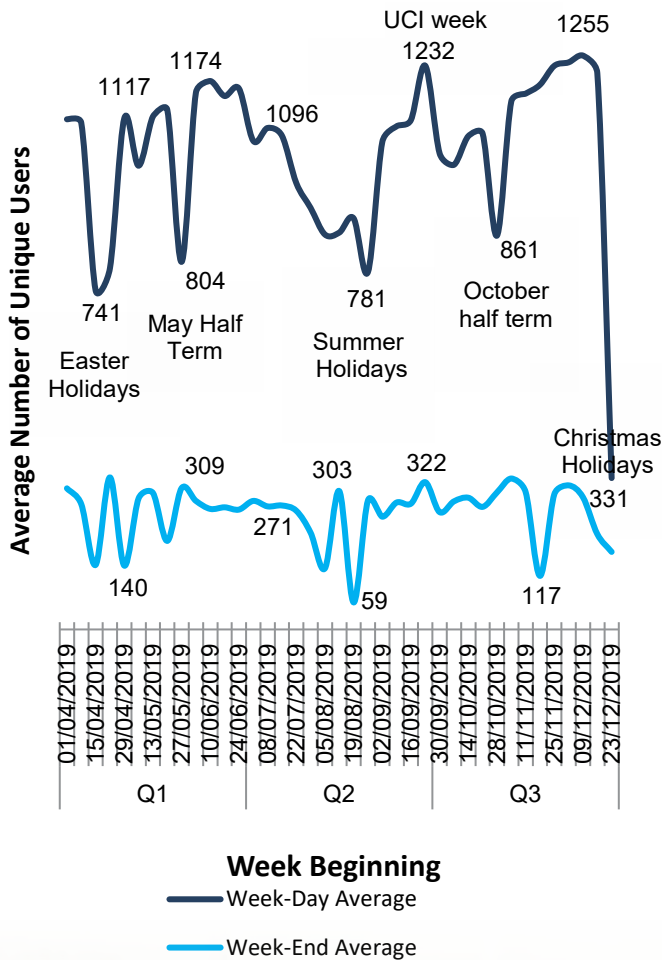
### Agile working

The modern council programme continues to enable staff to work flexibly, use our property efficiently and encourages cultural change across the council. This can be evidenced through remote working numbers, new ways of working, our property reduction and progress made on reducing our corporate resources.

During quarter 3, on an average weekday, 1,045 employees were using their laptops and tablets to work remotely, peaking at 1,255 (daily avg.) for the week commencing 9th December.

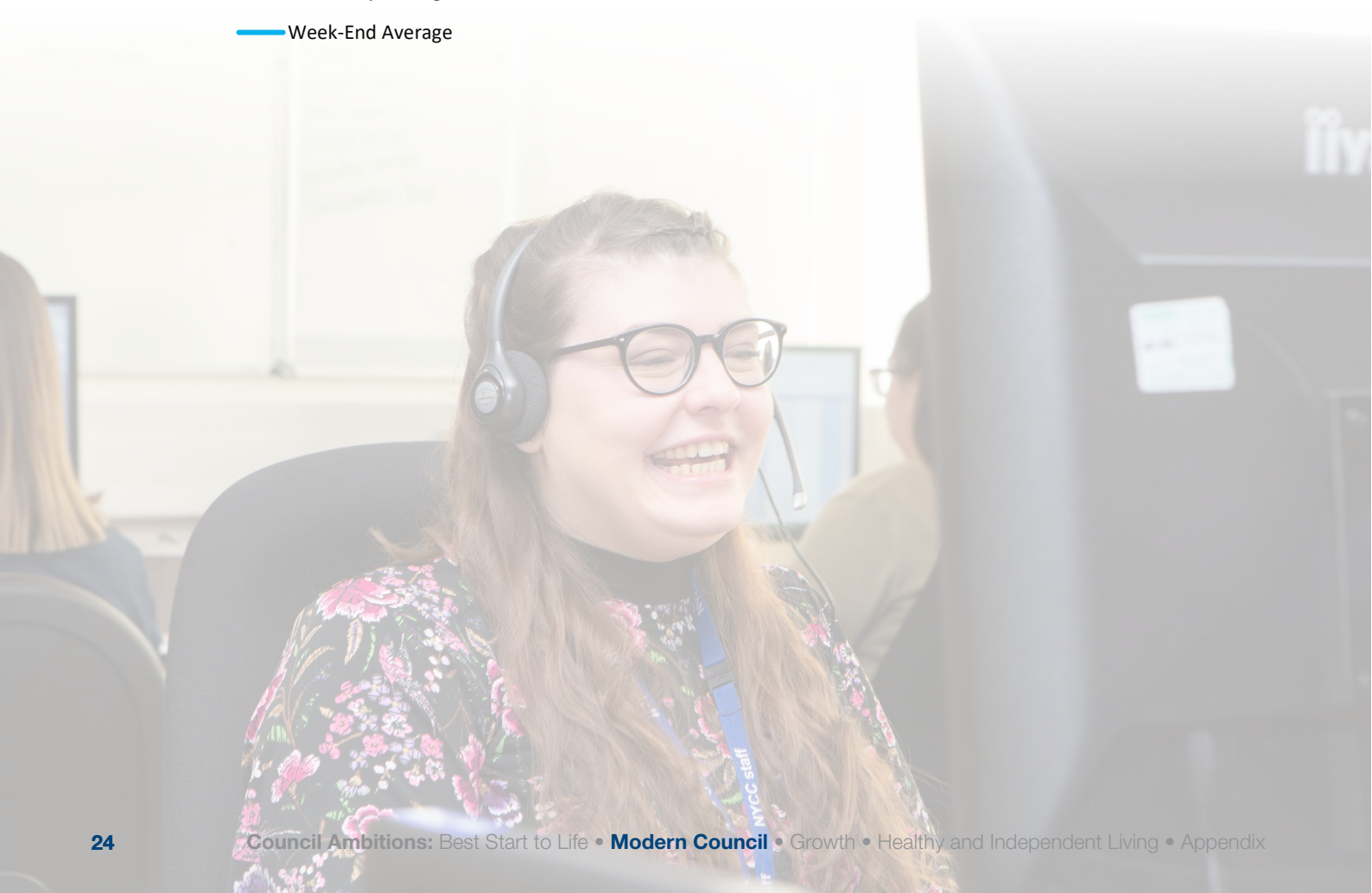


Chart: Staff working remotely – weekly average



There has been a noticeable dip (as would be expected) in users over the October half term and Christmas break. There was an average of 861 employees working from remote locations during the October half term and 331 during Christmas close down.

The average number of unique users on a Saturday or Sunday was 262 during the quarter (Q3), a rise compared to the average of 245 last quarter (Q2).






### Windows 10 upgrade

After 10 years, support for Windows 7 came to an end on January 14th. The result of this was that all devices on Windows 7 required an upgrade to Windows 10. The upgrade began in early September, and to date:

**1300** devices upgraded



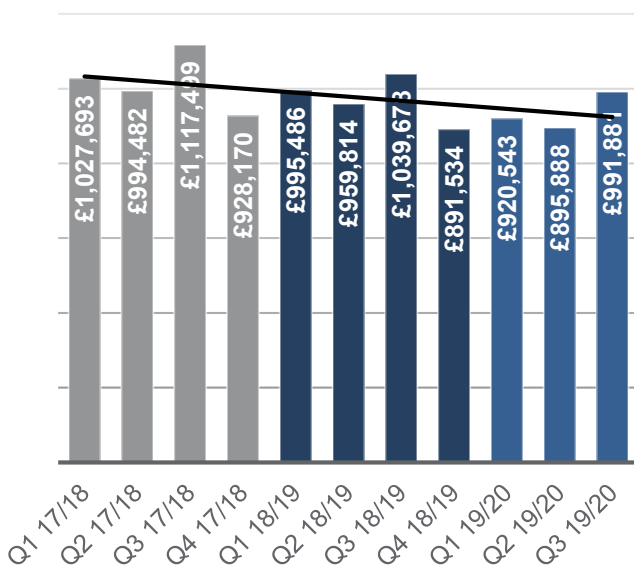
**268** new devices deployed

The upgrade to Windows 10 ensures comprehensive end-to-end security that covers antivirus, firewall, internet protections, and more. This means more security features, dashboard displays, and ongoing updates to help safeguard the Council against future threats.

### Mileage

Staff are encouraged to look for opportunities to reduce the use of corporate resources in areas such as mileage. Mileage amongst corporately employed staff remains high. However the graph demonstrates the general downward trend in mileage costs.

Chart: Mileage costs



There has been an increase in costs following Q2. However as shown by the graph it is normal for Q3 to be higher in terms of costs for mileage. This can be attributed to less staff taking annual leave following the summer holidays and therefore more staff are working during Q3.

Positively, when comparing this quarter (Q3 2019/20) to Q3 (2018/19) there has been a 5% (£47,797) reduction to mileage costs.

### Apprenticeships

In addition to the data in the appendix the focus in Q3 continues in progressing two key priorities for 2019/20;

1. Delivery of the 25% Transfer Levy with a focus on supporting North Yorkshire based employers delivering services in North Yorkshire and employers supporting the delivery of NYCC and North Yorkshire’s community services.

Engagement continues with Stronger Communities, the York, North Yorkshire, East Riding Local Enterprise Partnership (YNYER LEP) and Community First Yorkshire with work on the following potential opportunities and areas;

- The Scarborough Construction Skills Village – Coastal Communities Government Grant Funded Project, to support local residents into apprenticeships and jobs in the construction industry. The plan to support the project in partnership with Scarborough Borough Council has been agreed and is being progressed with identified receiving employers.
- District and Borough Councils – all councils have been engaged with to understand their levy status and any opportunities for joint working to support the local economy through levy transfer and engagement. Business Engagement teams in 5 of the 7 councils are actively marketing the County Council’s offer through discussions with their local SMEs.

- North Yorkshire based employers – the email sent to Councillors (19th September) at the request of the Members Workforce Planning Group for information, suggestions or contacts with local companies who may be able to make use of the County Council's apprentice levy resulted in 2 suggestions.
- These organisations have been contacted with further information but to date neither have applied for a transfer of levy funds.
- Health Education England (HEE) – the county council is supporting HEE's work with local providers on delivering the Level 5 Nursing Associate apprenticeship to nursing homes which can be used to support any local employer requiring levy transfer to support funding apprenticeships.

7 transfers to local employers are agreed, including Align Property Partners, 2 employers in the Care Sector, 1 Voluntary organisation, 2 in the Scarborough Constructions Skills Village and a small employer in the area of engineering at an estimated £132k levy transfer. Additional applications have been received from 8 other employers, 7 in the Scarborough Constructions Skills Village and 1 other at an estimated further £138k for Q4, a total of £270k in 2019/20.

Work continues with the communications team to develop a marketing strategy to promote apprenticeships and the transfer levy with other North Yorkshire projects and SME's. The Apprenticeship Transfer Levy internet page is now live and has been circulated to district and borough councils Business engagement teams and through LinkedIn.

## 2. Engagement with Schools to optimise levy spend.

School enquiries were quiet during Q3 but are expected to pick up after the School Finance Conference in February, similar to experiences following the 2019 conference. Enquiries tend to increase towards the end of the year as schools are interested in starts in the New Year period. Two new providers are in place to deliver the Teaching Assistant and School Business Professional Apprenticeships with 6 starts and more to follow in the New Year. Following interest in the Level 6 Post Graduate Teaching Apprenticeship 1 provider is in place to deliver this with the first learner starting in July. Work is continuing to update the information provided to schools through the CYPS.info website and will be promoted at the Schools Finance Conferences in February which is an opportunity to update schools on the latest apprenticeships available.

## Apprenticeship Awards and Recognition

NYCC, as reported at Q1 are holding an annual Apprenticeship Celebration Event on the 22nd April 2020 to recognise and reward apprentices who have completed their apprenticeship. 79 apprentices who are due to complete their apprenticeship will be invited to attend. Executive Members and the Members Workforce Planning Group representatives have also been invited.

The Chief Executive's award at this year's Innovation awards was Apprentice of the Year. The winner was a Business Administration apprentice who has gained a wide variety of transferrable skills throughout their apprenticeship which they use in the workplace and to support community projects. This has helped to raise thousands of pounds for their village. A further 2 apprentices were highly commended.

## Staff and Councillors are supported by professional services to work in as effective and efficient a way as possible

The Procurement and Contract Management Service continues to rise to the challenge of seeking to improve outcomes and deliver increased value for money from our spend, against the backdrop of increasing demand and reducing budgets. In the 19/20 financial year to date, through rigorous challenge of all procurement decisions, procedures and processes the service has delivered savings of £24,004.67, with a further £193,791.64 of savings secured.

The Procurement and Contract Management Service considers economic, social and environmental well-being within any procurement for contracts above the relevant Public Contract Regulation threshold and endeavours to not only meet these legal requirements, but exceed them, through consideration of Social Value within all procurement activity. The Council continues to work to increase the numbers of local suppliers, SMEs and those within the voluntary sector in our supply chains, contributing towards better Social Value outcomes.

|   | As at Q3     | End of year target |
|---|--------------|--------------------|
| % of total Council spend with local suppliers                 | <b>49%</b>   | <b>47%</b>         |
| % of total Council spend with SME suppliers                   | <b>56%</b>   | <b>44%</b>         |
| % total Council spend with the voluntary and community sector | <b>3.13%</b> | <b>8%</b>          |

The service continues to receive excellent feedback, in quarter 3:

**100%** of suppliers who believe doing business with the council is clear, applies appropriate process and is flexible

**100%** customer satisfaction rated "fully meets expectation" or above

## Future Focus

**Customer Programme:** The uses of the contact us function in the online portal are to be analysed to identify if these could be diverted elsewhere.



# Council Ambition: 'Growth'

'North Yorkshire is a place with a strong economy and a commitment to sustainable growth that enables our citizens to fulfil their ambitions and aspirations'

## High level outcomes:

1. A larger business base and increased number of good quality jobs in North Yorkshire.
2. People across the county have equal access to economic opportunities.
3. Increased overall average median wage.

The following Growth ambition uses, along with the Customer heading, the 7 Enablers outlined under the 'Business and Environmental Services Ambition for Growth' plan as its headings. Each were designed to underpin the above 'High level outcomes'.



## Customer

### Level of demand – Customer feedback

In Quarter 3 there were a total of 160 complaints received in relation to Business and Environmental Services, a decrease of 101 (53%) from the previous quarter. The drop follows a peak during Q2 which was partly caused by an increase in complaints related to the UCI World Championships. For the same period, the Directorate also received 63 compliments.

[\(For more detail see appendix\)](#)

### High quality places and increased housing provision

In October the Local Government North Yorkshire and York Leaders considered progress on the York, North Yorkshire, East Riding and Hull Spatial Framework. Minor amendments to the final version were agreed as was the process for releasing the Core Approach on individual Authority web sites once it is completed.

Work is underway on preparing Long Term Development Statements for the six Strategic Development Zones identified in the Spatial Framework.

As part of the Housing Investment Plan, NYCC has been working alongside Harrogate Borough Council, the Defence Infrastructure Organisation and Homes England on a proposal to redevelop Ripon Barracks



to create Clothholme Urban Village. The proposal includes provision for 1,300 dwellings, 2 hectares of employment land, a new primary school and community facilities.

Good progress continues to be made on the preparation and adoption of Local Plans across the county:

- Craven adopted its Local Plan in November 2019.
- Hambleton District Council and NYCC have been working on a Statement of Common Ground following consultation on the Publication Draft.
- Harrogate Borough Council is awaiting the Inspectors Report following the Examination Hearings and consultation on Main Modifications.
- Selby District Council has commenced work on a new Local Plan. Through the Better Together initiative NYCC officers are helping to establish a jointly prioritised pipeline of projects to support preparation of the plan.
- North York Moors National Park Authority is progressing through its Examination and Hearings.

## Modern integrated transport

Work continues on 2 major projects within North Yorkshire; the A1(M) Junction 47 project goes to tender in January with the main works planned to start before the end of March 2020 and some advance works undertaken in February. The main works are programmed to last 12 months.

Work on the A59 at Kex Gill is waiting for an imminent funding decision from the Department for Transport. The planning application has been submitted with a decision due at the end of March. Land negotiations are currently underway, and if there is no public inquiry, work could start on the site by summer 2020.

A final decision on the way forward with the Harrogate Congestion Study was taken by the Executive on 15th October. The Executive agreed not to proceed with any relief road option and to progress a series of other 'sustainable' transport measures. Development of this Harrogate Transport Improvements Package (HTIP) has just commenced and will include an innovative pilot schemes element which will allow the rapid implementation of experimental traffic management changes in the town.

The Major Schemes Review is now complete. A report was agreed by Executive on 25 June 2019. This identified revisions to the reserve list of major schemes and the highest priority schemes for potential future development.

Work continues to set-up everything that will be required for NY Highways to start operating from April 2021. NY Highways is the registered Teckal company which will deliver the operational highways maintenance services for NYCC. During the last quarter work has progressed across a number of areas including:

- Discussion events held with NYCC and Ringway staff,
- Project governance embedded,
- Work progressed with all support services (with them all feeding into the project),
- Capital agreed for initial vehicle purchases and work to develop financial model for the Company,
- Procurement procedures / list started to be developed,
- Drafting of Company Organisation Structure,
- ICT architecture scoping,
- Development of detailed operating model to set out how operational areas will work.

### NY Highways vision – delivering shareholder value by 'Doing things the North Yorkshire Way' through:

- Service delivery being right first time
- The customer at the heart of what we do
- Focused on effective and efficient delivery

Achieving 'Modern Integrated Transport' has been a challenge in the rail sector over the last 18 months and particularly disruptive in recent months with notable failures by the two main operators in North Yorkshire, TransPennine Express and Northern Rail.

The difficulties facing Northern Rail have been widely broadcast in the media, and in January 2020 the Secretary of State for Transport, Grant Shapps stripped Northern Rail of their franchise.

TransPennine Express, who provide services across the Pennines and to the North East and Scotland (in North Yorkshire calling at Scarborough, Northallerton, Thirsk and Selby) are also coming under increased scrutiny due to the growing dissatisfaction at consistently poor performance.

Despite poor performance from both of the main operators in North Yorkshire the most recent statistics available from the Office of Rail and Road, show significant patronage growth compared to the same period last year; Northern Rail patronage increased from 24.8 million passenger journeys in the year ending September 2018 to more than 28 million in the year ending September 2019, an increase of 12.8%. Over the same period TransPennine Express passenger journeys increased from 7.2 million to 7.6 million, an increase of 5.7%; both of these outperform the national picture where the equivalent 'all operators' growth is 3.36%.

## Increased skills levels

NYCC continues to engage with the Local Enterprise Partnership including in relation to delivery of careers guidance in schools across North Yorkshire. The CEC has 100% coverage of secondary schools and 51 out of 60 schools are currently matched with an Enterprise Advisor. In LEP overlap areas, particularly Harrogate and Selby, some schools work with Leeds City Region (LCR) LEP. In these circumstances both LEPs work together to ensure a seamless approach.

Due to the relatively low numbers of Not in Education, Employment or Training (NEET) young people available to the job market across the LEP area, a strategic agreement was made by YNYER LEP and LCR LEP in 2014 that LCR would procure activity to support NEET young people in the overlapping LEP area including Craven, Harrogate and Selby. In the remaining 4 districts, £790k has been invested to support those who are NEET, or identified by their school as at risk of becoming NEET, to re-connect with their learning or move into work, apprenticeships and training. In October 2019 158 individuals in North Yorkshire are participating in the programme.

## Skills support for those who are Unemployed and Inactive

Since Autumn 2016 over £17.5m has been committed to programmes aimed at increasing the vocational skills of unemployed and inactive residents across the YNYER LEP area. Each of the European Social Fund (ESF) programmes aimed at vulnerable groups includes key-worker support to enable participants overcome personal barriers and move into positive outcomes such as further education and work.

Since the programmes began delivery 2,143 of North Yorkshire's unemployed and inactive residents have received support through the following three programmes.

The Skills Support for the Workforce (SSW) programme aims to provide employed individuals with opportunities to develop the skills that will enable them to progress in work. A total of £9.5m has been committed to the programme across the LEP area and provides support to employers to develop their employees' skills to fill intermediate, technical and higher level skills gaps and shortages. It is targeted to employers in the LEP's priority sector industries.

To date, 771 North Yorkshire based employers have engaged (as evidenced by a training needs analysis (TNA)) from which 2,691 employees have completed learning programmes. Of those completing programmes, 30% progressed onto some form of higher level learning.

NYCC is continuing to develop a more focussed approach to supporting skills directly within the authority with a focus on the needs of businesses. This will include further development of a skills strategy for North Yorkshire and links to enhanced business engagement.

## Keeping the workforce healthy

One strand of the Access Fund projects is to encourage staff at businesses in Harrogate, Scarborough and Skipton to look at the way they travel and opt for more active and sustainable means, where possible. This would then create multiple benefits of: reducing congestion around the site, improving air quality, improving staff fitness and improving the mental

well-being of staff. The project has also engaged with residents on new residential sites to ensure at this point of change, residents have all the available information to make informed travel choices.

To date there have been 23 businesses engaged on the Access Fund project across the three towns. Through the Open Harrogate, Open Scarborough and Open Skipton Access Fund projects the following outcomes have been achieved:

- Over 23 Travel Action Plans have been produced for employers outlining ways they can promote active travel choices and create a healthier workforce.
- There have been 1,275 personalised journey plans issued to employees to provide them with information on alternative ways to travel to work.
- 11 participants have undertaken cycle training sessions to gain more confidence cycling.
- 13 travel events have been delivered to businesses with engagements of over 400 staff about their travel behaviours and support them in considering an alternative mode for some journeys.
- A total of 196 taster tickets have been offered to staff giving them free travel with East Yorkshire Motor Service, Northern Rail and Transdev.
- Seven Delivery Walking Challenges with a prize incentive to businesses have been delivered to date. The number of steps for the Open Harrogate and Open Scarborough challenges equates to at least 3,400 miles walked through participation.
- Worked with residents on 24 new developments offering the opportunity to have a personalised journey plan (446 issued) and held 3 events engaging with over 200 people. Bespoke Sustainable Travel Information Packs were also created for each residential development and a total of 1,949 packs have been issued across all three project towns to residents. Taster tickets were also available to residents and 80 were issued in Scarborough and 142 in Craven.
- Supported the Wheels 2 Work scheme which provides a moped loan scheme to enable people to access employment, training or apprenticeships where no other form of travel is available. To date, there have been 27 clients in Harrogate, 8 in Scarborough and 6 in Craven.

### Workplace wellbeing award

In Q3, 8 organisations have signed up for the Workplace Wellbeing Award, bringing the cumulative total to 35 organisations.

### Business growth and investment

The Trading Standards Service continues to deliver business advice to Start Ups. As part of the Trading Standards Business Advice Strategy the Service offers free business advice to those new businesses or new ventures who are starting out. A new initiative under the Better Business for All (BBfA) programme has seen the Service assign Trading Standards Officers to work in conjunction with the County's District Council Growth teams for the benefit of North Yorkshire Start Ups.

One example of this during Q3 is where Trading Standards Officers worked with Richmondshire District Council to support businesses as part of Richmond Business Week. Officers delivered presentations on regulatory advice topics at a number of workshops. These sessions attracted over thirty Start Ups with a good mix of business types and the advice given was well received.

At the end of Q3 the Service has also provided paid for business advice to 45 businesses. Of those businesses receiving free or paid for advice 96% were satisfied with the service.

Trading Standards continues to have a statutory role to protect and support legitimate businesses by ensuring they can trade on a level playing field. This is demanded and any response has to be prioritised given available resources. At the end of Q3 the Service had received 4,673 complaints and referrals in respect to breaches of trading standards legislation of which 10% were tasked for enforcement action.

Council Officers continue to support the Yorkshire Coast and Harrogate Business Improvement Districts taking an active role on the Boards of each of those bodies as part of the Board's Public Sector Representation. Both BIDs achieved successful ballots in 2019 and are engaged in their first full year of operation during which time they are developing and beginning to implement five year programmes of local business support and promotion.

In partnership with other local Authorities and the Local Enterprise Partnership we are engaged in supporting the development of Strategic Development Zones beginning with the M62 Energy Corridor which may have future implications for investment in the energy and low carbon sectors in that area.

## Environment, Natural Tourism and Low Carbon Economy

To support the future of low carbon transportation, and the Government's plans to end the sale of new conventional petrol and diesel cars and vans by 2040, NYCC submitted a joint ERDF outline application with the local planning authorities in September 2019 to fund a county-wide electric vehicle charging network. Unfortunately this bid was unsuccessful. However, we are continuing to explore suitable alternative funding opportunities for the project, including investigating how it aligns with the priorities of the emerging Local Industrial Strategy.

Work continues on the draft Air Quality Strategy which sets out the County Council's approach to air quality and ultra-low emission vehicles, setting the strategic direction for the areas where the council can influence a reduction in air pollution (for example transport). We are currently seeking feedback from district and borough councils on the draft strategy (as they have responsibility for monitoring air quality) before consulting with the general public via an on-line survey in February/March.

The work to support the aspiration for carbon neutrality is also progressing.

- Forthcoming updates to the council plan will reflect the 2030 aspiration.
- Updates to the service planning process are to include a consideration of environmental issues.
- A baseline carbon footprint for the areas under the council's direct control has been established.
- A pathway tool to monitor the progress of the council to net zero is in development.

- A new climate change impact assessment table and guidance is currently being piloted with projects across all directorates, to embed climate change into council decision making processes.
- Further investigation of specific corporate carbon reduction projects to take forward is underway.

## Modern Communication networks

The Superfast North Yorkshire (SFNY) project is continuing to roll out fibre based broadband to premises and homes. Take-up for the three months to November 2019, for Phase 1 and Phase 2 now runs at 65.4%, (coverage for over 175,000 properties delivered by the project to date).

In the short-term we are currently seeking to extend the Phase 3 contract and develop a future strategy for delivering Superfast broadband to a further circa 12,000 premises. This will involve some engagement with the market which culminates in the opportunity for the public to comment on a full Public Consultation in late March/early April 2020.

The Local Full Fibre Network (LFFN) procurement, using the £15.1m funding award from Central Government (DCMS) has been awarded and delivery has begun. This project proposes to connect 341 public sector buildings, across 16 market towns, with a dedicated fibre network. SCD have so far dug 18km of a total 180km of ducting. The project requires a significant number of Wayleave permissions to allow access to sites and, in some cases, access to dig across privately held land. The first sites are expected to go live by March 2020.



## Future Focus

### **Junction 47**

*The A1(M) Junction 47 project goes to tender in January with the main works planned to start before the end of March 2020.*

*Work continues setting up NY Highways as a Teckal company in order to start operating from April 2021.*

### **Kex Gill**

*Work will continue on the A59 Kex Gill Diversion scheme with land negotiations, the advertising of the Compulsory Purchase Orders and Side Roads Orders and preparations for the planning decision at the end of March 2020.*



# Council Ambition: ‘Healthy and Independent Living’

‘Every adult has a longer, healthier and independent life’

## High level outcomes:

1. People have control and choice in relation to their health, independence and social care support.
2. People can access good public health services and social care across our different communities.
3. Vulnerable people are safe, with individuals, organisations and communities all playing a part in preventing, identifying and reporting neglect or abuse.

