

## NORTH YORKSHIRE COUNTY COUNCIL

## EXECUTIVE

28 July 2020

## 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**

The in depth focus for Quarter 4 is Public Health and the Council ambition of Modern Council.

As in previous quarters the report also provides an overview of performance consistent with ambitions and priorities set out in the Council plan.

The focus for Quarter 1 2019/20 will be the Council ambition of 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.

**Revenue Budget 2018/19**

1. There is an overall projected net saving of £6.6m against operational budgets for 2019/20 (**paragraphs 2.2.1 to 2.2.18**). This is largely composed of continuing financial pressures in Health and Adult Services and Children and Young People's Services' more than offset by savings in the Business and Environmental and Corporate Miscellaneous budgets although these savings are mainly of a non-recurring nature.
2. A breakdown of each directorate's variance against budget is provided in **Appendices B to F** with the financial position of NYES set out in **Appendix G**.
3. Savings targets reflected in Directorate's 2019/20 budgets total £15.5m (**paragraph 2.5.1**).
4. The unallocated GWB is £27.2m as at 31 March 2019 in line with the policy target set out in the MTFs and Budget Report presented to County Council in February 2018. The unallocated Strategic Capacity Reserve as at 31 March 2020 is £47.6m (**paragraphs 2.6.1 to 2.6.6**).

**Annual Treasury Management and Prudential Indicators**

1. Long term external debt decreased from £285.1m (at 31 March 2019) to £263.1m (at 31 March 2020) as a result of no new external borrowing taking place in 2019/20, whilst scheduled loan repayments have been made (**paragraph 3.7**).
2. The average rate of interest on this debt has increased slightly to 4.39% (from 4.37%) which is above the national average for all PWLB debt (**paragraph 3.6**).

3. For cash invested the average rate of interest achieved was 0.91% which outperformed the average 7-day market rate of 0.53% and the average bank rate during the year of 0.72% **(paragraph 3.31)**.
4. None of the approved Treasury Management Prudential Indicators and limits were exceeded during the year **(Appendix B)**.

### Capital Plan

1. Overall capital expenditure for 2019/20 is £99.1m against a budget of £121.7m – an underspend of £22.6m. When capital receipts and grants are taken into account the net position shows an underspend of £2.9m **(paragraphs 4.4)**.
2. The main variances are a £2.0m underspend in Health and Adult Services due to delays on Extra Care schemes; a £4.7m underspend on Children and Young People's Service due to delays on a number of large-scale school schemes; £4.2m underspend on Central Services which resulted mainly from a slower than anticipated draw down of loans by County Council owned limited companies and a £11.9m underspend on Business and Environmental Services largely due to lower than expected activity on LEP led Growing Places and Local Growth Fund schemes **(paragraph 4.9 to 4.12)**.
3. After adjusting for a reduction in the value of the loans to limited companies and savings on schemes (£2.2m) a net underspend of £0.6m is to be carried forward to 2020/21 **(paragraph 4.14)**.
4. Financing of the capital plan is largely through grants, contributions and revenue contributions, the remaining element of £3.6m is funded from internal borrowing **(paragraph 4.16)**.

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Chief Executive

GARY FIELDING  
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County Hall  
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28 July 2020

**Contents**

- 1.0 2019/20 Quarter 4 Performance Commentary
- 2.0 Revenue Budget 2019-20
- 3.0 Treasury Management
- 4.0 Capital Plan
- 5.0 Legal Implications
- 6.0 Consultation and Responses
- 7.0 Conclusions and Recommendations



# Executive Performance Report

Quarter 4 2019/20 (plus impact of Covid-19 to May 2020)

Would Members please note that this edition of the Executive Performance Report for Quarter 4 2019/20, originally programmed to cover the period 1<sup>st</sup> January 2020 to 31 March 2020 has been extended to cover a range of Covid-19 topics up to the end of May, where data is available.

# Contents



Public Health .....	5
Modern Council .....	15
Growth .....	23
Healthy and Independent Living .....	28
Best Start to Life .....	34
Appendix .....	44

# Corporate summary

## Focus on Modern Council



Progress & strengths	<ul style="list-style-type: none"> <li>The Stronger Communities team in a co-ordinated response with the District Councils and 24 CSO's helped an average of 2,400 people each week, delivered approximately 600 prescriptions and 750 loads of shopping each week, received approximately 200 befriending requests each week and processed 253 successful applications of COVID-19 food and energy grants</li> <li>84% of transactions that can be conducted on-line are conducted on line (target 70%)</li> <li>Since North Yorkshire public libraries closed on 23rd March, 1,618 new members have joined and social media has grown to 14,817 followers</li> <li>During quarter 4, on an average weekday, 1525 employees were using their laptops and tablets to work remotely, by the week commencing 27th April this had more than doubled to over 3,700 staff were working remotely</li> <li>During May as we adapted to working from home more, we saw over 1,500 Skype conferences each day involving 5,000 to 6,000 participants</li> </ul>
Challenges	<ul style="list-style-type: none"> <li>Maintaining the new ways of working post COVID (if they are the most appropriate long term solution)</li> <li>72 sites closed within corporate property portfolio</li> </ul>

## Growth



Progress & strengths	<ul style="list-style-type: none"> <li>Assessed as Level 3 (highest level) in the annual Highways Maintenance Efficiency Programme questionnaire ensuring that we received the highest level of funding. (The risk to funding was slightly under £5m)</li> <li>The number of people killed or seriously injured on North Yorkshire roads during 2019/20 was 346, the lowest for the past 7 years and shows a continuing downward trend.</li> <li>The 2020 surface dressing season is underway which will see us investing over £10m in the highway network treating in the region of three million square metres of carriageway</li> <li>At the end of Q4 89.9% of the public right of way (PROW) network was passable, up from 89.6% at the end of the previous quarter</li> <li>92.5% of County Matters planning applications were determined within timescale (Nat Av 91.9%)</li> <li>Information on cost and impact of the eight areas of the draft carbon reduction plan is being collated to enable informed decision making about the next steps</li> </ul>
Challenges	<ul style="list-style-type: none"> <li>Assisting economic recovery post COVID-19</li> <li>It is estimated that 28.1% (n= 64,348) of the working population in the County is furloughed (Nat 26.7%)</li> <li>With social distancing measures, home to school transport buses will only be able to operate at about 25% of capacity. Limited return from 01 June should be manageable with some difficulty but will be a significant pressure on the service in September</li> </ul>

# Healthy and Independent Living



<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Progress &amp; strengths</p>	<ul style="list-style-type: none"> <li>The rate of admissions to long term care placements per 100,000 head of population were down year on year at the end of 2019/20 for both the 18-64 (down from 22.7 to 19.0) and 65+ (down from 776.7 to 658.5) age groups. Levels of recorded admissions for people aged 65+ showed a significant reduction as at the end of May, with a projected year end figure of 455.1, which compares with a Q1 figure of 646.3 in 2019/20. During the covid outbreak, long term placements have reduced by 6% (145) since the end of March to 2,157. A key factor in this reduction is the significantly higher number of deaths recorded amongst this group of service users during April 2020, which reached 219 compared to 73 in April 2019, a three-fold increase.</li> <li>The prevent, reduce, delay elements of the social care pathway continue to show sustained growth through to the end of 2019/20. Referrals into the Care &amp; Support Team based in the contact centre were up by 22% (1,615) year on year. Living Well referrals were up by 31% (895) year on year, and the service continued to report high satisfaction ratings. During the covid outbreak Living Well has experienced significant reductions in referrals in line with the general pattern for adult social care, and its referrals were down by 50% to 139 in April.</li> <li>North Yorkshire missed the government's challenging target for reducing delayed transfers of care (DTOCs) attributable to social care in February by the smallest of margins. The February 2020 data showed the rate of social care delayed bed days at 3.0 per 100,000 of population against a target of 2.9. Social care delays amounted to 438 days in February and achieving the target required delays to be at 430 days in a 30-day month. Data collection has been suspended for the subsequent months to facilitate a new operating model between hospital trusts and their local authority partners as part of the national response to the covid outbreak.</li> </ul>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Challenges</p>	<ul style="list-style-type: none"> <li>50.7% (957/1,887) of residential/nursing placements for older people were above the authority's approved rates at the end of 2019/20. As at the end of May 2020, this had reduced to 48.2% (706/1,466). The covid outbreak has and will continue to have a detrimental effect on the market development work that was underway to try and mitigate the rising cost of permanent placements. This includes the development of further Extra Schemes, deep dive studies to understand local markets and development proposals for care provision in Harrogate. The outbreak has necessitated the authority working more closely with, and providing increased support to care home providers. This may provide benefits for our future working relationship as we emerge from the outbreak, but the financial and operational pressures faced by the sector during the height of the outbreak may lead to further reductions in capacity in some local markets.</li> <li>The average size of a personal budget, excluding service users with a learning disability, increased to £15.0K in Q4. The year on year increase was significantly higher between quarters up from 5.4% (£0.8K) to 8.1% (£1.1K). The strength-based reassessment focus introduced by mental health teams from September produced a year on year reduction of 13% (£1.4K) in the average PB by the year end. As at the end of May, the average PB for non-LD service users had increased to £15.4K, an increase of 2.7% (£0.4K) since the end of March, which is indicative of the application of the annual inflationary uplift that is usually applied at this time of year.</li> <li>The proportion of people receiving an annual review reduced to 58.3% at the end of 2019/20, having been ahead of target (72%) through to the end of November. To maintain the focus on this measure the target for 2020/21 has been increased to 75%. As at the end of May, performance was ahead of the required monthly target trajectory (12.5%) having reached 15.3%.</li> </ul>

# Best start to life



<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Progress &amp; strengths</p>	<ul style="list-style-type: none"> <li>• <b>Rate of re-referrals remains low</b> - Despite the increase in the number of referrals in Q4, the re-referral rate remained very good with the Q4 rate matching that of the full year, at 16.3%. This rate is better than the rate of 17.8% seen in 2018/19 and much better than that reported nationally or across statistical neighbours at 22.6% and 20.0% respectively (2018/19 most recent data available).</li> <li>• <b>Children Subject to a Child Protection Plan continues to reduce</b> - The number of children subject to a Child Protection Plan (CPP) has continued to reduce over the course of Quarter 4, falling by a further 7% this quarter to 327 (27 fewer than at the end of Q3).</li> <li>• <b>Timeliness of C&amp;F Assessments remains strong</b> - The timeliness of assessments remains strong, with 99.1% of the 1,066 C&amp;F Assessments being completed within 45 days (the statutory target) and 70% within 30 days (the target outlined in our practice guidance). Child Care and School places have continued to be provided through lock down, for vulnerable children and children of critical workers across the county.</li> </ul>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Challenges</p>	<ul style="list-style-type: none"> <li>• <b>Insuring safe return to schooling post Covid-19</b></li> <li>• <b>Rate of Second or Subsequent Child Protection Plans</b> - Whilst we have seen a marked reduction in the number of children subject to a Child Protection Plan during 2019/20, there has also been a significant increase in the proportion of children being made subject to a second or subsequent Child Protection Plan. In Quarter 4 the rate was 34.3% (36/105 plans), higher than the full year rate of 25.7% and significantly higher than the 2018/19 rate of 16.7%.</li> <li>• <b>Number of Children in Care</b> - The number of Children in Care increased for the third time in the last four quarters, up by 4 to 447. This number includes 19 Unaccompanied Asylum Seeking Children. This increase is largely due to the impact of Covid 19, lock down has meant family networks who would ordinarily support the child have been unable to do so resulting in the child being brought into care.</li> <li>• <b>EHC plans maintained by North Yorkshire continues to increase</b> - The number of Education, Health and Care plans increased to 3,153 at the end of Quarter 4, a 12% increase on the same point last year. 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.</li> </ul>



Focus on:

# Public Health

***'Improving health and wellbeing and reducing health inequalities in North Yorkshire'***



Public health describes our collective, organised efforts to protect and improve the health of people in North Yorkshire by putting wellbeing at the heart of everything we do to enable each person to live a healthier, happier life. It is central to the council's work in preventing ill health and helping people to reduce their risk of requiring healthcare and social support services.

Significant public health effort is directed towards place shaping and systems leadership, working with many internal and external partners to influence improvement in health and wellbeing.

There are six mandated public health services which local authorities in England are obliged to carry out:

- weighing and measuring specified groups of children
- NHS Health Check assessments for adults aged 40 to 74 years
- open access sexual health services
- providing public health advice to NHS commissioners
- protecting the health of the local population, for example, from infectious diseases, environmental hazards and extreme weather events
- provide universal health visitor reviews for pregnant women and young children

Additional public health functions in North Yorkshire which are supported by public health grants include:

- Preventing and reducing harm from drug and alcohol misuse
- Stop smoking services and tobacco control
- Public health programmes for children and young adults aged 0-19
- Preventing obesity and increasing physical activity
- Improving mental health
- Enhancing workplace health

The work of the public health team has been focussed with increasing intensity on preparation and response to the Covid-19 pandemic since January 2020. Many of the work areas reported on remain relevant and some will become even more pressing as we exit the first (and hopefully final wave) of the pandemic in the UK.

In 2019/20, the Public Health grant was £21,182,000. Our spend includes directly commissioned services, team activities and work funded through other parts of NYCC or with partners. We invest funding into the Living Well, Safer and Stronger Communities teams, linking to the council's wider prevention agenda. We continue to use our reserve to invest for the future. Good governance in our work is ensured through monthly Public Health Business meetings. We are active participants in the Council's 2020 programme and planning for beyond 2020 through the Health Places, Healthy People theme which includes the Childhood Futures programme. A key area of focus is the proposed Healthy Child integrated partnership with Harrogate District Foundation Trust to implement a new delivery model in light of efficiencies that need to be made across all public health services. Some of this work anticipated service changes that were put in place as a result of Covid-19.

Numerous local drivers exist for public health work in North Yorkshire. Overall, a lot of measures of health in the county are better than for England, but this can mask areas of poor health within a large population. The 2019 Health Profile for North Yorkshire shows 18 of the 32 indicators are significantly better than England and four are significantly worse (suicides, road casualties, detection of diabetes and hospital admissions for alcohol-specific causes). We have been addressing these areas with relevant partners as outlined in later sections.

Life expectancy (LE) is an important summary measure of overall population health. In North Yorkshire, LE at birth for both males (80.7y) and

Item 5

females (84.2y) is significantly higher than England (males: 79.6y, females: 83.2y) and has increased from 2001-03 to 2016-18. However, female LE has not increased in North Yorkshire for the past 4 years and male LE has increased by only 0.1 year in the past 3 years, reflecting the slowing of life expectancy improvements seen nationally.

Within North Yorkshire, there are significant inequalities in life expectancy between the least and most deprived areas. For females in the most deprived areas, LE is 79.8 years, 6.4 years lower than the least deprived areas. For males, the gap is wider at 8.6 years: in the most deprived areas LE is 74.9 years compared with 83.5 in the least deprived areas.

The following table summarises key indicators over the life course. Many indicators in North Yorkshire are significantly better than or similar to England. Areas where the data suggests additional focus may be required include those which are significantly worse than England or those with a worsening trend.

The county has a significantly higher rate than England for the number of hospital admissions for self-harm, aged 10-24, despite a slight decrease in the admission rate from the previous year. The rate is also higher than the regional average. There were 440 admissions for this age group in 2018/19. Some people may have been admitted on more than one occasion.

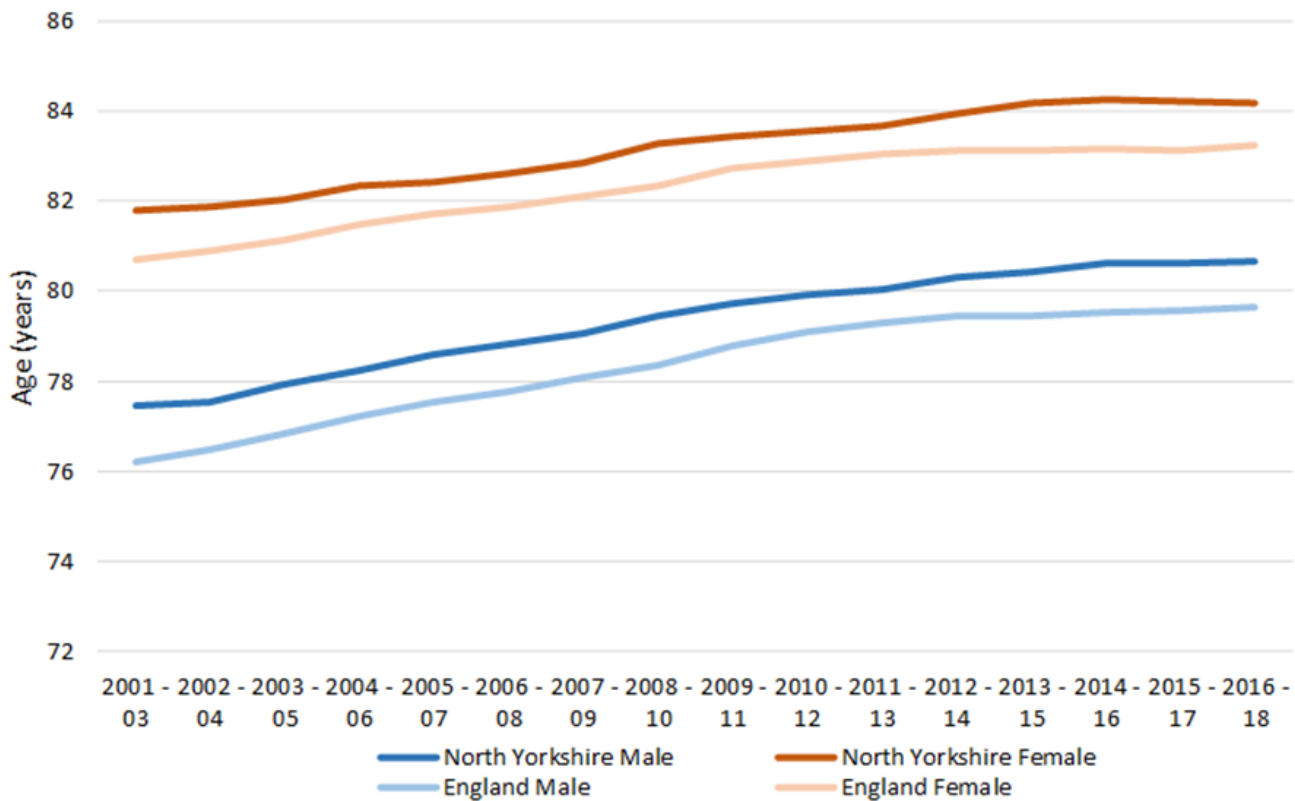
North Yorkshire has a significantly higher rate than England for killed and seriously injured casualties on roads. All districts in North Yorkshire, except for Scarborough district, have a significantly higher rate than England. Craven has the highest rate at 99.5 per 100,000 population.

Despite being higher than England, North Yorkshire has low uptake of rate flu vaccination in people aged 65 and over compared with the 75% target. However, the proportion vaccinated in North Yorkshire has increased from 2017/18.

Chlamydia testing is below target and has reduced from the previous year. This is likely to be due to low levels of disease in the community.

Life expectancy at birth

Source: PHE



## Public Health life course indicators, North Yorkshire

Measure	Date	North Yorkshire	England	Comparison to benchmark	Direction of travel
Infant mortality rate, crude rate per 1,000	2016-18	1.9	3.9		-
School readiness: percentage of children achieving a good level of development at the end of Reception	2018/19	72.8%	71.8%		
Year 6: Prevalence of overweight (including obesity)	2018/19	30.6%	34.3%		
Hospital admissions as a result of self-harm (10-24 years), DSR per 100,000	2018/19	496.4	444.0		-
Chlamydia proportion aged 15-24 screened	2018	21.1%	19.6%		
Smoking status at time of delivery	2018/19	10.5%	10.6%		
Smokers that have successfully quit at 4 weeks, crude rate per 100,000	2018/19	1,482	1,894		-
Percentage of adults (aged 18+) classified as overweight or obese	2017/18	61.3%	62.0%		-
Percentage of physically active adults	2017/18	69.5%	66.3%		-
Cumulative percentage of the eligible population aged 40-74 who received an NHS Health check	2014/15-18/19	43.3%	43.3%		-
Successful completion of alcohol treatment	2018	34.8%	37.6%		
Sickness absence - the percentage of working days lost due to sickness absence	2016-18	0.6%	1.1%		-
Killed and seriously injured (KSI) casualties on England's roads, crude rate per 100,000	2016-18	65.9	42.6		-
Population vaccination coverage - Flu (aged 65+)	2018/19	73.6%	72.0%		
Fuel poverty	2017	9.1%	10.9%		
Healthy life expectancy at birth (Male)	2016-18	65.7	63.4		-
Healthy life expectancy at birth (female)	2016-18	68.4	63.9		-
Under 75 mortality rate from cancer considered preventable (Persons), DSR per 100,000	2016-18	68.5	76.3		-
Under 75 mortality rate from all cardiovascular diseases (Persons), DSR per 100,000	2016-18	61.0	71.7		-

## Legend

Compared with benchmark: Better Similar Worse Not Compared

## Recent Trends:

Could not be calculated No significant change

Increasing / Getting worse Decreasing / Getting worse

Increasing / Getting better Decreasing / Getting better

Best Worst

## Healthy School Zone Project

The 2019 Director of Public Health annual report for North Yorkshire, "Life in times of change; health and hardship in North Yorkshire", looks at poverty from a public health perspective, provides a review of the health of our population and focusses on some of the areas where we can take collective actions and protect people from the worst effects of poverty. We know that the impact of Covid-19 has been amplified by deprivation which makes the report especially salient.

Based on this work, Dr. Sargeant makes seven recommendations:

1. Support deprived areas
2. Tackle rural poverty
3. Reduce childhood inequalities
4. Work with military families and veterans
5. Create safe environments for high-risk groups
6. Develop priorities to mitigate the impact of changes to the benefit system
7. Improve community engagement

His very first recommendation in 2013 was for us to "Reduce the inequalities in health that are apparent across the county between the most affluent communities and those that suffer from high levels of social and economic deprivation" and this report starts a series of report looking at the five giant evils in our society.

To download the full report and executive summary visit:

[www.nypartnerships.org.uk/DPHAR](http://www.nypartnerships.org.uk/DPHAR)



Within the second chapter of the Childhood Obesity: Plan for action in June 2018, the Government committed to a three-year childhood obesity trailblazer programme (COTP) to work with council-led projects in England to tackle childhood obesity at a local level, with a particular focus on inequalities.

Thirteen councils, including North Yorkshire County Council, were selected to undertake the funded 12-week discovery phase which commenced in early February 2019. Despite not getting through to the final stage of the COTP, the School Zone project is going well and enthusiasm and commitment from partners remains high.

*What is a school zone?* The school and surrounding environment of one mile radius and the community groups within (pupils, parents/carers, siblings, school staff, businesses and wider community)



The overarching aims of the project are to influence the factors that contribute to childhood obesity in North Yorkshire and reduce inequalities in childhood obesity that exist within the county. This project intends to create healthy food and physical activity environments and support healthy behaviours within school zones. The focus is on working with secondary schools and local communities to shape the environments and policies in and around the school. Initial focus is on children attending schools in the most deprived areas in North Yorkshire (in Scarborough and Selby), with the most exposure to unhealthy assets and hazards such as food takeaway outlets and areas of poor air quality. The schools that are at the centre of the two school zones are Selby High and George Pindar (Scarborough).

Since the insight work, there has been progress on changes to the school food offer, particularly in Selby High School, some of which include:

- Review and change to content of the 'grab bags' at lunchtime – increased salad content in sandwiches and water instead of juice.
- Review and changes to levels of salt and sugar in foods made on site – reformulation in line with national catering guidelines.
- Erection of a new outdoor, heated canopy (through successful application for Healthy Pupil Capital Fund) to enable more pupils to be seated at the same time and encouraging a sociable dining experience.
- A trial 'family-style' lunch time has taken place to encourage more socialising through the lunch break. Teachers joined pupils eating their lunch to encourage interaction.

Since the COVID pandemic, business continuity planning has taken place to ensure priorities are reviewed, schools are supported appropriately and within appropriate timeframes.

A focus on food security, particularly in Scarborough will be more of a priority as a result of COVID. Work with local retailers i.e. convenience stores, takeaways will continue to be delivered sensitively; supporting economic recovery whilst ensuring increased access to healthier food and drink products.

Walking and cycling infrastructure for pupils and staff to get to and from school will be more of a priority to support sustained active travel behaviours that support the environment and reduced risk of COVID-19.

Utilisation of green space for activity during the COVID lockdown recovery will also be a priority over the coming months.

## Discoveries on Doorstep

Through an exciting partnership arrangement between Public Health and Yorkshire Dales Millennium Trust a project officer post has been jointly funded and recruited to lead on the sustainability of the Discoveries on Your Doorstep Project in Scarborough and Selby and a roll out into Ripon.

The project roll out has a particular focus on active travel and air quality, supporting children, young people and their families to increase their walking to and from school. The roll out has initially focused on two schools in Ripon, Ripon Grammar and Outwood Academy gathering insight to inform schools how to tailor the active travel messages.

In terms of sustainability of routes in Scarborough and Selby, community groups are being re-engaged with and work is underway to ensure that the existing routes and resources are maintained and accessible for all. The focus in Scarborough and Selby is to enhance the routes through further development of fun, free and fascinating things to do on-route, meaning people can return time and time again.

Building links with schools and children's centres the Discoveries on your Doorstep project will support key aspects of the 'ready for school' agenda, exploring ways to incorporate learning opportunities into route resources taking into account key focus on:

- Embedded learning.
- Physical activity and improved healthy lifestyles.
- Parent/Children interactions.

Overall impact of the project will be measured through:

- Analysis of footfall.
- Volunteering engagement and community events.
- Case studies exploring behaviour change.
- Feedback and use of project resources.
- Social media analytics.

Since the COVID-19 pandemic, business continuity planning has taken place. The project has been, and continues to be positioned to support response to Government guidance relating to physical activity. During the lockdown, campaign messaging has been focused on staying local, noticing nature, walking being good for physical and mental health.

Moving out of lock down the project can support active travel messaging for employers and schools; to support reduction in use of public transport and car sharing to reduce risk of COVID-19 and also to support sustained carbon reduction. Green miles campaign work that has

been developed will be amended to support COVID work relating to the economic and environmental recovery themes.

Although recent Government guidance enables people to travel any distance to undertake their physical activity/exercise, the Discoveries on Your Doorstep will encourage 'staying local'.

## Healthy Schools Award

A total of 148 schools had registered with the North Yorkshire Healthy Schools Award Scheme by the end of March 2020 – representing 40% of all schools across the county. The online scheme, launched in Autumn 2019, supports schools to work towards improving the health and wellbeing of pupils and staff through teaching and learning initiatives across four key areas: personal, social, health and economic education (PSHE); emotional health and wellbeing; active lifestyles; and food in schools. 21 North Yorkshire nursery, primary and secondary schools have so far achieved a Bronze, Silver or Gold level award. Support is continuing for schools to work towards achieving the award during COVID-19, and a new parents' page on the website was launched in May.

## Mental health

The mental health system in North Yorkshire is complex, with a plurality of providers and services. Public health is a core part of this system response and plays an important role in leading the prevention and promotion of good mental health. In October 2019 a successful conference focusing on prevention in mental health was attended by over one hundred delegates. Work has continued on developing an evidence based framework for mental health activity across the system. This framework will inform future priorities and strategic planning.

The contract with Scarborough Survivors to deliver an anti-stigma project concluded in March. The work will be sustained through the North Yorkshire Time to Change organic hub. This hub was successful in obtaining national endorsement and support. A partnership project, it is hosted by North Yorkshire County council and co-ordinated

by Scarborough Survivors with service user leadership strongly embedded throughout.

During the Covid-19 pandemic the public health team have brought together partners from across the mental health system to join up responses. This has been pivotal in understanding the mental health impact of the pandemic, sharing information and identifying any gaps or areas for further development. The team has taken a key role in understanding our strategic response to the pandemic from a mental health perspective and providing evidence based information and encouraging consistency across the mental health system in our response.

## Elected members' public health network

The elected members' public health network was launched in November 2019. The network is chair by Cllr. Dickinson and aims to bring together elected members from both county and districts to review population health and wellbeing in the county, inform the work of the North Yorkshire Public Health team and to take an advocacy role within their localities and on public health issues. Topics covered to date include an overview of the health of the population in North Yorkshire, Age Friendly North Yorkshire, the North Yorkshire Healthy School Zone Programme on childhood obesity, and loneliness and isolation.

A priority for the network is to increase membership and attendance with steps being taken for development of relationships with district democratic services leads and plans for the provision of free, one-day workshops provided by The Local Government Association (LGA).

## COVID-19 response

Given the exceptional circumstances at the time of this report we now describe our work in response to the COVID-19 pandemic. This has meant we have postponed some important areas of work to prioritise our response to COVID-19. This has been necessary to release adequate capacity. This has included our DPH Annual Report for 2020 and Pharmaceutical Needs

Assessment (PNA) undertaken on behalf of the Health & Wellbeing Board.

The public health team have been heavily involved at all levels of the response to Covid-19 including input at key meetings such as Tactical and Strategic Coordination groups through the Local Resilience Forum (LRF), NHS Silver and Gold meetings for North Yorkshire and York and Humber, Coast and Vale, COVID ethics committee, NYCC COVID Gold, daily HAS resilience meetings and NY+Y data groups. There is also a public health consultant representative sitting as part of the LRF Multi-Agency Coordination Centre as their health lead on behalf of the wider health and social care system. The team also have a role in shaping the local approach to the government's outbreak management plans including the 'Test and Trace' programme.

Corporately there are seven key priority work areas identified for addressing COVID-19 and Public Health has ensured input into all of these:

- Social care/NHS – (include PPE, testing, tracing, modelling)
- Business continuity - (PH commissioned services and contracts)
- Community
- Economy
- Children
- Workforce
- Communications

## Social Care/NHS

The public health team has been working very closely with our social care colleagues and wider NHS partners as part of the COVID-19 response, particularly on care homes outbreaks. The team have provided public health advice and support throughout the process of re-shaping the local approach to outbreak management, and participate in daily care home Gold calls.

We provide public health leadership and support to several key areas of the COVID-19 response, particularly around personal protective equipment (PPE) (which includes creating guidance/flowcharts, running webinars, answering queries, taking part in the LRF PPE allocation panel), testing (input particularly around the prioritisation of testing, plus answering queries

and involvement in working groups), and data modelling (analysing data trends and interpreting and extrapolating on national pandemic models).

## Business Continuity

The public health team has been working with all the providers of our commissioned public health services to ensure services remain 'open' as far as is safe and appropriate. Colleagues have been supporting services to explore and implement innovative ways of providing services, minimising face to face interactions and moving to remote and digital offers where possible. They have also ensured patient pathways remain operational where possible, and have ensured ongoing access to important medication and other interventions is maintained, such as needle exchanges, opiate substitution therapy and smoking pharmacotherapies. In some cases national directives from the DH have dictated that certain services are paused such as the NHS Health Check Programme, long acting reversible contraception (LARC) procedures have been classified as non-urgent and also paused unless for exceptional circumstances. We have been working with our GP and Pharmacy colleagues to support the change in their provision and associated implications in the short-term, to ensure they able to fully mobilise again once appropriate. Below is an example of how one of our services – Horizons that provides drug and alcohol treatment services has responded to the challenge.

### Case study – Horizons

Horizons is still providing a service, prioritising delivery of the Single Point of Contact, Needle Exchange and provision of Naloxone, and pharmacological treatment. All 5 hubs remain open, and a triage process is in place to establish need and safety, prior to any face to face consultations. Psychosocial and recovery support is being delivered via telephone and/ or digital means. Horizons is working with partners across the system to meet needs as safely as possible – this includes but is not limited to children's safeguarding; Prisons and Probation; homeless and refuge hostels and associated co-ordination arrangements; GP's, community pharmacies, community safety hubs and our community support organisations. The most significant

change in provision is how opiate substitute treatment (OST - methadone or buprenorphine) is delivered. Horizons prescribers have clinically reviewed every client receiving OST for suitability for 7 day take home medication. Prescriptions have been pre-emptively batched to Pharmacies for a number of weeks. This step is in line with national clinical consensus and has been necessary to balance the significantly compromised resource across primary care, particularly in community pharmacy, with patient, community and population safety. There are some clinical exceptions where Horizons' clinicians have and will continue to deem this arrangement to be clinically unsafe and alternative arrangements have been agreed with primary care services in these circumstances - a drug and alcohol treatment system business continuity plan was approved by North Yorkshire County Council, Horizons, the Local Medical Committee (YorLMC), Community Pharmacy North Yorkshire and North Yorkshire CCG in March. Horizons has worked with HAS to audit all who meet clinical vulnerability threshold, and are working with Community Pharmacy North Yorkshire and our community support organisations to ensure that their needs are met.

One example of how Horizons worked in partnership with other agencies to support the needs of a client who became symptomatic whilst living in a hostel setting last month, meant that hostel staff collected and a Pharmacy stepped in to deliver medication to ensure that they remained on their prescription, and the hostel reinforced public health advice to the remainder of the residents, in conjunction with neighbourhood policing.

Horizons published an article on their COVID-response in the Selby Hub in one of the industry magazines this month – *Drink and Drug News* (pg 12/13).

## Community

The Public Health team has been supporting the Universal Plus (community) offer, which provides a telephone helpline for local residents to access social support and help with things like shopping, collecting prescriptions and dog walking.

A new food and physical activity offer has been developed as part of the Universal Plus service to

## Item 5

provide support to North Yorkshire residents around staying active and eating well (including access to food and cooking on a budget) during the COVID-19 outbreak. This offer has been developed by identifying and redeploying staff from related services / organisations who have expertise in physical activity and healthy eating / food issues. The service went live on the 4<sup>th</sup> May.

The team have also been supporting the work of North Yorkshire Sport who have been collating and disseminating packs of information and equipment to local residents to support them with staying active and looking after their mental health. The packs (for older people, teenagers and families) include a range of information including exercise equipment, suggested exercises and ways to stay active at home, art activities and things to do to promote wellbeing.

## Economy

The Public Health team have input to the refresh of the NYCC Plan for Economic Growth and development of the Local Industrial Strategy in collaboration with district councils to shape healthy places and highlight strategic priorities to ensure areas where people are living in multiple deprivation and among the most deprived 20% in the UK are not forgotten. Working closely with the North Yorkshire and York Local Enterprise Partnership (LEP) and colleagues across the districts we are working to build health into all policy by prioritising inclusive growth which supports a reduction in the 11-year difference in life expectancy across the area. In 2019, working with leads in the district councils we have participated in a successful research project with the Town and Country Planning Association and PHE and University of the West of England on *Shaping Healthy Places*, the resulting publication is due out in May/June 2020. Our work has re aligned with the current priorities of the LEP Local Industrial Strategy. As we move toward recovery we are realigning our work again to ensure it supports the priorities in the local industrial strategy. This includes:-

1. Connected communities and resilience places – reducing isolation – recovery of *town centres as social and community hubs reducing social isolation and digital isolation – active travel (DOYD project)*



2. Supporting people to reach their full potential – *With access to employment; fair wages; ability to develop skills and live in thriving communities*
3. Supporting organisations – anchor institutions - businesses - building health into all leadership - *workplace wellbeing award (NY WWA) – healthy school zone – healthy schools programme – Safer roads 95Alive*
4. Improving Sustainability / Environmental & Ecological Health – recovery and *clean growth - active travel infrastructure and support and enhanced accessibility – warm and well NY project*

## Children

During the pandemic each service delivered as part of the North Yorkshire Healthy Child Programme has been affected. Healthy Choices weight management service has been unable to take on any new referrals and delivery with the existing caseload has continued through virtual contacts. Compass REACH have also implemented alternative methods for contacting families and young people outside of home visiting and community delivery. Young people continue to be supported by telephone. Referrals are still being received and processed by the team. Harrogate District NHS Foundation Trust – Healthy Child Service 0-5 and 5-19 have closely followed national guidance from both NHS England and PHE in relation to delivery of community services. Most essential activity is being delivered by alternative methods including Telephone, WhatsApp and Social Media Platforms. All the group sessions and activities have been suspended until further notice and will come back on line as further guidance is published. Any face to face contact is taking place where it is deemed clinically appropriate e.g., failure to thrive, infant feeding assessments, low birth weight. Face to face visits are being prioritised for New birth visits and safeguarding. Vulnerable families are receiving welfare calls and safeguarding processes are in place to ensure key multiagency involvement is maintained.

Each service is now in a planning phase for when restrictions are reduced including planning for potential increase in overall demand. Each organisation has been asked to develop a recovery plan which identifies risk stratification processes

for re-introduction of face to face contact in line with social distancing guidance.

## Workforce

Maintaining and protecting the health of the workforce has been an important consideration in the management of Covid 19 and the public health team have been a core part of this. Working with Human Resources and Occupational Health the team have supported the content of the knowledge hub for the newly created ask SAL team, ensuring that messages given to staff are reliable, impartial and evidence based. We have also worked with colleagues to develop a mental health pathway / script for the askSAL team. This pathway utilises competencies obtained through making every contact county (MECC) training programmes and seeks to utilise the skills and knowledge of NYCC staff such as mental health first aiders. Another area of collaboration was the review of NYCC response to bereavement.

In line with its commitment as a Mindful Employer NYCC has had a comprehensive mental health training offer for some years now. Given the current situation, this training been re-promoted.

The public health is also part of the NYCC Behavioural Insights project team which are working with the national organisation Behavioural Insights Team (BIT) to use behavioural science methodology to improve the mental health and wellbeing of NYCC staff and encourage the take up of volunteering during the pandemic.

The team continue to work with external partners including North Yorkshire LEP, Federation of Small Businesses, Business Advice Districts, colleagues in BES and local businesses to understand the most pressing local issues affecting their workforce. Consequently, our offer to businesses is currently being reviewed to adapt to these new circumstances and the successful Workplace Wellbeing Award.

## Communications

The team have contributed to substantial communications activity. This has included both proactive and reactive work, underpinned by a framework providing governance and encouraging effective practice. Work has included input to bulletins aimed at Council Members and MPs, bulletins for schools, radio interviews and advertisements promoting our services as well as content for Press and Universal Plus packs.

The team collaborate with public health professionals across national and regional levels, as well as researchers and academics to contribute to the evidence base around effective action.

Priorities for the PH team in forthcoming months will be:

- to ensure ongoing PH leadership advice and support around the continued response to managing Covid-19 as well as support towards advising on measures to reduce harm to the public's health as lockdown measures are eased.
- To support 'recovery' particularly with a focus on mental health and wellbeing and ensuring a focus on the vulnerable groups in our communities that have been disproportionately affected by the response to COVID-19 e.g. low income families
- To ensure we continue to deliver effective and efficient public health services in line with the savings outlined in the financial plan.

# Focus on Council Ambition: 'Modern Council'



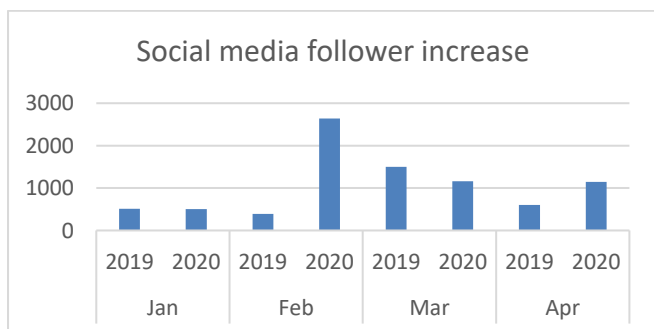
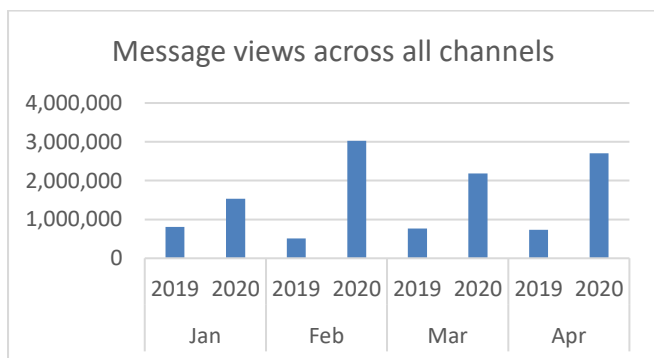
*'We are a Modern Council which puts our customers at the heart of everything we do'*

## 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

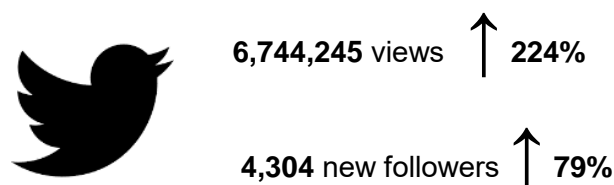
## Customers easily and effectively access the County Council services they need

Communications and marketing campaigns on social media continue to be used proactively provide customers with the information that they need, to create awareness and to influence how customers interact with the council, reducing the need to contact us. This has proved to be particularly important during the flooding in February and Covid 19.

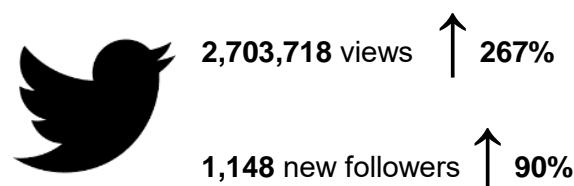


The reach via social media has grown considerably in Q3 compared to last year. The highest reach and increase in followers in the quarter was in February during the flooding incidence.

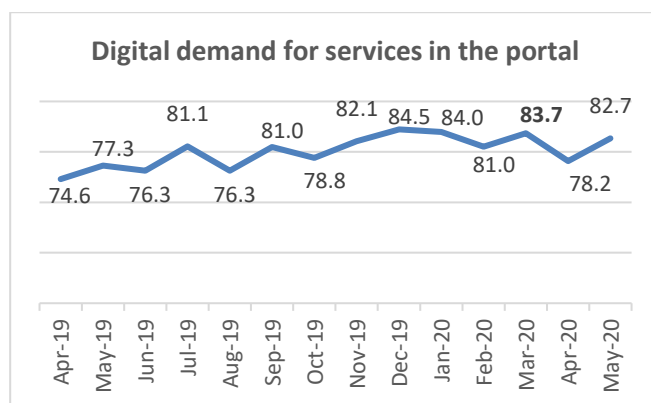
At the end of the quarter there had been



In April 2020 there were:

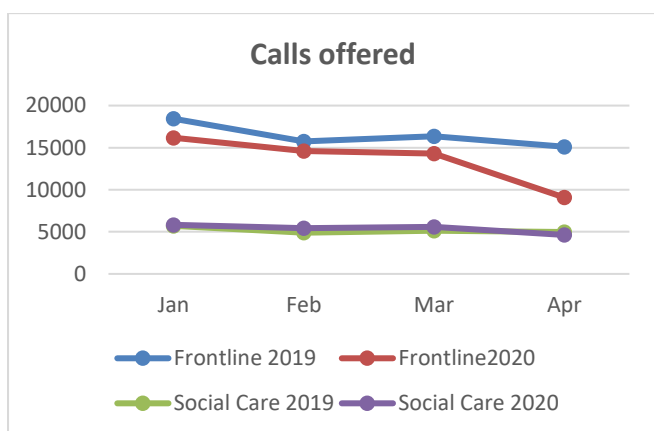


The ambition is to ensure 70% of contact with the authority by customers is via digital self-service channels. At the end of Q4 84% of all transactions, which can be carried out using the online customer portal, used this method. There was a slight fall in April to 78%, due to services not being available nationally during lockdown (Registration services), or due to a drop in demand for services (see below) like blue badges and bus passes, however the figure returned to 83% in May.



In Q3 digital take up of death registration appointments at 37% was below its target of 40%. Actions were planned to encourage customers to use the digital option. In April death registration appointments reduced to a digital take up of 20% which is due to changes in the process introduced during the pandemic and uncertainty about this critical service at this time.

The level of demand for transactions in the portal reduced considerably in April (1,840), down 51% on April 2019 (3,787). The notice of marriage and birth registration appointment services ceased, demand for death registration appointments increased and demand for all other services decreased.



The fall in demand due to the Covid-19 pandemic is reflected in the calls offered to the customer service centre with a decrease of 32% in April compared to the previous year. Most of this decrease was in frontline calls, social care calls had a smaller reduction of 7% compared to the previous year.

The customer service centre extended its opening hours after lockdown to provide a 7-day service. The top Covid related queries from people ringing the centre in April and May have been:

- Food shopping 907
- Are HWRC sites open 612
- Prescription collection 525

The customer service centre has been making outbound calls to people on the shielded list to ensure that people have the support they required. People are provided with advice and information and can be referred for support with shopping, prescription collection, telephone befriending.

## Complaints and commendations

27 stage 1 complaints were received this quarter, 10 more than quarter 3, (though there had been a dip in complaints during quarter 3). All complaints were at stage 1. (For more detail see the appendix)

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

During quarter 4 the Stronger Communities programme:

- Approved 41 new Inspire projects, including 21 groups new to the programme.
- Provided £36,785 worth of grant to support voluntary and community sector organisations to use an estimated 809 volunteers to deliver 26,091 hours of volunteering. This volunteering is worth in excess of £386k in value to these organisations.
- Benefitting an estimated 10,517 individuals

### Covid-19 response

A co-ordinated response was swiftly developed with the district councils working with 24 community support organisations across the county to manage a community response to help those isolated by the coronavirus pandemic.

The 24 community support organisations have:

Between 7<sup>th</sup> April and 1<sup>st</sup> May

- Received 2,732 referrals from the customer service centre between 7<sup>th</sup> April and 1<sup>st</sup> May

Between the last week of March and 1<sup>st</sup> May:

- Reported receiving over 21,000 contacts
- Deployed on average circa 1,500 volunteers per week
- Helped on average circa 2,400 people per week
- Delivered circa 600 prescriptions and 750 shops per week
- Received circa 200 befriending requests per week
- Processed 253 successful application for Covid 19 grants for food or energy

This does not include all the activity of the network of VCS organisations working with the CSOs who have deployed volunteers to help a

wider number of people and a variety of innovative local schemes.

The draft library strategy ‘Your library, your place’ developed with partners, staff, volunteers and other stakeholders was made available for consultation with the public in January/February. The consultation received 282 responses which illustrated a high level of agreement with the strategic direction.

During 2019/20 there was a small fall in visits and active users but issues increased as did membership levels for under 5s.

Indicator	2018/19	2019/20	
Physical visits	2,118,855	1,921,299*	↓
Virtual visits	429,691	515,985	↑
Issues incl eBooks	2,056,675	2,103,839	↑
Active users	88,089	87,724	↓
Under 5 membership (active borrowers)	4,043	5,736*	↑

• Data to the end of Feb 2020.

**Covid-19 response**

All North Yorkshire public libraries closed on 23rd March. Since then 1,618 new library members have joined and social media has grown to 14,817 followers.

There has been a channel shift to online resources. In April/May:

- 43,403 eBooks/ 7,194 e-audio items
- 60,818 newspapers, magazines and comics
- 42,248 social media engagements
- 311,118 ‘people’ reached via social media

As a team we are working on a proposal for supporting the workforces – it builds on the NY workplace wellbeing award (WWA) and aims to increase capacity so that we can support more businesses – many of whom are sharing with us their priorities once they return to “normal” – we have scoped this and suggest a revised WWA offer of support which would mean enhancing the capacity and an ‘entry level’ of support mainly around recovery and mental health and wellbeing resilience.