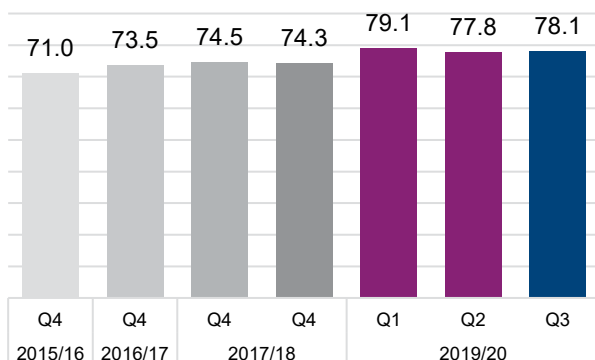
## Customer

### Level of demand

**Activity levels at the “front door” for social care** show minimal change year on year in Q3. Contacts (56,929) are less than 1% down (374 contacts), and referrals (13,404) are 2% up (285 referrals) as reported in Q2.

The proportion of contacts diverted away from traditional social care support by the “front door” arrangements increased slightly in Q3, maintaining the step-up in performance against 2018/19 levels that was reported in earlier quarters.

Chart: Proportion of contracts NOT progressing to referral



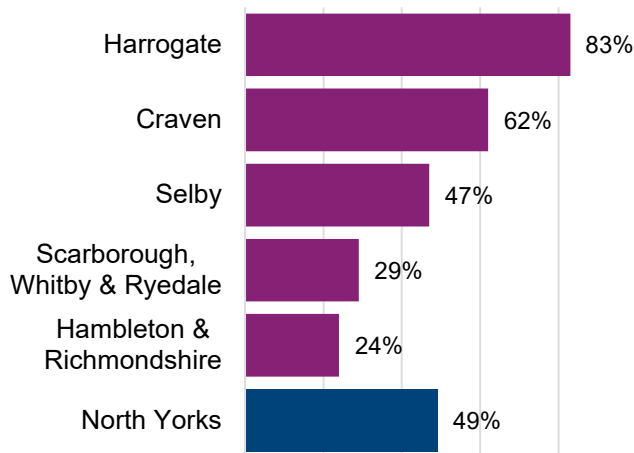
The ‘prevent, reduce, delay’ elements of the HAS customer pathway continue to show significant growth:

- The Care & Support Team in the contact centre has received 6,299 referrals, up by 22% (1,150) year on year.
- Living Well referrals (2,136) continue to show significant growth following the additional capacity provided through the Better Care Fund, and are up by 64% (830) year on year.

**Residential/Nursing Placements** – The rate of admissions for older people (aged 65+) into care homes in Q3 was 637 per 100,000 of population, which is lower than for the same in 2018/19 (677). Current levels of activity remain within the target range of 600-650 admissions per 100,000 of population.

The cost of placements rather than the number of placements continues to be a key pressure point. 49.1% of placements in residential and nursing homes for those aged 65+ are above the authority’s approved cost. This is up from 46.6% in Q2. Harrogate continues to be a key driver for this measure increasing, as the as the proportion of placements above the approved rate in the locality was at 83% in Q3.

Chart: % Permanent Care Placements for People Aged 65+ Above NYCC Approved Rates



### Living Well

At the end of Q3 (31/12/19), since the service went live in October 2015 there have been 10,033 referrals. For Q1-Q3 2019/20 there have been 2,787 referrals.

The majority of people supported are women (60%) and the most common characteristics of those referred are:

- physically frail/temporarily ill (31%),
- other vulnerability (27%)
- mental illness (17%)
- physical disability (11%).

The remainder are carers (6%), have a learning disability (2%), dementia (3%), hearing/visual impairment (2%) and substance misuse (2%)

Reasons for referral – The largest groups of reasons are face-to-face information, advice and guidance (45%), loneliness and isolation (28%) and lost confidence due to a recent change (23%).

There is evidence that the service is performing well: positive outcomes and satisfaction for individuals; increasing diversion of referrals from health partners; and contributing to the overall direction of travel reducing demand on social care services and contributing to savings.

### Customer feedback

During Quarter 3, 149 complaints have been received, 126 new complaints and 23 complaint reviews.

We have received a higher amount of complaints in this quarter for over 3 years and a 34% increase from the same quarter last year. [\(For more detail see appendix .\)](#)

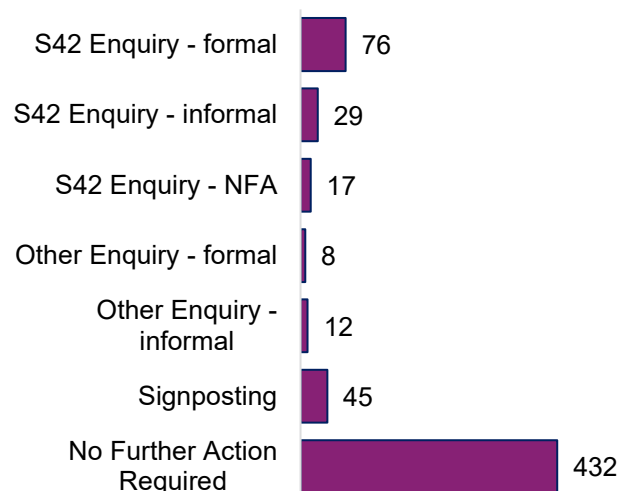
### Vulnerable people are safe, with individuals, organisations and communities all playing a part in preventing, identifying and reporting neglect or abuse

3,655 safeguarding concerns were received between April and December, which is a 12% (498) reduction on the same period last year.

The main source of concerns continues to be residential and nursing homes in the independent sector at 44% (1,587) of all concerns (33% in Q2), and health sources at 18% (644) (21% in Q1).

New safeguarding processes were implemented from October 2019, which introduced a triage process in the customer contact centre to help screen out and divert appropriately cases that do not meet the safeguarding threshold and to enable people to have their safeguarding issues resolved more quickly. Early signs on the impact of the new approach is positive, with a significant proportion of cases reaching an early conclusion in terms of no further work being required or that an informal planning meeting would be the appropriate course of action:

Chart: Safeguarding Concerns Outcomes





The Making Safeguarding Personal approach aims to engage people in discussions about their safeguarding situations in a way that enhances involvement, choice and control, and identifies the best way to respond to the situation. Part of the process involves asking them if there are specific outcomes they would like the process to achieve.

As at the end of Q3, 884 people had been through the enquiry process and 73% (641) expressed an outcome. Whilst this is lower than the 75% achieved for the same period in 2018/19, it involved 44 more people in expressing an outcome.

At the end of the enquiry process, 66% (424) of these people felt that their outcome had been fully achieved, with a further 31% (200) feeling it had been partially achieved. This is slightly higher than the 65% (388) of people who felt their objective was fully met in 2018/19.

Where anyone expresses a negative response in terms of the expressed outcome, the case is looked into by the Safeguarding Team to find out why, and this involves a follow up discussion with the Safeguarding Coordinator or Enquiry Officer.

## People have control and choice in relation to their health, independence and social care support

### Reablement

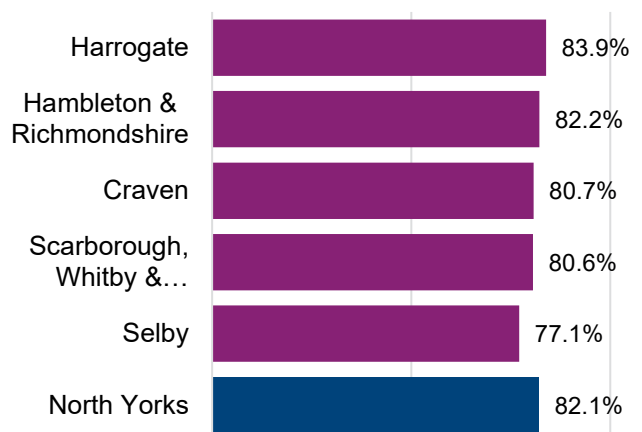
As at the end of Q3, the number of reablement services delivered (1,662) was up 8% year on year. The average size of a support package reduced between quarters, down from 10.5 to 9.3 hours per week, and the average duration of an intervention also reduced noticeably from 4.4 to 4.1 weeks.

As part of the social care performance framework, the effectiveness of the council's reablement offer is measured in terms of the proportion of people supported who return for subsequent social care support within 90 days of the completion of their reablement package.

1,219 reablement interventions were completed between April and September. The proportion of these people who had not subsequently returned for social care support by the end of Q3 was 82.1% (1,001)

which continues to compare favourably with the 83.4% achieved for the whole of 2018/19, and which has continued to improve cumulatively as the year has progressed.

Chart: % of Reablement Clients Not Receiving a Subsequent Service After 90 Days



86.5% of people supported between April and September had no on-going social care needs after their reablement intervention, which compares with a target of 65% set as part of the restructure of Care & Support in 2016/17.

### Personal Budgets (PB)

The use of personal budgets aims to enable people getting support from social care to have more choice and control over the services they receive, tailoring their care to their personal circumstances and the outcomes they want to achieve.

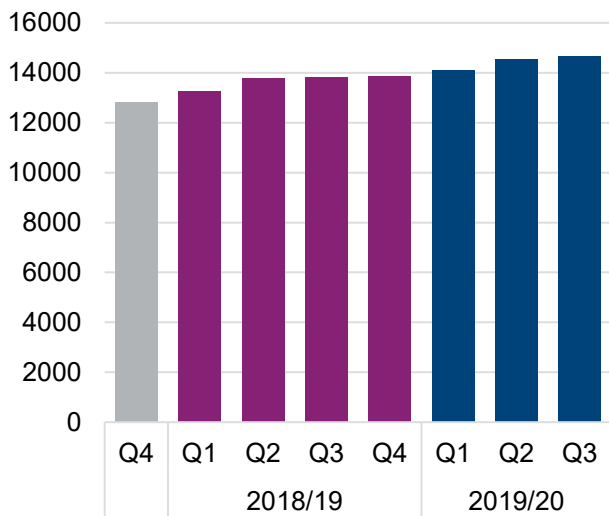
The monthly performance reporting cycle for HAS tracks the trend over the past 12 months for the average PB cost for all cases, excluding cases with a primary support reason (PSR) of learning disability.

The number of people in this category has reduced by 1% (26 people) over the past two years, down from 2,608 to 2,582.

The average PB for open cases in this category increased to just below £14.7K at the end of Q3, compared with £14.5K in Q2. This represents a 5.4% increase year on year, compared with the 5.5% increase reported in Q2.



Chart: Average PB for community services cases excluding LD clients



In Harrogate, the average PB was above £16K for the 4th month running. The gap between the largest and smallest locality averages reduced slightly to £3.4K in Q3.

The average PB for people aged 65+ remained stable £13.4K, 8% lower than for all clients. Older people account for 75% of the PB caseload.

A focus on strength-based reassessments for people supported by mental health teams has produced a reduction in the average PB of 22% or £2.6K since the end of 2018/19. The mental health teams support 77 people in this cohort, so this represents a significant reduction for the service but its impact on the wider cost pressures is limited.

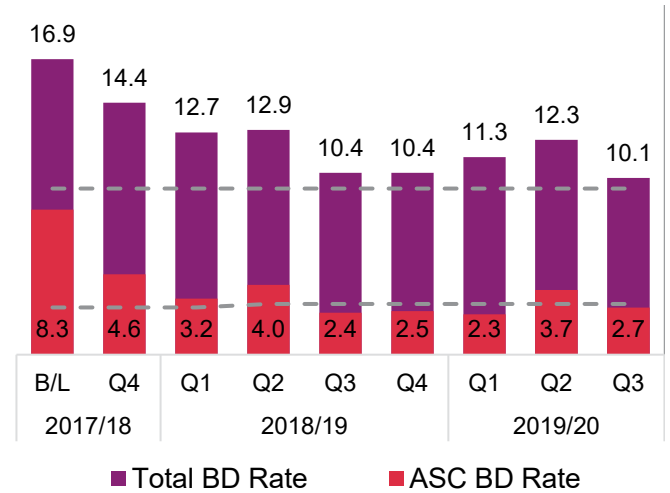
## People can access good public health services and social care across our different communities

### Integration – Delayed transfers of Care

The most recently published data (Nov 2019) shows North Yorkshire has exceeded the challenging target set by the government for reducing the level of delayed transfers of care attributable to social care.

In November, adult social care related delays reduced to 409 days in the month, which is represented by the 2.7 bed bays per 100,000 of population for Q3 in the chart below. This represents a 67% reduction (790 days) against the baseline (B/L) figure in the chart – the target reduction is 65%.

Chart: Bed Days per 100K of Population



In terms of delayed days, the target seeks a reduction from approximately 1,240 days in the month down to 430 days. Whilst there was a decline in performance in September and October, the 430 days target has been achieved in 10 of the last 12 months.

In terms of system-wide improvement, health delays also showed a marked improvement in November resulting in a total bed day rate of 10.1 days per 100,000 of population (1,501 days in November) against a target of 9.5 (1,420 days in a single month).

Health delays reduced to 987 days in November, the first time they were below 1,000 since December 2017. This significant reduction reflects local preparations for winter pressures leading into the Christmas holiday period.

### Adult Drug and Alcohol Service

The North Yorkshire Horizons service has experienced a number of challenges since Q2 2018/19 and throughout 2019/20 to date, including the re-procurement of the contract, staff sickness and turnover, and mobilisation of the new contract. Maintenance of core service delivery has been prioritised alongside necessary HR and service development activities to prepare for the next contract.

Numbers engaged in the service and recorded Single Point of Contact calls are higher than in Q2 2018/19 (latest data available). Access to the service continues to be a priority, SPOC opening hours have been extended to 9am-8pm from Q3 2019/20.



Hub and outreach provision have been reviewed and maintained, and additional provision has been established in Ripon, Knaresborough and Thirsk in response to demand.

The direction of travel in performance against the majority of key performance indicators is positive. Numbers engaged (access), wait times and successful completions from treatment continue to be prioritised.

**Alcohol Identification and Brief Advice**

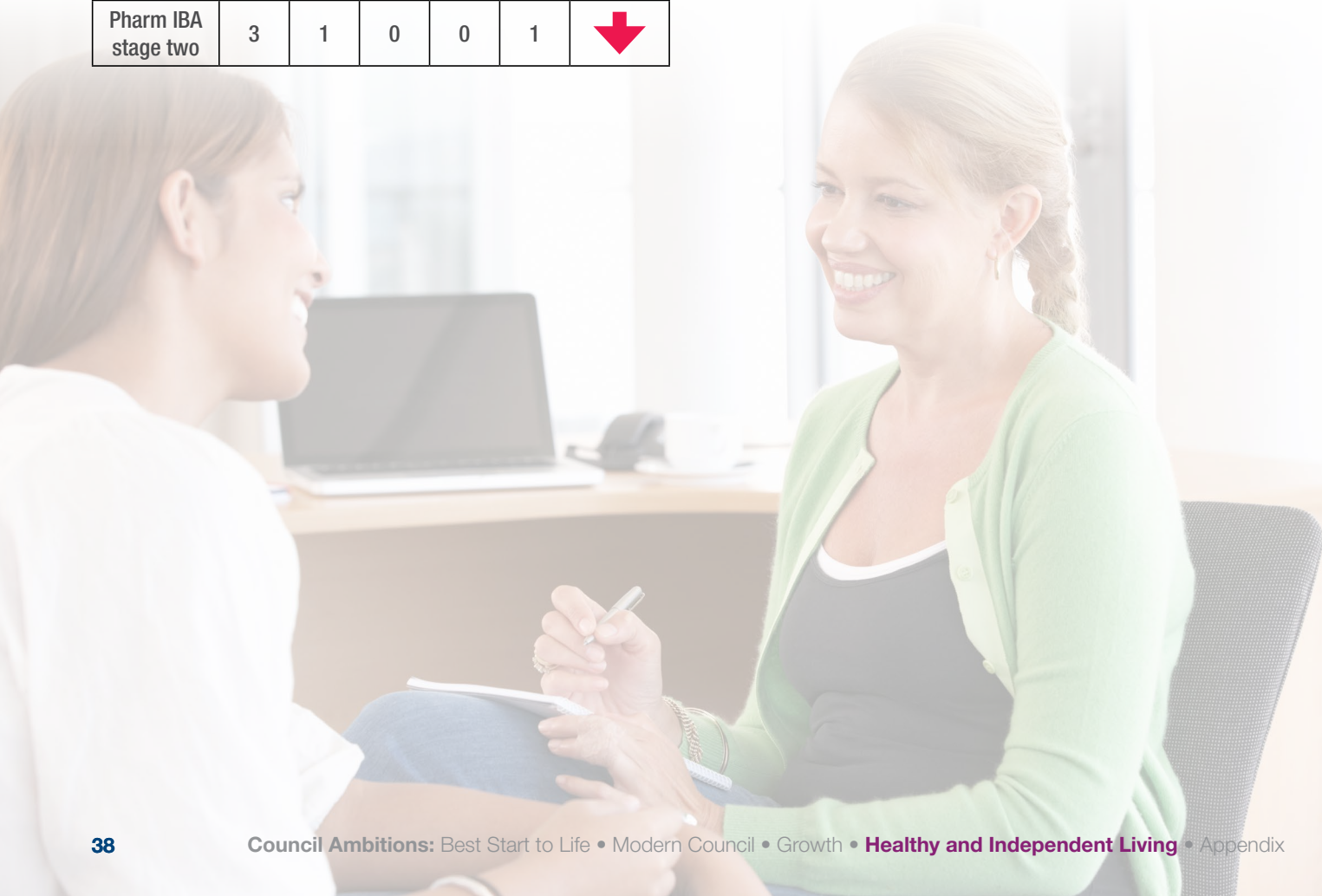
General practice performance remains good for both stage 1 and stage 2 interventions. However, pharmacy performance remains poor but not unexpected, given feedback through Community Pharmacy North Yorkshire about lack of staff resources for delivery and competing priorities.

| Intervention        | Q1    | July | Aug | Sept | Q2    | Change from Q1 |
|---------------------|-------|------|-----|------|-------|----------------|
| GP IBA stage one    | 1,800 | 881  | 705 | 730  | 2,316 | ↑              |
| GP IBA stage two    | 391   | 122  | 120 | 137  | 379   | ↔              |
| Pharm IBA stage one | 45    | 27   | 12  | 7    | 46    | ↔              |
| Pharm IBA stage two | 3     | 1    | 0   | 0    | 1     | ↓              |

**Sexual Health**

The YorSexualhealth (YSH) service continues to provide an excellent service to the residents of North Yorkshire. Performance against the majority of the key performance indicators is better or equal to thresholds set nationally or locally. In Q2 (Jul-Sept), there were 4,262 attendances into services, compared with 4,093 in Q2 2018/19. Non-attendance rates remain below threshold (10%) at 7%. All service users are offered an appointment within 2 days and all received their results within 10 working days.

The percentage of service users who are offered a HIV test where clinically appropriate is 90% in Q2, lower than any of the quarters in the previous year and below the threshold 97%. YSH continue to work on addressing HIV coding in line with the British Association for Sexual Health and HIV (BASHH) standards. However BASHH standards have not kept pace with integrated sexual health services and this is therefore affecting data.



## Stop Smoking Service

The Living Well SmokeFree (LWSF) service commenced on the 1st April 2019, provided by NYCC. The service has two elements of delivery: the NYCC Living Well Smokefree Advisor team who run local clinics; and the NYCC Approved Provider List, through which GPs and pharmacies are directly contracted by NYCC Public Health to deliver elements of the stop smoking service model.

As anticipated, the change in provider resulted in an impact on service delivery and activity. Within Q1, provision of service only continued for pregnant women who were currently enrolled with SmokeFreeLife North Yorkshire, the previous provider. Provision for all other individuals only commenced in the last week of May, resulting in only one month of active provision. Activity recorded in that month is similar to previous monthly activity based on the previous year service activity.



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County Council

## NHS Health Checks

The service is progressing well. However, work continues to meet the aspirational target of 75% uptake of an NHS Health Check.

- Offered an NHS Health Check = 8,290, an increase from Q1 (6,764)
- Received an NHS Health Check = 5,862, an increase from Q1 (3,346)
- CVD risk identified = 936 an increase from Q1 (739).

The proportion of people that received an NHS Health Check of those offered is 70.7%, which is outstanding performance and considerably better than the 50% NY Target for uptake.

Not all practices are submitting monthly data due to issues with clinical searches. We are working with those practices to resolve these issues.

## Stronger Communities

New grant activity in quarter: 23 Inspire Grants with commitments of circa £21k. No new Achieve projects in the period.

The independent evaluators report covering 1 Apr 2018 to 31 Mar 2019, finds that, overall, the Stronger Communities Programme is effective, given its size and remit, and delivers valued support to the VCSE sector. Following the recommendations of the independent evaluators the Programme will revise its strategy around the concepts of people, place and power.

## Future Focus

### **Sector Workforce Pressures**

*At the end of November, The Health Foundation produced “Health and social care workforce: Priorities for the new government”, a short report setting out the workforce issues currently facing the health and social care sectors.*

*The report indicated that the NHS was reporting a workforce shortage of around 100,000 staff, whilst for social care, workforce shortages stood at around 122,000.*

*It estimated that 1,100 people leave their care job every day – an annual leaver rate of almost a third.*

*Recent Skills for Care analysis put the number of adult social care jobs in England at 1.6 million in 2018. If demand for the social care workforce grows in line with projected increases of people aged 65+, then the number of social care jobs would need to increase by 36% to around 2.2 million jobs by 2035.*

*The report estimated that a quarter of social care staff were on zero-hours contracts, making it a less attractive option against other sectors.*

*17% of the social care workforce in England is non-British. Whilst this falls to 7% for the Yorkshire & Humber region, the report suggests that a more restrictive immigration policy would hit the sector disproportionately.*

### **Local Government & Public Health**

*The King’s Fund has published an assessment of the success of the 2013 reforms to public health in England, which were part of the coalition government’s wider health reform programme.*

*The report looks at the effects of the reforms in both the short and longer term and looks at the impact of the changes, which have brought opportunities for innovation and integration, as well as challenges, at a time when funding for public health has been cut.*

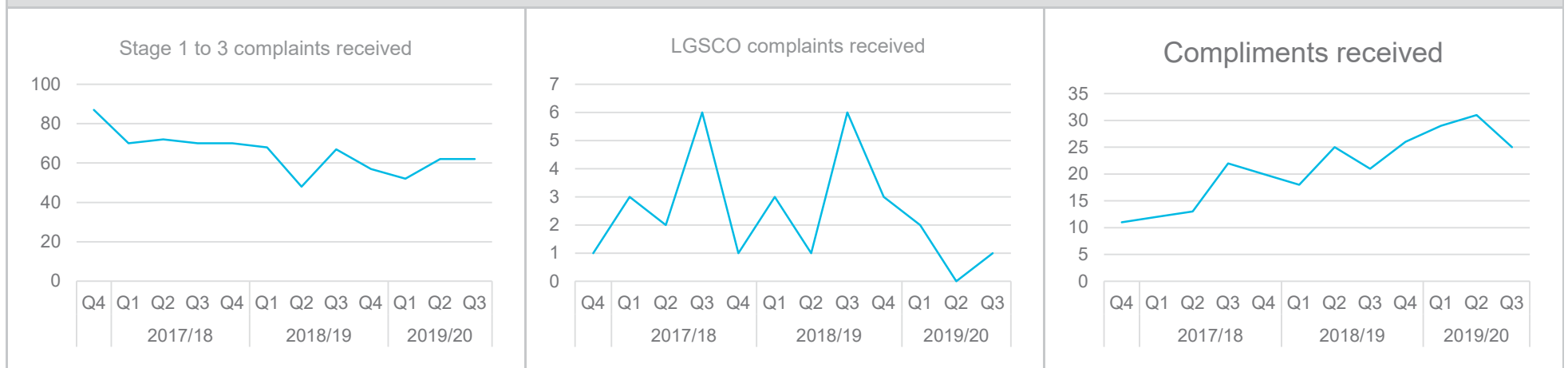
*They also highlight 3 important pieces of work expected to emerge over the next 6 months:*

- *the government’s next steps following the prevention Green Paper;*
- *the 2020 Marmot review of health inequalities; and,*
- *the report from the All-Party Parliamentary Group on Longevity.*



# Appendix

## 1. Best start to life - Customer feedback



Complaints are assessed on receipt to determine if they need to be investigated under the corporate or statutory children's complaints processes. The charts above show the total number of complaints received by CYPS under both processes.

62 complaints were received in Quarter 3, the same as Quarter 2. Three Corporate complaints have escalated to Stage 2. There were no statutory complaints considered at Stage 2.

At stage 1, 30% of complaints were upheld under both corporate and statutory complaints.

1 commendation was received in relation to the No Wrong Door Service. 25 compliments were received during Q3 (decrease = 5 from Q2) related to support provided to families from Children & Families Service, Disabled Children and Young People's Service, SEND support including Preparing for Adulthood and the Adult Learning Service.

### Timeliness

In relation to Corporate Stage 1 investigations, 77% were completed within timescale, a slight decrease from Q2 (80%). In relation to Statutory Stage 1 investigations 79% were completed within timescale, again a slight decrease from Q2 (85%). One of two corporate Stage 2 complaints was completed within timescale whilst 100% of Statutory Stage 2 investigations were within the required timespan0

### Root cause

Quality of service (35%) was the most common causal factor this quarter. Other common themes remained disagreement with decision/action taken (30%) and quality of communication (28%).

### Learning

We are reviewing escalation processes to further improve the timeliness of our response to complaints. Given that three major Directorate restructures have now, or are about to be, complete, we will be revising and reissuing guidance for all managers on complaint processes. The importance of keeping the customer informed on progress especially if running beyond agreed timescales will be reiterated.

### Ombudsmen

One Ombudsman enquiry has been received in this quarter. Documentation has been provided as requested but no decision is available at the time of writing this report.

## 2. Best start to life - Primary indicators table



| Primary Indicators:   | Latest data / figure  | RAG status | Benchmarking data  | Comments   | Direction of travel    |
|---|---|------------|--|--|------------------------|
| 2.1. Smoking at the time of delivery  | <u>2018/19</u><br>10.5%<br>(equates to 528 women)                       | Yellow     | England = 10.6%<br>CIPFA: 8.5% to 16.4%                          | Smoking status at time of delivery continues to fall but is still significantly higher than England. Among 16 similar areas, North Yorkshire has 11 <sup>th</sup> highest rate. If NY had the lowest rate of similar areas (Leicestershire, 8.5%), about 116 more infants would have a better start to life.                                       | Downward Green Arrow   |
| 2.2. The percentage of children aged 4 or 5 (reception) who have excess weight                                  | <u>2018/19</u><br>23.4%   | Yellow     | England = 22.6%<br>CIPFA: 17.7% to 25.6%                         | The proportion of children in Reception classes with excess weight has increased and is similar to England. North Yorkshire is ranked 5 <sup>th</sup> out of similar areas.  | Upward Red Arrow       |
| 2.3. The percentage of children aged 10 or 11 (Year 6) who have excess weight                                   | <u>2018/19</u><br>30.6%   | Green      | England = 34.3%<br>CIPFA: 27.0% to 35.5%                         | The proportion of children in Year 6 classes with excess weight decreased slightly and remains significantly lower than England. North Yorkshire is 6 <sup>th</sup> lowest of 16 similar areas. If NY had the lowest rate of similar areas (Devon, 27.0%), there would be about 200 fewer 10-11 year-olds with excess weight.                      | Upward Red Arrow       |
| 2.4. The rate of children and young people admitted to hospital as a result of self-harm (10-24 yrs)            | <u>2017/18</u><br>503.9 per 100,000 population<br>(460 10-24 year olds) | Red        | England = 421.2 per 100,000<br>CIPFA: 261.1 to 783.5 per 100,000 | There were 460 admissions for self-harm in this age group in 2017/18. Some individuals may have been admitted on more than one occasion, so the number of people admitted is likely to be lower. North Yorkshire is 6 <sup>th</sup> highest among 16 similar areas. The rate of admissions is increasing and is significantly higher than England. | Upward Red Arrow       |
| 2.5. Hospital admissions caused by unintentional and deliberate injuries to children under 15 years per 100,000 | <u>2017/18</u><br>122.7 per 10,000<br>(1,190 children)                  | Yellow     | England = 96.4 per 10,000<br>CIPFA: 72.3 to 122.7 per 10,000     | There were 1,190 admissions for injuries in children aged 0-14. Some individuals may have been admitted on more than one occasion, so the number of children admitted is likely to be lower. The rate of admissions is broadly stable in North Yorkshire, but falling nationally. North Yorkshire has the highest rate among similar areas.        | Rightward Yellow Arrow |

## 2. Best start to life - Primary indicators table



| Primary Indicators:  | Latest data / figure   | RAG status | Benchmarking data   | Comments   | Direction of travel |
|--|--|------------|---|--|---------------------|
| 2.6. The rate of children and young people admitted to hospital for mental health conditions per 100,000 (under 18s)         | <u>2017/18</u><br>78.2 per 100,000 population<br>(92 0-17 year olds) |            | England = 84.7 per 100,000<br><br>CSSNBT: 49.6 to 159.0 per 100,000   | There were 92 admissions for mental health conditions in 2017/18. Some individuals may have been admitted on more than one occasion, so the number of children admitted is likely to be lower. Admissions in North Yorkshire are not significantly different from England and are 5 <sup>th</sup> lowest among 11 similar areas. Admission rates have been similar for the past 7 years.   |                     |
| 2.7. First time entrants to the youth justice system aged 10-17 (per 100,000 population)                                     | <u>Apr 18-Mar 19</u><br>201  |            | Target 430  | The figure of 201 per 100,000 10-17 population equates to 109 young people. The rate has improved marginally from the previous figure. The rate in North Yorkshire remains lower than the regional (224) and national (222) rates but higher than its family group average (163).  |                     |
| 2.8. The percentage of children reaching a Good Level of Development in the Early Years Foundation Stage Profile             | <u>2019</u><br>72.8%   |            | <u>2019 National</u><br>71.8%   | This is a key indicator in relation to school readiness. North Yorkshire is 1% above the national performance for pupils achieving a Good Level of Development and performance has improved steadily over the last 3 years.  |                     |
| 2.9. The percentage of pupils working at the expected standard or more in Reading, Writing and Maths Key Stage 1             | <u>2019</u><br>Reading 74.0%<br>Writing 68.0%<br>Maths 74.0%         |            | <u>2019 National</u><br>Reading 75.0%<br>Writing 69.0%<br>Maths 76.0%   | Performance in reading, writing and maths has declined slightly between 2018 and 2019. North Yorkshire remains below the national position for maths, but is now slightly below in reading and writing.  |                     |
| 2.10. The percentage of pupils working at the expected standard or more in Reading, Writing and Maths Key Stage 2            | <u>2019</u><br>63.0%   |            | <u>2019</u><br>65.0%  | The percentage of children achieving the expected level in Reading, Writing and Maths has improved by 1% in 2019. The 2% gap between North Yorkshire and National has remained the same.   |                     |
| 2.11. Progress 8 score at Key Stage 4  | <u>2019</u><br>0.10  |            | <u>2019 national</u><br>0.00  | The progress 8 score at Key Stage 4 is significantly above the national average.   |                     |
| 2.12. Average Attainment 8 score at Key Stage 4  | <u>2019</u><br>48.6  |            | <u>2019 national</u><br>44.5  | The Attainment 8 average score at Key Stage 4 is significantly above the national average.   |                     |
| 2.13. Persistent absence as % of school population (primary/secondary)   | <u>2018/19 2 Term</u><br>Primary: 7.3%<br>Secondary: 13.2%           |            | <u>2018/19 National 2 Term</u><br>Primary: 8.4%<br>Secondary: 12.7%   | The percentage of primary pupils who are persistently absent continues to be lower (1.1%) than the national average. At secondary schools the percentage of pupils persistently absent has increased slightly and is now 0.5% higher than national   |                     |
| 2.14. The percentage of young people who are not in education, employment or training (NEET) in academic year 12 and year 13 | <u>2019/20</u><br>Q3 64 (0.6%)                                       |            | National NEET 2.4% (November 2019)<br>Y&H NEET 2.8% (November 2019)<br>National Situation Not Known 5.6% (November 2019)<br>Y&H Situation Not Known 5.5% (November 2019)<br>NYCC Situation Not Known 22.9% (November 2019)<br><br><u>2018/19</u><br>Q1 145 (1.3%)<br>Q2 74 (0.7%)<br>Q3 101 (0.9%)<br>Q4 105 (0.9%) | The percentage of young people who are not in education, employment or training (NEET) in academic year 12 and year 13 in North Yorkshire is below the national and regional rates and has continued to fall since the last quarter. However, the percentage of 16-17 year olds with unknown education, training or employment status has now increased to to 17.4% above the Regional benchmark and 17.3% above the National benchmark. This is due to the data for the Annual Activity Survey being updated and several institutions not having returned information. The unknown figures should continue to fall back again as data is updated. |                     |
| 2.15. The number of open early help cases (Prevention)   | <u>2019/20</u><br>Q3 2,448   |            | <u>2018/19</u><br>Q3 2,539<br>Q4 2,452<br><br><u>2019/20</u><br>Q1 2,421<br>Q2 2,298  | Although there has been an increase in ongoing Households cases in each of the last 3 months, the December 2019 figure is 3.5% lower than that seen in December 2018.  |                     |

## 2. Best start to life - Primary indicators table



| Primary Indicators:   | Latest data / figure            | RAG status | Benchmarking data   | Comments   | Direction of travel |
|---|---------------------------------|------------|---|--|---------------------|
| 2.16. The total number of children subject to a child protection plan (rate per 10,000) | <u>2019/20</u><br>Q3 30.1 (354) |            | <u>2017/18</u><br>Q1 36.4 (427)<br>Q2 38.2 (448)<br>Q3 41.8 (490)<br>Q4 44.4 (520)<br><u>2018/19</u><br>Q1 46.0 (539)<br>Q2 40.1 (478)<br>Q3 36.0 (422)<br>Q4 34.5 (369)<br><u>2019/20</u><br>Q1 29.8 (349)<br>Q2 32.6 (384)                      | Following unprecedented growth in the number of open CPP through 2017/18 and Q1 of 2018/19 we have seen a steady reduction over the remainder of 2018/19. 2019/20 has been characterised by relative stability and a return to a rate and number of open CPP that would be considered much more typical of North Yorkshire |                     |
| 2.17. The total number of Children in Need (DfE Definition)                             | <u>2019/20</u><br>Q2 2,747      |            | <u>2017/18</u><br>Q1 2,697<br>Q2 2,631<br>Q3 2,886<br>Q4 3,031<br><u>2018/19</u><br>Q1 2,858<br>Q2 2,904<br>Q3 2,842<br>Q4 2,667<br><u>2019/20</u><br>Q1 2,668  | <p>The number of Children in Need (CiN) refers to all children with an open involvement with children's social care.</p> <p>We have seen comparative stability in the number of Children in Need over the last 3 quarters, with numbers fluctuating between 2,650 and 2,750</p>  |                     |
| 2.18. The total number of looked after children   | <u>2019/20</u><br>Q3 443        |            | <u>2017/18</u><br>Q1 415<br>Q2 409<br>Q3 429<br>Q4 437<br><u>2018/19</u><br>Q1 434<br>Q2 447<br>Q3 454<br>Q4 435<br><u>2019/20</u><br>Q1 460<br>Q2 440  | <p>The number of children in care remains stable at 443 at the end of Q3, up by 5 compared to the position at the end of September.</p> <p>Of the 443 LAC reported at the end of the quarter, 23 were unaccompanied asylum seekers (UASC).</p>   |                     |
| 2.19. The percentage of referrals to children's social care that are repeat referrals   | <u>2019/20</u><br>Q3 16.7%      |            | <u>2016/17</u><br>Target 20%<br><u>2017/18</u><br>Q1 12.0%<br>Q2 18.6%<br>Q3 14.7%<br>Q4 15.8%<br>Full year: 15.2%<br><u>2018/19</u><br>Q1 16.1%<br>Q2 18.4%<br>Q3 20.5%<br>Q4 17.5%<br>Full year 18.2%<br><u>2019/20</u><br>Q1 14.6%<br>Q2 17.9% | The service continues to deliver very strong performance in respect of re-referrals. Over the first three quarters of 2019/20 the re-referral rate was 16.3%, significantly lower (better) than national rates (22.6%) or the statistical neighbour average (20.0%).   |                     |

## 2. Best start to life - Primary indicators table



| Primary Indicators:  | Latest data / figure  | RAG status | Benchmarking data   | Comments  | Direction of travel |
|--|---|------------|---|---|---------------------|
| 2.20 The percentage of pupils who attend a good or outstanding school  | <u>End Dec 2019</u><br>Primary 81.8%<br>Secondary 79.9%                               |            | <u>End Dec 2019 National</u><br>Primary 87.7%<br>Secondary 79.2%  | At the end of Q3 the percentage of pupils attending a good or outstanding school continues above national at secondary, but below national at primary.  | <br>P<br><br>S      |
| 2.21 The percentage of Education Health and Care Plans (EHCP) issued in 20 weeks (excluding exceptions)                                      | <u>2018/19</u><br>Q3 85.5%<br><u>2019/20</u><br>Q3 87.1%                              |            | <u>National</u><br>58%  | Performance continues to be very strong and consistently above national rates. In the 2018 calendar year it was 84% in North Yorkshire, 58% in England, 60% in Yorkshire and the Humber. In the Q3 2019/20 period the rate was 87%.   |                     |
| 2.22 The number of children receiving SEN support  | Primary 12.1% of school population<br>Secondary 8.5% of school population<br>Jan 2019 |            | <u>National</u><br>Primary 12.6% of school population<br>Secondary 10.8% of school population<br>Jan 2019 | The percentage of the school population receiving SEN support continues to increase and the gap to national is reducing.  |                     |
| 2.23 School Readiness: the percentage of children with free school meal status achieving a good level of development at the end of reception | <u>2018/19</u><br>50.7%   |            | <u>2018/19 National</u><br>57.0%  | The actual percentage of FSM pupils achieving a good level of improvement has improved but is significantly worse compared with England.  |                     |
| 2.24 Percentage of young people with a qualification by age 19 (Level 2 / Level 3)   | <u>2018/19</u><br>Level 2: 86.3%<br>Level 3: 62.2%                                    |            | <u>National</u><br>Level 2: 82.2%<br>Level 3: 57.2%   | North Yorkshire remains above the national average for both Level 2 and 3. The percentage of students achieving a level 2 has reduced slightly over the 2 years but this is matched nationally and regionally.  |                     |
| 2.25 The percentage of care leavers aged 19, 20 and 21 that are in education, employment or training   | <u>2019/20</u><br>Q1 72.0%<br>Q2 71%<br>Q3 66%  |            | <u>2018/19</u><br>Q1 63.9%<br>Q2 66.5%<br>Q3 71.5%<br>Q4 68.3%  | Performance in this indicator remains strong, particularly when compared to the latest national figure of 51% and stat. neighbour average of 55.4%. In part, this can be attributed to the work of both the Leaving Care and the Opportunities Team in providing Care Leavers with employment and education opportunities and supporting them throughout. |                     |
| 2.26 Rate of children with an Education Health Care Plan as % of school population   | Primary 1.5% of school population<br>Secondary 1.3% of school population<br>Jan 2019  |            | <u>National</u><br>Primary 1.6% of school population<br>Secondary 1.7% of school population<br>Jan 2019   | The percentage of the school population with an EHC plan continues to increase and the gap to national is reducing.   |                     |
| 2.27 GCSE 9-5 pass in English and Maths (Basics) at KS4  | <u>2018/19</u><br>47.2%   |            | <u>National</u><br>39.8%  | North Yorkshire remains above the national and regional averages  |                     |
| 2.28 Persistent absence as % of school population (primary/secondary)  | <u>2018/19 2 Term</u><br>Primary: 7.3%<br>Secondary: 13.2%                            |            | <u>2018/19 National 2 Term</u><br>Primary: 8.4%<br>Secondary: 12.7%                                       | The percentage of primary pupils who are persistently absent continues to be lower (1.1%) than the national average. At secondary schools the percentage of pupils persistently absent has increased slightly and is now 0.5% higher than national  | <br>P<br><br>S      |



## 2. Best start to life - Primary indicators table



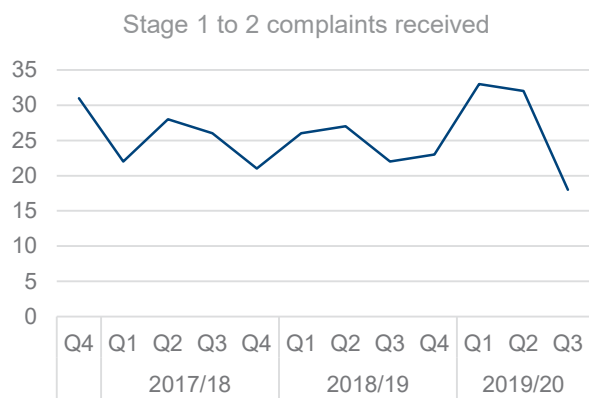
| Primary Indicators:   | Latest data / figure  | RAG status | Benchmarking data   | Comments  | Direction of travel            |
|---|---|------------|---|---|--------------------------------|
| 2.29 Exclusion rate as % of school population (fixed-term/permanent)  | Children Fixed-term excluded at least once<br>2018/19 to end Q3.<br>1045, 1.26% of school population<br>2019/20 to end<br>1037, 1.25% of school population<br>Permanent Exclusions:<br>2018/19 to end Q3.<br>34, 0.04% of school population<br>2019/20 to end<br>26, 0.03% of school population |            | National 2017/18 academic year:<br>Fixed-term child: 2.33%<br>Permanent: 0.1%<br>North Yorkshire 2017/18 academic year:<br>Fixed-term child: 2.48%<br>Permanent: 0.12%  | There have been fewer permanent exclusions from North Yorkshire schools in the 2019/20 academic year to the end of December than the same point in 2018/19.<br>Levels of fixed-term exclusions are however similar to last year.<br>National benchmarks are available for 2017/18 academic year only.   |                                |
| 2.30 Adult Learning - 19+ Adult Skills funded learners - Overall Achievement Rates  | <u>2019/20</u><br>Q1 19/20 74.7% (Academic Year 18/19)  |            | <u>2018/19</u><br>Q1 18/19 69.0% (Academic Year 17/18)<br>Q2 18/19 78.5% (Academic Year 18/19)<br>Q3 18/19 78.2% (Academic Year 18/19)<br>Q4 18/19 68.8% (Academic Year 18/19)                                | 2018/19 academic year performance to date shows a significant increase on the position at the same time in the 2017/18 academic year. The 19+ Education and Training Funded Learners overall achievement rate has increased by 5.7%.  |                                |
| 2.31 Proportion of Education, Health & Care plans placed in independent/non-maintained out of authority specialist settings (i.e. non-maintained special school & independent special school) | <u>2019/20 to end Q3</u><br>4.4% (136 of 3057 EHC plans)  |            | <u>2016/17</u><br>3.4% (76 of 2245 EHC plans)<br><u>2017/18</u><br>4.0% (101 of 2545 EHC plans)<br><u>2018/19</u><br>4.6% (128 of 2813 EHC plans)<br><u>2019/20 to end Q3</u><br>4.4% (136 of 3057 EHC plans) | There is an increasing trend in children being placed in independent or non-maintained special school, increasing by 79% between 2016/17 and 2018/19. The proportion of children with an EHC plan in each year with this type of placement has grown over the same period however this rate has dropped slightly in 2019/20 to the end of Q3. |                                |
| 2.32 Under 18 conceptions (annual)  | <u>2017</u><br>10.0 per 1,000   |            | England = 17.8 per 1,000<br>CIPFA: 10.0 to 18.6 per 1,000   | The under 18 conception rates in North Yorkshire have been significantly lower than England from 1998 to 2017. The number has reduced from 366 in 1998 to 96 in 2017. It has the lowest rate amongst 16 similar areas.  |                                |
| 2.33 Face-to-face new birth visits undertaken within 14 days by a health visitor (%)  | <u>2018/19</u><br>93.2%   |            | England = 88.8%<br>CIPFA: 66.4% to 95.1%  | The percentage of face-to-face new birth visits undertaken within 14 days by a health visitor in North Yorkshire is significantly higher than England. It is the 3 <sup>rd</sup> highest among 16 similar areas. About 325 infants were not seen within the 14 day target..   |                                |
| 2.34 Eligible infants that receive a 12 month review by 15 months of age (%)  | <u>2018/19</u><br>97.2%   |            | England = 82.3%<br>CIPFA: 63.4% to 97.4%  | In North Yorkshire, the percentage of infants that receive a 12 month review by 15 months of age is significantly higher than England. It is the 2 <sup>nd</sup> highest among 16 similar areas.  |                                |
| 2.35 Eligible children receiving a 2-2.5 year review by the time they were 2.5 years (%)  | <u>2018/19</u><br>95.9%   |            | England = 77.6%<br>CIPFA: 42.0% to 95.9%  | The percentage of children who received a 2-2½ year review by the time they turned 2½ years old in North Yorkshire is 95.9%. This is significantly higher than England and the highest amongst the group of 16 similar areas.   | -(First year published by PHE) |
| 2.36 Reception aged children completing a check (%)   | <u>Academic year 2018/19</u><br>Q4 57.3%  |            | Local measure - no benchmarking data available<br><u>2017/18: Q4</u> 66.2%  | Performance is down compared with 2017/18 data for same quarter. Annual target of 80%.<br>This is under review as part of re-commissioning.   |                                |
| 2.37 Year 6 children completing a check (%)   | <u>Academic year 2018/19</u><br>Q4 55.2%  |            | Local measure - no benchmarking data available<br><u>2017/18: Q4</u> 30.0%  | 2017/18 data showed 30.0% for same quarter last year so performance is considerably improved. Annual target of 80%.<br>This is under review as part of re-commissioning.  |                                |

## 2. Best start to life - Primary indicators table



| Primary Indicators:  | Latest data / figure   | RAG status | Benchmarking data  | Comments   | Direction of travel |
|--|--|------------|--|--|---------------------|
| 2.38. Proportion of children aged 2-2.5 years old receiving ASQ-3 as part of the Healthy Child Programme or integrated review                                      | <u>2018/19</u><br>97.7%<br>(4,393 children aged 2-2.5 years old) |            | England = 90.2%<br>CIPFA: 75.4% to 100%                        | The proportion of children aged 2-2.5 years old receiving ASQ-3 as part of the Healthy Child Programme in North Yorkshire is significantly higher than England. North Yorkshire is 5 <sup>th</sup> highest amongst 16 similar areas. North Yorkshire has reduced marginally from 98.7% to 97.7%. |                     |
| 2.39. % of Care Leavers (aged 19, 20 or 21) that the local authority is not 'in-touch' with  | <u>2019/20</u><br>Q1 98.2%<br>Q2 97%<br>Q3 97%                   |            | <u>2018/19</u><br>Q1 98.7%<br>Q2 98.7%<br>Q3 98.8%<br>Q4 98.8% | Performance for Care Leavers in-touch with the local authority is remaining consistently strong. Whilst it does fluctuate from one Quarter to the next, it is considerably stronger than the latest national figure of 93% (based on the 7% not in-touch).                                       |                     |
| 2.40. % of Care Leavers (aged 19, 20 or 21) in suitable accommodation  | <u>2018/19</u><br>Q1 92.7%<br>Q2 91.7%<br>Q3 91.4%               |            | <u>2018/19</u><br>Q1 93.7%<br>Q2 92.4%<br>Q3 93.9%<br>Q4 95.7% | As with in-touch, we would expect to see some fluctuation and over the last 2 Quarters we have seen a slight decline in performance. However, we continue to perform strongly compared to the latest national average (84%) and the latest statistical neighbour average (83.5%)                 |                     |
| 2.41. The percentage of parents/carers who strongly agree/agree that the Education, Health & Care Plan identifies realistic and positive outcomes for their child. | <u>End Q3 2019/20</u><br>86.4%                                   |            | 80% (Nov 2018)   | Based on the online survey undertaken by parents/carers and children as part of the annual review of EHC plans or the production of a new EHC plan.  |                     |
| 2.42. The percentage of parents/carers who strongly agree/agree that the Education, Health & Care Plan identifies the right support to achieve the outcomes.       | <u>End Q1 2019/20</u><br>84.3%                                   |            | 76% (Nov 2018)   | Based on the online survey undertaken by parents/carers and children as part of the annual review of EHC plans or the production of a new EHC plan.  |                     |
| 2.43. % of respondents who we either satisfied or very satisfied with the involvement from the Children & Families Service   | <u>End Q1 2019/20</u><br>96.9%                                   |            | <u>2018/19</u><br>Q4 95.3%<br>Q3 98.6%<br>Q2 96.7%<br>Q1 96%   | Overall, service user feedback is positive. We consistently see more than 95% of service users completing family feedback responding that they are either satisfied or very satisfied with the service that they receive.  |                     |

### 3. Modern council - Customer feedback



17 stage 1 complaints received this quarter, 16 less than last quarter, with the number of complaints dropping across services. One stage 2 complaint was received this quarter.

Stage 1 complaints broken down by service:

- 7 Customer service centre
- 3 Libraries
- 2 Corporate Accountancy
- 1 Human resources – Employment support services
- 1 Insurance Risk Management
- 1 Legal Services
- 1 Registrars
- 1 Webteam

56% of cases were dealt with within timescales, a large percentage decrease in performance from last quarter with seven cases going over compared to two last quarter.

58% of cases were upheld/partly upheld. Remedies include apology, a software fix and some improvements around provision of information.

There was an increase in cases upheld in relation to communication. Those cases will be looked into further to see if there are any other lessons to be learnt here.

No complaints were received from or decided by the Local Government and Social Care Ombudsman (LGSCO) this quarter.

222 compliments were received, down from 241 (end of 'wedding season').

#### Timeliness

This quarter 9 of 16 complaints were dealt with within timescales

#### Root cause

- Service and care 46% (53% Q2)
- Communication 35% (11% Q2)
- Staffing 8% (21% Q2)
- Disagree with decision/action 4% (5% Q2)
- Discrimination 4%
- Pricing and charges 4%

#### Learning

Error with library book loan receipts should be fixed with the roll out of new software.

Prompt updating of new build addresses on gazetteer will enable a smoother process for online amends to bus passes

#### Ombudsman

No cases received or decided upon.