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

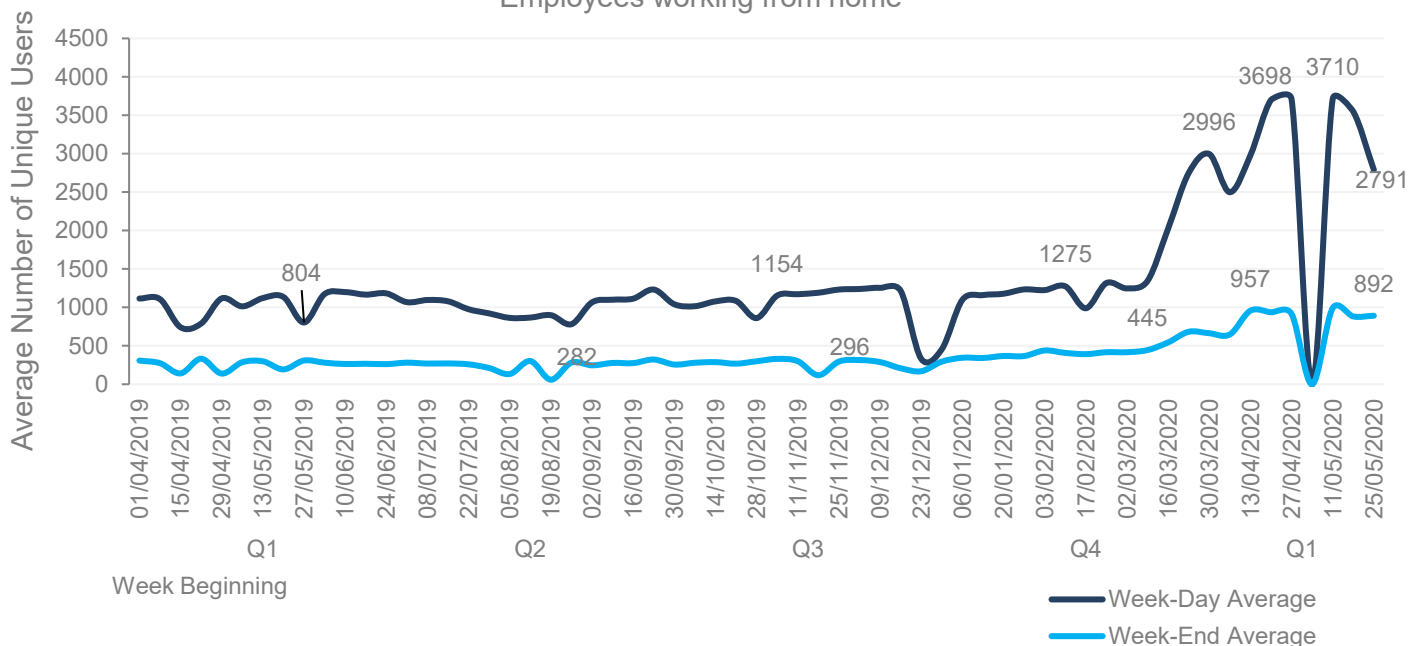
During these unprecedented times, it has been more important than ever for the Council to work in modern ways. The successful modern council programme has enabled staff to work flexibly, use our property more efficiently and encouraged a huge cultural shift across the council. This can be evidenced through a dramatic increase in the numbers of employees working from home, new ways and models of working, property reduction and progress made on reducing our corporate resources.

Technology and Change

During quarter 4, on an average weekday, 1525 employees were using their laptops and tablets to work remotely, peaking at 2996 (on avg.) for the week commencing 30<sup>th</sup> March when the lockdown in relation to COVID-19 began in the UK.

The average number of unique users on a Saturday or Sunday was 448 during the quarter (Q4), a rise compared to the average of 262 last quarter (Q3).

### Employees working from home

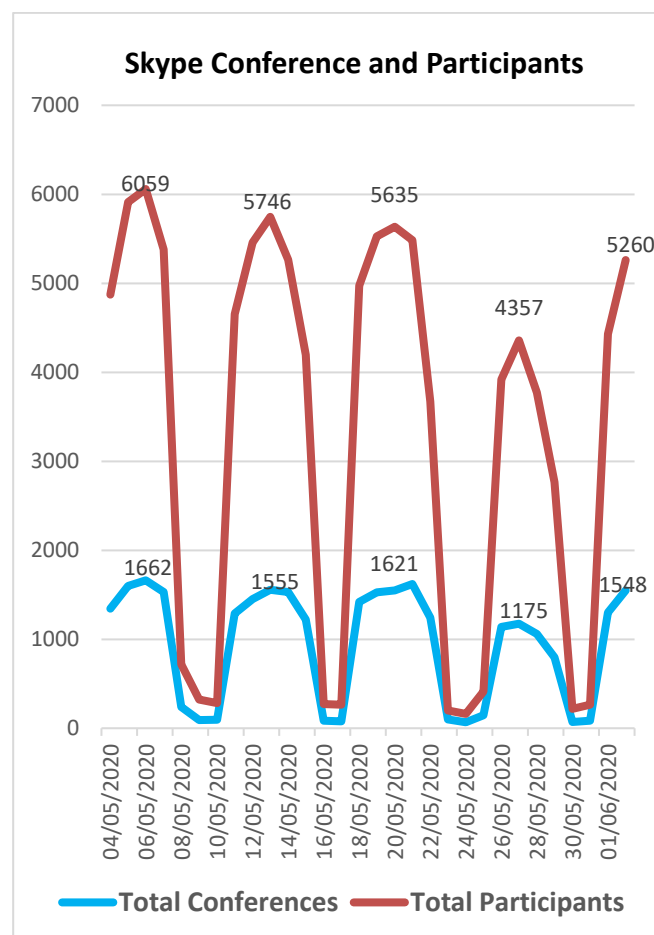


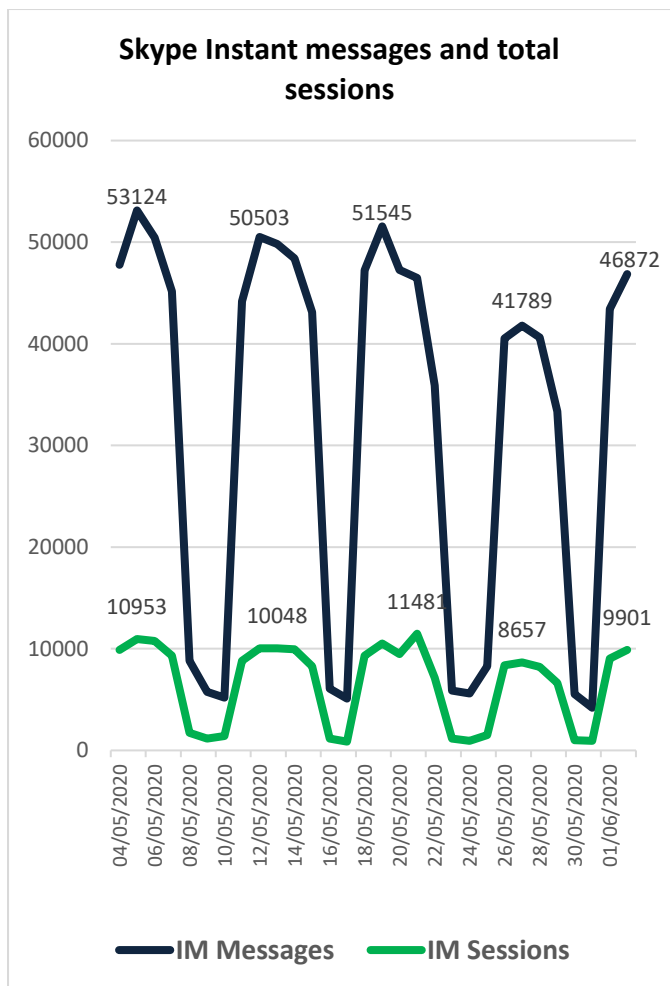
Moving into quarter 1, the number of staff working remotely peaked to become the highest recorded number of employees for a single day since a new secure remote access system was introduced in Q3 2018/19. Over the course of one day (28th April) 3080 staff logged on remotely, this is over double the previous record of 1350 on December 11<sup>th</sup> 2019.

*Please note that from the 13th April Citrix users are also included in the weekday and weekend averages. Citrix allows employees to connect to NYCC servers and work on their devices, this software provides another platform for flexible working and enables authorised partners to access our system. In addition to this It is important to note that data was unavailable for the week commencing the 4<sup>th</sup> May due to a system error.*

During the first few weeks of quarter one, on an average weekday 3400 employees were using their laptop and tablet to work remotely. Peaking at 3711 (on avg.) for the week commencing the 27<sup>th</sup> April. The average number of unique users on a Saturday or Sunday has increased dramatically to nearly 1000 compared to 448 during Q4.

As staff have been working from home on a daily basis this has meant meetings that would usually take place face to face have become virtual. Skype has enabled stand to work more efficiently through the use of virtual meetings, video conferences and audio calls.





compliance and emergency responsive maintenance services across the corporate portfolio, schools and external clients continues to be provided. Compliance testing within buildings has been brought forward and prioritised for key sites to ensure that the number of visits is minimised during the expected peak period. A programme of forward works for all sites has been issued to contractors to enable them to have a list of future work to undertake.

Four major capital programmes have stopped or not commenced, including the current work to the Brierley building in Northallerton. Delays in works will have a significant impact upon the programme that was planned for the summer.

General

Following the recent completion of a restructure of the Service the Property Service continues to make progress around its key service objectives, including the rationalisation of the property portfolio and improving the performance of the management of the property portfolio, of Hard FM (repairs and maintenance and utilities) and the delivery of capital projects and programmes.

The programme of rationalisation of the corporate portfolio has continued throughout 2019/20, with key activities this quarter including Northallerton space planning, staff engagement and construction works to the Brierley building, and works to properties in Catterick to release the lease at Swaledale House. Alongside planning future rationalisation opportunities across the service and interlinked with 2020 Modern Council. This includes the development of proposals for Ryedale and Selby.

Hard facilities management new contractors implemented with contracts commenced in February covering the infrastructure required to run properties. Communication with staff around energy usage to help promote behavioural change.

Staff are encouraged to look for opportunities to reduce the use of corporate resources in areas such as mileage and printing.

Property Services

**Covid-19 response**

There has been extensive communication with services across the Council to review their property service delivery requirements, to enable a reduced corporate portfolio being maintained from an operational point of view. This has resulted in 72 sites being closed, and additional cleaning being implemented across the core corporate sites that have remained open.



**72** sites closed within corporate property portfolio

In response to the much needed distribution of food and PPE across the County, as well as the implications of the new Health & Adult Services operating model of 8am to 8pm, there has been discussion with corporate leads to review sites across the county that are being used as distribution centres.

Work has occurred with our Hard facilities management contractors to ensure essential

Apprenticeships – COVID19 response

The DfE are encouraging apprenticeship programmes to continue and have implemented a number of measures to ensure that apprentices can continue with learning, complete the end point assessment (EPA) where possible or take a break in learning (BIL) if unable to continue.

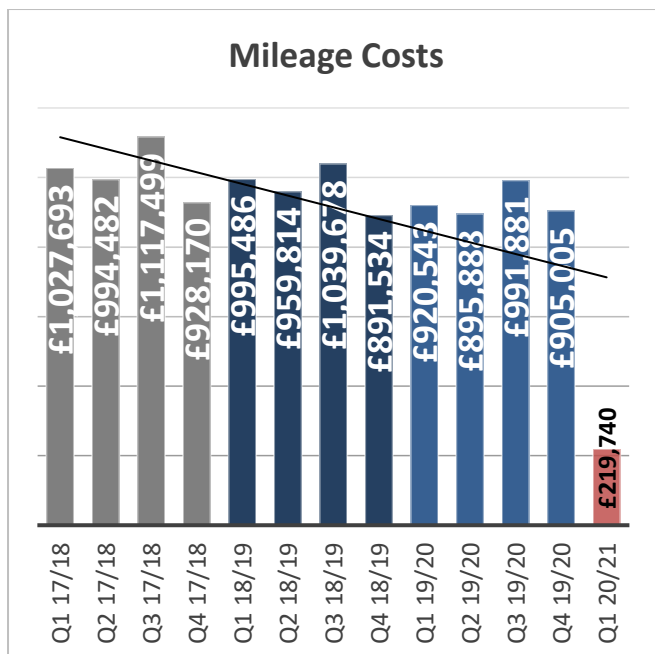
Therefore, the levy contributions from employers continue to be paid monthly and unspent funds returned to the treasury upon expiry.

The LGA are working with Local Authority Apprenticeship Teams to understand and report the impact. The LGA have lobbied the DfE in relation to requesting temporary freezes on Levy contributions and the expiry of Levy funds, and postponing the switch off of frameworks which were due to be closed to new learners from July 2020.

NYCC apprenticeships are continuing to be delivered virtually wherever possible and those unable to continue have been given BIL and will be resumed when the services are able to support the learning. This has currently affected 31 apprentices, 30 in Adult Care and 1 in Business Support. Payments from the levy for these learners will cease on the 1 April until they return from their BIL. Likewise, it is not possible to begin new starts in these areas and it is estimated that some 10 new starts are missing as a result, mainly in HAS.

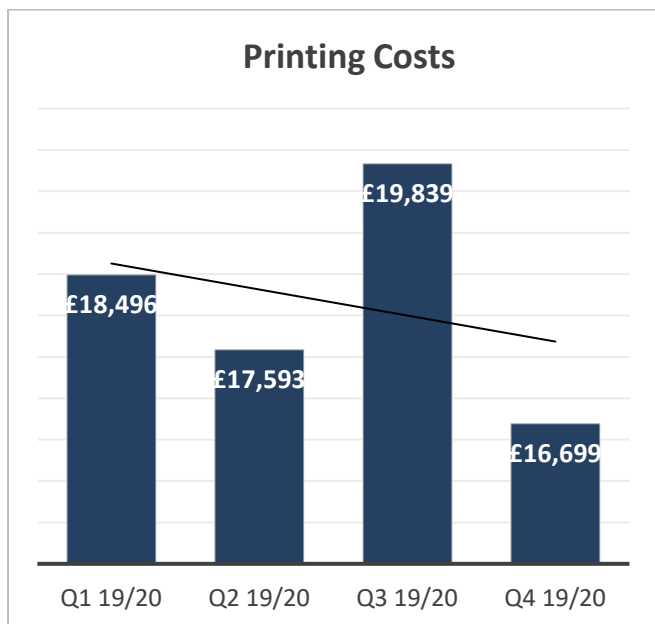
Work is ongoing with services to review the current forecast of 2020/21 and start to understand any further impact. For schools there has been reduced communications and interest since lockdown and it is envisaged some identified starts for Q1&Q2 will be delayed until Q3. Similarly levy transfers to other organisations have ceased due to the Covid situation.

The continued removal of the levy when it is not possible to spend it to the same extent seems unfair on employers, and the county council and schools are obviously not alone in this position.



There has been a reduction in costs following Q3, however as shown by the graph it is normal for Q4 to be lower in terms of costs for mileage.

The Q1 figure represents 2 out of 3 months of payments and sees a huge decrease in miles claimed. Some of these miles are additional miles due to emergency response e.g. delivering meals and medicines.



There has been a significant reduction in printing costs in Q4 due to the office closures in March.

It is estimated that in the upcoming quarter (Q1) print volume will be down by approximately 50%.



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

### Procurement and Contract Management Service

#### **Covid-19 response**

There are a range of actions that have been, and continue to be considered in responding to the impact of COVID-19. These cover both policy and operational matters. The Procurement and Contract Management Service has undertaken a review of our Forward Procurement Plans and worked with Directorates to identify those procurement projects that should continue, ones that can be paused, and ones that require us to put in place an emergency contract extension / variation due to the COVID-19 pandemic. In response to a number of significant Covid-19 related Procurement Policy Notes from the Cabinet Office, who set out how the UK implements public sector procurement regulations, the Procurement and Contract Management Service have at speed implemented the most significant procurement policy changes seen for many years.

In particular, this includes the set-up of a Supply Chain Resilience Board to cover the COVID-19 crisis period. This is a weekly virtual decision making and monitoring board, chaired by the Corporate Director Strategic Resources and attended by Assistant Chief Executive (Legal), Assistant Directors Strategic Resources, Head of Procurement and Contract Management, Procurement Governance & Development Manager, Senior Category Managers and Directorate nominated supply chain contacts. The primary focus of the Supply Chain Resilience Board is to have oversight of the application of Procurement Policy Note 02/20: Supplier relief due to COVID-19, and take a proportionate approach and triage suppliers that most need financial support or can secure and stabilise the key Council supply chains.

The Procurement and Contract Management Service are also undertaking a key role in supporting the identification and coordination of the Council's critical PPE supply, working in collaboration with the Buying Team. This work supports the efforts to equip front line Council staff with the correct PPE they need at the right

time. This also includes feeding into regional and national procurement groups and collaboration opportunities as appropriate.

#### General

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. At the end of the 19/20 financial year, through rigorous challenge of all procurement decisions, procedures and processes the service has delivered savings of £184,000, with a further £244,000 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 Q4	End of year target
% of total Council spend with local suppliers	48%	47%
% of total Council spend with SME suppliers	56%	44%
% of total Council spend with the voluntary and community sector	2.6%	8%

The service continues to receive excellent feedback, in quarter 4:

**88%** of customer satisfaction surveys were rated "fully meets expectation" or above

Legal and Democratic services

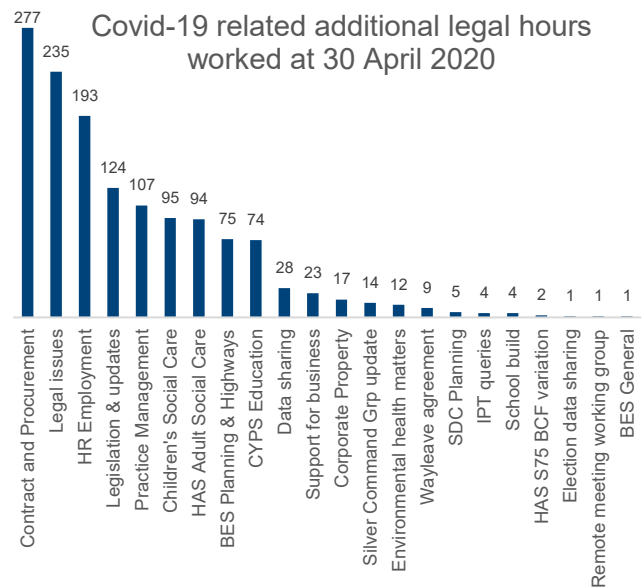
Since the Government announcement on 23 March 2020 regarding restrictions on public contact and social distancing, Legal and Democratic Services has been working with Technology and Change to roll out platforms for virtual meetings, both informal and formal. For informal meetings, Skype for business has been rolled out to all county councillors and has been used to run a series of meetings of the Council’s 6 Area Constituency Committees as well as a range of consultative meetings with members. For formal meetings, the intention is to hold the first virtual meeting of the Executive by the end of May 2020, using Microsoft Teams. The meeting will have to be held in a way which complies with recently released Government regulations. It is notable that in the space of only a month we have moved from holding meetings in person that were not recorded or streamed to holding virtual meetings with all of our county councillors and an Executive that will be both streamed and recorded.

Legal Services are also trying to maintain services in providing business as usual to clients by ensuring contracts can be sealed and completed, advising on matters requiring decisions on planning applications and enabling conclusion of right to buy and other property matters. Inevitably, the Covid-19 crisis has led to a new surge in demand for legal services work resulting from changes in legislation, new government guidance and service practice. At April 30 2020, 1,398 additional hours of legal work linked to implications of the Covid-19 emergency had been recorded across 22 areas of core Council business, covering all Council directorates, including:

- Advising and supporting HAS in relation to significant changes in the Care Act
- Ensuring vulnerable children continue to be protected by moving to online hearings for childcare matters
- Developing a new suite of template documentation to deal with new guidance on the public contract regulations and contract extensions
- Securing urgent legal agreements for property acquisitions to support the Covid response

- Providing advice in relation to school closures and complex employment issues arising in connection with furlough
- Advising the District Councils on new environmental health powers to deal with closing premises
- Advising on new methods for highway inspection, but ensuring that we remain covered by Council Insurance

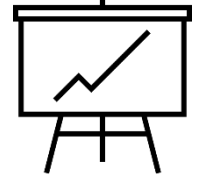
Contracts and Procurement issues accounted for the largest proportion of new legal work linked to the Covid-19 crisis, which was equivalent to 277 hours at 30 April, or approximately one-fifth of the total additional Covid-19 hours that were recorded in the second half of this Quarter. Added to this, there was a significant amount of additional legal time spent on Children’s and Adult’s Social Care issues, HR and Employment matters, Planning & Highways concerns, and children’s education issues, that were all related to the Covid-19 emergency situation.



**Future Focus**

*As part of the Covid-19 pandemic recovery planning work taking place the Stronger Communities Team are leading on a multi-agency piece of work which seeks to look at maximising potential opportunities from the pandemic-related increase in volunteering and community action, including how this can be encouraged and supported into the future. This will inform both the Stronger Communities new investment strategy: People, Places and Power and also the Beyond 2020 transformation programme: Healthy Places, Healthy People*

# Council Ambition: 'Growth'

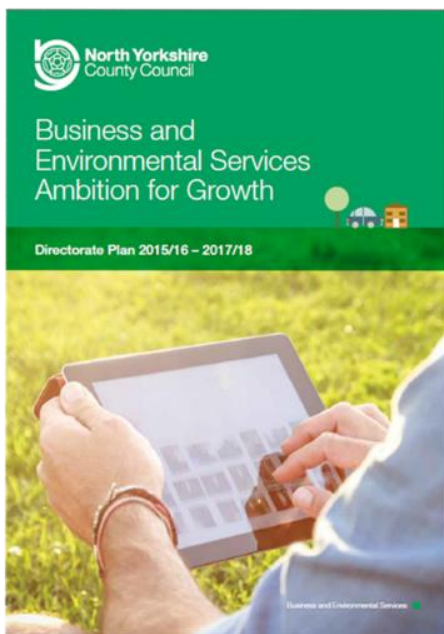


***'North Yorkshire is a place with a strong economy and a commitment to sustainable growth that enables our citizens to fulfil their ambitions and aspirations'***

## High level outcomes:

1. A larger business base and an 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

### Complaints & Commendations

In Quarter 4 there were a total of 187 complaints received in relation to Business and Environmental Services, an increase of 25 (13%) from the previous quarter. For the same period, the Directorate also received 38 compliments. (For more detail see appendix)

## High quality places and increased housing provision

The ONS housing affordability figures were updated in quarter four, however it should be noted the figures are for 2019. The data showed that housing in North Yorkshire has become more affordable since 2018 and is more affordable than the national rate, however 3 districts are less affordable (Hambleton, Harrogate and Ryedale).

## Modern integrated transport

The annual Highways Maintenance Efficiency Programme questionnaire was completed February. As with the previous three years we assessed ourselves in the highest band in all of the 22 questions ensuring that we received the highest level of funding. The risk to funding was slightly under £5m.

The tender for the provision of professional service was awarded to WSP and will begin on the 1<sup>st</sup> April 2020.

The overall value of the capital programme in 2019/20 was £53.160m

The number of people killed or seriously injured on North Yorkshire's roads in Q4 was 74, a reduction on Q4 for 2018/19. Overall for the year, the figure of 346 is the lowest for the past 7 years and shows a continuing downward trend.

### Highways Covid19 response

The message from Highways and Transportation during the Covid19 outbreak has been "business as usual" with staff keen to deliver as close to the normal service as is possible within the restrictions imposed.

Below is comparative data from the 23<sup>rd</sup> March to the 31<sup>st</sup> May showing key highways measures.

Year	2020	2019
Number of works	4,059	4,756
Value of works (£000)	1,645	1,655
Number of safety inspections	10,174	10,269
Number of streetworks inspections	6,149	7,111
Customer calls received	1,871	4,237

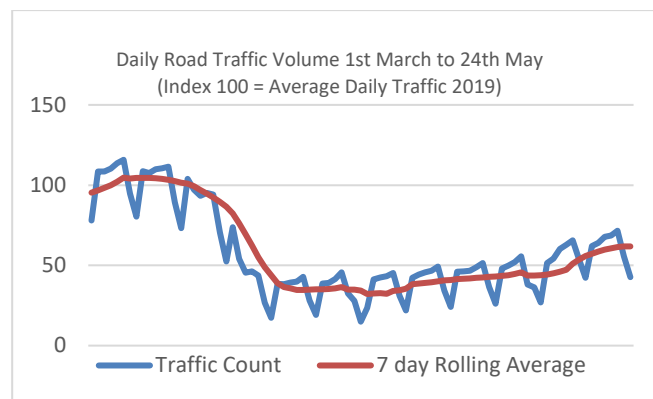
Slight drops in revenue works are as a result of the expected significant drop in customer calls with there being fewer vehicles on the roads due to lockdown restrictions.

To ensure that the service continues to carry out the regular safety inspections, a risk assessment was completed in conjunction with insurance & risk management team. This resulted in a temporary change to the Highways Safety Inspection Manual allowing for highways officers to work alone thus adhering to the social distancing guidelines.

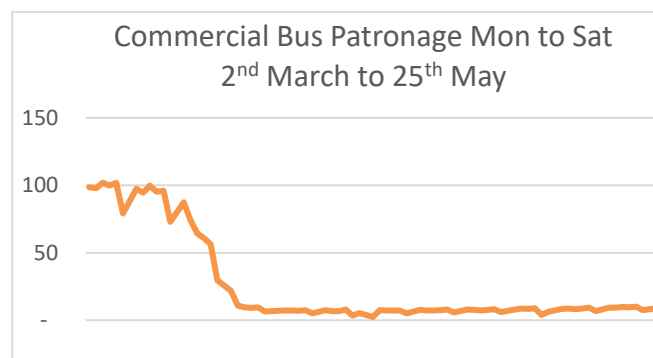
The 2020 surface dressing season is underway which will see us investing over £10m in the highway network treating in the region of three million square metres of carriageway. We have been able to achieve this by working with our maintenance partners, to develop a revised programme that will still deliver the same highway maintenance benefits whilst ensuring that we also observe social distancing guidelines.

At the end of Q4 89.9% of the public right of way (PROW) network was passable, up from 89.6% at the end of the previous quarter but since March it should be noted that there have been tensions regarding PROW and unofficial route closures as land owners have responded to the COVID-19 situation.

Highway usage, Bus patronage and Rail Patronage all reduced significantly when we entered lockdown in the latter part of March. The following charts show Highway traffic volumes and commercial bus patronage March – May.



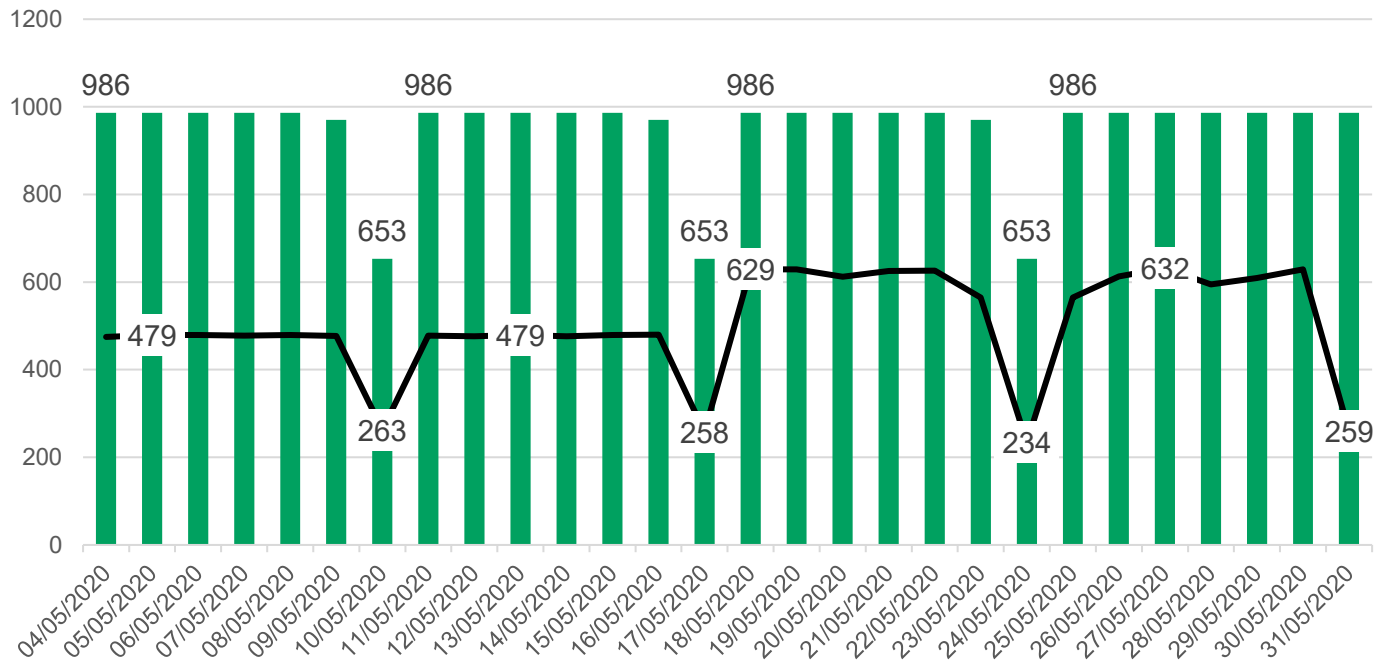
As can be seen the numbers are starting to increase with highway traffic at just over 60% of the average daily volume in 2019



For commercial bus passengers, patronage levels fell quickly from lockdown and remained at c7% for most of Paril and May, before slowly edging up to just over 10%

Since lockdown, the number of passengers travelling by rail is around 4-5% of pre-Covid levels, this is expected to increase as restrictions are eased. The issue of people travelling by rail to popular North Yorkshire seaside destinations and beauty spots has not yet been highlighted as a social distancing issue, as the providers are emphasising that they are specifically for essential travel.

Planned v Actual Train Services in North Yorkshire



Although the number of train services was reduced to 48% of planned services at the beginning of lock-down, it increased to approximately 64% in mid-May, however the number of seats available has significantly reduced, with most services only providing 20-25% of seat capacity and no standing allowed.

Although the number of services provided has reduced, overall the services being provided by the rail companies have been very reliable with punctuality / performance regularly above 90%.

The chart above shows the number of train services that were planned to run before the Covid outbreak (blue) against the number that did actually run (orange). It should be noted that although a lot fewer trains were scheduled, there are now very few cancellations

## Business growth and Investment

Matters around the local economy are dominated by the current COVID-19 situation and ensuring all businesses are aware of and claiming the financial support they may be entitled to.

Although statistics on furloughed staff are unavailable at county level, given the national breakdown<sup>1</sup> of furloughed staff per industry sector it is estimated that North Yorkshire is 1.4% higher than the national average (National 26.7% furloughed, NY 28.1% furloughed), an estimated total of 64,348 employees.

This increase to the national average is due to the higher number of jobs in the accommodation and food service sector in North Yorkshire relative to the national picture. North Yorkshire has approximately 32,000 employees in this sector and if 79.6% are furloughed (national rate) that would equate to 25,472 North Yorkshire employees in this sector alone.

The table on the right shows small business and Retail, Hospitality and Leisure Grants (RHL) paid out by Local Authorities up to and including 31st May. North Yorkshire's allocation is over 20,000 grants to a value of £242,744,000. 90% of these grants have been paid, accounting for 86% of the total funding. Within the Minerals and Waste Planning Service, as at December 2019 (latest data) 92.5% of County Matters planning applications were determined within timescale compared to a national average of 91.9% and a statutory target of 60% (amounts allocated to councils were an estimate of the funding they required).

Local Authority	Initial Allocation	Number of hereditaments that the local authority has identified may be in scope to receive a grant as at 31 May	Number of grant payments made to hereditaments as at 31 May	Value of payments (£)
Craven	26,844k	2,087	1,879	22,000k
Hambleton	30,866k	2,620	2,400	27,585k
Harrogate	50,128k	4,153	3,803	45,995k
Richmonds hire	24,068k	1,996	1,857	21,195k
Ryedale District	25,250k	1,986	1,780	20,935k
Scarborough	68,310k	5,724	4,881	55,455k
Selby	17,278k	1,527	1,424	16,310k
North Yorkshire	242,744k	20,093	18,024	209,475k

<sup>1</sup> Institute for Social and Economic Research – Exeter University May 2<sup>nd</sup>. Estimated impact on jobs by sector.

Following the Corona Virus outbreak, Trading Standards dealing with additional complaints about businesses being open when they shouldn't, as well as providing advice to businesses about when and how they can reopen. (The latter is expected to increase as restrictions are eased). They also have additional demands on their time checking the safety of PPE and attending animal markets again, whilst having difficulty progressing cases due to courts being closed. Fortunately, there is very limited door stop crime in the county, but Trading Standards are expecting a spike as restrictions are eased.

Industry	UK	North Yorkshire Estimate	
	Furloughed	Total Jobs	Estimated Furloughed
Arts Entertainment Recreation	67.5%	8,250	5,569
Human Health Social Work	11.7%	29,750	3,481
Education	3.8%	24,000	912
Administrative Support Services	28.5%	4,500	1,283
Professional Scientific Technical	10.5%	21,000	2,205
Information Communication	6.8%	6,000	408
Transportation Storage	25.9%	12,000	3,108
Accommodation Food	79.6%	32,000	25,472
Wholesale Retail Motor Vehicle Repair	20.1%	39,000	7,839
Construction	41.3%	12,000	4,956
Water Supply Sewerage	10.1%	1,250	126
Manufacturing	29%	31,000	8,990
Other		7,950	
<b>TOTAL</b>		<b>228,700</b>	<b>64,348</b>
Percentage of Workforce	26.7%		<b>28.1%</b>

## Environment, Natural Tourism and Low Carbon Economy

Initially on lockdown the household waste and recycling centres closed, as the restrictions eased they started opening again however there were operating difficulties due to the requirement to observe social distancing, and as a result queues developed outside some HWRCs. As a result, the public are being advised to use them only if absolutely necessary.

### Climate change

Work continues to progress the council's aspiration to be net carbon neutral by 2030 or as near to that date as possible, including ensuring that behaviours adopted during the coronavirus outbreak, such as home working and video conferencing, which have positive effects on the council's carbon footprint, are continued and their contribution to reduction in carbon emissions is acknowledged. Information on cost and impact of the eight areas of the draft carbon reduction plan is being collated to enable informed decision making about the next steps.

### Future Focus

#### Economic recovery post COVID-19

With social distancing measures, home to school transport buses will only be able to operate at about 25% of capacity. Limited return from 01 June should be manageable with some difficulty but will be a significant pressure on the service in September.

# Council Ambition: 'Healthy and Independent Living'



**'Every adult has a longer, healthier and independent life'**

## High level outcomes:

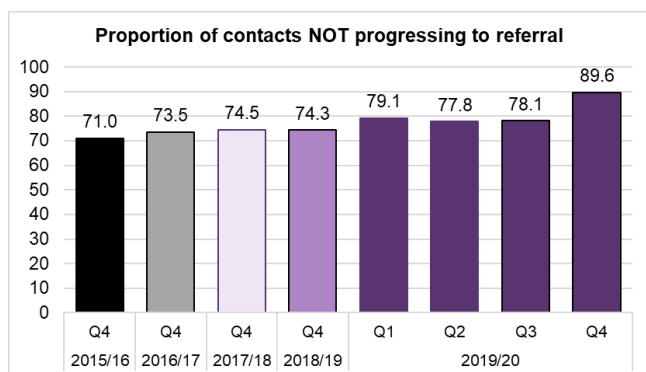
1. People have control and choice in relation to their health, independence and social care support.
2. People can access good public health services and social care across our different communities.
3. Vulnerable people are safe, with individuals, organisations and communities all playing a part in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

## Customer - Level of demand

### Referrals

Activity levels at the "front door" for social care showed minimal changes year on year in 2019/20. Contacts (76,800) were down by 0.7% (540 contacts), and referrals (17,850) were up by 1.4% (246 referrals). The scale of these changes remained consistent from the Q2 report through to the end of the year.

The proportion of contacts diverted away from traditional social care support by the "front door" arrangements increased significantly at the year-end:



This step change was driven by a number of factors:

Changes to the working arrangements of the Care & Support Team in the contact centre resulted in its referrals increasing by 22% in Q3, which continued through to the year. At the year-end the team had received 8,952 referrals an increase of over 1,600 compared with 2018/19. The key changes for the team were an increased role in triaging referrals to adult social care and in triaging safeguarding concerns, both of which

reduced the volume of new cases progressing to adult social care teams.

"Front door" referrals directly into Living Well (2,697) showed sustained, significant growth throughout the year to end up 26% higher (561 referrals) than in 2018/19.

Deprivation of Liberty safeguarding referrals (DoLS) were up 10% (300) year on year to 3,305 at the year end.

There continue to be cost pressures across the service, as is reflected in the accompanying financial monitoring report. Although referrals have increased by 1.4% compared with the previous year, the report notes the increase in personal budgets of 8% over that time. There is significant variance too in localities, with some areas of the county also seeing increases in residential provision of 4%\* since September of last year. Remedial action is taking 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 funding.

### Covid update

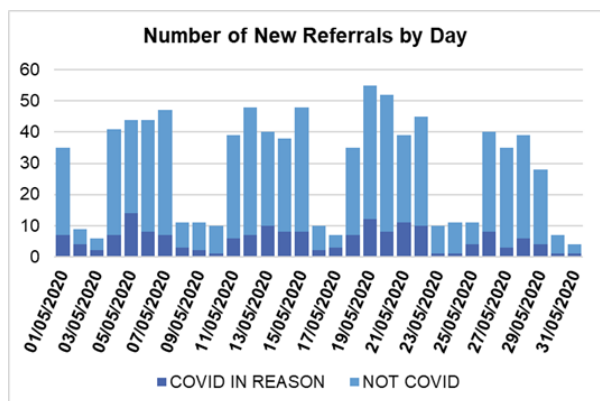
The covid outbreak has impacted significantly on demand levels, with contacts in April 2020 at 4,922, a reduction of 20% (1,225) compared with the previous year. Referrals into adult social care were down by almost a third year on year in April, at 953 compared with 1,414 in 2019.

Referrals were down to 899 in May a reduction of 6% (54 referrals) on April, which may have been



exacerbated by the bank holidays. 7-day working for frontline social care teams has been in place since the start of the outbreak, but this has not been met with a consistent pattern of referral activity from partners.

The chart below shows referral numbers by day during May, and the marked fall off at weekends and bank holidays is clearly visible. The average number of referrals received on a week day during April and May was 42; at weekends, this dropped to less than 9 per day.



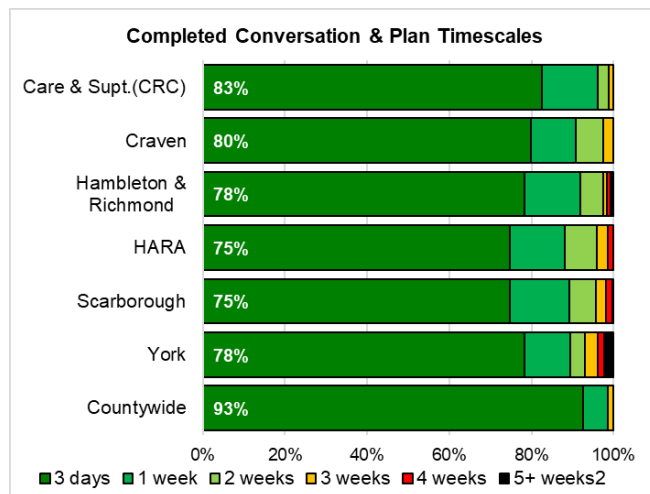
There have been early signs of some business as usual activity starting to show small increases, eg contact activity for existing social care cases was 7% up on April, which equates to about 1 extra contact per day. This activity relates to the ongoing management of existing cases, where people are already in receipt of care and support from the authority.

**Assessments**

Assessment activity has been running at higher levels than normal since 1<sup>st</sup> April when the new social care operating model was introduced in response to the covid outbreak.

During 2019/20, initial assessment activity on new cases averaged 7 assessments per day. In April, this increased to 9 per day and in May to 11 per day. This equates to an additional 180 assessments being completed in the first months of the year, which is a 43% increase.

As part of the wider assessment and care planning activity across the directorate, 1,436 of the new combined assessment and plan documents had been completed between 1<sup>st</sup> April and 24<sup>th</sup> May.



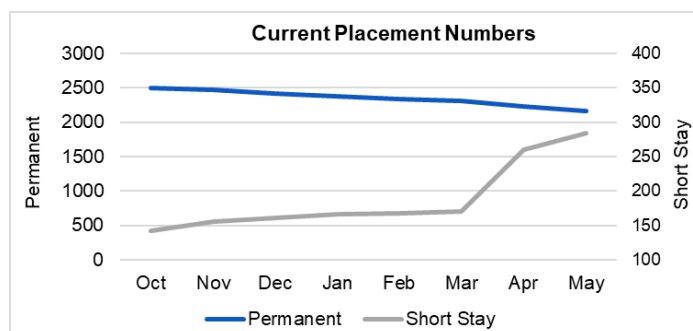
Across the county, 78% of these documents had been completed within three days, and over 90% within one week. In all covid response areas at least 75% of the documents were completed within 3 days.

The business as usual target for assessment completion is 28 days. Across the county, over 98% of the documents were completed within that timescale, with all response areas achieving levels above 96%.

**Placements**

**Covid update**

Permanent residential and nursing placements continue to show a steady downward trend, which has continued during the covid outbreak. As at the end of May, there were 2,157 permanent placements, which is 6% (77) lower than at the end of March.



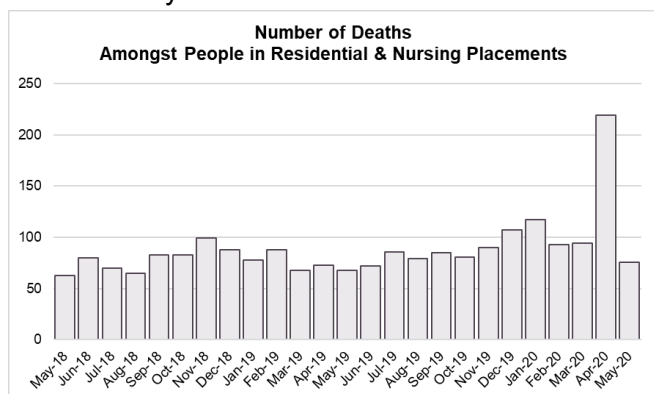
As part of the covid response, additional capacity for short term placements was procured to ensure local health and care systems had the range of provision available to enable them to respond quickly and appropriately to the needs of people leaving hospital. The chart above shows the anticipated and significant rise in the use of short term placements during the outbreak. As at the end of May there were 278 people in short term

placements, which is 108 more people than at the end of March, a rise of 64%.

Current placements are monitored regularly to ensure people do not remain in short term bed placements longer than their needs dictate. At the end of May, 65 people (37%) had exceeded the 6-week period that defines a short term placement.

The impact of the covid outbreak is, perhaps, evidenced most starkly in the number of recorded deaths amongst people the authority had placed in long term residential and nursing care placements.

The data covers all causes of death for people in permanent placements and cannot distinguish between those who died in hospital and those who died in their care setting. In line with the ONS' approach to the weekly reporting of deaths by including the context of the underlying historical trend, the chart below provides a clear indication of the scale of the change that occurred in April within the context of recorded deaths over the last two years.



219 deaths amongst people in residential and nursing placements were recorded in April 2020. This covers both in-house and external provision. It is exactly three times the number of deaths recorded in April 2019 (73) and represents an increase of 152% (132 people) on the average number of deaths per month during 2019/20.

Across the authority's in-house residential provision, 15 deaths were recorded in April 2020, which compares with a monthly average of 10 deaths during 2019/20.

Amongst people receiving domiciliary care, 89 deaths were recorded in April 2020, which compares with a monthly average of 66 deaths during 2019/20 – an increase of 35% (23 people).

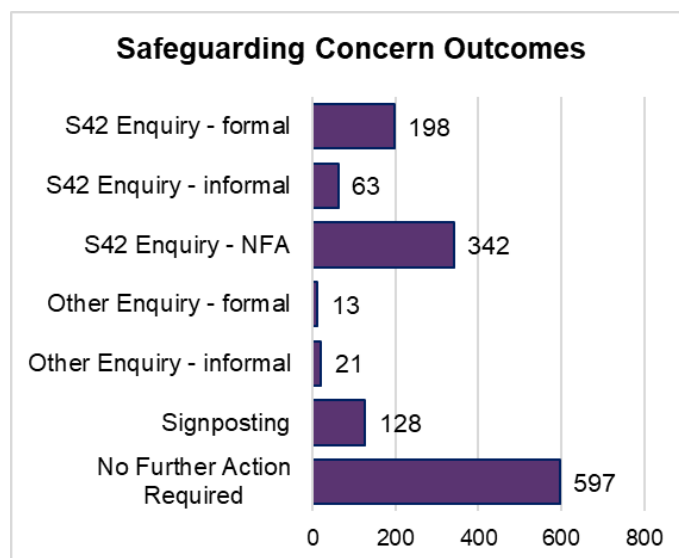
### Complaints and commendations

We have received 119 complaints during Q4, 86 were full complaints and 33 were complaint reviews. (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

4,503 safeguarding concerns were received during 2019/20, which is an 18% (1,011) reduction on 2018/19. 791 people had a repeat concern over the year, down 24% (250) on 2018/19.

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. The new approach has had a positive impact, with a significant proportion of cases reaching an early conclusion in terms of no further action (NFA) being required:



The new approach also delivered good results against safeguarding timescale targets between October and March:

- The average time taken between receiving a safeguarding concerns and making a decision on its outcome following Information Gathering was 13 days, against a target timescale of 15 days.

This is based on 1,359 completed Information Gatherings since 1st October.

- The average length of time for the completion of a Section 42 Enquiry was 4 weeks, against a target timescale of 12 weeks.

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.

1,603 people were involved in an enquiry in 2019/20. 81% of them (1,298) were asked if they wished to express a desired outcome. Whilst this is broadly in line with the 83% coverage achieved in 2018/19, it represents a 50% increase (434) in the number of people asked to express an outcome.

72% (1,147) of those asked in 2019/20 went on to express and outcome, compared with 75% (789) in 2018/19.

At the end of the enquiry process, 68% (780) of these people felt that their outcome had been fully achieved, with a further 29% (334) feeling it had been partially achieved. This is slightly higher than the 65% (514) of people who felt their objective was fully met in 2018/19.

Where anyone expresses a negative response in terms of the expressed outcome (32 people in 2019/20), the Safeguarding Team reviews a sample of these cases to identify areas for improvement or further investigation as appropriate.

**Covid update**

Safeguarding activity in April 2020 showed a marked reduction with 234 concerns received during the month. This compares with an average of 284 concerns received per month for the last 3 months of 2019/20, which equates to a 19% reduction (46 concerns) in April. Activity levels increased during May with an average of 72 concerns being received each week, compared with 56 per week in April. Weekly reporting is in place to monitor the level of safeguarding activity during the covid outbreak.

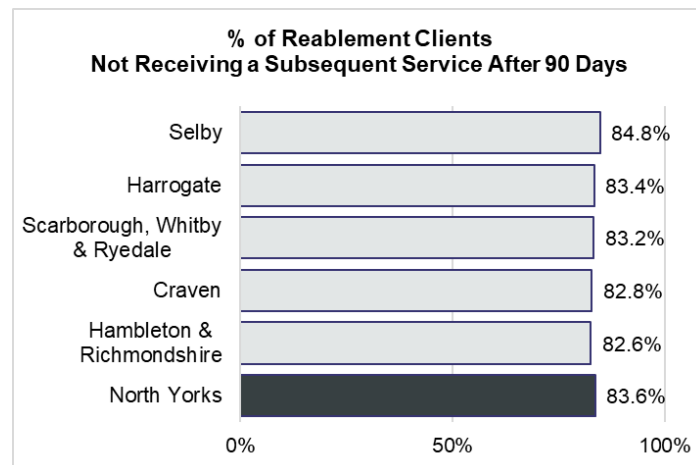
**People have control and choice in relation to their health, independence and social care support**

Reablement

2,385 completed reablement services were recorded in 2019/20, which is marginally lower than the 2,389 reported for the same period in 2018/19. The average size of a support package reduced slightly between quarters, down from 9.3 to 9.2 hours per week, which compares with 10.1 hours for the same point in 2018/19. The average duration of an intervention increased slightly 4.1 to 4.2 weeks, again well below 4.6 weeks reported in 2018/19.