## 4. Modern Council - Primary indicators table



| Primary Indicators:                                      | Latest data / figure  | RAG status | Benchmarking data  | Comments   | Direction of travel |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
|--|---|------------|--|--|---------------------|--------|-----|-----|-----|-----|--------------------------|-----|-----|-----|-----|-----|-----------------------------|-----|-----|-----|-----|-----|------------|-----|-----|-----|-----|-------|--------------------|-----|-----|-----|-----|-----|--------|-----|-----|-----|-----|-------|--------|-----|-----|-----|-----|-------|----------|-----|-----|-----|-----|-------|--------------|-----|-----|-----|-----|-------|------------------|-----|-----|-----|-----|-----|----------|-----|-----|-----|-----|-----|---------|-----|-----|-----|-----|-------|-----------|-----|--|-----|-----|----|------|-----|-----|------|------|-------|-------------------|-----|-----|-----|-----|-----|-----------------------|-----|-----|-----|-----|-----|--|
| 4.1. Percentage of contacts received via online services | 16% of all contacts<br>32% of transactions<br>52% of customer transactions<br>81% of services in the portal |            | Target of 70% by 2020  | <table border="1"> <thead> <tr> <th>Portal services</th> <th>Target</th> <th>Oct</th> <th>Nov</th> <th>Dec</th> <th>No.</th> </tr> </thead> <tbody> <tr> <td>Bus pass - Older persons</td> <td>50%</td> <td>80%</td> <td>94%</td> <td>99%</td> <td>949</td> </tr> <tr> <td>Bus pass - Disabled persons</td> <td>40%</td> <td>63%</td> <td>81%</td> <td>75%</td> <td>404</td> </tr> <tr> <td>Blue badge</td> <td>70%</td> <td>97%</td> <td>98%</td> <td>97%</td> <td>2,288</td> </tr> <tr> <td>Notice of marriage</td> <td>50%</td> <td>85%</td> <td>84%</td> <td>90%</td> <td>242</td> </tr> <tr> <td>Births</td> <td>70%</td> <td>87%</td> <td>91%</td> <td>94%</td> <td>1,229</td> </tr> <tr> <td>Deaths</td> <td>40%</td> <td>37%</td> <td>38%</td> <td>34%</td> <td>1,444</td> </tr> <tr> <td>Flooding</td> <td>30%</td> <td>40%</td> <td>40%</td> <td>44%</td> <td>1,601</td> </tr> <tr> <td>Streetlights</td> <td>70%</td> <td>80%</td> <td>82%</td> <td>84%</td> <td>2,930</td> </tr> <tr> <td>Tree, veg, grass</td> <td>30%</td> <td>34%</td> <td>36%</td> <td>30%</td> <td>547</td> </tr> <tr> <td>Footways</td> <td>50%</td> <td>44%</td> <td>46%</td> <td>53%</td> <td>481</td> </tr> <tr> <td>Pothole</td> <td>70%</td> <td>62%</td> <td>70%</td> <td>74%</td> <td>1,796</td> </tr> <tr> <td>Grit Bins</td> <td>70%</td> <td></td> <td>92%</td> <td>62%</td> <td>54</td> </tr> <tr> <td>HWRC</td> <td>70%</td> <td>99%</td> <td>100%</td> <td>100%</td> <td>1,693</td> </tr> <tr> <td>Online assessment</td> <td>50%</td> <td>69%</td> <td>85%</td> <td>82%</td> <td>199</td> </tr> <tr> <td>Carers Emergency Card</td> <td>70%</td> <td>74%</td> <td>68%</td> <td>78%</td> <td>234</td> </tr> </tbody> </table> | Portal services     | Target | Oct | Nov | Dec | No. | Bus pass - Older persons | 50% | 80% | 94% | 99% | 949 | Bus pass - Disabled persons | 40% | 63% | 81% | 75% | 404 | Blue badge | 70% | 97% | 98% | 97% | 2,288 | Notice of marriage | 50% | 85% | 84% | 90% | 242 | Births | 70% | 87% | 91% | 94% | 1,229 | Deaths | 40% | 37% | 38% | 34% | 1,444 | Flooding | 30% | 40% | 40% | 44% | 1,601 | Streetlights | 70% | 80% | 82% | 84% | 2,930 | Tree, veg, grass | 30% | 34% | 36% | 30% | 547 | Footways | 50% | 44% | 46% | 53% | 481 | Pothole | 70% | 62% | 70% | 74% | 1,796 | Grit Bins | 70% |  | 92% | 62% | 54 | HWRC | 70% | 99% | 100% | 100% | 1,693 | Online assessment | 50% | 69% | 85% | 82% | 199 | Carers Emergency Card | 70% | 74% | 68% | 78% | 234 |  |
| Portal services  | Target  | Oct        | Nov  | Dec  | No.                 |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| Bus pass - Older persons                                 | 50%   | 80%        | 94%  | 99%  | 949                 |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| Bus pass - Disabled persons                              | 40%   | 63%        | 81%  | 75%  | 404                 |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| Blue badge   | 70%   | 97%        | 98%  | 97%  | 2,288               |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| Notice of marriage                                       | 50%   | 85%        | 84%  | 90%  | 242                 |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| Births   | 70%   | 87%        | 91%  | 94%  | 1,229               |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| Deaths   | 40%   | 37%        | 38%  | 34%  | 1,444               |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| Flooding   | 30%   | 40%        | 40%  | 44%  | 1,601               |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| Streetlights   | 70%   | 80%        | 82%  | 84%  | 2,930               |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| Tree, veg, grass   | 30%   | 34%        | 36%  | 30%  | 547                 |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| Footways   | 50%   | 44%        | 46%  | 53%  | 481                 |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| Pothole  | 70%   | 62%        | 70%  | 74%  | 1,796               |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| Grit Bins  | 70%   |            | 92%  | 62%  | 54                  |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| HWRC   | 70%   | 99%        | 100%   | 100%   | 1,693               |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| Online assessment  | 50%   | 69%        | 85%  | 82%  | 199                 |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| Carers Emergency Card                                    | 70%   | 74%        | 68%  | 78%  | 234                 |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| 4.2. Staff absence (sickness) rate                       | Q3 2.49 days lost per FTE (NYCC only – excluding schools)<br>Q3 2.39 days lost per FTE (full workforce)     |            | Public sector average 8.24 days lost annually per FTE (full workforce), 8.09 days lost annually per FTE (excluding schools)<br>Office of National Statistics<br>8.5 days lost annually per FTE<br>LGA workforce survey | <p>Excluding schools, the Q3 figure is up on Q2 (2.02) and up on Q3 18/19 (2.11).</p> <p>The Q3 full workforce figure is up on last quarter (1.69) and up from Q3 figure 18/19 (2.08).</p> <p>Mental health related sickness absence has been increasing steadily in the last 2 years, reflecting a national increase in mental ill-health absence. It accounted for 24% of sickness absence in 2017/18 but 34% in the last quarter. There is a reduction in other reasons for sickness absence (eg infections and musculo-skeletal) suggesting an increase in employees classifying the true underlying cause of their absence. The Council is continuing to strengthen its support for employees' wellbeing and such measures can result in an increase in such absence whilst therapy and support are accessed prior to a decrease.</p>   |                     |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| 4.3. Staff turnover rates                                | Q3 Leavers – NYCC staff only (excluding schools) 215 (2.97%)  |            | 11 – 13% annually  | This figure has decreased on a seasonally high Q2 (334, 4.6%) and increased slightly on Q3 18/19 (207, 2.81%). Involuntary leavers have remained at 35 (0.48%), the same level as Q2.  |                     |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |
| 4.4. Spend on agency staff                               | Q3 - £153,207 (full workforce)<br>Q3 - (excluding IR35) £18,553   |            | Average annual spend pre-IR35 across comparable authorities was £3m (2016/17).   | <p>Total spend was down on Q2 19/20 (£201,708) and down on Q3 18/19 (£249,698).</p> <p>Spend excluding IR35 is down slightly on Q2 (£18,738) and substantially on Q3 18/19 (£80,470), and is again lower than any quarter in the last 3 years.</p> <p>The vast majority of agency spend continues to be on Mental Health and Best Interest Assessors.</p>  |                     |        |     |     |     |     |                          |     |     |     |     |     |                             |     |     |     |     |     |            |     |     |     |     |       |                    |     |     |     |     |     |        |     |     |     |     |       |        |     |     |     |     |       |          |     |     |     |     |       |              |     |     |     |     |       |                  |     |     |     |     |     |          |     |     |     |     |     |         |     |     |     |     |       |           |     |  |     |     |    |      |     |     |      |      |       |                   |     |     |     |     |     |                       |     |     |     |     |     |  |

## 4. Modern Council - Primary indicators table



| Primary Indicators:   | Latest data / figure   | RAG status | Benchmarking data  | Comments   | Direction of travel |
|---|--|------------|--|--|---------------------|
| 4.5. Spend against apprenticeship levy                            | <p><b>Q3 Levy Deduction</b><br/>Core council – £179,328<br/>Community &amp; VC Schools – £200,956<br/><b>Total - £380,284</b></p> <p><b>Q3 Levy Spend</b><br/>Core Council – £174,168<br/>Community &amp; VC Schools - £27,962<br/><b>Total - £202,130</b></p> <p><b>Q3 Number of Starts</b><br/>Core Council – 46<br/>Community &amp; VC Schools - 5<br/><b>Total – 51</b></p> <p><b>Levy Deduction April 17 - Dec 19</b><br/>Core Council – £1,856,717<br/>Community &amp; VC Schools - £2,289,381<br/><b>Total - £4,146,098</b></p> <p><b>Levy Spend April 17 - Dec 19</b><br/>Core Council – £773,996<br/>Community &amp; VC Schools - £110,872<br/><b>Total - £884,514</b></p> <p><b>Number of Starts April 17 - Dec 19</b><br/>Core Council – 282<br/>Community &amp; VC Schools - 53<br/><b>Total - 335</b></p> |            | <p><i>Nationally there have been 389,200 apprenticeship starts reported to date in the 2018/19 academic year (August 2018 to July 2019). This compares to 369,700 reported in the equivalent period in 2017/18, 491,300 in 2016/17 and 503,700 in 2015/16. Of the 389,200 apprenticeship starts reported so far in 2018/19, 63.2 per cent (245,900) were on apprenticeship standards.</i></p> <p>Information taken from the DfE Apprenticeship and levy statistics: October 2019 Official Statistics</p> <p><i>Regionally a scoping survey has been completed with local authorities within Yorkshire and Humber to understand their position on unspent levy funds. The majority who responded, including NYCC identified that they would be returning funds.</i></p> | <p>The levy spend in Q3 2019/20 was £202,130 compared to £105,253 in Q3 2018/19, an increase of £96,877.</p> <p>Q3 had 51 new apprentice starts; 46 in core council roles and 5 in Community &amp; VC Schools.</p> <p>7 new apprenticeship standards have been adopted for roles in NYCC; Cyber Security Technologist Level 3, Data Analyst Level 4, Data Scientist Level 6, Digital Support Technician Level 3, Infrastructure Technician Level 3, IS Business Analyst Level 4 and Regulatory Compliance Officer Level 4.</p> <p>In Q3 8 apprentice completed, 6 in core council roles and 2 from Community &amp; VC Schools. This totals 46 completions since the start of the apprenticeship programme, 38 in core council roles and 8 in Schools.</p> <p>Work is underway to review the forecasted starts for 2019/20. Currently 26 potential new starts are identified for Q4 which would see 123 starts for 2019/20. Q3 sees a higher number of starts to coincide with the academic year for Colleges and Universities.</p> <p>The previously reported annual forecasted levy spend of c£649k remains unchanged and unspent funds from the NYCC levy pot started to be taken by the treasury from Sept'19 with £345k returned to date of which 100% is schools unspent funds. This is in line with expectations due to the ongoing challenges for schools as previously reported.</p> <p>In Q3 saw the first levy transfer to another organisation with more planned.</p> |                     |
| 4.6. Total income – Traded Services                               | Q1 figure not yet available  |            |  | New indicator  |                     |
| 4.7. NYES Forecasted Profit                                       | Q1 figure not yet available  |            |  | New indicator  |                     |
| 4.8. Brierley Group YTD Profit                                    | Q1 figure not yet available  |            |  | New indicator  |                     |
| 4.9. Number of NYES Customers that have purchased in this quarter | <p><u>2019/20</u></p> <p><b>Q3 961</b></p> <p>Q2 714</p> <p>Q1 751</p> <p><u>2018/19</u></p> <p>Q4 873</p> <p>Q3 680</p> <p>Q2 745</p> <p>Q1 862</p>   |            | Internal KPI – benchmarking data not available.  | There is marked increase of 281 customers this quarter compared to Q3 last financial year.   |                     |



## 5. Growth - Customer feedback



In Quarter 3 there were a total of 160 complaints received in relation to Business and Environmental Services, down significantly from 261 the previous quarter when the authority received a lot of complaints that were related to the UCI World Championships. For the same period, the Directorate also received 63 compliments.

115 (72%) of this quarter's complaints are recorded against Highway Operations. These include complaints about gritting, notification of roadworks, management of roadworks, condition of footways and roads. In the instances where these complaints are due to the actions of contractors carrying out the work on our behalf, the issues are taken up as appropriate and performance is monitored.

This quarter also saw a high number of complaints were due to poor quality of communication, 27 (16%) which is a concern and requires further investigation by the directorate.

### Timeliness

88% of Stage 1 complaints were answered within the set timescale which is an increase from 82% in Q2. Of the 2 Stage 2 complaints both were not responded to within time. It must be noted however that in both instances the new response time was agreed with the complainant and the delays were due to the cases requiring information from officers who were absent or not available.

### Learning

Some work has been undertaken to see if there was a particular reason for the increase in complaints to the directorate in Quarter 2. This found that in some cases we would receive a number of complaints on one issue from different people as they felt that will have more of an effect if a number of people complained about an issue. It was also confirmed that the increase had been caused by complaints regarding the UCI World Championships. Further work is to be undertaken on the recording of complaints and how outcomes are decided.

### Ombudsmen

There were four LGSCO complaint investigations received in this quarter which is an increase. However, two of these have not been upheld, one was not investigated and the fourth is awaiting an outcome.

## 6. Appendix - Growth - Primary indicators table



| Primary Indicators:   | Latest data / figure  | RAG status                      | Benchmarking data   | Comments  | Direction of travel |      |      |                    |      |      |      |     |         |       |       |       |      |      |      |   |      |      |      |      |   |
|---|---|---------------------------------|---|---|---------------------|------|------|--------------------|------|------|------|-----|---------|-------|-------|-------|------|------|------|---|------|------|------|------|---|
| 6.1. Total employee jobs in North Yorkshire<br>Source: NOMIS Area Profile: total jobs – FT+PT.<br>(Excludes self-employed and farm based agriculture.)  | 265,000 ('15)<br>270,000 ('16)<br>270,000 ('17)<br><b>280,000 ('18)</b>                                   | County wide economic indicators | Using job density (all jobs per resident aged 16-64) as a comparator.<br><table border="1"> <thead> <tr> <th></th> <th>2012</th> <th>2016</th> <th>2017</th> </tr> </thead> <tbody> <tr> <td>NY</td> <td>0.85</td> <td>0.98</td> <td>0.95</td> </tr> <tr> <td>Y&amp;H</td> <td>0.73</td> <td>0.80</td> <td>0.81</td> </tr> <tr> <td>GB</td> <td>0.78</td> <td>0.85</td> <td>0.86</td> </tr> </tbody> </table> |   | 2012                | 2016 | 2017 | NY                 | 0.85 | 0.98 | 0.95 | Y&H | 0.73    | 0.80  | 0.81  | GB    | 0.78 | 0.85 | 0.86 | Jobs density in NY rose by 15% between 2012 and 2016 compared to 9% national growth rate. This follows a long period of stability during 2002-2012 – which mirrored the national position. NY job fallen back by 4.5% in 2017 – far exceeding the 1% drop in employee jobs. | ↓    |      |      |      |   |
|   | 2012  | 2016                            | 2017  |   |                     |      |      |                    |      |      |      |     |         |       |       |       |      |      |      |   |      |      |      |      |   |
| NY  | 0.85  | 0.98                            | 0.95  |   |                     |      |      |                    |      |      |      |     |         |       |       |       |      |      |      |   |      |      |      |      |   |
| Y&H   | 0.73  | 0.80                            | 0.81  |   |                     |      |      |                    |      |      |      |     |         |       |       |       |      |      |      |   |      |      |      |      |   |
| GB  | 0.78  | 0.85                            | 0.86  |   |                     |      |      |                    |      |      |      |     |         |       |       |       |      |      |      |   |      |      |      |      |   |
| 6.2. Gross Value Added per head of population.<br>GVA (Income) made up of compensation of employees, gross operating surplus, mixed income, taxes on production, less subsidies on production.<br>Source: ONS Regional GVA dataset (tables 2,3) | £20,354 (2014)<br>£20,919 (2015)<br>£21,761 (2016)<br>£23,315 (2017)<br><b>£23,374 (2018 provisional)</b> | County wide economic indicators | NY in top quartile for Y&H unitary councils and counties<br>Y&H £22,559 in 2018 (provisional)<br>England £29,356 in 2018 (provisional)<br>UK £28,729 in 2018 (provisional)  | GVA per head has been slowly declining compared to the UK and English averages over last 18 years.<br><table border="1"> <thead> <tr> <th></th> <th>1999</th> <th>2008</th> <th>2018 (provisional)</th> </tr> </thead> <tbody> <tr> <td>UK</td> <td>100</td> <td>100</td> <td>100</td> </tr> <tr> <td>England</td> <td>103.3</td> <td>102.9</td> <td>103.0</td> </tr> <tr> <td>Y&amp;H</td> <td>83.4</td> <td>83.1</td> <td>79.2</td> </tr> <tr> <td>NYCC</td> <td>83.2</td> <td>83.3</td> <td>82.1</td> </tr> </tbody> </table> NY falling behind England and UK figures over the long term. |                     | 1999 | 2008 | 2018 (provisional) | UK   | 100  | 100  | 100 | England | 103.3 | 102.9 | 103.0 | Y&H  | 83.4 | 83.1 | 79.2  | NYCC | 83.2 | 83.3 | 82.1 | ↑ |
|   | 1999  | 2008                            | 2018 (provisional)  |   |                     |      |      |                    |      |      |      |     |         |       |       |       |      |      |      |   |      |      |      |      |   |
| UK  | 100   | 100                             | 100   |   |                     |      |      |                    |      |      |      |     |         |       |       |       |      |      |      |   |      |      |      |      |   |
| England   | 103.3   | 102.9                           | 103.0   |   |                     |      |      |                    |      |      |      |     |         |       |       |       |      |      |      |   |      |      |      |      |   |
| Y&H   | 83.4  | 83.1                            | 79.2  |   |                     |      |      |                    |      |      |      |     |         |       |       |       |      |      |      |   |      |      |      |      |   |
| NYCC  | 83.2  | 83.3                            | 82.1  |   |                     |      |      |                    |      |      |      |     |         |       |       |       |      |      |      |   |      |      |      |      |   |

## 6. Appendix - Growth - Primary indicators table



| 6. Appendix - Growth - Primary indicators table   |  |                                 |   |   |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
|---|--|---------------------------------|---|---|----------------------------------|------------------|----|------|---------|------|------|---------|------|------|---------|--------|------|---------|------|------|---------|-----------|------|----------------|-------------|-------------|--|-----------|---------------------------------|------|------|------|------|---------------|---------|---------|---------|---------|--------|---------|------|------|------|-------------|-------------|-------------|------|-------|------|--------------|-----------|-------|------|------|------|--------------|----------|-----------------|------|------|-------|-------------|---------|----------------|------|------|------|--------------|-------|---------|------|------|------|-------------|-------|------|------|-------|-------|--------------|----|------|------|------|------|-------------|--|
| Primary Indicators:   | Latest data / figure   | RAG status                      | Benchmarking data   | Comments  | Direction of travel              |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| 6.3. Housing affordability: Ratio of median house price to median gross annual (where available) residence-based earnings<br><br>Source: ONS ratio of median house price median gross residents-based earnings. Table 1c, 3c, 5c<br><br>Affordability ratios calculated by dividing house prices by gross annual residence-based earnings, based on the median and lower quartiles of both house prices and earnings002E` | 7.15 (2014)<br>7.20 (2015)<br>7.32 (2016)<br>7.71 (2017)<br><b>7.61 (2018)</b>                                   | County wide economic indicators | NY 4.9% more affordable than England, but 28% less affordable than Y&H.<br><br>3 Districts less affordable than England average   | <table border="1"> <thead> <tr> <th rowspan="2"></th> <th colspan="5">Resident in area</th> </tr> <tr> <th>2002</th> <th>2013</th> <th>2016</th> <th>2017</th> <th>2018</th> </tr> </thead> <tbody> <tr> <td>Craven</td> <td>4.78</td> <td>7.31</td> <td>8.16</td> <td>8.21</td> <td>7.92</td> </tr> <tr> <td>Hambleton</td> <td>6.00</td> <td>7.91</td> <td>7.92</td> <td>8.62</td> <td><b>8.06</b></td> </tr> <tr> <td>Harrogate</td> <td>6.18</td> <td>8.00</td> <td>8.86</td> <td>8.83</td> <td>8.88</td> </tr> <tr> <td>Richmondshire</td> <td>4.76</td> <td>7.50</td> <td>6.64</td> <td>7.74</td> <td>7.31</td> </tr> <tr> <td>Ryedale</td> <td>6.14</td> <td>8.49</td> <td>8.93</td> <td>9.41</td> <td><b>8.99</b></td> </tr> <tr> <td>Scarborough</td> <td>4.10</td> <td>5.90</td> <td>5.85</td> <td>6.07</td> <td>6.30</td> </tr> <tr> <td>Selby</td> <td>4.13</td> <td>5.95</td> <td>6.23</td> <td>6.42</td> <td>6.41</td> </tr> <tr> <td>North Yorkshire</td> <td>5.00</td> <td>7.04</td> <td>7.32</td> <td>7.71</td> <td>7.61</td> </tr> <tr> <td>Yorks &amp; Humber</td> <td>3.54</td> <td>5.29</td> <td>5.78</td> <td>5.90</td> <td>5.95</td> </tr> <tr> <td>England</td> <td>5.11</td> <td>6.76</td> <td>7.72</td> <td>7.91</td> <td>8.00</td> </tr> </tbody> </table> |                                  | Resident in area |    |      |         |      | 2002 | 2013    | 2016 | 2017 | 2018    | Craven | 4.78 | 7.31    | 8.16 | 8.21 | 7.92    | Hambleton | 6.00 | 7.91           | 7.92        | 8.62        | <b>8.06</b>  | Harrogate | 6.18                            | 8.00 | 8.86 | 8.83 | 8.88 | Richmondshire | 4.76    | 7.50    | 6.64    | 7.74    | 7.31   | Ryedale | 6.14 | 8.49 | 8.93 | 9.41        | <b>8.99</b> | Scarborough | 4.10 | 5.90  | 5.85 | 6.07         | 6.30      | Selby | 4.13 | 5.95 | 6.23 | 6.42         | 6.41     | North Yorkshire | 5.00 | 7.04 | 7.32  | 7.71        | 7.61    | Yorks & Humber | 3.54 | 5.29 | 5.78 | 5.90         | 5.95  | England | 5.11 | 6.76 | 7.72 | 7.91        | 8.00  |      |      |       |       |              |    |      |      |      |      |             |  |
|   | Resident in area   |                                 |   |   |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
|   | 2002   | 2013                            | 2016  | 2017  | 2018                             |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Craven  | 4.78   | 7.31                            | 8.16  | 8.21  | 7.92                             |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Hambleton   | 6.00   | 7.91                            | 7.92  | 8.62  | <b>8.06</b>                      |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Harrogate   | 6.18   | 8.00                            | 8.86  | 8.83  | 8.88                             |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Richmondshire   | 4.76   | 7.50                            | 6.64  | 7.74  | 7.31                             |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Ryedale   | 6.14   | 8.49                            | 8.93  | 9.41  | <b>8.99</b>                      |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Scarborough   | 4.10   | 5.90                            | 5.85  | 6.07  | 6.30                             |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Selby   | 4.13   | 5.95                            | 6.23  | 6.42  | 6.41                             |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| North Yorkshire   | 5.00   | 7.04                            | 7.32  | 7.71  | 7.61                             |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Yorks & Humber  | 3.54   | 5.29                            | 5.78  | 5.90  | 5.95                             |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| England   | 5.11   | 6.76                            | 7.72  | 7.91  | 8.00                             |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| 6.4. Number of housing completions.<br><br>Source: DCLG Table 253, ONS Table 406  | 910 (13/14)<br>1,330 (14/15)<br>1,530 (15/16)<br>1,830 (16/17)<br>2,080 (17/18)<br><b>2,020 (18/19)</b>          | County wide economic indicators | <table border="1"> <thead> <tr> <th rowspan="2"></th> <th colspan="2">Completions per 1000 households.</th> </tr> <tr> <th>NY</th> <th>Eng.</th> </tr> </thead> <tbody> <tr> <td>2013/14</td> <td>3.49</td> <td>4.99</td> </tr> <tr> <td>2014/15</td> <td>5.09</td> <td>5.48</td> </tr> <tr> <td>2015/16</td> <td>5.83</td> <td>6.08</td> </tr> <tr> <td>2016/17</td> <td>6.94</td> <td>6.39</td> </tr> <tr> <td>2017/18</td> <td>7.85</td> <td>6.85</td> </tr> <tr> <td><b>2018/19</b></td> <td><b>9.54</b></td> <td><b>6.97</b></td> </tr> </tbody> </table><br>NY rate risen by 22% in last year, compared with 2% rise for England.<br><br>While the countywide rate is up it has dropped dramatically in Richmondshire, and less so in Scarborough and Selby |   | Completions per 1000 households. |                  | NY | Eng. | 2013/14 | 3.49 | 4.99 | 2014/15 | 5.09 | 5.48 | 2015/16 | 5.83   | 6.08 | 2016/17 | 6.94 | 6.39 | 2017/18 | 7.85      | 6.85 | <b>2018/19</b> | <b>9.54</b> | <b>6.97</b> | <table border="1"> <thead> <tr> <th rowspan="2"></th> <th colspan="5">Completions per 1000 households</th> </tr> <tr> <th>2014/15</th> <th>2015/16</th> <th>2016/16</th> <th>2017/18</th> <th>2018/19</th> </tr> </thead> <tbody> <tr> <td>Craven</td> <td>4.82</td> <td>5.60</td> <td>3.58</td> <td>1.19</td> <td><b>8.68</b></td> </tr> <tr> <td>Hambleton</td> <td>4.88</td> <td>6.39</td> <td>10.94</td> <td>7.85</td> <td><b>12.35</b></td> </tr> <tr> <td>Harrogate</td> <td>2.06</td> <td>2.35</td> <td>2.34</td> <td>5.52</td> <td><b>10.41</b></td> </tr> <tr> <td>Richmond</td> <td>3.27</td> <td>5.61</td> <td>7.00</td> <td>11.19</td> <td><b>2.33</b></td> </tr> <tr> <td>Ryedale</td> <td>8.21</td> <td>7.74</td> <td>6.84</td> <td>6.38</td> <td><b>10.57</b></td> </tr> <tr> <td>Scar.</td> <td>5.65</td> <td>7.65</td> <td>7.63</td> <td>8.01</td> <td><b>5.39</b></td> </tr> <tr> <td>Selby</td> <td>9.55</td> <td>8.34</td> <td>12.39</td> <td>15.55</td> <td><b>14.59</b></td> </tr> <tr> <td>NY</td> <td>5.09</td> <td>5.83</td> <td>6.94</td> <td>7.85</td> <td><b>9.54</b></td> </tr> </tbody> </table> |           | Completions per 1000 households |      |      |      |      | 2014/15       | 2015/16 | 2016/16 | 2017/18 | 2018/19 | Craven | 4.82    | 5.60 | 3.58 | 1.19 | <b>8.68</b> | Hambleton   | 4.88        | 6.39 | 10.94 | 7.85 | <b>12.35</b> | Harrogate | 2.06  | 2.35 | 2.34 | 5.52 | <b>10.41</b> | Richmond | 3.27            | 5.61 | 7.00 | 11.19 | <b>2.33</b> | Ryedale | 8.21           | 7.74 | 6.84 | 6.38 | <b>10.57</b> | Scar. | 5.65    | 7.65 | 7.63 | 8.01 | <b>5.39</b> | Selby | 9.55 | 8.34 | 12.39 | 15.55 | <b>14.59</b> | NY | 5.09 | 5.83 | 6.94 | 7.85 | <b>9.54</b> |  |
|   | Completions per 1000 households.   |                                 |   |   |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
|   | NY   | Eng.                            |   |   |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| 2013/14   | 3.49   | 4.99                            |   |   |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| 2014/15   | 5.09   | 5.48                            |   |   |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| 2015/16   | 5.83   | 6.08                            |   |   |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| 2016/17   | 6.94   | 6.39                            |   |   |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| 2017/18   | 7.85   | 6.85                            |   |   |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| <b>2018/19</b>  | <b>9.54</b>  | <b>6.97</b>                     |   |   |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
|   | Completions per 1000 households  |                                 |   |   |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
|   | 2014/15  | 2015/16                         | 2016/16   | 2017/18   | 2018/19                          |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Craven  | 4.82   | 5.60                            | 3.58  | 1.19  | <b>8.68</b>                      |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Hambleton   | 4.88   | 6.39                            | 10.94   | 7.85  | <b>12.35</b>                     |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Harrogate   | 2.06   | 2.35                            | 2.34  | 5.52  | <b>10.41</b>                     |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Richmond  | 3.27   | 5.61                            | 7.00  | 11.19   | <b>2.33</b>                      |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Ryedale   | 8.21   | 7.74                            | 6.84  | 6.38  | <b>10.57</b>                     |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Scar.   | 5.65   | 7.65                            | 7.63  | 8.01  | <b>5.39</b>                      |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| Selby   | 9.55   | 8.34                            | 12.39   | 15.55   | <b>14.59</b>                     |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| NY  | 5.09   | 5.83                            | 6.94  | 7.85  | <b>9.54</b>                      |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| 6.5. The number of North Yorkshire Lower Super Output Areas (LSOAs) that are within the 20% most deprived nationally.   | 2019 – 24 LSOAs<br>2015 – 23 LSOAs<br>2010 – 18 LSOAs  | County wide economic indicators | NY ranked 125th least deprived out of 151 upper tier LAs. Ranked, 125 <sup>th</sup> of 152 in 2015 and 129th least deprived in 2010.  | Pockets of deprivation remain in NY. However, there is only one LSOA among England's most deprived 1%, down from three LSOAs in 2015. This is Scarborough 012B in Eastfield ward.<br><br>A total of one additional LSOA of 373 in the county now falls into the lowest quintile (most deprived 20%) in England. In fact, three LSOAs in Scarborough have moved into the most deprived 20% and two (one each in Richmondshire and Selby districts) have moved out.<br><br>The number in the second most deprived quintile (20% to 40%) remained at 34, the same as in 2015.<br><br>273 out of 373 LSOAs (73%) are in the least deprived half of LSOAs in England.<br><br>These rankings show relative (not absolute) levels of deprivation.  |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| 6.6. Highways Maintenance Efficiency Programme – annual rating.   | Level 3 (Jan 17)<br>Level 3 (Feb 18)<br><b>Level 3 (Feb 19)</b>  |                                 | 39 of 115 English Highway Authorities in Band 3 in 2017/18.   | 22 out of 22 questions attained level 3 in 2018/19 self-assessment.   |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| 6.7. National Highways and Transportation survey: KBI23 - Satisfaction with the condition of highways   | 36.7 (2017 – 2nd quartile)<br>30 (2018 – 2 <sup>nd</sup> quartile)<br><b>34 (2019 – 2<sup>nd</sup> quartile)</b> |                                 | 2 <sup>nd</sup> quartile among 31 comparable 'shire' highways authorities in the 2019 NHT survey. Our score was 34 which is also the median score.  | There was an increase in the public satisfaction for road condition in the 2019 NHT survey. Similar or improved increases among our peers means that, although we have remained in the 2nd quartile however our rank has dropped and are now 15 <sup>th</sup> out of 31 comparable authorities.   |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |
| 6.8. Road condition: % principle A roads where maintenance should be considered.  | 2% (2016 survey)<br>3% (2017 survey)<br><b>3% (2018 survey)</b>  |                                 | Single list indicator.<br><br>Average for English LAs was 3% (2017/18) (RDC0120)  |   |                                  |                  |    |      |         |      |      |         |      |      |         |        |      |         |      |      |         |           |      |                |             |             |  |           |                                 |      |      |      |      |               |         |         |         |         |        |         |      |      |      |             |             |             |      |       |      |              |           |       |      |      |      |              |          |                 |      |      |       |             |         |                |      |      |      |              |       |         |      |      |      |             |       |      |      |       |       |              |    |      |      |      |      |             |  |

## 6. Appendix - Growth - Primary indicators table



| Primary Indicators:   | Latest data / figure   | RAG status | Benchmarking data   | Comments   | Direction of travel |
|---|--|------------|---|--|---------------------|
| 6.9. Road condition – % of other heavily used roads where maintenance should be considered. (Cat 2, 3a and 3b roads less A roads.)                  | 4% (2016 survey)<br>4% (2017 survey)<br><b>5% (2018 survey)</b>  |            | Local indicator – not directly comparable. However for B&C class roads in 2017/18 (RDC0120), NYCC at 5%, England at 6%.   | Carriageway condition - percentage of roads where maintenance should be considered<br>   |                     |
| 6.10. Road condition – % of lesser used roads where maintenance should be considered. (Cat 4 and 5 roads.)  | 18% (2016 survey)<br>16% (2017 survey)<br><b>18% (2018 survey)</b>   |            | Local indicator and not directly comparable. However, for unclassified roads in 2017/18 (RDC0130), NYCC at 18%, England at 17%.   |  |                     |
| 6.11. KSI – number of people killed and seriously injured on roads (NY only, calendar years)  | 448 (2012-2016 avg)<br>431 (2014)<br>429 (2015)<br>428 (2016)<br>411 (2017)<br><b>363 (2018)</b>   |            | Data from Public Health England for KSI during the period 2015-2017 places NY at 69.5 KSI per 100,000 population, against a Y&H figure of 45.7, and an English figure of 40.8.<br><br>No PHE data for 2018 yet by which we can benchmark ourselves.   | Nationally there are no targets for Road Safety; therefore the 95 Alive partnerships monitors against a 5 year baseline average.   |                     |
| 6.12. Trading Standards: % of high risk inspections undertaken  | 60% (19/20 Q3)<br>38% (19/20 Q2)<br>17% (19/20 Q1)<br>99% (18/19 Q4)<br>73% (18/19 Q3)<br>96% (17/18)<br>84% (16/17)                           |            | Local measure – no comparative data available   | The high risk inspection profile is as follows:<br>Q1 - 15%<br>Q2 - 35%<br>Q3 - 70%<br>Q4 - 100%<br><br>We are down on the inspection profile figure due to staff absence.   |                     |
| 6.13. County matter' planning applications determined within 13/16 week timescales or within agreed extension of time (EoT). 2-year rolling measure | <b>83% (10/12)</b>   |            | England figure for 2 years to 12/18: 92.9%<br><br>(Source: Table P151b)   | RAG rated against statutory target of 60%. This is the statutory measure which includes allowance of an extension of time.   |                     |
| 6.14. PRoW Network condition: % of network passable   | <b>89.6% (18/19Q3)</b><br>88.23% (18/19Q2)<br>89.41% (19/20Q1)<br>89.33% (18/19Q4)<br>88.92% (18/19Q3)<br>88.68% (18/19Q2)<br>88.55% (18/19Q1) |            | Local measure – no comparable data available.   | Suggestion that a different approach to obstruction cases has started to increase the proportion of the network deemed usable (not blocked).<br><br>% of network usable<br>  |                     |
| 6.15. The percentage of young people who are not in education, employment or training (NEET) in academic year 12 and year 13                        | <u>2019/20</u><br>Q3 64 (0.6%)   |            | National NEET 2.4% (November 2019)<br>Y&H NEET 2.8% (November 2019)<br>National Situation Not Known 5.6% (November 2019)<br>Y&H Situation Not Known 5.5% (November 2019)<br>NYCC Situation Not Known 22.9% (November 2019)<br><br><u>2018/19</u><br>Q1 145 (1.3%)<br>Q2 74 (0.7%)<br>Q3 101 (0.9%)<br>Q4 105 (0.9%) | The percentage of young people who are not in education, employment or training (NEET) in academic year 12 and year 13 in North Yorkshire is below the national and regional rates and has continued to fall since the last quarter. However, the percentage of 16-17 year olds with unknown education, training or employment status has now increased to to 17.4% above the Regional benchmark and 17.3% above the National benchmark. This is due to the data for the Annual Activity Survey being updated and several institutions not having returned information. The unknown figures should continue to fall back again as data is updated. |                     |

## 6. Appendix - Growth - Primary indicators table

| Primary Indicators:   | Latest data / figure   | RAG status | Benchmarking data                           | Comments                                      | Direction of travel   |
|---|--|------------|---|---|---|
| 6.16. Number of employers signed up to healthy workplace initiatives. | 27 employers   |            | Internal dataset, no comparators available. | An increase from 14 at the end of Q1          |  |
| 6.17. % waste arising to landfill (former NI193)                      | <b>8.7% (18/19)</b><br>24.0% (17/18)<br>39.7% (16/17)<br>40.0% (15/16) |            |   | The latest figure available is Q1 19/20 4.7%. |  |

## 7. Healthy and independent living - Customer feedback



We have received 149 complaints during Q3, 126 were full complaints and 23 were complaint reviews.

In October we implemented a new process for complainants unhappy with their responses. We have named these complaint reviews.

We were finding that requests to review were not being responded to in a timely manner and communications with the complainant were not satisfactory.

By creating the complaint review we have set a 15 working day timescale in which to respond to any further concerns or appeals complainants have made as a result of their response. We give the service area 10 working days to assess if there is anything further we can add. If so, they provide us with a draft within the timescale set. If not, we provide a response directing the complainant to the Local Government and Social Care Ombudsman.

It is an opportunity for us to ensure that we have both responded correctly and as fully as possible.

As for complaints there is still a significant rise in the number that we are receiving for the last 3 years and there is a 34% increase received for the same quarter last year.

Looking at the information there has been a large jump in Selby, although there has been more than normal within each service area. There does not seem to be one particular subject which our service users are complaining about.

**Timeliness**

In Q3 we closed 132 cases and 83% were closed within our timescale set. This has fallen short of our 90% target this quarter. 15 draft responses were received late from the services areas; the escalation process was followed. 2 responses were sent late from our team.

We have not met our goal to get our timeliness to 90% and over this quarter.

We have strengthened the directorate approach to this issue by highlighting to the service areas the need for them to keep us updated, so we can help them to negotiate response deadlines and to manage the customer's expectations.

**Root cause**

Communication 17(11%), Disagrees with decision/action 60(40%), Pricing and charges 17(11%), Service and care 38(25%) and Staffing 16(11%)

Learning – As set out earlier, we have implemented a new process for complainants unhappy with their responses. They have been named complaint reviews.

**Ombudsman**

We have received 8 investigation enquiries and currently have 9 open LGCSO cases (including those received in Q3)

2 are at remedy stage and within time, 3 are with the LGCSO awaiting decision, 3 are with the service area retrieving requested information and still within time. We also have 1 case going to public report.

An Ombudsman case is going to public report; it concerns disability related expenditure in relation to a financial assessment and the delay in the Council undertaking the remedy associated with a previous Ombudsman case. Since 2018 working practices have changed and any remedies are pursued until completion and evidence is provided to the Ombudsman.

- 6 cases were closed in Q3
- 2 Closed after initial enquiries
- 2 Not upheld – no maladministration
- 2 upheld: maladministration and injustice



## 8. Healthy and independent living - Primary indicators



| Primary Indicators:  | Latest data / figure | RAG status   | Benchmarking data   | Comments  | Direction of travel |
|--|----------------------|--|---|---|---------------------|
| 8.1. 2A(1) - aged 18-64 admissions to residential and nursing care homes, per 100,000 population (year-end projection) | 18                   | <span style="background-color: green; color: white;">RAG</span>  | Nat: 13.9<br>YHR: 15.1<br>(2018/19 full year)   | Ranked green. Whilst the projected year-end figure remains above the national and regional averages for 2018/19, current performance remains within the indicative target range of 15-20.<br><br>Q3 projection is the same as the figure reported in Q4.<br>2018/19 Q4 = 18<br>2018/19 NYCC ASCOF outturn = 22.7  |                     |
| 8.2. 2A(1) - aged 65+ admissions to residential and nursing care homes, per 100,000 population (year-end projection)   | 637                  | <span style="background-color: orange; color: white;">RAG</span> | Nat: 579.4<br>YHR: 644.3<br>(2018/19 full year)   | Ranked green. The projected year-end figure is higher than the most recent published national average but lower than the corresponding regional average. s for 2017/18. The current projection remains below the level reported in Q4 and is within the indicative target range of 600-650.<br><br>2018/19 Q4 = 646<br>2018/19 NYCC ASCOF outturn = 776.7 |                     |
| 8.3. Referrals to Adult Social Care (ASC) as % of ASC contacts   | 23.5%                | <span style="background-color: green; color: white;">RAG</span>  | n/a   | Ranked green as current performance shows a 0.5% increase between quarters but maintains the significant improvement made against baseline.<br><br>2018/19 = 22.7%<br>2015/16 baseline = 29.0%  |                     |
| 8.4. % of referrals resulting in no further action (incl: NFA, case closed, no service required, support declined)     | 19.0%                | <span style="background-color: green; color: white;">RAG</span>  | n/a   | Ranked green as Q3 performance for the care & support pathway shows a small increase between quarters but remains well below the indicative target range of 25-33%.<br><br>2019/20 Q2 = 17.8%   |                     |
| 8.5. % of assessments resulting in no service provision  | 5.0%                 | <span style="background-color: white; color: white;">RAG</span>  | n/a   | New calculation method, which excludes cases where no service has been provided but the person assessed has received support in the form of information, advice or guidance.  | -                   |
| 8.6. % of reablement clients not receiving a subsequent package of social care support within 91 days                  | 82.1%                | <span style="background-color: green; color: white;">RAG</span>  | n/a   | Relates to reablement support packages completed in Q1 & Q2, which have now reached 90 days since the completion of the Reablement intervention.<br><br>Ranked green as this maintains the general upward trend in performance, building on the 81.2% reported in Q2.<br>2018/19 Q4 = 83.1%   |                     |
| 8.7. Reablement packages delivered in the period as % of all weekly services delivered in the period                   | 9.3%                 | <span style="background-color: orange; color: white;">RAG</span> | n/a   | Ranked amber as the proportion remains below 10% but remains in line with the 2017/18 year-end.<br><br>2019/20 Q3 = 9.2%<br>2017/18 Q4 = 9.3%   |                     |
| 8.8. D40 - Clients receiving a review/reassessment in the year as a % of all open clients during the year              | 50.8%                | <span style="background-color: orange; color: white;">RAG</span> | n/a   | Ranked amber as the performance trend has slipped just below the target trajectory for the first time.<br><br>Progress against action to clear overdue reviews is now covered at the weekly resilience meetings with service and locality heads to prevent further slippage.  |                     |
| 8.9. Over 65s with an open weekly social care service as a % of the population aged over-65                            | 2.8%                 | <span style="background-color: green; color: white;">RAG</span>  | n/a   | Small reduction from 2.9% to 2.8%, showing a high level of stability over the past two years, which matches the 2015/16 baseline of 2.9%.   |                     |
| 8.10. Rate of total DTOC bed days per 100,000 population (Nov 2019)  | 10.1                 | <span style="background-color: orange; color: white;">RAG</span> | 10/16 in CIPFA group<br>(Sep 2019 – Nov 2019)<br><br>(Sep-Nov 2018 11/16, where lower = better) | Ranked amber as the rate of total delays remains above the government's target of 9.4, but shows improvement against the 11.3 reported in Q2 and significant improvement against the baseline of 16.9.<br><br>The bed days rate for social care delays reduced to 2.7 in November against the government target of 2.9.                                   |                     |
| 8.11. % of residential/nursing beds for older people above NYCC rate   | 49.1%                | <span style="background-color: orange; color: white;">RAG</span> | n/a   | Ranked amber as the rate remains below 50%.<br><br>A number of market development activities are progressing, with a focus on Harrogate where the rate increases to 83%.<br>2018/19 Q4 = 46%  |                     |
| 8.12. Rate of safeguarding concerns per 100,000 population   | 755.5                | <span style="background-color: green; color: white;">RAG</span>  | Nat: 943<br>(2018/19)   | Cumulative measure. Ranked green as the rate of concerns per 100,000 of population in Q3 was well below the figure for the same period in 2018/19.<br><br>2019/20 Q2 = 569.4<br>2018/19 Q3 = 888.4  |                     |
| 8.13. % of safeguarding concerns progressing to enquiry  | 20.5%                | <span style="background-color: green; color: white;">RAG</span>  | Nat: 39%<br>(2018/19)   | Ranked green as the Q3 figure is the same as for Q2, and performance remains within the indicative target range of 20-22%.  |                     |
| 8.14. % of DoLS applications completed in the year that were granted   | 83%                  | <span style="background-color: orange; color: white;">RAG</span> | Nat: 54%<br>(2018/19)   | Ranked amber as performance remains broadly in line with the 2018/19 outturn, but local levels remain well above the national average. The number of applications were up by 7% year on year at the end of Q3.<br><br>2019/20 Q2 = 79%<br>2018/19 = 81%   |                     |



## 8. Healthy and independent living - Primary indicators



| Primary Indicators:  | Latest data / figure                | RAG status   | Benchmarking data  | Comments   | Direction of travel |
|--|-------------------------------------|--|--|--|---------------------|
| 8.15. Smoking prevalence in adults   | 12.0%                               | <span style="background-color: green; color: white;">■</span>  | England = 14.4%<br>CIPFA:<br>11.8% to 17.7%                                    | Smoking prevalence is significantly lower compared to England. Among 16 similar areas, North Yorkshire has the 2nd lowest rate. There are around 60,000 smokers in NY.   |                     |
| 8.16. Excess weight in adults  | 61.3%                               | <span style="background-color: orange; color: white;">■</span> | England = 62.0%<br>CIPFA:<br>58.9% to 67.5%                                    | Excess weight is not significantly different from England. Among 16 similar areas, North Yorkshire has the 5th lowest rate.  |                     |
| 8.17. New STI diagnoses (excluding chlamydia aged < 25)  | 450 per 100,000                     | <span style="background-color: green; color: white;">■</span>  | England = 851<br>CIPFA:<br>417 to 641 per 100,000                              | North Yorkshire has a significantly lower STI diagnosis rate than England. Among 15 similar areas, North Yorkshire has the 3rd lowest rate. In North Yorkshire, the rate has been increasing for the past 7 years such that the rate in 2018 is 30% higher than in 2012, compared with a 2% increase nationally.   |                     |
| 8.18. Cumulative percentage of the eligible population aged 40-74 offered an NHS Health check      | 93.3%                               | <span style="background-color: green; color: white;">■</span>  | England = 90.0%<br>CIPFA:<br>56.2% to 98.4%                                    | North Yorkshire has offered significantly more NHS health checks compared with England. Amongst 10 similar areas, North Yorkshire has the second highest rate. Since January 2018, North Yorkshire has progressed from being significantly lower than England to being significantly higher.   |                     |
| 8.19. Cumulative percentage of the eligible population aged 40-74 who received an NHS Health check | 43.3%                               | <span style="background-color: orange; color: white;">■</span> | England = 43.3%<br>CIPFA:<br>28.0% to 63.6%                                    | Eligible population aged 40-74 in North Yorkshire who has received an NHS health Checks is similar compared with England. Amongst 16 similar areas, North Yorkshire has the 6th highest rate. The long term trend for people receiving a check is increasing.  |                     |
| 8.20. Successful completions of treatment for opiate use   | 7.3%                                | <span style="background-color: orange; color: white;">■</span> | England = 6.5%<br>CIPFA:<br>4.1% to 10.4%                                      | Successful completion of treatment for opiate use is slightly higher than England. North Yorkshire is 7th highest of 16 similar areas. The completion rate is marginally reduced from the previous year, with the long-term trend being broadly unchanged.   |                     |
| 8.21. Successful completions of treatment for non-opiate use                                       | 28.4%                               | <span style="background-color: red; color: white;">■</span>    | England = 36.9%<br>CIPFA:<br>21.0% to 46.5%                                    | Successful completion of treatment for non-opiate use is significantly lower than England. North Yorkshire is 12th highest of 16 similar areas. The completion rate is reduced from the previous year, with a downward long-term trend.  |                     |
| 8.22. Successful completions of alcohol treatment  | 30.3%                               | <span style="background-color: red; color: white;">■</span>    | England = 38.9%<br>CIPFA:<br>24.7% to 47.2%                                    | Successful completion of treatment for alcohol use is significantly lower than England. North Yorkshire is 14th of 16 similar areas. The completion rate is slightly reduced from the previous year, with an upward long-term trend.   |                     |
| 8.23. Suicide rate   | 11.4 per 100,000                    | <span style="background-color: red; color: white;">■</span>    | England = 9.6 per 100,000<br>CIPFA: 7.6 to 13.7                                | The suicide rate in North Yorkshire is increasing and is, for the first time, significantly higher than England. It is joint 4th highest in a group of 16 similar areas. There were 8 additional suicides in 2016-18 compared with 2015-17.  |                     |
| 8.24. Excess winter deaths index   | 32.1%                               | <span style="background-color: orange; color: white;">■</span> | England = 30.1%<br>CIPFA: 27.0% to 39.9%                                       | There were 32.1% more deaths in winter months of 2017/18 compared with other times of year in North Yorkshire, versus 30.1% in England. North Yorkshire was 8th highest among 16 similar areas. The index was higher in winter 2017/18 compared with the previous year and the highest this century, but this is a volatile indicator, dependent on many factors such as weather and flu viruses. The long-term trend is flat. |                     |
| 8.25. Successful quitters at 4 weeks (smokers)   | 1,482 per 100,000 smokers (2018/19) | <span style="background-color: red; color: white;">■</span>    | England = 1,894 per 100,000<br>CIPFA: 101 to 2,723                             | The rate of smokers successfully quitting at 4 weeks in North Yorkshire is significantly lower than to England. It is 9th of 16 similar areas. The rates have been significantly lower compared to England from 2013/14 to 2017/18. The quit rate was slightly higher in 2018/19 compared with the previous year.  |                     |
| 8.26. Percentage of physically active adults   | 69.5%                               | <span style="background-color: green; color: white;">■</span>  | England = 66.3%<br>CIPFA:<br>63.8% to 72.8%                                    | The proportion of physically active adults in North Yorkshire is significantly higher compared to England. It was 4th highest among 16 similar areas. The percentage has been significantly higher compared to England from 2015/16 to 2017/18. The rate is not significantly changed from 2016/17.  |                     |
| 8.27. Proportion of dependent drinkers not in treatment  | 77.6%                               | <span style="background-color: orange; color: white;">■</span> | England = 82.9%  | The estimated proportion of dependent drinkers who are not in treatment is lower in North Yorkshire compared with England, but the difference is not statistically significant.  |                     |
| 8.28. Number of Living Well referrals  | Q2 2019/20: 1,004                   | <span style="background-color: green; color: white;">■</span>  | Q1 2019/20: 881<br>Q2 2018/19: 716<br>Quarterly target: 725                    | The number of Living Well referrals is 288 (40%) higher than for Q2 in 2018/19. To achieve the 2019/20 total of 2,900 referrals, a target of 725 is needed per quarter. This has been exceeded by 279 referrals (38%).   |                     |
| 8.29. Life expectancy at birth (male / female)   | Male: 80.6<br>Female: 84.2          | <span style="background-color: green; color: white;">■</span>  | M: England = 79.6 CIPFA: 79.4 to 81.0<br>F: England = 83.1 CIPFA: 82.6 to 84.6 | The life expectancy at birth for both male and female are significantly higher compared to England, from 2001 – 03 to 2015 – 17. For male, North Yorkshire is joint 5th highest among 16 similar areas, and for female, it is joint 3rd highest.   | -                   |

## 8. Healthy and independent living - Primary indicators



| Primary Indicators:   | Latest data / figure       | RAG status                      | Benchmarking data  | Comments   | Direction of travel |
|---|----------------------------|---------------------------------|--|--|---------------------|
| 8.30. Slope index of inequality in Life Expectancy at birth (male / female) | Male: 5.6<br>Female: 4.3   | 1 <sup>st</sup> (best) quintile | M: England = 9.4 CIPFA: 5.6 to 9.5<br>F: England = 7.4 CIPFA: 4.3 to 8.4       | The slope index of inequality in life expectancy at birth for both male and female are within the 1 <sup>st</sup> (best) quintile in England. For male, North Yorkshire is joint 1 <sup>st</sup> among 16 similar areas, and for female, it is the 1 <sup>st</sup> .   | -                   |
| 8.31. Life expectancy at 65 - (male / female)                               | Male: 19.2<br>Female: 21.7 |                                 | M: England = 18.8 CIPFA: 18.5 to 20.0<br>F: England = 21.1 CIPFA: 20.6 to 22.2 | The life expectancy at 65 for both male and female are significantly higher compared to England, from 2001 – 03 to 2015 – 17. For male, North Yorkshire is 9 <sup>th</sup> highest among 16 similar areas, and for female, it is joint 6 <sup>th</sup> highest.  | -                   |
| 8.32. Flu vaccination coverage 65+  | 73.6%<br>(2018/19)         |                                 | England = 72.0%<br>CIPFA: 71.7% to 75.6%                                       | Benchmarked against goal: <75% >=75%<br>Government policy is to recommend immunisation for people aged 65 years and over and those under 65 years in at risk groups. The ambition is to achieve 75% uptake in those aged 65 years and over, which North Yorkshire didn't meet. It is 7 <sup>th</sup> among 16 similar areas. |                     |

## 2.0 REVENUE BUDGET 2019/20

### 2.1 BACKGROUND AND SUMMARY

2.1.1 This section of the report presents details of the projected revenue outturn for the 2019/20 financial year. The latest in-year 2019/20 budget is £382,018k with the net movement since the budget approved by Executive and County Council in February 2019 shown in **Appendix A**. After adjusting for the contribution from Strategic Capacity Reserve the Directorate budgets total £387,353k.

2.1.2 At the end of Q3, there is a projected net underspend of £6,419k (1.7%) against operational budgets. Further detail is provided in **section 2.2**.

### 2.2 OPERATIONAL BUDGETS

2.2.1 The table below identifies the operational budgets for each of the Directorates in 2019/20. The projected revenue outturn indicates a number of variances, which together produce a net projected underspend of £6,419k, this represents an additional £2,424k underspend against the forecast at Q2. Issues of note include:

- A continued trend of significant financial pressures in Health & Adult Services;
- A continued trend of significant financial pressure in Children and Young People's Services, and;
- Savings in BES and Corporate Miscellaneous which will more than offset the overspend pressures in other Directorate budget lines in 2019/20. However, it should be noted that up to £6.2m of these savings are of a non-recurring or at risk nature (see para. 2.2.18).

| <b>Directorate</b>                   | <b>Budget (£k)</b> | <b>Projected Outturn (£k)</b> | <b>Variance (£k)</b> | <i>Q2 Projected Outturn Variance (£k)</i> |
|--------------------------------------|--------------------|-------------------------------|----------------------|---|
| HAS Gross                            | 157,096            | 163,932                       | <b>+6,836</b>        | +6,919                                    |
| LESS: iBCF deployed                  | 0                  | (3,414)                       | <b>(3,414)</b>       | (3,414)                                   |
| Less: Winter Pressures Grant         | 0                  | (2,424)                       | <b>(2,424)</b>       | (2,424)                                   |
| Less: Corporate Contingency Deployed | 0                  | (1,000)                       | <b>(1,000)</b>       | (1,000)                                   |
| <b>HAS Net</b>                       | <b>157,096</b>     | <b>157,094</b>                | <b>(2)</b>           | <b>+82</b>                                |
| BES                                  | 78,384             | 75,420                        | <b>(2,964)</b>       | (611)                                     |
| CYPS Gross                           | 74,208             | 83,114                        | <b>+8,906</b>        | +9,520                                    |
| LA Contribution to High Needs        | 3,748              | -                             | <b>(3,748)</b>       | (3,478)                                   |
| Less: Additional High Needs DSG      | -                  | (1,243)                       | <b>(1,243)</b>       | (1,243)                                   |
| Transfer from DSG Schools Block      | -                  | (1,973)                       | <b>(1,973)</b>       | (2,448)                                   |
| <b>CYPS Net</b>                      | <b>77,956</b>      | <b>79,898</b>                 | <b>+1,942</b>        | +2,095                                    |
| Central Services                     | 62,146             | 62,616                        | <b>+470</b>          | +734                                      |
| Corporate Misc.                      | 11,771             | 5,906                         | <b>(5,865)</b>       | (6,295)                                   |
| <b>TOTAL</b>                         | <b>387,353</b>     | <b>380,934</b>                | <b>(6,419)</b>       | (3,995)                                   |

- 2.2.2 A summary of the overall **Health and Adult Services (HAS)** position across public health and adult social care is outlined in **Appendix B**. This shows that the Directorate will use the £2.4m of Winter Pressures funding allocated by central government and £3.4m of iBCF (improved Better Care Fund) to meet Adult Social Care Pressures. In addition to this, and as reported at Q2, the directorate will release the remaining £1.0m of the HAS growth contingency budget in order to achieve a forecast breakeven position.
- 2.2.3 Overall, this is a small improvement (£84k) on the Q2 position.
- 2.2.4 It should be noted that the winter pressures funding and iBCF is only guaranteed to continue for a further financial year (2020/21) and, whilst there is some expectation of similar funding continuing which will continue to offset budget pressures in the future, this is not guaranteed. We will have more clarity regarding long term funding when the Government conduct its multi-year Spending Review in 2020 and in the meantime the Council continues to lobby for a more secure funding settlement for such pressures.
- 2.2.5 The main cost pressure within adult social care continues to fall within Care and Support budgets, with this area forecasting to overspend by £7.3m, highlighting the significant demand-led pressures faced by this area. The overspend increased slightly by £0.1m since quarter 2 due to reductions in funding from the NHS for joint funded packages, back-dated costs relating to previous financial years and the continued trend of increased numbers of people with more complex needs, increase in average market costs and young people transitioning into ASC with high costs. Market pressures, particularly in Harrogate, continue to be a major issue and this is exacerbated as people use up their own funds, with the Council then picking up any further costs.
- 2.2.6 Remedial action identified within the previous report is now in place to reduce this pressure including changes to the scheme of delegation for decisions about high cost care packages, actively reviewing schemes and individual support plans, reviewing care arrangements with providers and ensuring that people who are entitled to fully funded NHS care receive that.
- 2.2.7 Provider Services and Extra Care (EC)/Personal Care at Home (PCAH) are forecasting an underspend of £0.2m,. This is due to a forecast reduction in staffing costs within Elderly Persons Homes following a staffing review and also vacancies within services. There is also an increase in forecast income due to funding contributions for new customers.
- 2.2.8 As highlighted in the previous report, Public Health continues to underspend, with this area forecasting a gross underspend of £0.7m which is matched by a reduced reserve draw down requirement; this is a reduction from the position reported at Quarter 2 by £0.5m. This is primarily due to a reduction in forecast spend on Stronger Communities due to lower activity. However, there is a medium term pressure with a national reduction in the Public Health Grant, which will require significant savings.