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.

The proportion of these people who had not subsequently returned for social care support by the end of Q4 was 83.6% (1,512) which is broadly in line with the 83.4% achieved for the whole of 2018/19.



87.6% of people supported of people supported had no on-going social care needs after their reablement intervention, which compares with 86.5% reported at the end of Q3.

Reablement activity in April 2020 was down 39% year on year, with 141 involvements completed during the month compared with 193 in April 2019. The average size of an intervention (weeks x hours) increased to 41.2 hours compared with the 38.4 hours for 2019/20 as a whole.

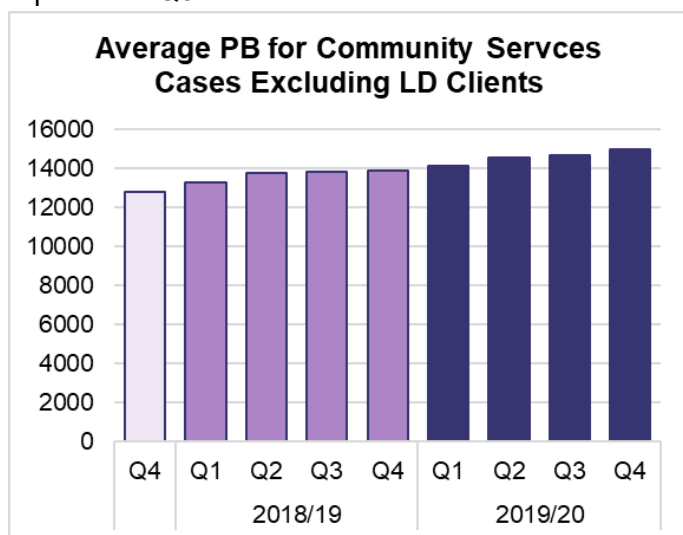
### Personal Budgets (PB)

The use of PBs budgets aims to enable people getting support from social care to have more choice and control over the services they receive.

The number of people with a PB, including people with learning disabilities were up by 4% (145 people) to 3,853 in the 12 months to March 2020.

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

The average PB for open cases in this category increased by £0.3K to just below £15.0K between Q3 and Q4. This represents an 8.1% increase year on year, compared with the 5.4% increase reported in Q3.



In Harrogate, the average PB was £16.8K in Q4, mirroring the local cost pressures of care home places. However, 60% of PBs in Harrogate remained below the county average of £15K.

The strength-based reassessment focus introduced by mental health teams from September produced a year on year reduction of 13% in the average PB (£1.4K) by the year end.

#### Covid update

As at the end of May, the average PB for non-LD service users had increased to £15.4K, an increase of 2.7% since the end of March, which is indicative of the application of the annual inflationary uplift that is usually applied at this time of year. The number of current PB cases had increased by 22 to 3,875, an increase of 0.6%.

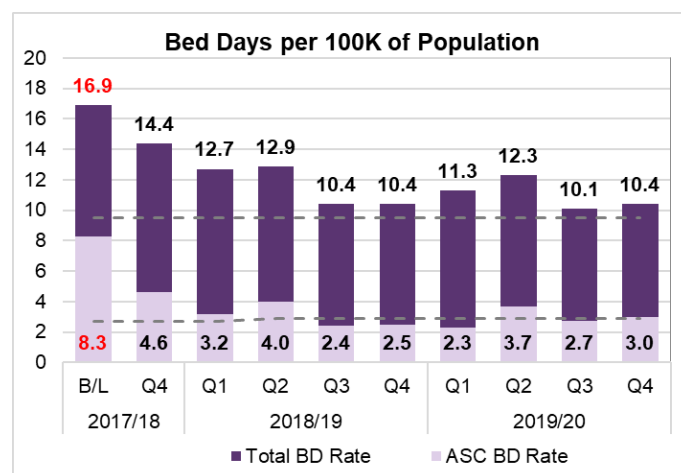
## People can access good public health services and social care across our different communities

### Integration – Delayed transfers of Care

The most recently published data (Feb 2020) shows North Yorkshire had reduced the level of delayed transfers of care attributable to social care to a point just above the challenging target set by the government for reducing.

We have sustained very low levels of days, achieving performance levels better than the target in four of the last six quarters and came within 0.1 of meeting a very challenging target again in the most recently published data.

In February, adult social care related delays amounted to 438 days in the month, which is represented by the 3.0 bed bays per 100,000 of population for Q4 in the chart below. This represents a 63% reduction (761 days) against the baseline (B/L) figure in the chart – the target reduction is 65% to 2.9 bed bays per 100,000 of population.



In terms of delayed days, the target seeks a reduction from approximately 1,200 days in the month down to 430 days. Consequently, February's performance fell just short of the target level.

#### Covid update

The national delayed transfers of care (DTC) submission site has not collected monthly submission files from hospital trusts since February 2020. This reflects the new transfer of care arrangements put in place as part of the covid response, which have reshaped the working arrangements between hospitals and local authorities to facilitate the speedy and safe

discharge of people from hospital during the covid outbreak.

## Future Focus

### Outbreak Management Plan

Work is progressing to develop an overall approach for the management of covid-19 outbreaks, that will include a test and trace service.

Whilst the core contact tracing elements will be managed by the regional and local teams of NHS Test and Trace, there is a significant role for local authorities and partners to support the overall programme.

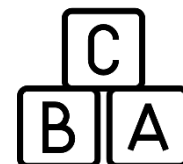
Public health (Upper Tier) local authorities are required to produce a COVID-19 Outbreak Control Plan by the end of June, based on 7 core themes:

- Planning for local outbreaks in care homes and schools;
- Planning for local outbreaks in other high risk places;
- Identifying methods for local testing to ensure a swift response, accessible to the entire population;
- Assessing local and regional contact tracing and infection control capability in complex settings;
- Integrating national and local data and scenario planning through the Joint Biosecurity Centre Playbook;
- Supporting vulnerable local people to get help to self-isolate; and,
- Establishing governance structures.

The local response is being led by the Director of Public Health, supported by named officers for each theme to lead scoping discussions and the development of action plans. Key points of progress include:

- Work has started to map high risk settings and to consider how they can be proactively engaged in prevention planning;
- A multi-agency meeting has been held to share thoughts and discuss development work with relevant partners; and,
- A date has been set for an initial meeting of a Members' Board.

# 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

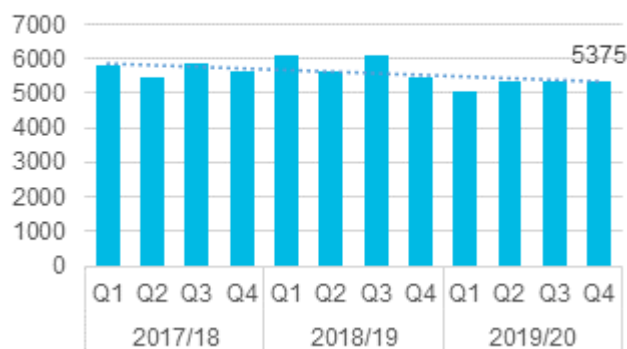
## Customer - Level of demand

### Children & Families

Demand at the 'front door' into the Multi-Agency Screening Team (MAST) has remained very stable for the last three Quarters with remarkably similar numbers of contacts. This pattern is unusual with previous years seeing seasonal fluctuations such as a significant increase in the number of contacts in Q3 (associated with the start of the new academic year), followed by a reduction in Q4.

However, the quarterly average of 5,286 contacts per quarter in 2019/20 broadly represents a return to the levels of demand typically seen prior to 2017/18.

MAST: Quarterly Contacts

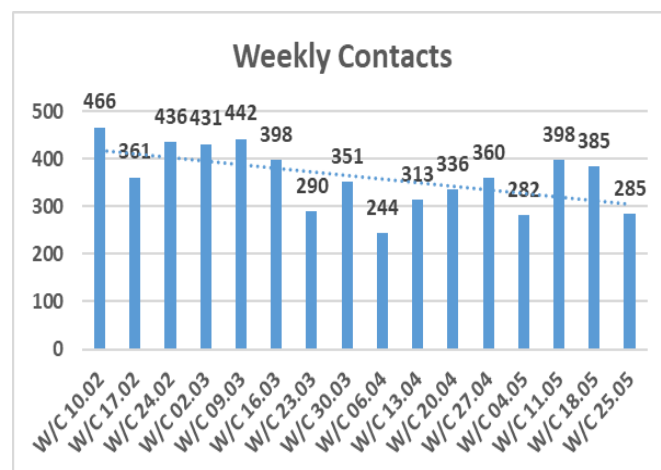


**Chart:** Contacts received by MAST – quarterly comparison.

### Post Covid-19

The chart below shows the number of weekly contacts received by the MAST in the 6 weeks prior to and the 10 weeks post Covid-19. The average number of contacts per week has fallen from 422 in the 6 weeks leading up to lockdown

to 324 per week in the 10-week post-lockdown period. This represents a 23% decrease in the average number of contacts received each week.



**Chart:** Contacts received by MAST – weekly comparison.

The primary reason for the reduction in contacts to MAST post Covid-19 relates to the general closedown of schools during lockdown. In the 6-week period prior to the lockdown, schools were responsible for 499 (20%) of the contacts, whereas in the subsequent 10-week period that dropped to 271 (8%). The concern is clearly that issues regarding vulnerability and risk previously being picked up and referred by schools may not be being identified which may lead to new cases being more complex.

The number and outcome of contacts from schools will be closely monitored in coming weeks as schools slowly reopen to more pupils.

### Children's Social Care

Quarter 4 saw an increase in referrals to Children's Social Care to 941. This is 14.8% (n=121) higher compared with Q2. However, the total number of

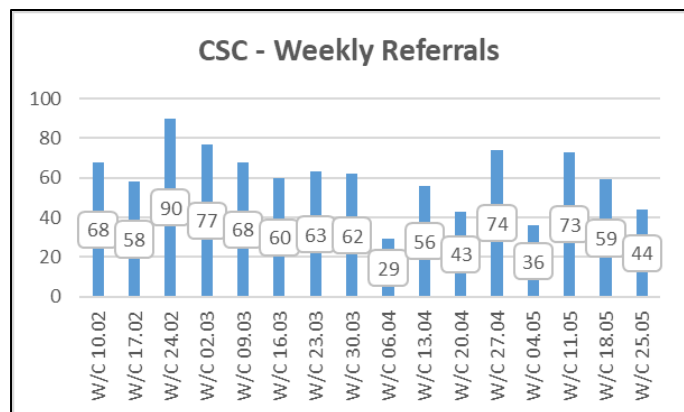
referrals in 2019/20 was 9% (n=368) lower than seen in 2018/19.



**Chart:** Referrals received by CSC – quarterly comparison.

**Post Covid-19**

The chart below shows the number of weekly referrals received by Children’s Social Care in the 6 weeks prior to and the 10 weeks post Covid-19. A 22% reduction in the number of referrals can be observed in the first 6 weeks of lockdown, whilst the average number of referrals per week has fallen from 70 in the 6 week’s pre-lockdown to 54 per week post-lockdown.

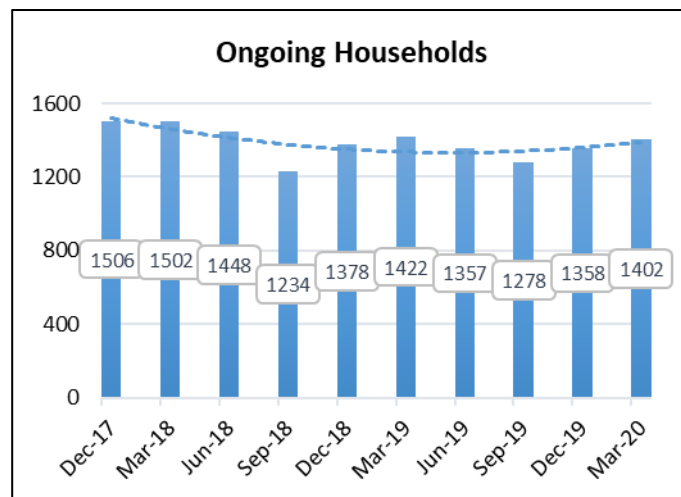


**Chart:** Referrals received by CSC – weekly comparison.

**Early Help**

The number of open cases (Households) increased again in Q4, to 1,402. There were five successive monthly increases in the number of cases (Oct 19-Feb 20). This has led to a position at the end of March 2020 where the number of cases was only 1.4% fewer than the number 12 months previously.

**Item 5**

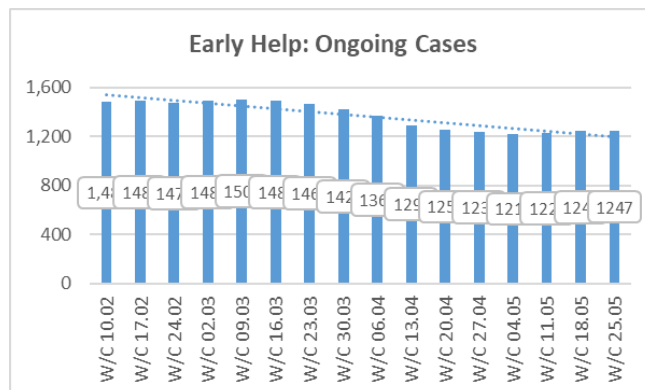


**Chart:** Ongoing Early Help cases (Households) – quarterly comparison.

**Post Covid-19**

As illustrated in the chart below, between 23<sup>rd</sup> March and 27<sup>th</sup> April the number of ongoing Early Help cases have decreased by 15.5%, from 1,467 to 1,239. This decrease is primarily as a result of a significant drop (51%) in the number of requests for service received; down from 521 in the 6-week period up to 22<sup>nd</sup> March 2020 to 256 in the 6-week period from 23<sup>rd</sup> March.

Open cases have picked up very slightly through May, from 1219 at the end of the week commencing 27 April to 1247 at the end of May. Schools are generally the largest source of requests for service into the Early Help Service. In the 6 weeks prior to 23<sup>rd</sup> March, 32.4% (169) of requests for service came from schools compared with 9.8% (25) in the 6-week period from 23<sup>rd</sup> March. This equates to 24 fewer requests for service each week from schools relating to households. Over the lockdown period (23 March to 31 May) when only children of key workers and vulnerable pupils were in school a total of 53 request for service were received. This compares with 232 requests for service from schools in the same period last year.



**Chart:** Ongoing Early Help cases (Households) – weekly comparison

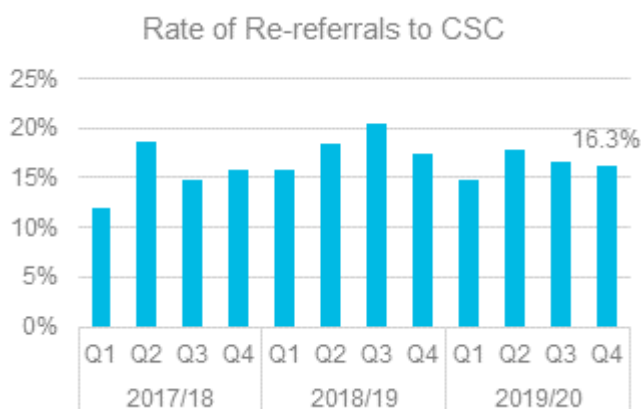
Complaints and commendations

73 complaints were received in Quarter 4, an increase on Q3 (n=9). Two Corporate complaints have escalated to Stage 2. There were no statutory complaints considered at Stage 2. One request for a Stage 3 Panel Hearing was received under the Statutory process. This is currently on hold, with the complainant’s agreement, due to the current situation. (for more detail see appendix)

**A healthy start to life with safe and healthy lifestyles**

In Q4 performance across a range of measures relating to Children’s Social Care remained strong.

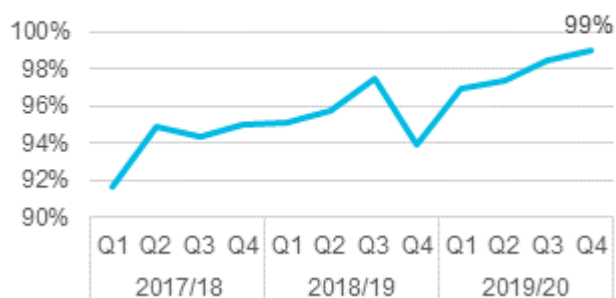
Despite the increase in the number of referrals in Q4, the re-referral rate remained very good with the Q4 rate matching that of the full year, at 16.3%. This rate is better than the rate of 17.8% seen in 2018/19 and much better than that reported nationally or across statistical neighbours at 22.6% and 20.0% respectively (2018/19 most recent data available).



**Chart:** Rate of re-referral to Children’s Social Care – quarterly comparison.

Teams continue to deliver outstanding performance in terms of completion of children & family assessments within the statutory timescale, 99.1% of assessments in Q4 completed within the specified 45 days. This compares with 83% nationally and 86% across statistical neighbours.

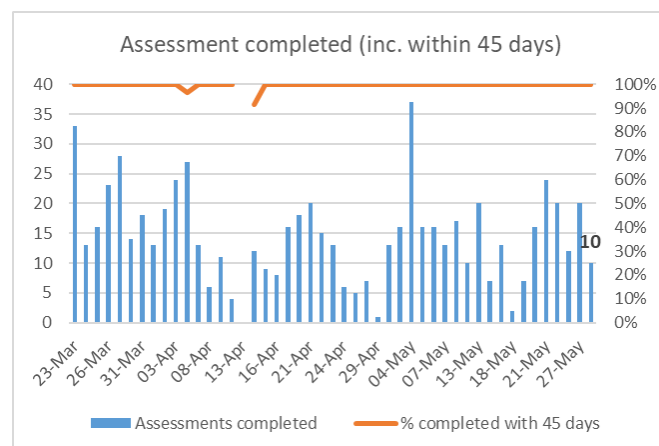
**% Assessments Completed in 45 Working Days**



**Chart:** % of C&F Assessments completed in 45 working days – quarterly comparison

**Post Covid-19**

The timeliness of assessments has remained very strong since 23<sup>rd</sup> March. 100% of assessments have been completed within 45 working days other than on 2 occasions when one assessment overran by one day.

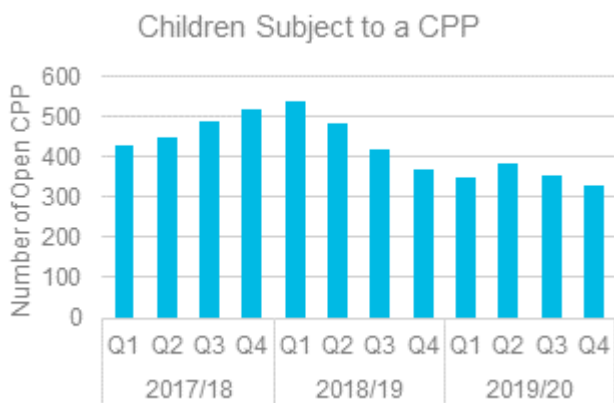


**Chart:** Number & % of C&F Assessments completed within 45 working days – daily figures

The number of children subject to a Child Protection Plan (CPP) has continued to reduce over the course of Quarter 4, falling by a further 7% this quarter to 327 (27 fewer than at the end of Q3). The number has now decreased in 6 out of the last 7 quarters and is back close to the level last seen in June 2016.



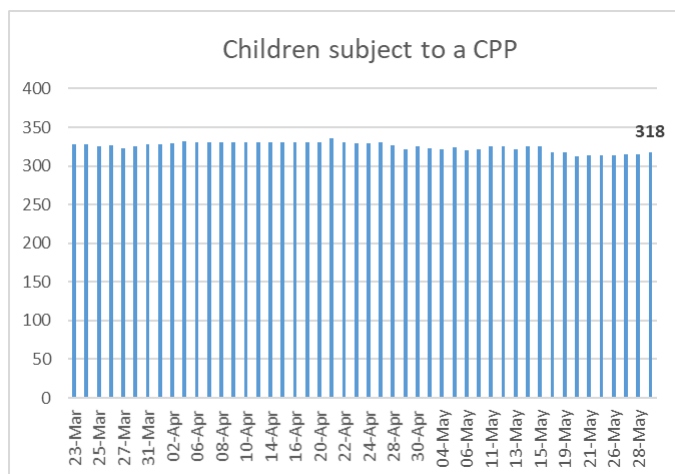
### Item 5



**Chart:** Number of children subject to a Child Protection Plan – quarterly comparison

#### Post Covid-19

Since 23<sup>rd</sup> March, there has been little change in the number of children subject to a CPP. The number at the start of lockdown was 328 and this had reduced to 318 (-3%) at the end of May.

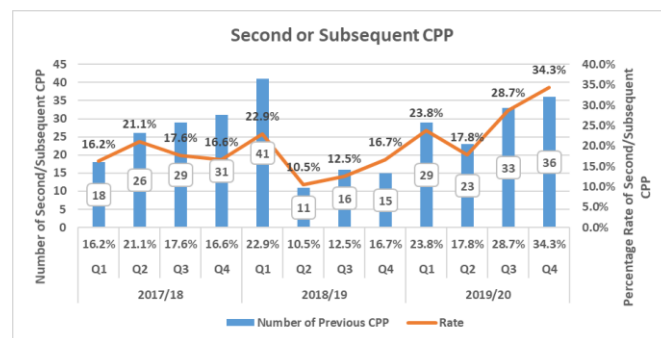


**Chart:** Number of children subject to a Child Protection Plan – daily figures

We have seen a steady increase in the rate of second or subsequent CPP over the last 6 quarters, albeit from a very low base (10.5% (n=8) in Q2 2018/19). We have seen an increase in both the rate and number of second or subsequent CPP to a peak of 34.3% (36 repeat CPP) in Q4 2019/20. This contrasts with rates of 20.8% nationally and 24.8% across statistical neighbours in 2018/19.

It’s important to view the rate in the context of a general reduction in the number of new CPP. For example, across 2019/20 there were 468 new CPP which was 33 fewer new CPP than in 2018/19. Had we seen the same number of new

CPP in 2019/20 as in 2018/19, the rate of second or subsequent CPP for 2019/20 would have fallen to 23.7% (almost 2% lower than the rate of 25.4% reported for 2019/20). The impact of sibling groups on the rate must also be considered – a family with 4 children approaching crisis for a second time may necessitate all 4 children to go back on a CPP, which can adversely impact the percentage rate.



**Chart:** Number of children subject to a Child Protection Plan – quarterly comparison

#### Post Covid-19

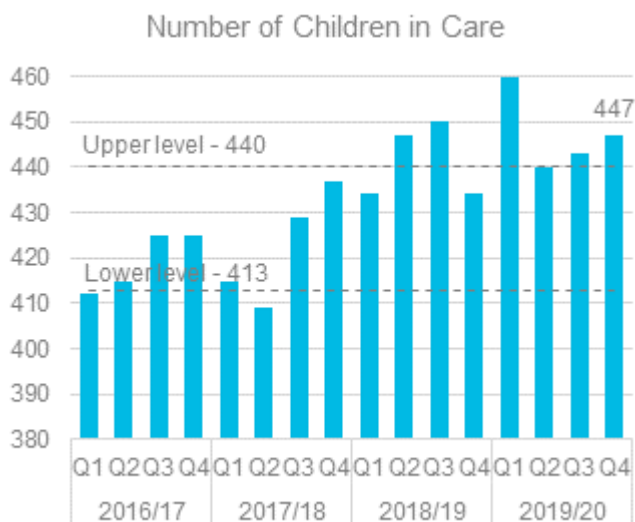
In the first 2 months of 2020/21 we have seen the rate of second or subsequent CPP fall to 26%, with 13 second or subsequent plans out of a total of 50 new CPP in this period.