2.2.9 The Commissioning and Integration underspends are static between quarters 2 and 3, forecasting an underspend of £0.6m. Plans are in place for medium/long term savings.

2.2.10 The Mental Health overspend is also stationary– the prime cost driver being the requirements of the Supreme Court judgment on the Cheshire West case and Deprivation of Liberty Safeguarding, as well as some package costs. This area has also had an establishment review and plans to reduce the use of agency staff for specialist roles through recruitment in order to reduce the overspend.

2.2.11 **Appendix C** includes details of the projected variance within **Business and Environmental Services (BES)**. BES has shown a significant increase (£2,353k) in the projected underspend compared with the position at Q2. Factors which have caused a change in the forecast outturn for 2019/20 include

- Winter – the mild weather has resulted in lower than budgeted costs (-£850k) for delivery of the service. The severity of winter between now and the end of March could serve to further benefit or impact the budget.

- Permits and penalty notices on the road network (-£425k) together with developer fees (-£150k) – The volume of charges has been larger than expected.

- Highways Operations Teams (-£375k) – The timing of recruitment to vacancies within teams across the county together with other cost savings has resulted in lower than budgeted service costs.

- Trading Standards(-£170k) – Staffing pressures within teams have partially been offset by delays in recruiting to vacant posts. The risk of not achieving income in line with budget has reduced, having identified other sources of income within planning services.

- Waste (-£200k) – Additional commercial benefits have been realised in the year but there continues to be an expectation that further commercial factors could affect the final 19/20 outturn.

2.2.12 Further factors which could impact the service throughout the year, which need to be considered are;

- Concessionary travel – There are still negotiations ongoing with bus operators to agree the rates per concession. The forecast assumes settlement per the bus operator expected rate, any agreed rate lower than this would result in a benefit to the budget.

- Street lighting – The LED replacement scheme continues to deliver savings in line with expectations, however, changes in the rate of installation could further affect energy and maintenance costs.

2.2.13 A summary of the projected outturn for **Children and Young Peoples Services** (CYPS) is shown at **Appendix D** and forecasts a net overspend position of £1.9m by the end of the 2019-20 financial year. The current overspend position is supported by a one-off funding transfer of 1% (£3.4m) from the Schools Block to High Needs Block

2.2.14 Two areas that have changed significantly since the Q2 report to Executive are Home to School Transport and provision for High Needs.

- Home to School transport has shown a £334k reduction compared to Q2. The forecast spending on SEN transport arrangements has been revised downwards following an updated assessment of spending. Overall, the financial pressure on SEN Transport is linked to the increase in the number of children and young people assessed as requiring Education, Health and Care Plans (EHCPs).

- High Needs. This has shown a £477k reduction in the overspend against the forecast at Q2. The forecast spending on High Needs has been revised downwards, after a lower than anticipated number of commissioned high-cost packages for the academic year 2019/20 with Post-16 SEN providers and Further Education Colleges.

2.2.15 The Executive should also note that significant financial pressures have continued in the following areas, which had been previously highlighted in Q2:

#### **CYPS Pooled Budget**

This budget funds the cost of provision of children and young people attending independent residential providers. These generally are more expensive than in-house provision and work has been ongoing with the National College to review decision-making and earlier interventions.

#### **Disabled Children's Services**

Pressure within local commissioning, occupational therapy and Direct Payment support costs have continued within Disabled Children's Services.

#### **School Redundancies**

The cost of local authority maintained school redundancies is a local authority obligation. The expected cost is offset in part by a £250k de-delegated financial contribution secured by agreement with the North Yorkshire Schools Forum, but any excess is picked up by the Local Authority as an overspend.

2.2.16 Key factors which could significantly impact the CYPS in-year position and will need to be monitored for the final quarter of the year are:

- Number of new EHCPs, which will drive cost pressure in both High Needs and SEN transport budgets;
- Any new starters required to be placed with independent residential providers;

- The timing of conversion of sponsored academies with deficit balances, which is a cost to the local authority. Currently the forecast assumes this cost will be in line with budget.

2.2.17 **Central Services** variance details are included within **Appendix E**. The most significant change from the previous quarter is that the cost pressures on property maintenance (£200k) anticipated at Q2 have been mitigated, bringing forecast spend in line with budget expectations. Staffing levels continue to drive a high percentage of budget variance risk, areas continue to review processes to identify efficiencies to manage demand for resource within budget. Temporary vacancies within teams are also used to manage levels of spend within budget.

2.2.18 There are a number of savings in the **Corporate Miscellaneous** area shown in **Appendix F**, which will partially offset the financial pressures detailed above. These include:

- £5m from the Corporate Savings Provision for shortfalls in achievement of savings projects. Any underachievement of savings by directorates is reflected in their forecast outturns shown in the appendices. It should be noted that this provision may be required to offset future non-achievement of savings targets so cannot necessarily be assumed as a long term offset to the budget pressures in other directorates.
- Anticipated growth from 75% Business Rates Retention Pilot (£1.2m), this is a one off saving.

2.2.19 The outturn statement for the County Council's NYES traded service is also attached at **Appendix G** for information. These services are mainly provided to schools in the County and the figures reported do not have any further impact on those in the above table because, where relevant, the charges are already incorporated in Directorate forecast budget outturn positions.

## 2.3 BUDGET/ MTFS SAVINGS TARGETS

2.3.1 The 2019/20 revenue budget reflects previously agreed and updated 2020 North Yorkshire savings targets and these are incorporated into Directorate 2019/20 budget control totals shown in the table in **paragraph 2.2.1**. These challenging 2019/20 savings targets (which are in addition to savings targets reflected in previous year's budgets) total £15,478k, and consist of:

| Item   | £000  |
|--|-------|
| North Yorkshire 2020 Savings in 2019/20 agreed in the February 2019 budget and earlier years MTFS savings targets: |       |
| BES  | 3,280 |
| CYPS   | 2,891 |
| HAS  | 4,430 |
| CS   | 4,877 |

|  |               |
|--|---------------|
|  |               |
| <b>Total savings reflected in 2019/20 budget</b> | <b>15,478</b> |

2.3.2 Assessment of progress against the targets indicates that there are some areas of the programme where savings are unlikely to be achieved within expected timescales for 2019/20. These are outlined in the table below but it should be noted that they are already incorporated into the projected outturn position in **paragraph 2.2.1**

| <b>At Risk/ Cash-funding of Projects in 2019/20</b> |       |
|---|-------|
| Developer's One Stop Shop                           | £30k  |
| Inclusion Restructure                               | £146k |

2.3.3 In addition part of the savings from schemes in earlier years: Disabled Children's Services (£67k), Education Psychology Review (£100k), Income and Debt Management (£35k) and Developer's One Stop Shop (£20k) will remain unrealised in 2019-20. Again it should be noted that these are already incorporated into the forecast outturn position in **paragraph 2.2.1**

2.3.4 As further savings are required the schemes to achieve these will inevitably contain a higher level of uncertainty and risk. Therefore it is imperative that delivery of each saving is closely monitored. Due to the risk to delivery of some of the savings, a Corporate Savings Contingency for non-delivery of savings continues to be included in the 2019/20 Budget. This will be able to be released if savings are delivered on target and could potentially contribute to the overall MTFs Shortfall identified as £14m in February 2019.

## **2.4 GENERAL WORKING BALANCE**

2.4.1 A key feature of the Revenue Budget for 2019/20 and Medium Term Financial Strategy, approved by County Council on 20 February 2019, is to maintain the General Working Balance (GWB) at a defined minimum acceptable level.

2.4.2 For 2019/20, the defined minimum level has been a policy target as follows:

- (i) Maintenance of a minimum of 2% of the net revenue budget for the GWB in order to provide for unforeseen emergencies etc. supplemented by;
- (ii) An additional (and reviewable) cash sum of £20m to be held back in the event of a slower delivery of savings targets;

and reflects:

- (i) The increased number of risk factors which the County Council is facing as set out in Section 9 of the 2019/20 Budget report and in particular;

(ii) Savings targets not being delivered on time;

2.4.3 Taking into account the GWB policy on minimum balances – 2% of the net revenue budget plus £20m – GWB at year-end amounts to £27,640k. This is held at “policy” level and any unallocated balance in excess of this level is transferred to ‘Strategic Capacity – Unallocated’. The projected underspend against operational budgets in 2019/20 of £6,809k, as outlined in **paragraphs 2.2.1 to 2.2.12** will, if confirmed and approved, be transferred to the Strategic Capacity – Unallocated Reserve.

2.4.4 The anticipated movement in the balance of the Strategic Capacity – Unallocated reserve over 2019/20 is as follows:

| <b>Strategic Capacity – Unallocated</b>     |           |
|---|-----------|
| Actual Balance as at 31.03.19               | £39,753k  |
| Planned MTFS contribution <u>to</u> reserve | (£5,335k) |
| Release of reserves following review        | £1,562k   |
| New Additions/drawdowns                     | (£1,483k) |
| Net projected underspend                    | (£6,419k) |
| Forecast Balance as at 31.03.20             | £40,916k  |

2.4.5 The balance of the Strategic Capacity – Unallocated Reserve as at 31 March 2019 was £39,753k. The following table provides a longer-term forecast for this reserve.

| Year End      | Start Year | Latest Forecast |                                 |                      | End-Year |
|---------------|------------|-----------------|---------------------------------|----------------------|----------|
|               |            | MTFS            | Other base budget contributions | Other use of reserve |          |
|               | £000       | £000            | £000                            | £000                 | £000     |
| 31 March 2020 | 39,753     | (5,335)         | -                               | 6,419                | 40,916   |
| 31 March 2021 | 40,916     | (4,415)         | -                               | -                    | 36,501   |
| 31 March 2022 | 36,501     | (4,253)         | -                               | -                    | 32,248   |
| 31 March 2023 | 32,248     | (14,003)        | -                               | -                    | 18,245   |
| 31 March 2024 | 18,245     |                 |                                 |                      |          |

2.4.6 Given the projected £14m savings shortfall identified in February 2019, work has been underway in order to identify how this gap can be bridged. As



outlined in the MTFs, the Council's savings programme can be split into three main areas; Transformation Ideas, Focussed Reviews and Service Planning. Work in these areas continues to progress to allow proposals to be included within the revenue budget / MTFs report for February 2020.

2.4.8 The reserve figures in the table above are based on the current MTFs as approved in February 2019. New proposals for the 2020-21 budget and MTFs to 2023-24 will be brought forward to the meeting of the County Council in February.

## 2.5 Recommendation

That the Executive

- (i) notes the latest position for the County Council's 2019/20 Revenue Budget, as summarised in **paragraph 2.1.2.**
- (ii) notes the position on the GWB (**paragraphs 2.4.1 to 2.4.3**)
- (iii) notes the position on the 'Strategic Capacity – Unallocated' reserve (**paragraphs 2.4.4 to 2.4.8**)

## REVENUE BUDGET APPENDICES

|   |                                     |
|---|-------------------------------------|
| A | 2019/20 Latest Revenue Budgets      |
| B | Health and Adult Services           |
| C | Business and Environmental Services |
| D | Children and Young Peoples' Service |
| E | Central Services                    |
| F | Corporate Miscellaneous             |
| G | NYES                                |

## 2019-20 REVISED ESTIMATE REVENUE BUDGETS AT 31/12/2019

|   | Original Budgets<br>agreed by Cty Cncl<br>on 20/02/19<br>£000s | Other agreed<br>transfers and<br>adjustments<br>£000s | Latest Revised<br>Budgets<br>£000s |
|---|--|---|------------------------------------|
| <b>Children &amp; Young Peoples' Service</b>            | 77,959   | (3)   | 77,956                             |
| <b>Business &amp; Environmental Services</b>            | 78,504   | (120)   | 78,384                             |
| <b>Health &amp; Adult Services</b>                      | 157,109  | (13)  | 157,096                            |
| <b>Central Services Directorate</b>                     | 62,051   | 95  | 62,146                             |
| <b>Corporate Miscellaneous</b>                          | 11,820   | (49)  | 11,771                             |
| <b>NYES</b>   | (90)   | 90  | -                                  |
| <b>Total Directorate Spending</b>                       | 387,353  | -   | 387,353                            |
| <b>Contribution From (-) Strategic Capacity Reserve</b> | (5,335)  | -   | (5,335)                            |
| <b>Net Revenue Budget</b>                               | <b>382,018</b>   | -   | <b>382,018</b>                     |
| Revenue support grant                                   | -  | -   | -                                  |
| Business Rates DCLG Top Up                              | 46,245   | -   | 46,245                             |
| Business Rates from District Councils                   | 28,671   | -   | 28,671                             |
| Business Rates Collection Fund Deficit                  | -  | -   | -                                  |
| Precept on District Councils - Current Year             | 305,853  | -   | 305,853                            |
| Council Tax Collection Fund Surpluses                   | 1,249  | -   | 1,249                              |
| <b>=Net Budget Requirement</b>                          | <b>382,018</b>   | -   | <b>382,018</b>                     |

| <b>HEALTH AND ADULT SERVICES</b>               |  |  |   |   |
|--|--|--|---|---|
| <b>Appendix B</b>                              |  |  |   |   |
| <b>2019-20 REVENUE BUDGET OUTTURN REPORT</b>   |  |  |   |   |
| <b>BUDGET HEAD</b>                             | <b>REVISED BUDGET<br/>2019-20<br/>£000</b> | <b>FORECAST<br/>OUTTURN<br/>2019-20<br/>£000</b> | <b>VARIANCE<br/>(-) = saving<br/>£000</b> | <b>COMMENTS</b>   |
| <b>Care &amp; Support<br/>- Area Budgets</b>   |  |  |   |   |
| Care & Support - Hambleton & Richmond          | 27,333                                     | 27,514   | 181                                       | The forecast outturn shows that the fundamental demand-led pressures within Care and Support continue to increase. The pressure of increased numbers, increase in average costs, CHC funding and young people transitioning into Care and Support with high costs continue to have an impact on the financial position. The overspend will be financed by supplementary Adult Social Care Funding and use of the £1m growth contingency budget previously held in Corporate |
| Care & Support - Selby                         | 14,944                                     | 15,968   | 1,025                                     |   |
| Care & Support - Scarborough, Whitby & Ryedale | 42,267                                     | 44,328   | 2,061                                     |   |
| Care & Support - Harrogate                     | 37,599                                     | 41,667   | 4,068                                     |   |
| Care & Support - Craven                        | 10,761                                     | 12,522   | 1,761                                     |   |
| CHC Income and Other Budgets                   | -  | (1,839)  | (1,839)                                   |   |
| <b>Area Budgets</b>                            | <b>132,903</b>                             | <b>140,160</b>                                   | <b>7,257</b>                              |   |
| Provider Services & EC/PCAH                    | 15,017                                     | 14,863   | (155)                                     | Underspend mainly relates to reductions in staffing costs due to establishment review and vacancies and forecast increases in income due to funded new clients.   |
| Targeted Prevention                            | 998  | 902  | (96)                                      | Underspend due mainly to staffing vacancies and receipt of additional income.   |
| Mental Health Services                         | 8,620                                      | 9,096  | 476                                       | Overspend is linked to the use of agency staff for specialist roles which is being address with recruitment and due to the increased statutory work within the teams.   |
| Assistant Director/Cross-area budgets          | (11,174)                                   | (11,084)   | 90  | Overspend primarily due to increased Integrated Passenger Transport recharge.   |
| <b>Area Budgets Total</b>                      | <b>146,363</b>                             | <b>153,936</b>                                   | <b>7,573</b>                              |   |
| <b>Public Health<br/>- Spend</b>               | 24,070                                     | 23,382   | (688)                                     | Reduced spend resulting from delays and lower activity due to change in providers and service model for smoking cessation and reduced take up of demand-led   |
| <b>- Income</b>                                | (24,070)                                   | (23,382)   | 688                                       |   |
| <b>Commissioning &amp; Quality</b>             | 9,137                                      | 8,587  | (550)                                     | Some one-off savings due to contract negotiations and underspends due to contract efficiencies  |
| <b>Integration &amp; Engagement</b>            | 869  | 771  | (98)                                      | Underspend primarily due to staffing vacancies and contract efficiencies.   |
| <b>Resources Unit</b>                          | 536  | 445  | (92)                                      | Underspend due to one-off savings and additional income.  |
| <b>Director &amp; Cross-Directorate</b>        | 191  | 194  | 3   |   |
| <b>TOTAL</b>                                   | <b>157,096</b>                             | <b>163,932</b>                                   | <b>6,836</b>                              |   |

## Item 5

|  |                |                |            |   |
|--|----------------|----------------|------------|---|
| Supplementary Adult Social Care Grant Funding (Winter Pressures) | -              | (2,424)        | (2,424)    | Funding from Central Government to assist with additional costs incurred by NYCC in the current financial year to minimise the financial impact on the NHS of winter pressures. |
| Supplementary Adult Social Care Grant Funding (IBCF)             | -              | (3,414)        | (3,414)    | IBCF earmarked to cover ASC financial pressures.  |
| Capital Contingency Deployed                                     |                | (1,000)        | (1,000)    |   |
| <b>REVISED TOTAL</b>   | <b>157,096</b> | <b>157,094</b> | <b>(2)</b> |   |

| <b>BUSINESS &amp; ENVIRONMENTAL SERVICES</b> |  |  |   |  |
|--|--|--|---|--|
| <b>Appendix C</b>                            |  |  |   |  |
| <b>2019-20 REVENUE BUDGET OUTTURN REPORT</b> |  |  |   |  |
| <b>BUDGET HEAD</b>                           | <b>REVISED<br/>BUDGET<br/>2019-20<br/>£000</b> | <b>FORECAST<br/>OUTTURN<br/>2019-20<br/>£000</b> | <b>VARIANCE<br/>(-) = saving<br/>£000</b> | <b>COMMENTS</b>  |
| Highways & Transportation                    | 29,700   | 27,184   | (2,516)                                   | Road Lighting (1,000k) - Energy and Maintenance cost reduction due to accelerated LED replacement scheme, plus income from additional chargeable works.<br>Traffic Signals (90k) - Energy Savings, Transport & Development (125k) - additional income from development schemes, Streetworks (425k) - Additional Permits and Penalty notices. Highways Area Teams (235k) - Temporary vacancies within the teams across the County, (850k) Winter Service - Lower than budgeted costs due to mild winter to date. Network Strategy (150k) - Team Vacancies |
| Integrated Passenger Transport               | 9,082  | 8,998  | (84)                                      | Temporary Staffing Vacancies   |
| Trading Standards & Planning Services        | 2,406  | 2,435  | 30  | £60k planning income shortfall partially offset by additional income from across the Trading Standards and Heritage Services teams (30k)   |
| Waste & Countryside Services                 | 36,483   | 36,422   | (61)                                      | Increased Operating costs at Waste Transfer Stations throughout the County, Increased cost of Transportation, offset by increased recharges for disposal of Yorwaste commercial tonnage and team vacancies. Reduced income for recyclates due to decreasing market prices.   |
| Economic Partnership Unit                    | 205  | 205  | -   |  |
| Resources, Performance & Improvement         | 5  | 2  | (3)                                       |  |
| Corporate Director of BES                    | 506  | 176  | (330)                                     | North & West Yorkshire Business Rates Pooling Surplus relating to Business and Environmental Services activity.  |
| <b>TOTAL</b>                                 | <b>78,384</b>                                  | <b>75,420</b>                                    | <b>(2,964)</b>                            |  |

| CHILDREN & YOUNG PEOPLE'S SERVICES                       |                             |                               |                            |  |
|--|-----------------------------|-------------------------------|----------------------------|--|
| Appendix D   |                             |                               |                            |  |
| 2019-20 REVENUE BUDGET OUTTURN REPORT                    |                             |                               |                            |  |
| BUDGET HEAD  | REVISED BUDGET 2019-20 £000 | FORECAST OUTTURN 2019-20 £000 | VARIANCE (-) = saving £000 | COMMENTS   |
| <b>Local Authority</b>                                   |                             |                               |                            |  |
| <b>Inclusion</b>   |                             |                               |                            |  |
| Inclusion  | 704                         | 863                           | 159                        | Demand for statutory education psychology assessments is expected to remain high in 2019-20 given the increased number of children and young people assessed as requiring Education Health and Care Plans (EHCP).  |
| Early Years  | 51                          | 0                             | (51)                       |  |
| CYPS Commissioning                                       | 1,186                       | 1,225                         | 39                         |  |
| <b>SEND - Special Education Needs &amp; Disabilities</b> |                             |                               |                            |  |
| Assessment & Review Officers                             | 666                         | 637                           | (29)                       |  |
| High Needs Commissioning                                 | 3,748                       | 3,748                         | -                          |  |
| Disabled Children's Services                             | 5,482                       | 6,057                         | 575                        | Financial pressures relating to the cost of occupational therapy and local commissioning budgets.  |
| Home to School Transport                                 | 25,259                      | 26,232                        | 973                        | Assessment of spending indicates a projected overspend due to: two additional days over the standard 190 transport days (£270k); income pressure resulting from the temporary suspension of charging for post 16 provision and spare seats from September 2019 (£350k); and, £353k net balance primarily due to increase in daily rates.   |
| Children & Families                                      | 34,827                      | 34,313                        | (514)                      | Underspending in Children and Families is offset by a projected overspend on placements.   |
| CYPS Pooled Budgets                                      | 1,414                       | 2,305                         | 891                        | Cost pressures due to a higher number of residential placements than anticipated.  |
| Director's Unit  | 27                          | -                             | (27)                       |  |
| <b>Education &amp; Skills</b>                            |                             |                               |                            |  |
| Education & Skills Other                                 | 82                          | 238                           | 156                        | The EAL service was previously funded through de-delegated DSG, but transitional arrangements have led to financial pressure as this income stream has not continued in 2019-20.   |
| School Improvement                                       | 1,559                       | 1,344                         | (215)                      | Underspending following delays in establishing locality boards.  |
| Strategic Planning Team                                  | 51                          | 45                            | (6)                        |  |
| Music Service  | (127)                       | (81)                          | 46                         |  |
| Outdoor Learning Service                                 | (13)                        | 29                            | 42                         |  |
| <b>Finance &amp; Management Support</b>                  |                             |                               |                            |  |
| Finance & Management Support                             | 812                         | 490                           | (322)                      | Underspend relates to an unexpected increase in Extended Rights to Free Travel Grant, savings held in advance of the Inclusion Restructure, and a contribution to overheads from Music and Outdoor Learning Service.   |
| Early Years Review                                       | 215                         | 185                           | (30)                       |  |
| School Redundancies & Employment Related Costs           | 838                         | 1,022                         | 184                        | £250k extra funding from Schools Block   |
| Safeguarding Unit  | 1,175                       | 1,247                         | 72                         | Independent Reviewing staffing arrangements have responded to caseload requirements; these are monitored regularly and appropriate action.   |
| <b>LA TOTAL</b>  | <b>77,956</b>               | <b>79,898</b>                 | <b>1,942</b>               |  |
| <b>DSG</b>   |                             |                               |                            |  |
| <b>Inclusion</b>   |                             |                               |                            |  |
| Inclusion  | 6,751                       | 6,746                         | (5)                        |  |
| Alternative Provision                                    | 4,304                       | 4,185                         | (119)                      |  |
| Early Years  | 50                          | (1)                           | (51)                       |  |
| CYPS Commissioning                                       | 70                          | 68                            | (2)                        |  |
| <b>SEND - Special Education Needs &amp; Disabilities</b> |                             |                               |                            |  |
| Assessment & Review Officers                             | 39                          | 37                            | (2)                        |  |
| High Needs Commissioning                                 | 40,369                      | 41,377                        | 1,008                      | The overall High Needs Block has an overspend of £7.4m, which is offset in part, by the application of:<br><br>£3.7m of budget contribution from the Local Authority,<br>£1.6m funding transferred from the Schools Block, and an additional<br>£1.2m funding for High Needs in DSG.<br><br>The comparative overspend in 2018-19 was £6.1m, i.e. an increase of £1.3m in costs. In spite of some savings arising from the ongoing implementation of the SEND Strategic Plan, growth in number of EHCPs and high cost placements are still set to continue in the short term. |
| LA Contribution to High Needs                            | (3,748)                     | (3,748)                       | -                          |  |
| Disabled Children's Services                             | -                           | -                             | -                          |  |
| Home to School Transport                                 | -                           | -                             | -                          |  |
| Children & Families                                      | 2,600                       | 2,475                         | (126)                      |  |
| CYPS Pooled Budgets                                      | 1,565                       | 1,565                         | -                          |  |
| Director's Unit  | 207                         | 207                           | -                          |  |
| <b>Education &amp; Skills</b>                            |                             |                               |                            |  |
| Education & Skills Other                                 | 22                          | (4)                           | (26)                       |  |
| School Improvement                                       | 383                         | 372                           | (10)                       |  |
| Strategic Planning Team                                  | 709                         | 660                           | (49)                       | Staff vacancies have led to a projected underspend.  |
| <b>Finance &amp; Management Support</b>                  |                             |                               |                            |  |
| Sponsored Academy Deficits                               | -                           | -                             | -                          |  |
| Early Years Review                                       | (185)                       | (185)                         | -                          |  |
| Finance & Management Support                             | (53,512)                    | (53,758)                      | (246)                      | £270k expected underspend relates to the difference in clawback of funding from schools and funding deductions from DfE for in-year academy conversions.<br><br>In addition, there is a potential £480k expected underspend due to reduced numbers of Early Years pupils claiming funded places. There is, however, a degree of uncertainty as the value of matching funding depends on the Early Years January census, which will not be finalised until March 2020.  |
| School Redundancies & Employment Related Costs           | 377                         | 377                           | 0                          |  |
| <b>DSG TOTAL</b>   | <b>-</b>                    | <b>373</b>                    | <b>373</b>                 |  |
| Schools Block to HN Block Transfer (0.5%) Supplementary  |                             | (373)                         | (373)                      | Use of the supplementary 0.5% Transfer (total available £1.8m) to offset in year HN overspend (£1.0m) and other DSG underspends (£0.6m).   |
| <b>TOTAL</b>   | <b>77,956</b>               | <b>79,898</b>                 | <b>1,942</b>               |  |