Quarter 4 has seen a further rise in the number of children in care, up to 447 from 443 at the end of Quarter 3. During 2019/20 there have been 152 admissions to care compared with 139 discharges.

Whilst our numbers are relatively high compared with the position typically seen in North Yorkshire during 2016 and 2017, our rate of 38.1 per 10,000 children remains very low compared with the latest rates available for our statistical neighbours (61.6), region (74.0) and national (65.0).

### Item 5

domestic abuse (referral code N1a), of which 24 were re-referrals (17%). 26% of all referrals in this period were related to domestic abuse. In contrast, in the 69 days preceding lockdown (13<sup>th</sup> January to 22<sup>nd</sup> March) there were 82 referrals related to domestic abuse, equivalent to 15% of all referrals in that period. The data indicates a 73% increase in the number of referrals to CSC relating to domestic abuse in the 69 days of lockdown. This has been flagged with the Head of Safeguarding, who is working closely with North Yorkshire Police and Safer Communities on this issue.

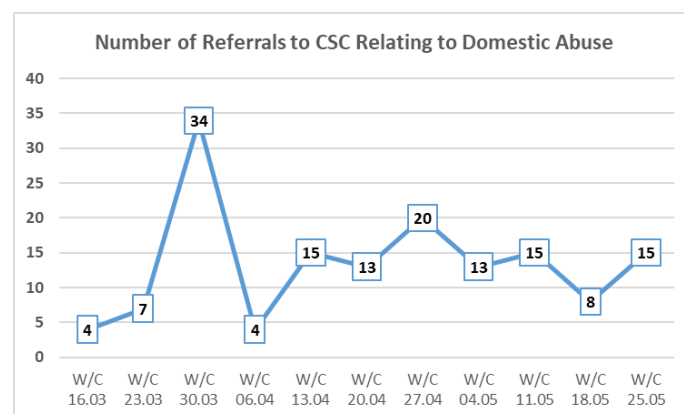


**Chart:** Number of Children in Care - quarterly comparison

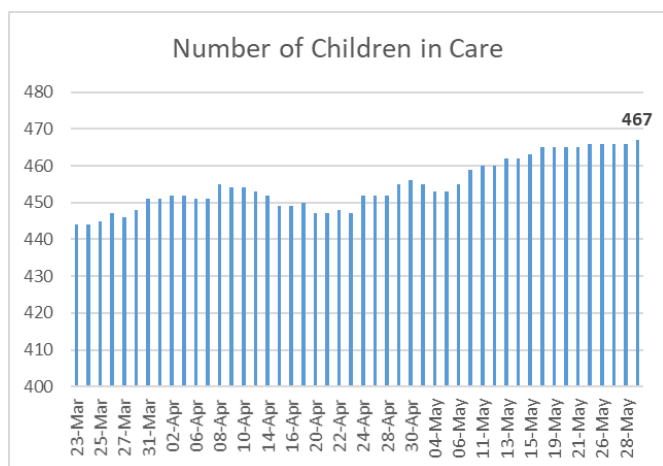
#### Post Covid-19

The number of children in care has increased since 23<sup>rd</sup> March with the number increasing from 444 to 467 (+5%) on 31<sup>st</sup> May. Between 23<sup>rd</sup> March and 31<sup>st</sup> May there have been more than twice as many admissions (43) as opposed to discharges (16).

This increase is largely due to the impact of Covid 19, lock down has meant family networks who would ordinarily support the child have been unable to do so, resulting in child being brought into care. This has been discussed with the Chief Social Worker with a view to producing Govt. guidance on this issue for practitioners.



**Chart:** Number of Domestic Abuse referrals to Children’s Social Care – weekly figure



**Chart:** Number of Children in Care - quarterly figures

Concern was expressed when the lockdown was announced regarding a potential increase in incidents of domestic abuse.

In the 69 days of lockdown (23<sup>rd</sup> March to 31<sup>st</sup> May) there have been 142 referrals related to

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

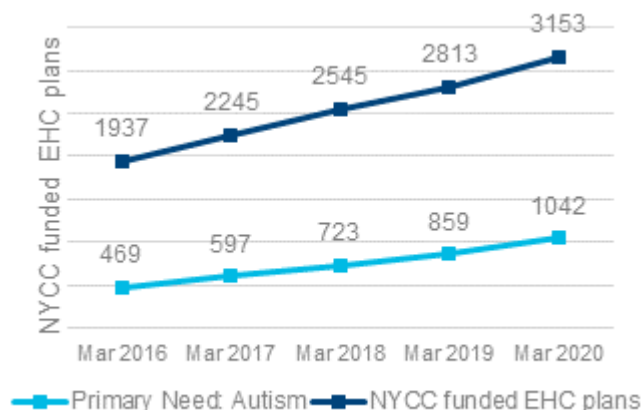
#### SEN population

There were a total of 3153 North Yorkshire funded EHC plans at the end of Q4 2019/20 a 12% increase on the same point last year (2813). 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. EHC plans have continued to be finalised since lockdown and as of the end of April there were a total of 3182 EHC plans funded by North Yorkshire.

As is the case nationally, the most prevalent need of children receiving an EHC plan are those with Autistic Spectrum Disorder (ASD), currently making up 33% (1042) of the total number of

## Item 5

North Yorkshire EHC plans. This has been addressed as part of the recently developed Strategic Plan for SEND (Special Educational Needs and Disabilities) which will implement a targeted provision model for this need and other specific special needs across North Yorkshire with a focus on a high level of support for children in a mainstream setting.



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

The total number of new EHC plans issued in Q4 of 2019/20 financial year was 119, there were 64 new EHC plans issued in Q4 of 2018/19. This rise has contributed to a 26% increase in new EHC plans issued in 2019/20 (489) compared to 2018/19 (388).

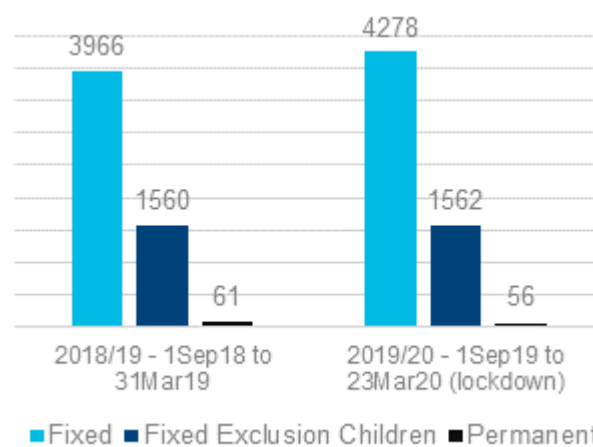
There has been a significant drop in the rate of new EHC plans produced within 20 weeks in Q4 of 2020 when compared to previous quarters, down from 96.9% of new EHC plans being issued within 20 weeks in Q4 of 2018/19 to 60.5% in Q4 of 2019/20. This rate is now only slightly above the National rate of 58%, although there has been an increase in the number of new EHC plans being issued, 64 in Q4 of 2018/19 and 119 in Q4 of 2019/20. There has been a major restructure within the Inclusion Service recently and this is likely to have had an impact on this indicator. As the new structure becomes more bedded in, this indicator will be monitored for an improvement.

### Exclusions from education

There has been an 8% decrease in the number of permanent exclusions. In the 2019/20 academic year up to 23<sup>rd</sup> of March 2020 (date of Covid-19 lockdown), there had been a total of 56 permanent exclusions from education. This is slightly down (-8%) on the total number of 61 to the end of Q4 in 2018/19.

A similar number of children are being excluded from education for a fixed period of time. There were a total of 1562 children fixed-term excluded a total number of 4278 times in 2019/20 to the end of Q4, a similar number to the same period of 2018/19 (1560 children fixed term excluded 3966 times in total).

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.

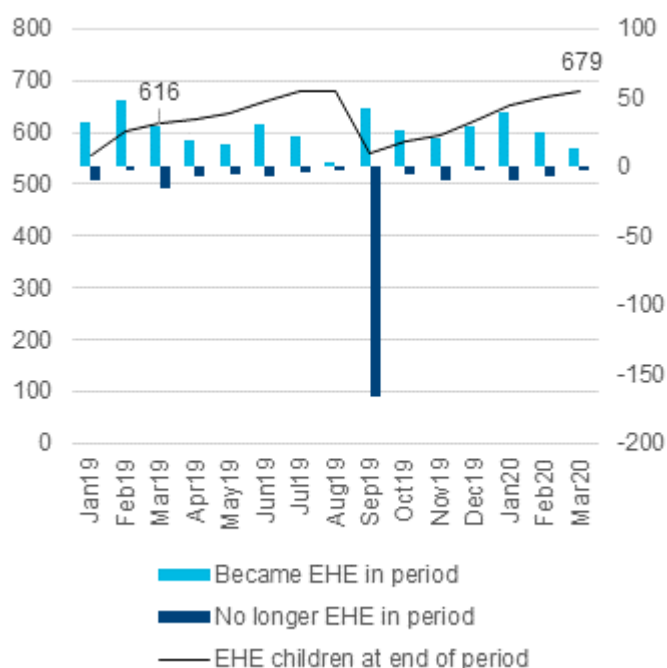


**Chart:** Fixed-term exclusions (incidents and children excluded) and permanent exclusions from education by end of Q4 in each academic year shown

### Electively Home Educated

As of 23<sup>rd</sup> March 2020, there were a total of 679 children recorded as being Electively Home Educated (EHE) in North Yorkshire. This number is up from 616 (+10%) at the end of March 2019. Approximately 29% of those children educated at home at the end of March 2020 were EHE for a reason of stress or anxiety.

Trend data in February suggested a potential total of 730 EHE by the end of July, before the Covid-19 lockdown.



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

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.

A recently released survey of 132 LAs in England undertaken by the Association of Directors of Children's Services (ADCS) suggested that approximately 0.5% of the English school aged population were educated at home. The rate in North Yorkshire as of March 2020 is 0.8%.

### Ofsted Outcomes

As of the end of March 2020, 80.0% of Primary School pupils and 79.9% of Secondary School pupils attended a school judged as good or outstanding by Ofsted compared to 82.4% of primary school pupils and 74.5% of Secondary School pupils across the Yorkshire and Humber region. This is a drop in this outcome across

### Item 5

primary schools (-1.8%) and the same rate in secondary schools at the end of Q3. The national trend of pupils in schools with most recent Ofsted judgements of 'Good' or 'Outstanding' outcomes is slightly upwards, 87.9% in primary schools at the end of Q4 (87.7% at Q3) and 79.5% in secondary schools (79.2% at Q3).

### SEND School Attendance

As at 29<sup>th</sup> May 2020, according to data from the Department for Education (DfE), 54 children with an Education, Health & Care Plan (EHCP) were attending mainstream schools in North Yorkshire (primary and secondary schools). Work is ongoing to develop a process that will help us track the EHCP pupils that are not attending school.

Assuming this information provided by the DfE is accurate, then there are approximately 1,203 children with EHCPs who typically would attend a mainstream school in North Yorkshire, not attending as of this date, based on the January 2020 school census. The challenge for the service is ensuring that these children and their families in the current situation continue to get the support that they need.

Since schools closed on 23rd March, there have been 105 requests for statutory assessment received. Assessments are continuing but timeliness is being affected due to the impact of lock down.

### Inclusion Service

Where it was assessed that staff could not be fully deployed by working from home, a proportion of staff in the Inclusion Service have been redeployed elsewhere during the closure of schools and some services to help address pressures in other service areas.

For some staff this has meant providing support for children with SEND and those of critical workers attending childcare hubs since lock down together with in-school support in the pupil referral services and special schools to maintain a comprehensive offer. Specialist support has adapted in some cases with home visits no longer taking place, specialist assessments have moved to video conferencing where appropriate.

The Hearing Impairment team have recently been working with the National Deaf Children's Society to run sessions for deaf children in North Yorkshire in fun activities with parents. British

Sign Language signed stories have also been made over Skype.

Specialist advice is still being offered to parents over the phone.

The Special Educational Needs and Disabilities Information Advice and Support Service (SENDIASS) are continuing to provide Q & A sessions via Facebook and that team, are also involved in the #askSAL group which seeks to balance the challenges of home education and working at home.

With the introduction of the new Strategy for SEND being implemented during this time the service expects to take the best aspects of modern working into the future of provision of the service.

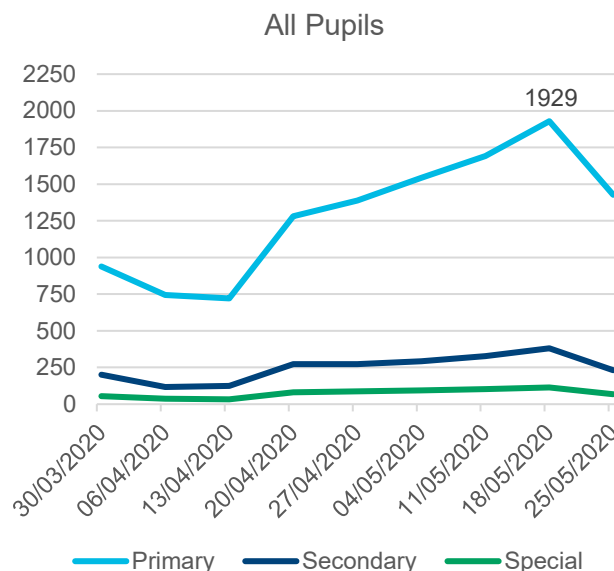
### Early Years and School attendance

As a consequence of the lock down measures which saw all school and child care provision close from 23rd March. The Education and Skills Service has worked closely with our childcare providers and schools to support them to remain open for vulnerable children and children of critical workers where places are needed. Attendance has fluctuated throughout this time which mainly reflects parents changing working patterns.

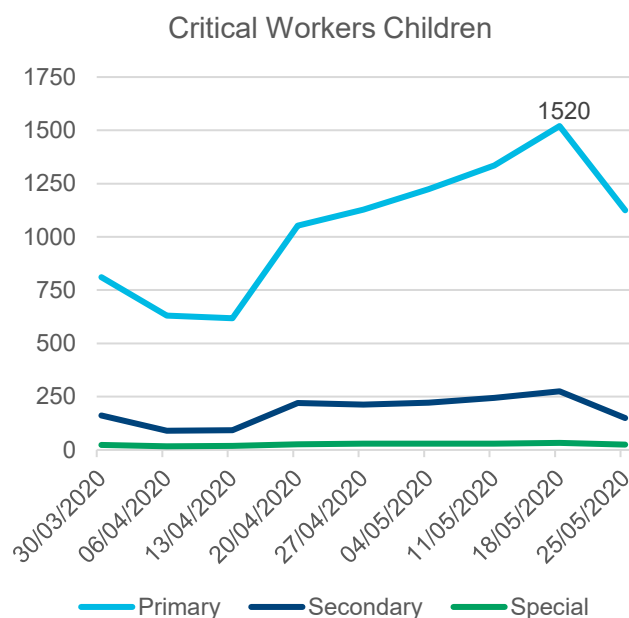
Attendance at child care providers (data available from 4 May) is shown in the table below

Week beginning	Vulnerable	Critical	All
04/05/2020	93	1031	1124
11/05/2020	109	1266	1375
18/05/2020	115	1246	1361
25/05/2020	65	584	649
<i>Half term</i>			

The below chart show attendance at all settings which remained open for Primary, Secondary, Special and PRS settings.



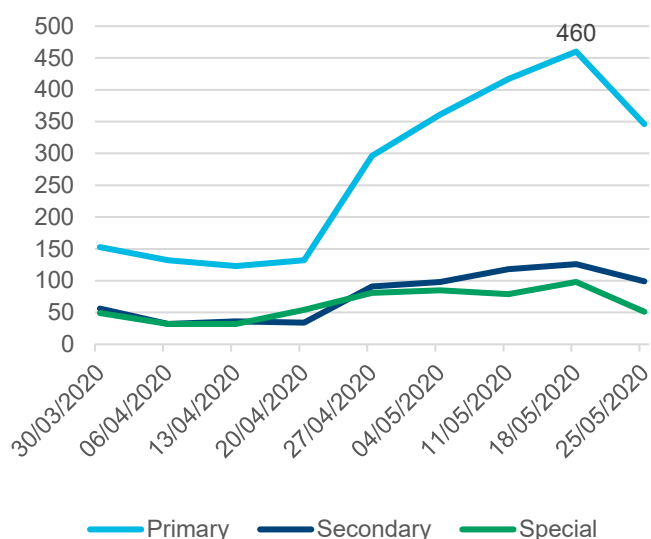
The below chart shows the numbers of children of critical worker’s attendance by setting



## Item 5

The below chart shows the number of children who meet the Govt. definition of vulnerable attendance by setting

Vulnerable Children



The services review attendance daily and are working to enable more children identified as vulnerable to attend school. This will increase over the coming weeks as a consequence of the Govt advising schools that they can start opening for some children from 1 June 2020.

Through the period of lock down our school offer has been extended to seven days a week to enable Critical Workers to arrange for child care and enable them to continue to work. There have been a total of 16 hubs established across the County, which have allowed parents to book a place at the hub as required. In total this has delivered 579 sessions since lock down which we are proud has helped critical workers in such an important way.

The below table summarises attendance each week across the 16 hubs

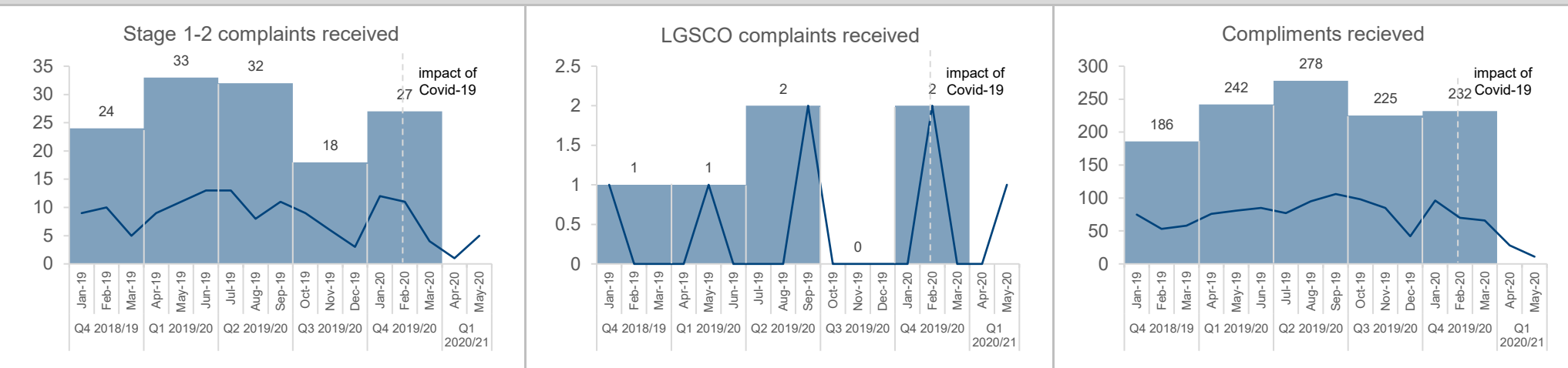
	Week beginning							Total
	13/04/2020	20/04/2020	27/04/2020	04/05/2020	11/05/2020	18/05/2020	25/05/2020	
	Half term							
<b>Airy Hill</b>	2	5	18	33	35	38	0	<b>131</b>
<b>Barlby CP</b>	0	4	4	6	12	13	8	<b>47</b>
<b>Barrowcliff</b>	2	1	1	9	2	5	6	<b>26</b>
<b>Brougham Street</b>	2	3	3	3	0	0	0	<b>11</b>
<b>Childhaven</b>	1	0	0	0	0	0	0	<b>1</b>
<b>Greatwood</b>	0	0	0	2	0	0	0	<b>2</b>
<b>Grove Road</b>	3	5	13	13	22	15	10	<b>81</b>
<b>Hutton Rudby</b>	2	3	3	10	6	6	10	<b>40</b>
<b>Kinder Place</b>	3	5	4	4	2	3	2	<b>23</b>
<b>Malton CP</b>	1	0	3	3	3	0	2	<b>12</b>
<b>Mill Hill</b>	8	9	17	18	19	19	15	<b>105</b>
<b>Moorside</b>	1	0	0	7	2	5	0	<b>15</b>
<b>Richmond Methodist</b>	0	0	0	0	0	0	0	<b>0</b>
<b>Risedale</b>	1	8	9	17	15	12	23	<b>85</b>
<b>Settle College</b>	0	0	0	0	0	0	0	<b>0</b>
<b>Sutton in Craven CE</b>	0	0	0	0	0	0	0	<b>0</b>
<b>Total</b>	<b>26</b>	<b>43</b>	<b>75</b>	<b>125</b>	<b>118</b>	<b>116</b>	<b>76</b>	<b>579</b>

## Future focus

Covid-19 recovery will be a significant focus for the Directorate over the coming months, whilst this will be largely guided Govt Guidance, work across the sector and review of performance and outcomes over recent months.

# Appendix

## 2. Modern council - Customer feedback



27 stage 1 complaints were received this quarter, 10 more than quarter 3, (though there had been a dip in complaints during quarter 3). All complaints were at stage 1.

Complaints broken down by service:

- 5 CSC
- 5 Libraries
- 3 Registrars
- 2 Corporate Accountancy
- 2 Corporate Complaints
- 2 HR
- 2 Legal & Democratic Services
- 1 Insurance Risk Management
- 1 Communications
- 1 Connecting North Yorkshire
- 1 Corporate Property
- 1 T&C
- 1 NYES

88% of cases were dealt with within timescales, with only two cases going over time.

55% of cases were upheld/partly upheld.

Service and care remains the top root cause category and communication second. 21% of root causes were due to environment this quarter (none last quarter), though there was no connection between any of these cases.

232 compliments were received, slightly up from 222 in Q3.

**COVID-19**

During April and May 2020 complaints have dropped, though these are small in number for this directorate anyway. The three cases responded to were done so on time.

The most significant difference is the drop in compliments: by 63% in April; and 86% in May, when compared to the same period last year. This is due to the reduction of service in registration (no weddings), where the majority of compliments for the directorate usually arise.

**Timeliness**

This quarter 15 of 17 complaints were dealt with within timescales (88%), up from 9 of 16 last quarter (56%).

**Root cause**

- Service and care 32% (46% Q3)
- Communication 24% (35% Q3)
- Environment 21%
- Disagree with decision/action 15% (4% Q3)
- COVID-19 3% (1 case)
- Pricing and charges 3% (4% Q3)
- Staffing 3% (8% Q3)

**Learning**

Remedies this quarter include apologies, system/tracking improvements for DBS checks, staff training, working with a group of school children to reduce plastic packaging and an explanation around the use of libraries and how this affects noise.

**Ombudsman**

Two cases were received this quarter, both regarding education appeals. One was closed after initial enquiries with no further action.

The other was upheld. It was in relation to home to school transport and fault was found with stage one of the appeals process, though it was acknowledged these faults did not cause significant injustice to the complainant as the stage 2 appeal to committee was carried out correctly. The stage one process will be reviewed to ensure it is followed correctly and that review letters are more detailed.