| <b>CENTRAL SERVICES</b>                           |  |  |   |   |
|---|--|--|---|---|
| Appendix E  |  |  |   |   |
| <b>2019-20 REVENUE BUDGET OUTTURN REPORT</b>      |  |  |   |   |
| <b>BUDGET HEAD</b>                                | <b>REVISED<br/>BUDGET<br/>2019-20<br/>£000</b> | <b>FORECAST<br/>OUTTURN<br/>2019-20<br/>£000</b> | <b>VARIANCE<br/>(-) = saving<br/>£000</b> | <b>COMMENTS</b>   |
| <b>Strategic Resources</b>                        |  |  |   |   |
| Financial Services                                | 3,820  | 3,805  | (16)                                      |   |
| Insurances  | 2,298  | 2,299  | 1   |   |
| Property Services                                 | 13,548   | 13,548   | -   |   |
| Technology & Change                               | 11,068   | 11,605   | 537                                       | Pressures in corporate systems, finance systems and Data & Intelligence Teams   |
| Customer Services                                 | 2,306  | 2,307  | 1   |   |
| <b>Business Support &amp; HR</b>                  |  |  |   |   |
| Business Support Services                         | 13,534   | 13,522   | (12)                                      | £110k Business Travel overspend resulting from increased use of public transport which is offset by decreased spending within the directorates for other forms of employee transportation,<br>£50k Staffing Pressure,<br>£45k Disclosure and Barring Service Income pressure,<br>-£200k underspend on administrative supplies & venue costs |
| HR Services                                       | 3,184  | 3,184  | 1   |   |
| <b>Chief Executives Office</b>                    |  |  |   |   |
| CEO Support Services, Grants & Subscriptions      | 435  | 415  | (20)                                      |   |
| Communications Unit                               | 732  | 757  | 25  |   |
| Policy & Partnerships                             | 2,690  | 2,784  | 94  | Increased demand upon NY Local Assistance Fund £70k, Resource pressure in resilience and emergencies team.  |
| <b>Legal &amp; Democratic Services</b>            |  |  |   |   |
| Democratic Services                               | 470  | 391  | (79)                                      | Staff Vacancies & additional income   |
| Legal Services                                    | 2,060  | 2,151  | 90  | Staff Pressures and high case costs   |
| Members Services                                  | 1,179  | 1,184  | 5   |   |
| <b>Library, Customer &amp; Community Services</b> |  |  |   |   |
| Archives & Records Management                     | 386  | 386  | -   |   |
| Coroners  | 747  | 1,008  | 261                                       | Coroners Salaries, set by chief Coroner. NHS Cost pressures for use of facilities   |
| Public Library Service                            | 4,105  | 4,112  | 7   |   |
| Registrars  | (415)  | (840)  | (425)                                     | Additional service demand, along with increase in fees for registration certificates  |
| <b>TOTAL</b>                                      | <b>62,146</b>                                  | <b>62,616</b>                                    | <b>470</b>                                |   |

| <b>CORPORATE MISCELLANEOUS</b>               |  |  |   |   |
|--|--|--|---|---|
| Appendix F                                   |  |  |   |   |
| <b>2019-20 REVENUE BUDGET OUTTURN REPORT</b> |  |  |   |   |
| <b>BUDGET HEAD</b>                           | <b>REVISED<br/>BUDGET<br/>2019-20<br/>£000</b> | <b>FORECAST<br/>OUTTURN<br/>2019-20<br/>£000</b> | <b>VARIANCE<br/>(-) = saving<br/>£000</b> | <b>COMMENTS</b>   |
| <b>ANNUAL BUDGETS &amp; FUNDS</b>            |  |  |   |   |
| <b>Contingencies</b>                         |  |  |   |   |
| General Provision                            | 8,643  | 3,643  | (5,000)                                   | In year underspend on provision for 2020 savings programme  |
| HAS Corporate Contingency                    | 2,000  | 2,000  | -   |   |
| Brexit Contingency                           | 3,000  | 2,825  | (175)                                     | Brexit Grant Funding from the government  |
| 2020 North Yorkshire                         | 2,000  | 2,000  | -   |   |
|  | <b>15,643</b>                                  | <b>10,468</b>                                    | <b>(5,175)</b>                            |   |
| <b>Treasury Management</b>                   |  |  |   |   |
| Capital Financing Costs                      | 23,313   | 23,052   | (262)                                     | Reduced financing costs because of a lower than anticipated capital borrowing requirement.  |
| Dividends & Interest Earned                  | (2,242)  | (1,520)  | 722                                       | Investment returns have been impacted by lower than anticipated returns on Treasury Management investments. Bank rate has not increased in line with forecasts, largely due to market uncertainties linked to Brexit, which has resulted in lower interest returns. |
| Commercial Investments                       | (673)  | (564)  | 109                                       |   |
| MTFS - Treasury Management Savings           | (2,235)  | (2,235)  | -   |   |
|  | <b>18,163</b>                                  | <b>18,733</b>                                    | <b>570</b>                                |   |
| <b>Corporate Budgets</b>                     |  |  |   |   |
| Corporate Funds                              | 400  | 387  | (13)                                      |   |
| Other Corporate Budgets                      | (1,154)  | (1,230)  | (77)                                      |   |
|  | <b>(754)</b>                                   | <b>(843)</b>                                     | <b>(89)</b>                               |   |
| <b>Corporate Funding</b>                     |  |  |   |   |
| Corporate Grant Funding                      | (18,961)                                       | (18,808)   | 153                                       |   |
| Other Corporate Funding                      | (1,495)  | (1,195)  | 300                                       |   |
|  | <b>(20,456)</b>                                | <b>(20,003)</b>                                  | <b>453</b>                                |   |

|   |                |                |                |  |
|---|----------------|----------------|----------------|--|
| <b>Business Rates &amp; Council Tax</b> |                |                |                |  |
| Business Rates Funding                  | (2,896)        | (4,519)        | (1,623)        | Additional Business Rates funding including from the 75% retention pilot |
| Business Rates Deficit                  | -              | -              | -              |  |
| Council Tax Surplus                     | 1,249          | 1,249          | -              |  |
|   | <b>(1,647)</b> | <b>(3,270)</b> | <b>(1,623)</b> |  |
| Corporate Holding Accounts              | -              | -              | -              |  |
| <b>TOTAL</b>                            | <b>10,950</b>  | <b>5,085</b>   | <b>(5,864)</b> |  |
| Waste Budget Strategy Provision         | 821            | 821            | -              |  |
| <b>OVERALL TOTAL</b>                    | <b>11,771</b>  | <b>5,906</b>   | <b>(5,865)</b> |  |

| <b>NORTH YORKSHIRE EDUCATION SERVICES</b>        |  |   |  |   |
|--|--|---|--|---|
| <b>APPENDIX G</b>                                |  |   |  |   |
| <b>2019-20 REVENUE BUDGET OUTTURN REPORT</b>     |  |   |  |   |
| <b>BUDGET HEAD</b>                               | <b>BUDGET Profit(-)<br/>)/ Loss(+)</b> | <b>FORECAST<br/>Profit (-) /<br/>Loss (+)</b> | <b>VARIANCE<br/>Increase(-) /<br/>Decrease (+)</b> | <b>COMMENTS</b>   |
|  | <b>2019-20<br/>£000</b>                | <b>2019-20<br/>£000</b>                       | <b>£000</b>  |   |
| <b>TRADED SERVICES PROFIT &amp; LOSS SUMMARY</b> |  |   |  |   |
| Building Cleaning Services                       | (650)                                  | (475)   | 175  | Vacancy savings and use of Mobile Cleaning are the two volatile areas driving trading results. Budget includes a stretch of £300k (in line with previous years) - currently short of this by £175k  |
| County Caterers Service                          | (900)                                  | (678)   | 222  | 1) Reduction to school meal take up. 2) Phased implementation of CYPAD means that efficiencies in staffing delayed 3) Increase in food costs. 4) loss of management fee from lost school contracts. |
| Grounds Maintenance Service                      | (40)                                   | (28)  | 12   | Contract retention issues   |
| Arbor Service                                    | -                                      | 55  | 55   | Not fully traded, supporting core work  |
| Health and Safety Service (HandS)                | (40)                                   | (97)  | (57)   | Reallocation of staffing costs across the shared service  |
| Health and Safety Commercial                     | (27)                                   | (42)  | (16)   | Reallocation of staffing costs across the shared service  |
| Energy Traded Service                            | (24)                                   | (23)  | 1  |   |
| Property Service - Traded                        | -                                      | 36  | 36   | 85% charged to traded, 15% core. Balance of the cost after schools forum money spent.   |
| Broadband Traded                                 | -                                      | -   | -  |   |
| Maintenance and Servicing Scheme                 | (181)                                  | (181)   | -  |   |
| <b>Property &amp; Facilities</b>                 | <b>(1,861)</b>                         | <b>(1,433)</b>                                | <b>428</b>   |   |
| CYC  | -                                      | -   | -  |   |
| School Improvement Service                       | (160)                                  | (156)   | 5  |   |
| LA Clerking Service                              | (30)                                   | (30)  | -  |   |
| Education Psychology & STS                       | (40)                                   | 45  | 85   | Service currently undergoing a service review. Further income will be pursued out of county as new staffing structure is agreed.  |
| Specailist Careers Service                       | -                                      | 43  | 43   | Out-Of-County Sales Strategy currently being progressed for 19-20.  |
| <b>Education &amp; Skills</b>                    | <b>(230)</b>                           | <b>(97)</b>                                   | <b>133</b>   |   |

|  |                |                |              |  |
|--|----------------|----------------|--------------|--|
| School Admissions & Appeals                | -              | -              | -            |  |
| Document Management Centre                 | -              | -              | -            |  |
| Employment Support Service - Traded        | (121)          | (106)          | 15           |  |
| Financial Management Services              | (202)          | (202)          | -            |  |
| Health and Wellbeing Service               | (72)           | (158)          | (86)         | Expanded customer base.                                      |
| HR Advisory Service                        | (37)           | (99)           | (62)         | Expanded customer base with additional contracts.            |
| Legal Services Traded                      | (21)           | (16)           | 6            |  |
| North Yorkshire Procurement Service        | (50)           | (64)           | (14)         | Improved trading performance.                                |
| Schools ICT Service                        | (251)          | (251)          | (0)          |  |
| Prevention                                 | -              | -              | -            |  |
| Performance and Intelligence               | -              | -              | -            |  |
| Training and Learning                      | (5)            | (5)            | -            |  |
| <b>Professional Support Services</b>       | <b>(759)</b>   | <b>(900)</b>   | <b>(141)</b> |  |
|  | <b>(2,850)</b> | <b>(2,430)</b> | <b>420</b>   |  |
| Balance of Risks                           | -              | -              | -            |  |
| Insurance Services                         | -              | -              | -            |  |
| Staff Absence Scheme                       | -              | -              | -            |  |
|  | -              | -              | -            |  |
| Central Traded Establishment               | 1,250          | 1,374          | 124          | Lines of inquiry being pursued                               |
| Unallocated                                | -              | -              | -            |  |
| North Yorkshire Education Solutions (NYES) | 1,600          | 1,476          | (124)        | Fewer staffing vacancies than Q2 and reduced marketing spend |
| <b>TOTAL</b>                               | <b>-</b>       | <b>419</b>     | <b>419</b>   |  |

### 3.0 TREASURY MANAGEMENT

#### Overview

- 3.1 This section of the report presents details of the County Council's Treasury Management Activity during Q3 2019/20, changes to the Approved Lending List and other current policy issues and considerations.
- 3.2 Treasury Management in Local Government is governed by the CIPFA Code of Practice on Treasury Management in the Public Services and in this context is the management of the County Council's borrowing, cash flows, its banking and capital market transactions, the effective control of the risks associated with those activities and the pursuit of optimum performance consistent with those risks. The County Council has adopted the Code and complies with its requirements.
- 3.3 The CIPFA Code of Practice for Treasury Management recommends that Members should be informed of Treasury Management activities at least twice a year but preferably quarterly. This report ensures, therefore, that the County Council is adopting Best Practice in accordance with CIPFA's Code of Practice.

#### Economic Update

- 3.4 The Council's treasury advisors Link Asset Services – Treasury Solutions summarised the key points associated with economic activity in Q3 2019/20 up to 31 December 2019:
- Markets awaiting outcome of Brexit deadline;
  - The Conservative Party secured a large majority in the general election;
  - Inflation remained around the Bank of England's 2% target;
  - MPC unlikely to take action on interest rates until uncertainties over Brexit are clear;
  - Andrew Bailey was appointed to take over as Bank of England Governor, (from the March MPC meeting).

A more detailed economic commentary on developments during Q3 2019/20 is included in **Appendix E**.

#### Interest Rate Forecasts

- 3.5 The current interest rate forecasts (last update 11 November 2019) of Link Asset Services – Treasury Solutions are as follows:



| Link Asset Services Interest Rate View |        |        |        |        |        |        |        |        |        |        |        |        |        |        |
|--|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|
|  | Dec-19 | Mar-20 | Jun-20 | Sep-20 | Dec-20 | Mar-21 | Jun-21 | Sep-21 | Dec-21 | Mar-22 | Jun-22 | Sep-22 | Dec-22 | Mar-23 |
| Bank Rate View                         | 0.75   | 0.75   | 0.75   | 0.75   | 0.75   | 1.00   | 1.00   | 1.00   | 1.00   | 1.00   | 1.25   | 1.25   | 1.25   | 1.25   |
| 3 Month LIBID                          | 0.70   | 0.70   | 0.70   | 0.80   | 0.90   | 1.00   | 1.00   | 1.00   | 1.10   | 1.20   | 1.30   | 1.30   | 1.30   | 1.30   |
| 6 Month LIBID                          | 0.80   | 0.80   | 0.80   | 0.90   | 1.00   | 1.10   | 1.10   | 1.20   | 1.30   | 1.40   | 1.50   | 1.50   | 1.50   | 1.50   |
| 12 Month LIBID                         | 1.00   | 1.00   | 1.00   | 1.10   | 1.20   | 1.30   | 1.30   | 1.40   | 1.50   | 1.60   | 1.70   | 1.70   | 1.70   | 1.70   |
| 5yr PWLB Rate                          | 2.30   | 2.40   | 2.40   | 2.50   | 2.50   | 2.60   | 2.70   | 2.80   | 2.90   | 2.90   | 3.00   | 3.10   | 3.20   | 3.20   |
| 10yr PWLB Rate                         | 2.60   | 2.70   | 2.70   | 2.70   | 2.80   | 2.90   | 3.00   | 3.10   | 3.20   | 3.20   | 3.30   | 3.30   | 3.40   | 3.50   |
| 25yr PWLB Rate                         | 3.20   | 3.30   | 3.40   | 3.40   | 3.50   | 3.60   | 3.70   | 3.70   | 3.80   | 3.90   | 4.00   | 4.00   | 4.10   | 4.10   |
| 50yr PWLB Rate                         | 3.10   | 3.20   | 3.30   | 3.30   | 3.40   | 3.50   | 3.60   | 3.60   | 3.70   | 3.80   | 3.90   | 3.90   | 4.00   | 4.00   |

\* PWLB Rates are shown net of certainty rate 0.2% discount

- 3.6 After the August 2018 increase in Bank Rate to 0.75%, the first above 0.5% since the financial crash, the MPC has put any further action on hold, which is likely to continue until there is some degree of certainty around Brexit.
- 3.7 The above forecast, and other comments in this report, are based on a central assumption that there will be a reasonable form of Brexit. Bank Rate forecasts may change if this assumption does not. However, there are increasing concerns amongst the MPC members around weak global economic growth and the potential for Brexit uncertainties to become entrenched and so delay UK economic recovery
- 3.8 The overall balance of risks to economic growth in the UK is probably even, but dependent on a successful outcome of negotiations on a trade deal.
- 3.9 The balance of risks to increases in Bank Rate and shorter term PWLB rates are broadly similarly to the downside.
- 3.10 In the event that a Brexit deal is agreed with the EU and approved by Parliament, the balance of risks to economic growth and to increases in Bank Rate is likely to change to the upside.

### **Annual Treasury Management and Investment Strategy 2019/20**

- 3.11 The Annual Treasury Management and Investment Strategy for 2019/20 sets out the County Council's approach to managing its Treasury Management activities for the year ahead.
- 3.12 The County Council's investment priorities are the security of capital and liquidity of investments. The County Council also aims to achieve the optimum return on investments commensurate with the appropriate levels of security and liquidity. In the current economic climate, it is considered appropriate to keep investments relatively short term to cover cash flow needs, but also to seek out any value available in significantly higher rates for periods with highly credit rated financial institutions.
- 3.13 The approved limits within the Annual Investment Strategy were not breached during the first three months of the year.

3.14 The investment activity up to Q3 2019/20 was as follows:

- Balance invested at 31 December 2019: £465.3m
- Average Daily Balance 2019/20 up to 31 December 2019: £498.4m
- Average Interest Rate Achieved up to 31 December 2019: 0.91%

These funds were available on a temporary basis and the level of funds available was mainly dependent on the timing of precept payments, receipt of grant and progress on the capital programme.

3.15 The average return to Q3 2019/20 of 0.91% compares with the average benchmark returns as follows:

- 0.57% 7 day
- 0.58% 1 month
- 0.67% 3 months
- 0.75% 6 months
- 0.86% 12 months

3.16 It is also a key requirement of the CIPFA Code of Practice that annual Treasury Management Strategies should be kept under constant review throughout the year and reported to Members as appropriate. Although there continues to be uncertainty and volatility in the financial and banking market, both globally and in the UK, **it is considered that the Strategy approved in February 2019 is still fit for purpose in the current economic climate.** No changes are therefore considered necessary to the Strategy at this stage.

#### Approved Lending List

3.17 The Approved Lending List as at 31 December 2019 is attached as **Appendix B** with changes made during Q3 2019/20 being reported in **Appendix C**.

#### Debt and borrowing

3.18 The County Council's external debt outstanding at 31 December 2019 and forecast position for 2019/20 is as follows:-

| Detail  | PWLB         |             | Money Market Loans |             | Total        |             |
|---|--------------|-------------|--------------------|-------------|--------------|-------------|
|   | £m           | %           | £m                 | %           | £m           | %           |
| <b>At 30 September 2019</b>                           | <b>254.1</b> | <b>4.42</b> | <b>20.0</b>        | <b>3.95</b> | <b>274.1</b> | <b>4.38</b> |
| Loan Repayments                                       | 0.0          |             | 0.0                |             | -11.0        |             |
| New Loans Taken                                       | 0.0          |             | 0.0                |             | 0.0          |             |
| <b>= Loans Outstanding at 31 December 2019</b>        | <b>254.1</b> | <b>4.42</b> | <b>20.0</b>        | <b>3.95</b> | <b>274.1</b> | <b>4.38</b> |
| Scheduled In Year Repayments                          | -11.0        |             | 0.0                |             | -11.0        |             |
| Forecast Additional Loans                             | 0.0          |             | 0.0                |             | 0.0          |             |
| <b>= Estimated Loans Outstanding at 31 March 2020</b> | <b>243.1</b> | <b>4.43</b> | <b>20.0</b>        | <b>3.95</b> | <b>263.1</b> | <b>4.39</b> |

- 3.19 Any change to the forecast debt outstanding by the end of 2019/20 will be largely determined by whether the borrowing requirement for 2019/20 is ultimately financed by external borrowing or internal borrowing.
- 3.20 Based on the Q3 Capital Plan update the total external borrowing requirement for 2019/20 is currently forecast to be:-

| <b>Detail</b>  | <b>£m</b>   |
|--|-------------|
| Internally Financed Capital Expenditure at 31 March 2019 |             |
| Internally Financed Borrowing from Previous Years        | 20.4        |
| Less Company Loans to be Repaid                          | -10.0       |
| Less Commercial Investments to be Repaid                 | -11.8       |
|  | <b>-1.4</b> |
| 2019/20 Borrowing Requirement                            |             |
| Q3 2019/20 Borrowing Requirement                         | 5.9         |
| Less Company Loans advanced in year to be Repaid         | -3.3        |
| Revenue Provision for Debt Repayment (MRP)               | -11.6       |
| Refinance 2019/20 PWLB Loan Repayments                   | 22.0        |
| <b>= Total 2019/20 Borrowing Requirement</b>             | <b>11.6</b> |

- 3.21 As shown in the table above, internal capital borrowing (use of cash balances) to part fund the County Council's Capital Financing Requirement was £20.4m at 31 March 2019. Over the next two to three years investment rates are expected to continue to be below long term borrowing rates. A value for money assessment would therefore indicate that value could be best obtained by avoiding/delaying new borrowing and continuing to use internal cash balances to finance new capital expenditure or to replace maturing external debt. This would maximise short term revenue savings and produce other benefits, but is not risk free.
- 3.22 This Internal Capital Financing option will therefore continue to be actively adopted on an ongoing basis in order to achieve short term revenue savings and mitigate the credit risk incurred by holding investments in the market.
- 3.23 New external borrowing rates (fixed interest maturity rates from the PWLB reflecting the 0.2% 'certainty discounts') during Q3 2019/20 were as follows:-

| Item         | <b>1 year</b> | <b>5 years</b> | <b>10 years</b> | <b>25 years</b> | <b>50 years</b> |
|--------------|---------------|----------------|-----------------|-----------------|-----------------|
|              | %             | %              | %               | %               | %               |
| Lowest Rate  | 1.27          | 1.00           | 1.19            | 1.78            | 1.61            |
| Date         | 08/10/2019    | 08/10/2019     | 08/10/2019      | 08/10/2019      | 08/10/2019      |
| Highest Rate | 2.47          | 2.43           | 2.67            | 3.22            | 3.05            |
| Date         | 21/10/2019    | 13/12/2019     | 31/12/2019      | 31/12/2019      | 31/12/2019      |
| Average      | 2.31          | 2.18           | 2.38            | 2.95            | 2.79            |

- 3.24 No debt repayment or rescheduling exercises have been effected to date in 2019/20 or are in the pipeline but the situation continues to be monitored to identify any opportunities that may arise. Such opportunities, however, have been limited in the current economic climate and structure of interest rates.

### **Prudential Indicators**

- 3.25 It is a statutory duty for the County Council to determine and keep under review its *Affordable Borrowing Limits*.
- 3.26 The Prudential Indicators for the three year period 2019/20 to 2021/22 were initially approved by Executive on 29 January 2019 and adopted by County Council on 20 February 2019. These Indicators were subsequently undated to reflect the 2018/19 outturn position and other factors arising in Q1 and were reported to Members as part of the Q1 Performance Monitoring report on 13 August 2019
- 3.27 During the financial year to date, the County Council has operated within the latest Treasury Prudential Indicators approved and in compliance with the County Council's Treasury Management Practices.

### **Impact of Treasury Management Activities on the Revenue Budget**

- 3.28 Based on the Treasury Management activity at Q3 2019/20 and a forecast for the remainder of the year, the revenue impact is as follows:

While interest rates have remained low throughout 2019 to date, cash balances have continued at relatively high levels. The current forecast for investment returns is £1.5m which is £0.7m below budget, as investment returns are likely to be lower than anticipated with no further rise in bank rate expected in 2019/20. Returns will reviewed in advance of Q3 as uncertainties over Brexit continue.

The budget and forecast outturn for interest paid on long term borrowing is £12.1m.

The forecast outturn for the Minimum Revenue Provision (MRP) is £11.6m for 2019/20

### **Capital Strategy**

- 3.29 The Capital Strategy was included as part of the County Council's Annual Treasury Management and Investment Strategy 2019/20, approved in February 2019. The Capital Strategy sets out how capital expenditure, capital financing and treasury management contribute to the provision of Corporate and service objectives and properly takes account of stewardship, value for money, prudence, sustainability and affordability. It sets out the long term context in which capital expenditure and investment decisions are made and gives due consideration to both risk and reward and impact on the achievement of priority outcomes.
- 3.30 Alternative non-treasury investments are considered as part of the Capital Strategy. Given the technical nature of potential alternative investments and strong linkages to the Council's Treasury Management function, appropriate governance and decision making arrangements are needed to ensure robust due diligence in order to make

recommendations for implementation. As a result, all investments are subject to consideration and where necessary recommendations of the Commercial Investment Board.

3.31 The alternative investments considered by the Commercial Investment Board are as follows:

| Type of Investment                            | Maximum Limit<br>£m | Invested as at<br>31/12/19<br>£m | Rate of Return<br>% |
|---|---------------------|----------------------------------|---------------------|
| <b>Alternative Treasury Instruments</b>       |                     |                                  |                     |
| Money Market Funds                            | 20.0                | 10.0                             | 0.72                |
| Enhanced Cash Funds                           | 20.0                | -                                | -                   |
| Certificates of Deposit (CDs)                 | 20.0                | -                                | -                   |
| Property Funds                                | 20.0                | 5.9                              | 3.96                |
| <b>Total Alternative Treasury Instruments</b> | <b>80.0</b>         | <b>15.9</b>                      | <b>1.93</b>         |
| <b>Alternative Investments</b>                |                     |                                  |                     |
| <b>Loans to Council Companies</b>             |                     |                                  |                     |
| - Yorwaste                                    | 25.0                | 6.8                              | 4.75                |
| - Nynet                                       |                     | 7.2                              | 3.75                |
| - Brierley                                    |                     | 4.6                              | 4.75                |
| - First North Law                             |                     | 0.1                              | 4.75                |
| <b>Total Loans to Council Companies</b>       | <b>25.0</b>         | <b>18.7</b>                      | <b>4.36</b>         |
| <b>Other Alternative Investments</b>          |                     |                                  |                     |
| Loans to Third Parties                        |                     | 0.5                              | 7.00                |
| Spend to Save                                 | 5.0                 | -                                | -                   |
| Loans to Housing Associations                 | 10.0                | -                                | -                   |
| Local Economic Growth Projects                | 15.0                | -                                | -                   |
| Solar Farm (or similar) Projects              | 5.0                 | -                                | -                   |
| Commercial Investments                        | 20.0                | 11.9                             | 3.57                |
| <b>Total Other Alternative Investments</b>    | <b>45.0</b>         | <b>12.4</b>                      | <b>5.40</b>         |
| <b>Total Alternative Investments*</b>         | <b>60.0</b>         | <b>31.1</b>                      | <b>4.10</b>         |

\* Total Alternative Investments capped at £60m

3.32 While Property Funds continue to provide a strong revenue return as noted in the table above, the funds have experienced further minor capital losses in 2019/20 of £90k (£41k in 2018/19). Property funds are long term investments and valuations can, therefore, rise as well as fall, over the period they are held. Any gains or losses in the capital value of investments will be held in an unusable reserve on the balance sheet to ensure there is no impact on the General Fund until units in the funds are sold.

3.33 The position on Property Funds at 31 December 2019 is as follows:-

In Year Performance

| Fund         | Bfwd Investment | Valuation as at 31/12/19 | In Year Performance Q3 2019/20 |            |                |            |
|--------------|-----------------|--------------------------|--------------------------------|------------|----------------|------------|
|              |                 |                          | Capital Gain / (Loss)          |            | Revenue Return |            |
|              | £k              | £000                     | £000                           | %          | £000           | %          |
| Blackrock    | 2,989.8         | 2,952.1                  | (37.7)                         | 1.3        | 75.7           | 3.3        |
| Threadneedle | 2,899.2         | 2,846.7                  | (52.5)                         | 1.8        | 99.6           | 4.5        |
| <b>Total</b> | <b>5,889.0</b>  | <b>5,798.8</b>           | <b>(90.2)</b>                  | <b>1.5</b> | <b>175.3</b>   | <b>4.0</b> |

Total Fund Performance

| Fund         | Initial Investment | Valuation as at 31/12/19 | Total Performance     |            |                |            |
|--------------|--------------------|--------------------------|-----------------------|------------|----------------|------------|
|              |                    |                          | Capital Gain / (Loss) |            | Revenue Return |            |
|              | £k                 | £000                     | £000                  | %          | £000           | %          |
| Blackrock    | 3,003.0            | 2,952.1                  | (50.9)                | 1.7        | 117.4          | 3.9        |
| Threadneedle | 2,927.1            | 2,846.7                  | (80.4)                | 2.7        | 156.9          | 5.4        |
| <b>Total</b> | <b>5,930.1</b>     | <b>5,798.8</b>           | <b>(131.3)</b>        | <b>2.2</b> | <b>274.3</b>   | <b>4.6</b> |

## RECOMMENDATIONS

3.34 That Executive

- (i) notes the position on the County Council's Treasury Management activities during the third quarter of 2019/20
- (ii) refers this report to the Audit Committee for their consideration as part of the overall monitoring arrangements for Treasury Management.



## **TREASURY MANAGEMENT APPENDICES**

Appendix A Analysis of investments placed as at 31 December 2019

Appendix B Approved Lending List with counterparty limits

Appendix C Changes to the Approved Lending List during Q3 2019

Appendix D Treasury Management Monitoring and Reporting Arrangements 2019/20

Appendix E Detailed Economic Commentary on Developments during Q3 2019/20

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## Analysis of loans outstanding as at 31 December 2019

| Actual Loan Outstanding |                                 |        |                   |              |                |                    |
|-------------------------|---------------------------------|--------|-------------------|--------------|----------------|--------------------|
| Loan Repaid             | Borrower                        |        | Date of Loan      | Amount<br>£m | Period of Loan | Interest Rate<br>% |
| <b>Call accounts</b>    | Barclays Bank Plc (NRFB)        | Bank   |                   | 42,353,637   |                | 0.65               |
| <b>MMF</b>              | State Street Global LVNAV MMF   | MMF    |                   | 10,000,000   |                | 0.71               |
| <b>Property Fund</b>    | Property Funds                  | Prop F |                   | 5,930,079    |                | 3.92               |
|                         | Handelsbanken Plc 35 day notice | Bank   |                   | 25,000,000   |                | 0.80               |
|                         | Santander UK Plc 95 Day Notice  | Bank   |                   | 38,000,000   |                | 1.00               |
|                         | Santander UK Plc 180 Day Notice | Bank   |                   | 22,000,000   |                | 1.10               |
| <b>Jan-20</b>           | Nationwide                      | BSoc   | 08-Jul-19         | 5,000,000    | 08-Jan-20      | 0.81               |
|                         | Nationwide                      | BSoc   | 09-Jul-19         | 5,000,000    | 09-Jan-20      | 0.81               |
|                         | National Westminster Bank PLC   | Bank   | 15-Jul-19         | 5,000,000    | 15-Jan-20      | 0.81               |
|                         | Nationwide                      | BSoc   | 15-Jul-19         | 5,000,000    | 15-Jan-20      | 0.81               |
|                         | Nationwide                      | BSoc   | 18-Jul-19         | 5,000,000    | 20-Jan-20      | 0.79               |
|                         | St Albans DC                    | LA     | 19-Jul-19         | 5,000,000    | 20-Jan-20      | 0.80               |
|                         | Nationwide                      | BSoc   | 19-Jul-19         | 5,000,000    | 20-Jan-20      | 0.79               |
|                         | Goldman Sachs                   | Bank   | 22-Jul-19         | 10,000,000   | 22-Jan-20      | 0.89               |
|                         | Nationwide                      | BSoc   | 22-Jul-19         | 5,000,000    | 22-Jan-20      | 0.78               |
|                         | Goldman Sachs                   | Bank   | 23-Jul-19         | 10,000,000   | 23-Jan-20      | 0.88               |
|                         | Bank of Scotland                | Bank   | 29-Jul-19         | 5,000,000    | 29-Jan-20      | 1.00               |
|                         | Moray Council                   | LA     | 30-Apr-19         | 3,000,000    | 31-Jan-20      | 0.95               |
|                         | Redcar & Cleveland              | LA     | 25-Jul-19         | 5,000,000    | 31-Jan-20      | 0.82               |
|                         | Bank of Scotland                | Bank   | 31-Jul-19         | 5,000,000    | 31-Jan-20      | 1.00               |
|                         | Bank of Scotland                | Bank   | 31-Jul-19         | 5,000,000    | 31-Jan-20      | 1.00               |
| <b>Feb-20</b>           | Bank of Scotland                | Bank   | 05-Aug-19         | 10,000,000   | 05-Feb-20      | 0.85               |
|                         | DBS                             | Bank   | 17-Oct-19         | 5,000,000    | 17-Feb-20      | 0.84               |
|                         | Goldman Sachs                   | Bank   | 28-Aug-19         | 10,000,000   | 28-Feb-20      | 0.90               |
| <b>Mar-20</b>           | Warrington BC                   | LA     | 01-Jul-19         | 5,000,000    | 02-Mar-20      | 0.85               |
|                         | DBS                             | Bank   | 01-Nov-19         | 5,000,000    | 02-Mar-20      | 0.86               |
|                         | National Westminster Bank PLC   | Bank   | 25-Jun-19         | 5,000,000    | 25-Mar-20      | 0.92               |
| <b>Apr-20</b>           | Goldman Sachs                   | Bank   | 10-Oct-19         | 10,000,000   | 09-Apr-20      | 0.90               |
|                         | Goldman Sachs                   | Bank   | 15-Oct-19         | 10,000,000   | 15-Apr-20      | 1.00               |
|                         | Bank of Scotland                | Bank   | 15-Oct-19         | 10,000,000   | 15-Apr-20      | 0.85               |
|                         | LB Southwark                    | LA     | 18-Apr-19         | 5,000,000    | 16-Apr-20      | 0.97               |
|                         | Standard Chartered              | Bank   | 18-Oct-19         | 5,000,000    | 20-Apr-20      | 0.84               |
|                         | Bank of Scotland                | Bank   | 30-Apr-19         | 5,000,000    | 30-Apr-20      | 1.25               |
| <b>May-20</b>           | Bank of Scotland                | Bank   | 01-Nov-19         | 10,000,000   | 01-May-20      | 0.85               |
|                         | Standard Chartered              | Bank   | 04-Nov-19         | 5,000,000    | 04-May-20      | 0.87               |
|                         | Goldman Sachs                   | Bank   | 07-Nov-19         | 10,000,000   | 07-May-20      | 0.94               |
| <b>Jun-20</b>           | Highland Council                | LA     | 15-Oct-19         | 5,000,000    | 17-Jun-20      | 0.93               |
| <b>Jul-20</b>           | LB Croydon                      | LA     | 26-Jul-19         | 5,000,000    | 24-Jul-20      | 0.89               |
| <b>Aug-20</b>           | Cambridgeshire CC               | LA     | 07-Aug-19         | 5,000,000    | 05-Aug-20      | 0.90               |
| <b>Sep-20</b>           | National Westminster Bank PLC   | Bank   | 02-Sep-19         | 5,000,000    | 01-Sep-20      | 0.84               |
|                         | National Westminster Bank PLC   | Bank   | 18-Sep-19         | 5,000,000    | 17-Sep-20      | 0.95               |
| <b>Oct-20</b>           | Helaba                          | Bank   | 08-Oct-19         | 10,000,000   | 07-Oct-20      | 0.89               |
|                         | Helaba                          | Bank   | 09-Oct-19         | 10,000,000   | 08-Oct-20      | 0.89               |
|                         | LB Southwark                    | LA     | 14-Oct-19         | 10,000,000   | 12-Oct-20      | 1.00               |
|                         | LB Croydon                      | LA     | 14-Oct-19         | 5,000,000    | 12-Oct-20      | 1.00               |
|                         | Woking BC                       | LA     | 15-Oct-19         | 5,000,000    | 13-Oct-20      | 1.05               |
|                         | LB Croydon                      | LA     | 17-Oct-19         | 5,000,000    | 15-Oct-20      | 1.00               |
|                         | LB Waltham Forest               | LA     | 31-Oct-19         | 5,000,000    | 29-Oct-20      | 1.00               |
| <b>Nov-20</b>           | Highland Council                | LA     | 11-Nov-19         | 5,000,000    | 09-Nov-20      | 0.95               |
|                         | National Westminster Bank PLC   | Bank   | 15-Nov-19         | 5,000,000    | 13-Nov-20      | 0.98               |
|                         | National Westminster Bank PLC   | Bank   | 18-Nov-19         | 5,000,000    | 17-Nov-20      | 0.97               |
|                         | Rushmoor BC                     | LA     | 20-Nov-19         | 10,000,000   | 18-Nov-20      | 0.95               |
|                         | National Westminster Bank PLC   | Bank   | 21-Nov-19         | 5,000,000    | 20-Nov-20      | 0.97               |
|                         | Maidstone BC                    | LA     | 22-Nov-19         | 4,000,000    | 20-Nov-20      | 0.97               |
|                         | LB Brent                        | LA     | 25-Nov-19         | 5,000,000    | 24-Nov-20      | 0.95               |
|                         | Woking BC                       | LA     | 02-Dec-19         | 5,000,000    | 30-Nov-20      | 0.95               |
| <b>Dec-20</b>           | Bank of Scotland                | Bank   | 04-Dec-19         | 5,000,000    | 03-Dec-20      | 1.10               |
| <b>Feb-21</b>           | Wokingham BC                    | LA     | 26-Feb-19         | 5,000,000    | 26-Feb-21      | 1.45               |
|                         |                                 |        | Total Investments | 465,283,716  |                |                    |
|                         |                                 |        | Average Interest  | 0.94%        |                |                    |

## Item 5

| Institution Type   |      |
|--------------------|------|
|                    | %    |
| Banks              | 68%  |
| MMF                | 2%   |
| Property Funds     | 1%   |
| Local Government   | 22%  |
| Building Societies | 6%   |
|                    | 100% |

| Maturity Profile |      |
|------------------|------|
|                  | %    |
| < 1 Month        | 11%  |
| 1 - 3 Months     | 32%  |
| 3 - 6 Months     | 29%  |
| 6 - 9 Months     | 4%   |
| 9 - 12 Months    | 21%  |
| > 12 Months      | 2%   |
|                  | 100% |

| Portfolio Breakdown |      |
|---------------------|------|
|                     | %    |
| Fixed Term          | 69%  |
| Notice Accounts     | 18%  |
| Call Accounts       | 9%   |
| MMF                 | 2%   |
| Property Funds      | 1%   |
|                     | 100% |

| Actual Loans Outstanding Summarised by Organisation |       |
|---|-------|
|   | £m    |
| Bank of Scotland                                    | 55.0  |
| Barclays  | 42.4  |
| State Street Global CNAV MMF                        | 10.0  |
| Nationwide BS                                       | 30.0  |
| Prop Funds  | 5.9   |
| Handelsbanken                                       | 25.0  |
| Goldman Sachs                                       | 60.0  |
| Santander   | 60.0  |
| Standard Chartered                                  | 10.0  |
| Local Authority                                     | 102.0 |
| National Westminster                                | 35.0  |
| DBS   | 10.0  |
| Helaba  | 20.0  |
|   | 465.3 |

| Period  |      |
|---|------|
|   | %    |
| Bank Rate (change from 0.50% 02/08/18)                  | 0.75 |
| Investment Rates  |      |
| - NYCC overnight (on call)                              | 0.65 |
| - call accounts   | 0.45 |
| - 1 month   | 0.66 |
| - 6 months  | 0.77 |
| - 1 year  | 0.86 |
| - 3 year  | 1.55 |
| - 5 year  | 1.85 |
| Government's Debt Management Office Account (overnight) | 0.50 |

| Country  |      |
|----------|------|
|          | %    |
| Domestic | 92%  |
| Foreign  | 6%   |
| MMF      | 2%   |
|          | 100% |

| Other Bodies                   | 30-Sep-19 |     | 31-Dec-19 |     |
|--------------------------------|-----------|-----|-----------|-----|
|                                | £m        | %   | £m        | %   |
| NY Pension Fund                | 162.4     | 35  | 158.1     | 34  |
| NY Fire and Rescue Authority   | 8.6       | 2   | 6.8       | 1   |
| Yorkshire Dales National Park  | 3.9       | 1   | 3.7       | 1   |
| North York Moors National Park | 3.2       | 1   | 3.3       | 1   |
| Peak District National Park    | 7.8       | 2   | 7.0       | 2   |
| Selby District Council         | 64.5      | 14  | 68.9      | 15  |
| National Parks England         | 0.2       | 0   | 0.2       | 0   |
| Align Property Partners        | 0.8       | 0   | 0.7       | 0   |
| = total other bodies           | 251.5     | 55  | 248.6     | 54  |
| NYCC cash                      | 215.1     | 45  | 216.8     | 46  |
| Total Investment               | 466.6     | 100 | 465.4     | 100 |

## APPROVED LENDING LIST Q3

Maximum sum invested at any time (The overall total exposure figure covers both Specified and Non-Specified investments)

|  | Country | Specified Investments<br>(up to 1 year) |              | Non-Specified Investments<br>(> 1 year £40m limit) |              |
|--|---------|---|--------------|--|--------------|
|  |         | Total Exposure<br>£m                    | Time Limit * | Total Exposure<br>£m                               | Time Limit * |
| <b>UK "Nationalised" banks / UK banks with UK Central Government involvement</b> |         |   |              |  |              |
| Royal Bank of Scotland PLC (RFB)   | GBR     | 75.0                                    | 365 days     | -  | -            |
| National Westminster Bank PLC (RFB)  | GBR     |   |              |  |              |
| <b>UK "Clearing Banks", other UK based banks and Building Societies</b>          |         |   |              |  |              |
| Santander UK PLC (includes Cater Allen)  | GBR     | 60.0                                    | 6 months     | -  | -            |
| Barclays Bank PLC (NRFB)   | GBR     | 75.0                                    | 6 months     | -  | -            |
| Barclays Bank UK PLC (RFB)   | GBR     |   |              |  |              |
| Bank of Scotland PLC (RFB)   | GBR     | 60.0                                    | 365 days     | -  | -            |
| Lloyds Bank PLC (RFB)  | GBR     |   | 6 months     |  |              |
| Lloyds Bank Corporate Markets PLC (NRFB)   | GBR     |   |              |  |              |
| HSBC Bank PLC (NRFB)   | GBR     | 30.0                                    | 365 days     | -  | -            |
| HSBC UK Bank PLC (RFB)   | GBR     |   |              |  |              |
| Goldman Sachs International Bank   | GBR     | 60.0                                    | 6 months     |  |              |
| Sumitomo Mitsui  | GBR     | 30.0                                    | 6 months     |  |              |
| Standard Chartered Bank  | GBR     | 60.0                                    | 6 months     |  |              |
| Handelsbanken  | GBR     | 40.0                                    | 365 days     |  |              |
| Nationwide Building Society  | GBR     | 40.0                                    | 6 months     | -  | -            |
| Leeds Building Society   | GBR     | 20.0                                    | 3 months     | -  | -            |
| <b>High Quality Foreign Banks</b>  |         |   |              |  |              |
| National Australia Bank  | AUS     | 30.0                                    | 365 days     | -  | -            |
| Commonwealth Bank of Australia   | AUS     | 30.0                                    | 365 days     |  |              |
| Toronto-Dominion Bank  | CAN     | 30.0                                    | 365 days     |  |              |
| Credit Industriel et Commercial  | FRA     | 30.0                                    | 6 months     | -  | -            |
| Landesbank Hessen-Thuringen Girozentrale (Helaba)                                | GER     | 30.0                                    | 365 days     |  |              |
| DBS (Singapore)  | SING    | 30.0                                    | 365 days     |  |              |
| <b>Local Authorities</b>   |         |   |              |  |              |
| County / Unitary / Metropolitan / District Councils                              |         | 20.0                                    | 365 days     | 5.0  | 2 years      |
| Police / Fire Authorities  |         | 20.0                                    | 365 days     | 5.0  | 2 years      |
| National Park Authorities  |         | 20.0                                    | 365 days     | 5.0  | 2 years      |
| <b>Other Deposit Takers</b>  |         |   |              |  |              |
| Money Market Funds   |         | 20.0                                    | 365 days     | 5.0  | 2 years      |
| Property Funds   |         | 5.0                                     | 365 days     | 5.0  | 10 years     |
| UK Debt Management Account   |         | 100.0                                   | 365 days     | 5.0  | 2 years      |

\* Based on data 31 December 2019

**CHANGES TO THE APPROVED LENDING LIST DURING Q3**

There have been no changes to the Approved Lending List during this quarter.

It should be noted, however, that changes can be made on a daily basis in reaction to market sentiment, with maximum investment durations being adjusted accordingly.

Maximum investment durations for other organisations have, therefore, been changed during this quarter, but have since returned to the level at 30 September 2019.

## Treasury Management and Reporting Arrangements

The current monitoring and reporting arrangements in relation to Treasury Management activities are as follows:

- (a) an annual report to Executive and County Council as part of the Budget/MTFS process that sets out the County Council's **Treasury Management and Investment Strategy and Policy** for the forthcoming financial year. For 2019/20 this report was submitted to Executive on 29 January 2019 followed by County Council on 20 February 2019;
- (b) an annual report to Executive and County Council as part of the Budget/MTFS process that sets the various **Prudential Indicators** (submitted to Executive on 29 January 2019 and County Council on 20 February 2019)
- (c) **annual outturn reports** to the Executive for both Treasury Management and Prudential Indicators setting out full details of activities and performance during the preceding financial year. The outturn reports for 2018/19 were submitted to Executive on 21 May 2019;
- (d) a quarterly report on Treasury Management to the Executive (this report) as part of the **Quarterly Performance Monitoring** report;
- (e) **periodic meetings** between the Corporate Director – Strategic Resources, the Corporate Affairs Portfolio Holder and the Chairman of the Audit Committee to discuss issues arising from the day to day management of Treasury Management activities;
- (f) reports on proposed changes to the County Council's Treasury Management activities are submitted to the **Audit Committee** for consideration and comment. A copy of this report is also provided to Audit Committee Members.



## Detailed Economic Commentary on Developments during Q3 2019/20

### 1. Economic Background

#### UK GDP

- 1.1 Economic growth in 2019 has been very volatile with quarter 1 unexpectedly strong at 0.5%, quarter 2 dire at -0.2%, quarter 3 back up to +0.4% and quarter 4 expected to come in around zero. Political and Brexit uncertainty have dampened growth in 2019.
- 1.2 Despite political uncertainty ending with a decisive overall majority for the Conservative government in the December general election which clears the way for the UK to leave the EU on 31 January 2020, we still have much uncertainty as to whether there will be a reasonable trade deal achieved by the end of 2020.
- 1.3 The Monetary Policy Committee raised Bank Rate from 0.5% to 0.75% in August 2018. It is unlikely that there will be any further changes until these remaining uncertainties over the likely type of Brexit become clear. If there was a no deal exit, it is likely that Bank Rate would be cut in order to support growth. However, if growth was to drop significantly in any event, the MPC could also cut Bank Rate in 2020. The Government has announced some major spending increases and is expected to make further commitments in the spring budget; these will provide some support to growth and will take some pressure off the MPC to act to stimulate growth by either cutting Bank Rate or implementing other monetary policy measures.
- 1.4 The MPC did have some concerns over the trend in wage inflation, which was on a rising trend, and peaked at a new post financial crisis high of 3.9% in June. Since then, however, it has been falling steadily back and remains below the 2018 average, although the unemployment rate remained at 3.8 percent, its lowest rate since 1975.
- 1.5 CPI inflation fell to 1.5% in October and November and is likely to remain between 1.5% and 2% over the next two years. If there was a no deal Brexit though, it could rise towards 4%, primarily as a result of imported inflation on the back of a weakening pound.
- 1.6 The strong wage inflation figure and the fall in CPI inflation is good news for consumers as their spending power is improving in this scenario as the difference between the two figures is now around 2.0%, i.e. a real term increase. Given the UK economy is very much services sector driven, an increase in household spending power is likely to feed through into providing some support to the overall rate of economic growth in the coming months.

#### USA

- 1.7 President Trump's massive easing of fiscal policy in 2018 fuelled a (temporary) boost in consumption in 2018 which generated an upturn in the rate of growth. Growth in quarter 1 of 2019 was a strong fell back to quarter 2 and quarter 3. The strong growth in employment numbers during 2018 has subsided into a weaker trend of growth during 2019, indicating that the economy is cooling, while inflationary pressures have also been weakening. After the Fed increased rates by 0.25% in December 2018 to between 2.25% and 2.50%, it has taken decisive action to reverse monetary policy by

cutting rates by 0.25% in each of July, September and October in order to combat the downturn in the outlook for US and world growth. The Fed is now likely to pause to see how the economy responds during 2020.

## **EUROZONE**

- 1.8 The annual rate of growth has been steadily falling. The European Central Bank (ECB) ended its programme of quantitative easing purchases of debt in December 2018, which meant that the central banks in the US, UK and EU had all ended the phase of post financial crisis expansion of liquidity supporting world financial markets by purchases of debt. However, the downturn in EZ growth, together with inflation falling well under the upper limit of its target range of 0 to 2%, (but it aims to keep it near to 2%), has prompted the ECB to take new measures to stimulate growth. At its March meeting it said that it expected to leave interest rates at their present levels “at least through the end of 2019”, but that was of little help to boosting growth in the near term.

## **CHINA**

- 1.9 Economic growth has been weakening over successive years, despite repeated rounds of central bank stimulus; medium term risks are increasing. The trade war with the US does not currently appear to be having a particularly significant impact on growth. Major progress still needs to be made to eliminate excess industrial capacity and to switch investment from property construction and infrastructure to consumer goods production. It also needs to address the level of non-performing loans in the banking and credit systems.

## **JAPAN**

- 1.10 Japan has been struggling to stimulate consistent significant GDP growth and to get inflation up to its target of 2%, despite huge monetary and fiscal stimulus. It is also making little progress on fundamental reform of the economy.

## **WORLD GROWTH**

- 1.11 The trade war between the US and China on tariffs is a major concern to financial markets and is depressing worldwide growth, as any downturn in China will spill over into impacting countries supplying raw materials to China. Concerns are focused on the general weakening of growth in the major economies of the world. These concerns resulted in government bond yields in the developed world falling significantly during the first ten months of 2019. If there were a major worldwide downturn in growth, central banks in most of the major economies will have limited ammunition available, in terms of monetary policy measures, when rates are already very low in most countries, (apart from the US), and there are concerns about how much distortion of financial markets has already occurred with the current levels of quantitative easing purchases of debt by central banks. The latest PMI survey statistics of economic health for the US, UK, EU and China have all been weak which gives a forward indication of a downturn in growth; this confirms investor sentiment that the outlook for growth during 2020 is expected to be weak.

## **2.0 Balance of Risks**

- 2.1 Downside risks to current forecasts for UK gilt yields and PWLB rates currently include:

- Brexit – if it were to cause significant economic disruption and a major downward in the rate of growth;
- Bank of England takes action too quickly, or too far, over the next three years to raise Bank Rate and causes UK economic growth, and increases in inflation, to be weaker than we currently anticipate;
- A resurgence of the Eurozone sovereign debt crisis;
- Weak capitalisation of some European banks, particularly Italian banks;
- 
- Minority Governments in Germany, Austria, Finland, Sweden, Spain, Portugal, Netherlands and Belgium which could prove fragile;
- 
- In October 2019, the IMF issued a report on the World Economic Outlook which flagged up a synchronised slowdown in world growth. However, it also flagged up that there was potential for a rerun of the 2008 financial crisis, but this time centred on the huge debt accumulated by corporations during the decade of low interest rates. In October 2019, the deputy Governor of the Bank of England also flagged up the dangers of banks and the shadow banking sector lending to corporates, especially highly leveraged corporates, which had risen back up to near pre-2008 levels; and
- Geopolitical risks, for example in North Korea, but also in Europe and the Middle East, which could lead to increasing safe haven flows.

## 2.2 Upside risks to current forecasts for UK gilt yields and PWLB rates include:

- Brexit – if agreement was reached all round that removed all threats of economic and political disruption between the EU and the UK;
- The Bank of England is too slow in its pace and strength of increases in Bank Rate and, therefore, allows inflationary pressures to build up too strongly within the UK economy, which then necessitates a later rapid series of increases in Bank Rate faster than we currently expect; and
- UK inflation, whether domestically generated or imported, returning to sustained significantly higher levels causing an increase in the inflation premium inherent to gilt yields.

## 4.0 CAPITAL PLAN

### Overview

- 4.1 An updated Q3 2019/20 Capital Plan was reported to Executive on 4 February 2020 as part of the Budget Report for 2020/21 and will be presented to County Council on 18 February 2020. The Q3 2019/20 Capital Plan has been updated to reflect the latest forecast for capital expenditure and associated funding up to 31 December 2019. A copy of the report can found at the following link:

<https://democracy.northyorks.gov.uk/committees.aspx?commid=18&meetid=4040>

### RECOMMENDATIONS

- 4.2 The Executive note the updated Q3 2019/20 Capital Plan.

## 5.0 Legal Implications

5.1 There are no specific legal implications

## 6.0 Consultation and Responses

6.1 This report has been the subject of full consultation with Directorates and is agreed by Management Board

## 7.0 Conclusions and Recommendations

7.1 The County Council continues to perform well and demonstrate improvements in its services.

7.2 The recommendations have been made in the body of the report and are listed again here. The Executive is recommended to:

- a) Notes the contents of the Performance Report
- b) notes the latest position for the County Council's 2019/20 Revenue Budget, as summarised in **paragraph 2.1.2**.
- c) notes the position on the GWB (**paragraphs 2.4.1 to 2.4.3**)
- d) notes the position on the 'Strategic Capacity – Unallocated' reserve (paragraphs 2.4.4 to 2.4.8)**
- e) notes the position on the County Council's Treasury Management activities during the third quarter of 2019/20
- f) refers this report to the Audit Committee for their consideration as part of the overall monitoring arrangements for Treasury Management.
- g) The Executive note the updated Q3 2019/20 Capital Plan

Richard Flinton  
Chief Executive  
18 February 2020

Gary Fielding  
Corporate Director, Strategic Resources

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