### 3. Modern Council - Primary indicators table



Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel																																																																																																						
3.1. Percentage of contacts received via online services	19% of all contacts 32% of transactions 50% of customer transactions 84% of services in the portal		Target of 70% by 2020	<table border="1"> <thead> <tr> <th>Portal services</th> <th>Target</th> <th>Q1</th> <th>Q2</th> <th>Q3</th> <th>Q4</th> </tr> </thead> <tbody> <tr> <td>Bus pass - Older persons</td> <td>50%</td> <td>62%</td> <td>99%</td> <td>93%</td> <td>98%</td> </tr> <tr> <td>Bus pass - Disabled persons</td> <td>40%</td> <td>68%</td> <td>84%</td> <td>74%</td> <td>82%</td> </tr> <tr> <td>Blue badge</td> <td>70%</td> <td>95%</td> <td>96%</td> <td>98%</td> <td>98%</td> </tr> <tr> <td>Notice of marriage</td> <td>50%</td> <td>81%</td> <td>80%</td> <td>86%</td> <td>82%</td> </tr> <tr> <td>Births</td> <td>70%</td> <td>86%</td> <td>85%</td> <td>91%</td> <td>92%</td> </tr> <tr> <td>Deaths</td> <td>40%</td> <td>33%</td> <td>36%</td> <td>36%</td> <td>37%</td> </tr> <tr> <td>Flooding</td> <td>30%</td> <td>37%</td> <td>38%</td> <td>41%</td> <td>42%</td> </tr> <tr> <td>Streetlights</td> <td>70%</td> <td>72%</td> <td>75%</td> <td>83%</td> <td>78%</td> </tr> <tr> <td>Tree, veg, grass</td> <td>30%</td> <td>38%</td> <td>37%</td> <td>33%</td> <td>32%</td> </tr> <tr> <td>Footways</td> <td>50%</td> <td>50%</td> <td>51%</td> <td>48%</td> <td>54%</td> </tr> <tr> <td>Pothole</td> <td>70%</td> <td>66%</td> <td>65%</td> <td>70%</td> <td>74%</td> </tr> <tr> <td>Grit Bins</td> <td>70%</td> <td></td> <td></td> <td>66%</td> <td>67%</td> </tr> <tr> <td>HWRC</td> <td>70%</td> <td></td> <td>100%</td> <td>100%</td> <td>100%</td> </tr> <tr> <td>Online assessment</td> <td>50%</td> <td>71%</td> <td>71%</td> <td>77%</td> <td>92%</td> </tr> <tr> <td>Carers Emergency Card</td> <td>70%</td> <td>76%</td> <td>70%</td> <td>71%</td> <td>75%</td> </tr> <tr> <td>Number</td> <td></td> <td>12140</td> <td>14156</td> <td>16091</td> <td>16424</td> </tr> </tbody> </table>	Portal services	Target	Q1	Q2	Q3	Q4	Bus pass - Older persons	50%	62%	99%	93%	98%	Bus pass - Disabled persons	40%	68%	84%	74%	82%	Blue badge	70%	95%	96%	98%	98%	Notice of marriage	50%	81%	80%	86%	82%	Births	70%	86%	85%	91%	92%	Deaths	40%	33%	36%	36%	37%	Flooding	30%	37%	38%	41%	42%	Streetlights	70%	72%	75%	83%	78%	Tree, veg, grass	30%	38%	37%	33%	32%	Footways	50%	50%	51%	48%	54%	Pothole	70%	66%	65%	70%	74%	Grit Bins	70%			66%	67%	HWRC	70%		100%	100%	100%	Online assessment	50%	71%	71%	77%	92%	Carers Emergency Card	70%	76%	70%	71%	75%	Number		12140	14156	16091	16424	➔
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3.2. Staff absence (sickness) rate	Q4 2.17 days lost per FTE (NYCC only – excluding schools), 8.39 days lost per FTE full year.  Q4 2.07 days lost per FTE (full workforce) 7.88 days lost per FTE full year.		9.2 days lost annually per FTE all English authorities  10.0 days lost annually per FTE county and single tier councils  LGA workforce survey 2018/19	Excluding schools, the Q4 figure is down on Q3 (2.49) but up on Q4 18/19 (1.92).  The Q4 full workforce figure is also down on last quarter (2.39) but up from Q4 figure 18/19 (2.00).  In March there may have been an impact from Covid related absences. From the start of lockdown these are not recorded as sickness absence, but are recorded and reported on separately as self-isolation.  There are now many staff working at or remaining at home, including those in the vulnerable group and shielding due to medical reasons. Sickness absence to date in Q1 is 36% of the level of Q4.	➔																																																																																																						
3.3. Staff turnover rates	Q4 Leavers – NYCC staff only (excluding schools) 259 (3.59%). Full year 978 (13.47%)		13% annually all English authorities  LGA workforce survey 2018/19	This figure has increased on Q3 (215, 2.97%) and remains static on Q4 18/19 (258, 3.55%). The full year leavers are down on 18-19 (989). It is expected that this will drop further from Q1 onwards as a consequence of the economic situation, and the reduced availability of alternative jobs locally. Involuntary leavers are down at 21 from 35 last quarter.	➔																																																																																																						
3.4. Spend on agency staff	Q4 - £143,926 (full workforce) Q4 - (excluding IR35) £7,433 Full year £733,522 Full year excluding IR35 £93,587		Average annual spend pre-IR35 across comparable authorities was £3m (2016/17).	Total spend was down on Q3 19/20 (£153,207) and down on Q4 18/19 (£271,042).  Spend excluding IR35 is down on Q3 (£18,553) and substantially on Q4 18/19 (£100,892).  Full year spend including IR35 is down from 18-19 £1,082,487 and full year excluding IR35 also down from £441,900.  The vast majority of agency spend continues to be on Mental Health and Best Interest Assessors.  Spend in April is £6,837 with all spend IR35, on BIA's, MHA's and RPR's. There is no core agency spend. This position should continue until services return to a new normality.	➔																																																																																																						

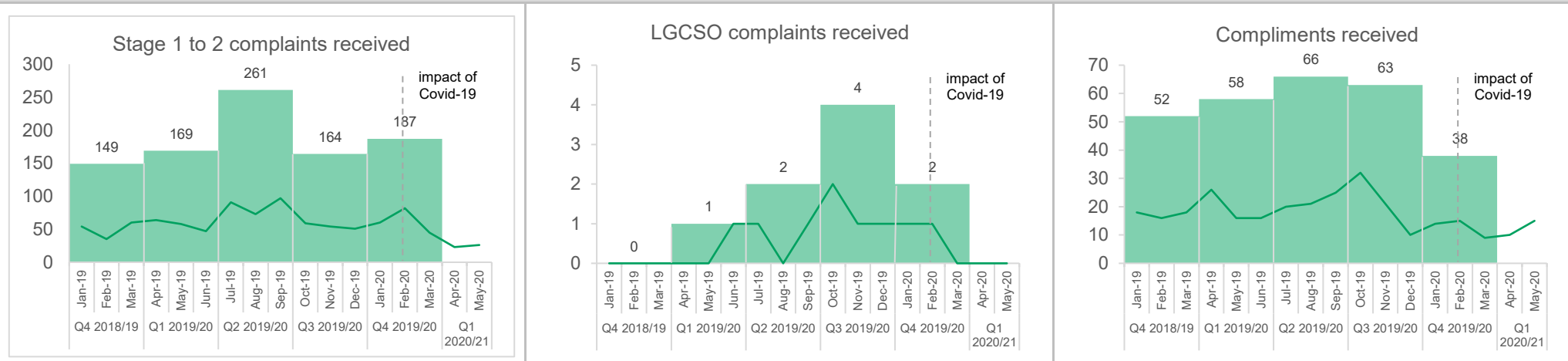
## 3. Modern Council - Primary indicators table



Primary Indicators:		Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel
3.5.	Spend against apprenticeship levy	<p><b>Q4 Levy Deduction</b> Core council – £178,597 Community &amp; VC Schools – £200,135 <b>Total - £378,732</b></p> <p><b>Q4 Levy Spend</b> Core Council – £127,989 Community &amp; VC Schools - £18,110 <b>Total - £146,099</b></p> <p><b>Q4 Number of Starts</b> Core Council – 18 Community &amp; VC Schools - 3 <b>Total – 21</b></p> <p><b>Levy Deduction April 17- Mar 20</b> Core Council – £2,035,314 Community &amp; VC Schools - £2,489,516 <b>Total - £4,524,830</b></p> <p><b>Levy Spend April 17 – Mar 20</b> Core Council – £901,985 Community &amp; VC Schools - £128,982 <b>Total - £1,030,967</b></p> <p><b>Number of Starts April 17 – Mar 20</b> Core Council – 300 Community &amp; VC Schools - 56 <b>Total – 356</b></p>		<p><i>Nationally Apprenticeship starts reported to date have decreased to 198,600 from 214,200 in the first two quarters of 2018/19, a decrease of 7.3%.</i></p> <p><i>Apprenticeship standards represent 74.3% of Apprenticeship starts since their introduction in September 2014, the number of starts on standards has now been 588,800. Higher starts represent 23.2% and those at level 6 and above represent 9.6%.</i></p> <p><i>Science, technology, engineering and manufacturing (STEM) subjects represent 31.3% Business, administration and law related subjects continue to be most popular, accounting for 29.2% of starts.</i></p> <p>Information taken from the DfE Apprenticeship and Traineeships, England: March 2020.</p>	<p>The levy spend in Q4 2019/20 was £146,099 compared to £92,210 in Q4 2018/19, an increase of £53,889.</p> <p>A total levy spend of £624,005 for full year 2019/20, an increase of £258,336 on the £365,669 spend for 2018/19. A shortfall of £25k against the annual forecast of c£649k, this will be realised in 2020/21 and is due to delayed completions.</p> <p>Q4 had 21 new apprentice starts; 18 in core council roles and 3 in Community &amp; VC schools. A total of 116 new starts for 2019/20.</p> <p>2 new apprenticeship standards have been adopted for roles in NYCC; Social Worker Level 6, Digital and Technology Solution Specialist Level 7.</p> <p>Q4 had 14 apprentice completions, all in core council roles. This totals 68 completions since the start of the apprenticeship programme, 56 in core council roles and 12 in schools. 56 completions achieved in 2019/20 (45 in core council roles and 11 in schools).</p> <p>Unspent funds from the NYCC levy pot started to be taken by the treasury from Sept'19 with £449k 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>Q4 saw a further 14 levy transfers to other organisations. A total of 15 now completed with more planned.</p>	
3.6.	Total income – Traded Services	2019/20 £42,076 K		Internal KPI no benchmarking data available	This is the first time this KPI has been reported in the quarterly performance reports.	
3.7.	NYES Gross Profit	2019/20 £2,237 K		Internal KPI no benchmarking data available	This is the first time this KPI has been reported in the quarterly performance reports.	
3.8.	Brierley Group YTD Profit	Figure not yet available		Internal KPI no benchmarking data available	New indicator	
3.9.	Number of NYES Customers	Figure not yet available		Internal KPI no benchmarking data available	New indicator	



### 4. Growth - Customer feedback



In Quarter 4 there were a total of 187 complaints received in relation to Business and Environmental Services, an increase of 25 (13%) from the previous quarter. For the same period, the Directorate also received 38 compliments.

110 (52%) of this quarters complaints are recorded against Highway Operations. These continue to include complaints about street lighting faults, 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.

Qtr3. reported a high number of complaints were due to poor quality of communication, 27 (16%). This has been picked up by Management Team with guidance and advice being sent to officers and the figure for Qtr. 4 is 7, just 3%. This will of course be monitored and re-enforced when necessary.

Covid-19

Since the start of April they have been 72 queries and 12 complaints regarding the effect of Covid-19 on BES services. These have been in regard of closure of HWRC's and the operation of them since they have re-opened and the closure or inappropriate use of public right of way. Further work to be done to discuss whether the correspondence has been correctly recorded and whether the number of complaints is in fact higher.

There has been an increase in compliments in the period of the 27 received, 12 were regarding work undertaken in relation to Covid-19, including work to assist with social distancing, the operation of HWRC's or the maintenance of bridleways.

Response timescales have been maintained and 88% of Stage 1 complaints were responded under the 20 working day target.

Timeliness

91% of Stage 1 complaints were answered within the set timescale which is an increase from 88% in Q3. Both of the Stage 2 complaints are still being investigated and will not be completed within the timescale due to the complexity and request of information from the complaint.

Learning

From the very low recorded learning identified figure of just six cases out of 248, there is clearly a need to undertake more work in this area. Dialogue has already started with the main correspondence contacts in the Directorate.

Ombudsman

There were three LGSCO complaint investigations received in this quarter which is a decrease. However, two of these were not investigated and the third is currently on hold due to Covid-19. The LGSCO stopped taking complaints in early March which is why no further cases have been received. It is expected that there will be a number of cases received once this happens as all the Stage 2 requests, bar the two being investigated, were rejected.

### 5. Appendix - Growth - Primary indicators table



Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel																
Total employee jobs in North Yorkshire Source: NOMIS Area Profile: total jobs – FT+PT. (Excludes self-employed and farm based agriculture.)	265,000 ('15) 270,000 ('16) 270,000 ('17) <b>265,000 ('18)</b> (revised by NOMIS this quarter, was previously 280,000)	County wide economic indicators	Using job density (all jobs per resident aged 16-64) as a comparator. <table border="1"> <thead> <tr> <th></th> <th>2012</th> <th>2017</th> <th>2018</th> </tr> </thead> <tbody> <tr> <td>NY</td> <td>0.85</td> <td>0.95</td> <td>0.96</td> </tr> <tr> <td>Y&amp;H</td> <td>0.73</td> <td>0.81</td> <td>0.81</td> </tr> <tr> <td>GB</td> <td>0.78</td> <td>0.86</td> <td>0.86</td> </tr> </tbody> </table>		2012	2017	2018	NY	0.85	0.95	0.96	Y&H	0.73	0.81	0.81	GB	0.78	0.86	0.86	Jobs density in NY rose by 13% between 2012 and 2018 compared to 10% national growth rate. This follows a long period of stability during 2002-2012 – which mirrored the national position.	
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<p>Gross Value Added per head of population.</p> <p>GVA (Income) made up of compensation of employees, gross operating surplus, mixed income, taxes on production, less subsidies on production.</p> <p>Source: ONS Regional GVA dataset (tables 2,3)</p>	<p>£20,354 (2014)</p> <p>£20,919 (2015)</p> <p>£21,761 (2016)</p> <p>£23,315 (2017)</p> <p><b>£23,374 (2018 provisional)</b></p>	County wide economic indicators	<p>NY in top quartile for Y&amp;H unitary councils and counties</p> <p>Y&amp;H £22,559 in 2018 (provisional)</p> <p>England £29,356 in 2018 (provisional)</p> <p>UK £28,729 in 2018 (provisional)</p>	<p>GVA per head has been slowly declining compared to the UK and English averages over last 18 years.</p> <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> <p>NY falling behind England and UK figures over the long term.</p>		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																																																													
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<p>Housing affordability: Ratio of median house price to median gross annual (where available) residence-based earnings</p> <p>Source: ONS ratio of median house price median gross residents-based earnings. Table 1c, 3c, 5c</p> <p>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'</p>	<p>7.34 (2014)</p> <p>7.78 (2015)</p> <p>7.91 (2016)</p> <p>8.21 (2017)</p> <p>8.13 (2018)</p> <p><b>7.66 (2019)</b></p> <p>(All figures revised this quarter)</p>	County wide economic indicators	<p>NY 2% more affordable than England, but 23% less affordable than Y&amp;H.</p> <p>3 Districts less affordable than England average.</p>	<table border="1"> <thead> <tr> <th rowspan="2"></th> <th colspan="5">Resident in area</th> </tr> <tr> <th>2002</th> <th>2016</th> <th>2017</th> <th>2018</th> <th>2019</th> </tr> </thead> <tbody> <tr> <td>Craven</td> <td>7.24</td> <td>8.12</td> <td>7.71</td> <td>7.93</td> <td>7.62</td> </tr> <tr> <td>Hambleton</td> <td>8.84</td> <td>8.85</td> <td>8.99</td> <td>9.57</td> <td>8.96</td> </tr> <tr> <td>Harrogate</td> <td>9.05</td> <td>10.06</td> <td>10.15</td> <td>10.29</td> <td>9.04</td> </tr> <tr> <td>Richmondshire</td> <td>7.25</td> <td>8.10</td> <td>7.40</td> <td>7.25</td> <td>7.4</td> </tr> <tr> <td>Ryedale</td> <td>8.61</td> <td>8.44</td> <td>8.96</td> <td>8.98</td> <td>8.91</td> </tr> <tr> <td>Scarborough</td> <td>6.08</td> <td>5.82</td> <td>5.91</td> <td>6.33</td> <td>6.17</td> </tr> <tr> <td>Selby</td> <td>5.73</td> <td>5.97</td> <td>6.42</td> <td>6.77</td> <td>6.72</td> </tr> <tr> <td>North Yorkshire</td> <td>5.00</td> <td>7.32</td> <td>7.71</td> <td>7.61</td> <td>7.66</td> </tr> <tr> <td>Yorks &amp; Humber</td> <td>3.54</td> <td>5.78</td> <td>5.90</td> <td>5.95</td> <td>5.89</td> </tr> <tr> <td>England</td> <td>5.11</td> <td>7.72</td> <td>7.91</td> <td>8.00</td> <td>7.83</td> </tr> </tbody> </table>		Resident in area					2002	2016	2017	2018	2019	Craven	7.24	8.12	7.71	7.93	7.62	Hambleton	8.84	8.85	8.99	9.57	8.96	Harrogate	9.05	10.06	10.15	10.29	9.04	Richmondshire	7.25	8.10	7.40	7.25	7.4	Ryedale	8.61	8.44	8.96	8.98	8.91	Scarborough	6.08	5.82	5.91	6.33	6.17	Selby	5.73	5.97	6.42	6.77	6.72	North Yorkshire	5.00	7.32	7.71	7.61	7.66	Yorks & Humber	3.54	5.78	5.90	5.95	5.89	England	5.11	7.72	7.91	8.00	7.83										
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<p>Number of housing completions.</p> <p>Source: DCLG Table 253, ONS Table 406</p>	<p>910 (13/14)</p> <p>1,330 (14/15)</p> <p>1,530 (15/16)</p> <p>1,830 (16/17)</p> <p>2,080 (17/18)</p> <p><b>2,020 (18/19)</b></p>	County wide economic indicators	<p>Completions per 1000 households.</p> <table border="1"> <thead> <tr> <th></th> <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> <p>NY rate risen by 22% in last year, compared with 2% rise for England.</p> <p>While the countywide rate is up it has dropped dramatically in Richmondshire, and less so in Scarborough and Selby</p>		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>8.68</td> </tr> <tr> <td>Hambleton</td> <td>4.88</td> <td>6.39</td> <td>10.94</td> <td>7.85</td> <td>12.35</td> </tr> <tr> <td>Harrogate</td> <td>2.06</td> <td>2.35</td> <td>2.34</td> <td>5.52</td> <td>10.41</td> </tr> <tr> <td>Richmond</td> <td>3.27</td> <td>5.61</td> <td>7.00</td> <td>11.19</td> <td>2.33</td> </tr> <tr> <td>Ryedale</td> <td>8.21</td> <td>7.74</td> <td>6.84</td> <td>6.38</td> <td>10.57</td> </tr> <tr> <td>Scar.</td> <td>5.65</td> <td>7.65</td> <td>7.63</td> <td>8.01</td> <td>5.39</td> </tr> <tr> <td>Selby</td> <td>9.55</td> <td>8.34</td> <td>12.39</td> <td>15.55</td> <td>14.59</td> </tr> <tr> <td>NY</td> <td>5.09</td> <td>5.83</td> <td>6.94</td> <td>7.85</td> <td>9.54</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	8.68	Hambleton	4.88	6.39	10.94	7.85	12.35	Harrogate	2.06	2.35	2.34	5.52	10.41	Richmond	3.27	5.61	7.00	11.19	2.33	Ryedale	8.21	7.74	6.84	6.38	10.57	Scar.	5.65	7.65	7.63	8.01	5.39	Selby	9.55	8.34	12.39	15.55	14.59	NY	5.09	5.83	6.94	7.85	9.54	
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<p>The number of North Yorkshire Lower Super Output Areas (LSOAs) that are within the 20% most deprived nationally.</p>	<p>2010 - 18 LSOAs</p> <p>2015 - 23 LSOAs</p> <p><b>2019 - 24 LSOAs</b></p>	County wide economic indicators	<p>NY ranked 127th least deprived out of 151 upper tier LAs. Ranked 125th least deprived in 2015.</p> <p>Craven ranked 28th and Ryedale 30th out of 317 lower tier LAs for the 'Living Environment' domain. 143 NY LSOAs in worst 20% in England for the 'Indoor' part of this indicator: housing in poor condition and without central heating. This is the third consecutive increase - from 86 LSOAs in 2010 and 134 in 2015.</p> <p>153 out of 373 NY LSOAs in worst 20% in England for the 'Geographical Barriers to Services': road distance to shops, GPs, etc.</p>	<p>Pockets of deprivation across NY. One LSOA (covering part of Eastfield ward in Scarborough) is within the most deprived 1% in England, but this is an improvement from three LSOAs in 2015.</p> <p>24 NY LSOAs now fall within the most deprived 20% in England, an increase from 23 in 2015. 20 of them are in Scarborough town. The two most deprived in the county are in Skipton South ward.</p> <p>The number in the second most deprived quintile (worst 20% - 40%) has remained stable at 34 in both 2015 and 2019.</p> <p>For 'Geographical Barriers to Services' the LSOA which covers the Dales ward to the north of Kirkbymoorside is the 2nd most deprived LSOA in England.</p> <p>Changes in rank indicate changes in deprivation relative to other parts of England but not necessarily absolute changes in deprivation.</p>																																																																																	

### 5. Appendix - Growth - Primary indicators table



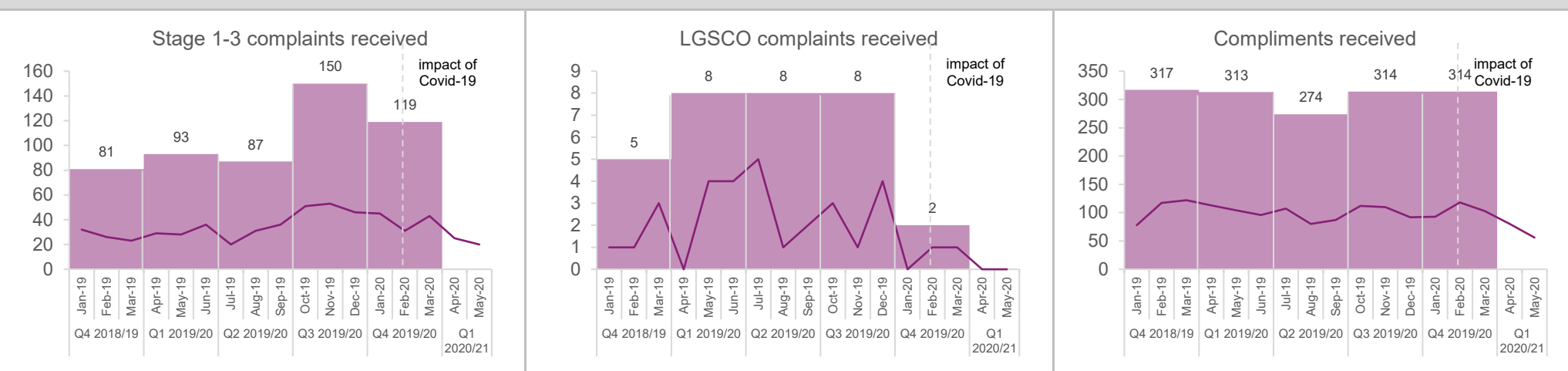
Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel
Highways Maintenance Efficiency Programme – annual rating.	Level 3 (Jan 17) Level 3 (Feb 18) Level 3 (Feb 19) Level 3 (Feb 20)		DfT no longer publish data on the performance of other authorities	22 out of 22 questions attained level 3 in 2019/20 self-assessment ensuring 100% of the funding available.	
National Highways and Transportation survey: KBI23 - Satisfaction with the condition of highways	33.4% (2016 – 3rd quartile) 36.7% (2017 – 2nd quartile) 30% (2018 – 2nd quartile) 34% (2019 – 2nd quartile)		2nd quartile among 31 counties and larger unitaries (Cornwall, East Riding) in 2019 NHT survey:	Satisfaction with road condition increased for all Shire authorities. The increase in North Yorkshire was slightly less than average (13.3% vs 21.6%) but we still remain in the top half of comparable authorities.	
Road condition: % principle A roads where maintenance should be considered.	2% (2016 survey) 3% (2017 survey) <b>3% (2018 survey)</b> 4% (2019 survey)		Single list indicator. Average for English LAs was 3% (2018/19) (RDC0120)	<p>Carriageway condition - percentage of roads where maintenance should be considered</p>	
Road condition – % of other heavily used roads where maintenance should be considered. (Cat 2, 3a and 3b roads less A roads.)	4% (2016 survey) 4% (2017 survey) 5% (2018 survey) 5% (2019 survey)		Local indicator – not directly comparable. However for B&C class roads in 2017/18 (RDC0120), NYCC at 5%, England at 6%.		
Road condition – % of lesser used roads where maintenance should be considered. (Cat 4 and 5 roads.)	18% (2016 survey) 16% (2017 survey) 18% (2018 survey) 17% (2019 survey)		Local indicator and not directly comparable. However, for unclassified roads in 2018/19 (RDC0130), the overall figure for England is 6%.		
KSI – number of people killed and seriously injured on roads (NY only, calendar years)	448 (2012-2016 avg) 431 (2014) 429 (2015) 428 (2016) 411 (2017) 363 (2018) 346 (2019)		No PHE data for 2019 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. This baseline shows a marked downward trend in KSI figures and the past 5 years' figures show an average below 400 (395.)	
Trading Standards: % of high risk inspections undertaken	<b>78% (19/20 Q4)</b> 60% (19/20 Q3) 38% (19/20 Q2) 17% (19/20 Q1) 99% (18/19) 96% (17/18) 84% (16/17)		Local measure – no comparative data available	The high risk inspection profile is as follows: Q1 - 15% Q2 - 35% Q3 - 70% Q4 - 100%  The Q4 outturn is 78%, 22% below the profiled target.  The Q3 position was below target due to staff absences and subsequent recruitment to vacant posts. An action plan was put in place during Q4 to mitigate this, the restrictions on statutory inspections imposed by the government as a consequence of the Covid19 outbreak had a significant negative impact on the outturn.	

## 5. Appendix - Growth - Primary indicators table



Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel
County matter' planning applications determined within 13/16 week timescales or within agreed extension of time (EoT). 2-year rolling measure	<b>92.5% (12/19*)</b>  87.8% (18/19)		England average figure for 2 years to 12/19* is 91.9%  (Source: Table P151b NB: 3 month time lag on national data*)	RAG rated against statutory target of 60%. This is the statutory measure which includes allowance of an extension of time.	
PRoW Network condition: % of network passable	<b>89.93% (19/20Q4)</b>  89.6% (19/20Q3)  88.23% (19/20Q2)  89.41% (19/20Q1)  89.33% (18/19Q4)  88.92% (18/19Q3)  88.68% (18/19Q2)		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).  <div style="text-align: center;"> <p>% of network usable</p> </div>	
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> Q4 123 (1.1%)		National NEET 2.8% (March 2020) Y&H NEET 3.1% (March 2020)  National Situation Not Known 2.3% (March 2020)  Y&H Situation Not Known 2.3% (March 2020)  NYCC Situation Not Known 7.1% (March 2020)  <u>2018/19</u> Q1 145 (1.3%) Q2 74 (0.7%) Q3 101 (0.9%) 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 still below the national and regional figures although it has increased slightly since the last quarter. The percentage of 16-17 year olds with unknown education, training or employment status has now decreased but is still above the regional and National figure of 2.3%.	
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	
% waste arising to landfill (former NI193)	<b>8.7% (18/19)</b>  24.0% (17/18)  39.7% (16/17)  40.0% (15/16)			The latest figure available is Q1 to Q3 for 19/20 which is 10.6%	

## 6. Healthy and independent living - Customer feedback



We have received 119 complaints during Q4, 86 were full complaints and 33 were 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.

Complaints received over the last 3 years have continued to increase. There has been a 23% increase from the annual total last year, Q3 data will have significantly contributed to this overall increase. It is difficult to pinpoint the exact reason for this increase in complaints; there may be a general shift in public awareness and/or attitude towards complaining.

The recent Covid 19 pandemic has seen a rise in complaints which previously we had not encountered. These cover PPE, testing and access to care homes amongst others. For comparison, in 2019 from 1st March – 30th April 2019 we received a total of 52 complaints; in the same period for 2020, we have received 68 complaints, of which 26 were Covid-19 related.

We have received a further 22 Covid-19 related complaints in the subsequent weeks. The majority of these were received in Week 8, and were from MP's and related to the issue of testing (13). We have worked with the relevant service areas to develop responses that can be sent quickly.

**Timeliness** – In Q4 we closed 76 cases and 91% were closed within our timescale set. This quarter we hit our 90% target.

5 draft responses were received late from the services areas; the escalation process was followed.

1 complaint was complex and required input from the legal team before it could be responded to.

**Root cause** - Communication 16(19%), Disagrees with decision/action 31(36%), Pricing and charges 6(7%), Service and care 16(19%) Staffing 10(12%) Safety 3(3%) Covid-19 4(5%)

**Learning** – There has been a lot of work throughout the year to highlight the role of the Customer Response Team, raise the profile of the importance of effective, customer focused, complaint responses in a timely manner. Last year, (2018-19) our overall response time against target was 79%. This year, (2019-2020) our response time is 92% which is great achievement considering the number of complaints that we have received has steadily increased (+23%)

A review of how Local Government & Social Care Ombudsman cases were being handled by the Directorate took place. There were concerns it was fragmented and key colleagues were not being included. A new process has been introduced which has allowed greater ownership and a clear and robust approach to be followed. This has resulted in more detailed responses, and provision of case notes, evidence and supporting documents to be provided. This has resulted in favourable decisions for the Directorate by the Ombudsman on a couple of recent cases, which endorses the new working practice and ensures that we continue to build on our response times and overall relationship with the Ombudsman.

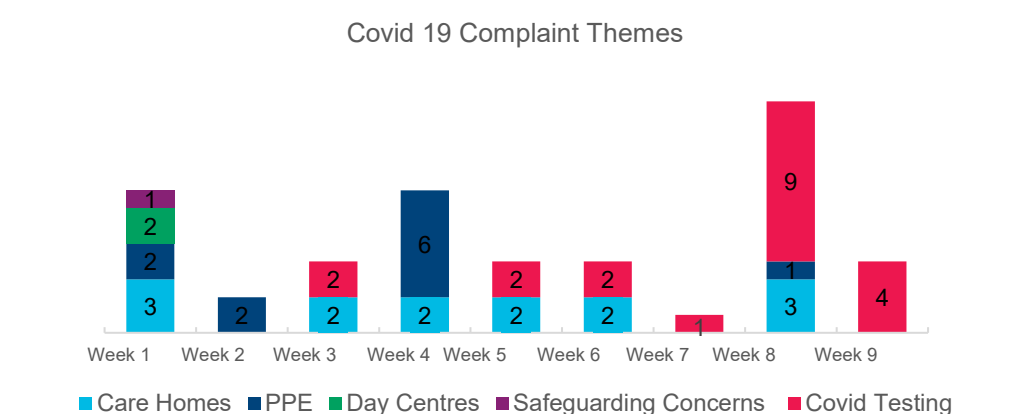
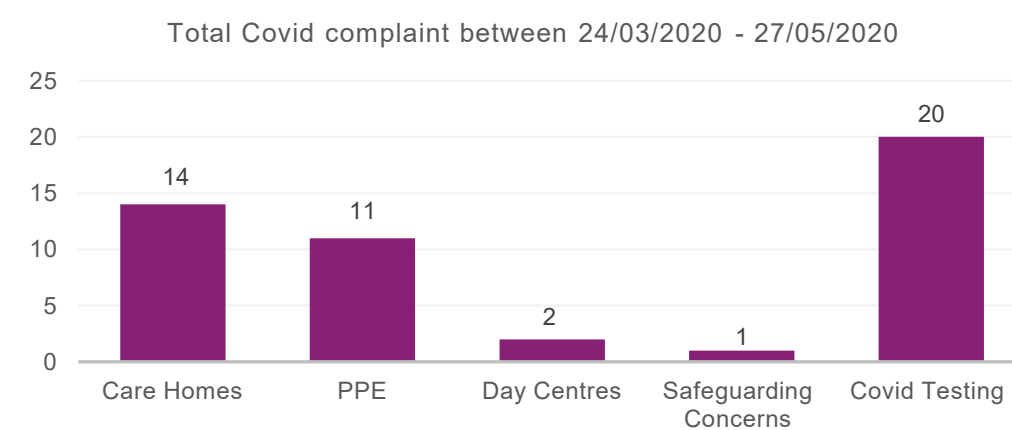
**Ombudsman** – On the 25th March we received confirmation that all new and open cases would be suspended until further notice in response to the Covid-19 pandemic. The Customer Response Team has continued to accept and progress any enquires received from the Ombudsman and adopted a "Business as Usual" approach. Following receipt of the LGSCO survey, at the beginning of May, to ascertain the Authority's position and capacity in regard to LGSCO cases, we advised and responded that we would work with them on a case by case basis and accept both new and suspended case investigations. On 27th March 2020 the Ombudsman restarted work on existing cases that they had with North Yorkshire county Council.

During Q4 we received 2 investigations enquiries and currently have 7 open cases (including those received in Q4):

- 1 is with us but currently suspended until further notice.
- 6 are with the LGSCO awaiting decision.
- 6 cases were closed in Q4:
  - 2 closed after initial enquiries
  - 1 not upheld – no maladministration
  - 2 upheld: maladministration and injustice
  - 1 upheld: maladministration, no injustice

During 2019/20 there were a total of 21 LGSCO cases closed with the following outcomes:

- 1 Not upheld - no further action
- 6 Not upheld - no maladministration
- 1 Report Issued: Upheld, maladministration and injustice
- 10 Upheld: Maladministration and injustice



## 7. Healthy and independent living - Primary indicators



Primary Indicators:		Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel
7.1.	2A(1) - aged 18-64 admissions to residential and nursing care homes, per 100,000 population (year-end projection)	19.0 2019/20  3.4 May 2020		Nat: 13.9 YHR: 15.1 (2018/19 full year)  18.0 Q1 2019/20	2019/20 outturn ranked amber as the projected year-end figure is higher than the most recent published national and regional averages for 2018/19, but shows improvement year on year.  2018/19 NYCC ASCOF outturn = 22.7	
7.2.	2A(1) - aged 65+ admissions to residential and nursing care homes, per 100,000 population (year-end projection)	658.5 2019/20  455.1 May 2020		Nat: 580.0 YHR: 644.3 (2018/19 full year)  646.3 Q1 2019/20	2019/20 outturn ranked green as the projected year-end figure shows significant improvement year on year and is slightly above the most recent published regional average for 2018/19.  2018/19 NYCC ASCOF outturn = 776.7	
7.3.	Referrals to Adult Social Care (ASC) as % of ASC contacts	23.2% 2019/20  18.8% May 2020		n/a  22.7% Q1 2019/20	2019/20 outturn ranked green as current performance shows a small increase year on year but maintains the significant improvement made against baseline.  2018/19 Q4 = 22.7%  2015/16 baseline = 29.0%	
7.4.	% of referrals resulting in no further action (incl: NFA, case closed, no service required, support declined)	39% 2019/20  n/a May 2020		n/a  46.3% Q1 2019/20	2019/20 outturn ranked amber as year-end performance has moved outside the acceptable range (25-33%) but remains below the higher levels recorded during the year.  2018/19 = 32%	
7.5.	% of assessments resulting in no service provision	17.0% 2019/20  n/a May 2020		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.	-
7.6.	% of reablement clients not receiving a subsequent package of social care support within 91 days	83.6% 2019/20  n/a May 2020		n/a  Not reported in Q1	2019/20 outturn ranked green as this maintains the year on year improvement secured in 2018/19.  2018/19 Q4 = 83.4%	
7.7.	Reablement packages delivered in the period as % of all weekly services delivered in the period	9.1% 2019/20  5.2% May 2020		n/a  8.6% Q1 2019/20	2019/20 outturn ranked amber as the proportion remains below 10% but shows some improvement year on year.  2018/19 = 8.9%  May 2020: Reablement delivery grows steadily during the year by the end of Q1 the current level of activity would reach 8.0%	
7.8.	Clients receiving a review/reassessment in the year as a % of all open clients during the year	58.3% 2019/20  15.3% May 2020		n/a  20.0% May 2019	2019/20: Performance ranked red as it declined during the second half of the year to fall short of the 72% target and just below the 2018/19 outcome of 58.5%.  To maintain the focus on this measure the target for 2020/21 has been set at 75%, which requires performance throughout the year to be maintained at the levels achieved in the first 7 months of 2019/20.  May 2020: performance ahead of monthly target trajectory = 12.5%	
7.9.	Over 65s with an open weekly social care service as a % of the population aged over-65	2.8% 2019/20  2.8% May 2020		n/a  3.1% Q1 2019/20	2019/20 outturn ranked green as the level remains broadly the same as 2018/19.  2018/19 = 2.9%	
7.10.	Rate of total DTOC bed days per 100,000 population	10.4 (Feb 2020)  n/a May 2020		6/16 in CIPFA group (Dec 2019 – Feb 2020)  (Mar-May 2018 12/16, where lower = better)	2019/20 outturn ranked amber as the rate of total delays has reduced significantly against the baseline of 16.9 but remains short of the government's target of 9.5. Despite an increase in delays between quarters, performance shows year on year improvement.  Social care delays in February 2020 were 3.0 per 100,000 of adult population against a government target of 2.9.  2018/19 = 11.1	
7.11.	% of residential/nursing beds for older people above NYCC rate	50.7% 2019/20  52.0% May 2020		n/a  46% Q 2019/20	2019/20 outturn ranked red as the rate remained largely unchanged during the last quarter at just above 50%, which exceeds the 2017/18 outturn of 48%.  2018/19 = 46%	
7.12.	Rate of safeguarding concerns per 100,000 population	906.0 2019/20  107.4 May 2020		Nat: 943 (2018/19)	2019/20: 15% (792) reduction in the number of concerns received during the year.  2018/19 = 1066.0	



## 7. Healthy and independent living - Primary indicators



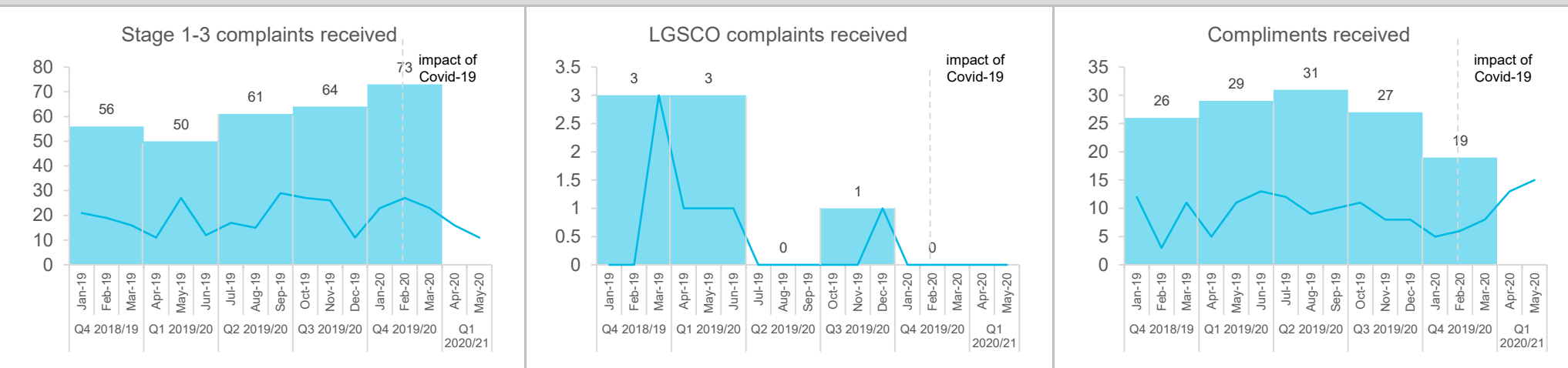
Primary Indicators:		Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel
7.13.	% of safeguarding concerns progressing to enquiry  <b>NEW PROCESS</b> % of safeguarding enquiries progressing to Informal/Formal discussions	49% 2019/20  19.1% May 2020		Nat: 39% (2018/19)  21.7% 2019//20	2019/20 outturn ranked green as the provisional year-end figure is significantly lower than 2018/19, bringing it more in line with the most recently published national data.  Safeguarding processes were significantly changed in October 2019 to ensure a more rapid resolution of concerns with the aim of avoiding unnecessary progression to a formal enquiry.  2018/19 = 66%	
7.14.	% of completed DoLS applications granted	47% 2019/20  34% May 2020		Nat: 54% (2018/19)  53% Q1 2019/20	Provisional year-end data for 2019/20 indicated a continuing downward over the last three years, bringing local performance into line with the authority's group of comparator authorities.  Applications were up 10% (301) year on year to 3,305.  2018/19 = 49% (local data)	
7.15.	Smoking prevalence in adults	12.0%		England = 14.4% CIPFA: 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.	
7.16.	Excess weight in adults	62.9% (2018/19)		England = 62.3% CIPFA: 60.7% to 66.7%	Excess weight is not significantly different from England. Among 16 similar areas, North Yorkshire has the 7th lowest rate.	
7.17.	New STI diagnoses (excluding chlamydia aged < 25)	450 per 100,000		England = 851 CIPFA: 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.	
7.18.	Cumulative percentage of the eligible population aged 40-74 offered an NHS Health check	93.3%		England = 90.0% CIPFA: 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.	
7.19.	Cumulative percentage of the eligible population aged 40-74 who received an NHS Health check	43.3%		England = 43.3% CIPFA: 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.	
7.20.	Successful completions of treatment for opiate use	6.5%		England = 5.8% CIPFA: 3.4% to 10.2%	Successful completion of treatment for opiate use is slightly higher than England. North Yorkshire is 6th highest of 16 similar areas. The completion rate is marginally reduced from the previous year, with the long-term trend being broadly unchanged.	
7.21.	Successful completions of treatment for non-opiate use	27.2%		England = 34.4% CIPFA: 21.8% to 42.8%	Successful completion of treatment for non-opiate use is significantly lower than England. North Yorkshire is 13th highest of 16 similar areas. The completion rate is reduced from the previous year, with a static long-term trend.	
7.22.	Successful completions of alcohol treatment	34.8%		England = 37.6% CIPFA: 24.6% to 51.9%	Successful completion of treatment for alcohol use is not significantly different from England, having been lower. North Yorkshire is 9th of 16 similar areas, up from 14th. The completion rate is increased from the previous year.	
7.23.	Suicide rate	10.8 per 100,000		England = 9.6 per 100,000 CIPFA: 7.8 to 12.1	The suicide rate in North Yorkshire is not significantly different from England. It is joint 5th highest in a group of 16 similar areas. There were 9 additional suicides in 2015-17 compared with 2014-16.	
7.24.	Excess winter deaths index	26.2%		England = 21.6% CIPFA: 14.2% to 28.9%	There were 26.2% more deaths in winter months compared with other times of year in North Yorkshire, versus 21.6% in England. North Yorkshire was 4th highest among 16 similar areas. The index was higher in winter 2016/17 compared with the previous year, but this is a volatile indicator, dependent on many factors such as weather and flu viruses. The long-term trend is flat.	
7.25.	Successful quitters at 4 weeks (smokers)	1,379 per 100,000 smokers		England = 2,070 per 100,000 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 10th of 15 similar areas. The rates have been significantly lower compared to England from 2013/14 to 2017/18. The quit rate was slightly lower in 2017/18 compared with the previous year.	
7.26.	Percentage of physically active adults	70.7%		England = 67.2% CIPFA: 64.8% to 74.8%	The proportion of physically active adults in North Yorkshire is significantly higher than England. It is 5th highest among 16 similar areas. The percentage has been significantly higher compared to England from 2015/16 to 2018/19. The rate is not significantly changed from 2016/17.	
7.27.	Proportion of dependent drinkers not in treatment	77.2%		England = 82.4% CIPFA: 77.2% to 88.2%	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. North Yorkshire has the lowest proportion compared with 16 similar areas.	Method change prevents comparison

## 7. Healthy and independent living - Primary indicators



Primary Indicators:		Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel
7.28.	Number of Living Well referrals	Q1 2019/20: 881		Q1 2018/19: 610 Quarterly target: 725	The number of Living Well referrals is 271 (44%) higher than for Q1 in 2017/18. To achieve the 2018/19 total of 2,900 referrals, a target of 725 is needed per quarter. This has been exceeded by 156 referrals (22%).	
7.29.	Life expectancy at birth (male / female)	Male: 80.7 Female: 84.2		M: England = 79.6 CIPFA: 79.2 to 80.8 F: England = 83.2 CIPFA: 82.7 to 84.2	Life expectancy at birth for both males and females are significantly higher compared with England, from 2001-03 to 2016-18. For males, North Yorkshire is joint 2 <sup>nd</sup> highest among 16 similar areas, and for female, it is joint highest. Historic improvements in life expectancy have stalled: female LE in NY has not increased in 4 years and male LE is up by 0.1y in the past 3 years, with similar patterns seen nationally.	
7.30.	Slope index of inequality in Life Expectancy at birth (male / female)	Male: 6.4 Female: 4.8	1 <sup>st</sup> (best) quintile	M: England = 9.5 CIPFA: 5.5 to 9.5 F: England = 7.5 CIPFA: 4.0 to 7.9	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 males, North Yorkshire is joint 4 <sup>th</sup> among 16 similar areas, and for females, it is 4 <sup>th</sup> .	
7.31.	Life expectancy at 65 - (male / female)	Male: 19.3 Female: 21.8		M: England = 18.9 CIPFA: 18.5 to 19.7 F: England = 21.2 CIPFA: 20.7 to 22.1	Life expectancy at 65 for both male and female are significantly higher compared with England, from 2001-03 to 2016-18. For males and females, North Yorkshire is 6 <sup>th</sup> highest among 16 similar areas.	
7.32.	Flu vaccination coverage 65+	73.6%		England = 72.6% CIPFA: 71.4% to 76.7%	Benchmarked against goal: <span style="color: red;">&lt;75%</span> <span style="color: green;">&gt;=75%</span> 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 9 <sup>th</sup> among 16 similar areas.	

## 8. 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.

73 complaints were received in Quarter 4, an increase on Q3 (n=9). Two Corporate complaints have escalated to Stage 2. There were no statutory complaints considered at Stage 2. One request for a Stage 3 Panel Hearing was received under the Statutory process. This is currently on hold, with the complainant’s agreement, due to the current situation.

At stage 1, overall 31% of complaints were upheld.

19 compliments were received during Q4 (decrease = 8 from Q3) related to support provided to families from Inclusion support, School Improvement, Disabled Children’s Service, Fostering, IRO Service, Leaving Care and Safeguarding & LAC.

### Timeliness

In relation to Corporate Stage 1 investigations, 64% were completed within timescale in Quarter 4, a reduction from Q3 (77%). This reduction in performance appears predominantly due to the impact of Covid-19 with timeliness at 90% in January then falling sharply in mid February (30%) and recovering later in March to 69%.

In relation to Statutory Stage 1 investigations 55% were completed within timescale, a decrease from Q3 (79%). Again this was largely due to the need to focus social work teams on Covid-19 support from mid February onwards.

The two Stage 2 corporate complaints received during Q4 have not yet been completed due to officer capacity. There were no Statutory Stage 2 complaints during this period.

### Root cause

Common themes during Q4 remained Disagreement with decision/action taken, Quality of communication and Service and Care (all 31%)

### Learning

Work is nearing completion on the revision of formal escalation processes, which should improve overall timeliness in normal times. The intention to provide training to new managers following major restructures in all parts of the Directorate is temporarily on hold. Guidance has however been refreshed and will be reissued shortly. The importance of good communication with service users will again be stressed.

### Ombudsman

No LGSCO decisions or enquiries were received during Q4. A draft decision relating to a case investigated pre-lockdown is currently being considered.

### Impact of Covid-19

The number of new complaints received in April and May has been similar to those received in this time period in previous years. There has therefore been little reduction in workloads. The timeliness of investigation of Statutory Stage 1 complaints completed in timescale has now improved to 100% although there are still delays in the investigation of Corporate complaints with only 40% completed to timescale during the same period. It is hoped that outstanding investigations at Stage 2 will be completed by end June.

The number of compliments recorded has however increased– 28 received in the period 1 April to 28 May: Of these, 23 related to the Covid-19 response support provided by CYPS with compliments received from Headteachers, parents, care leavers and childcare providers. Examples include:

*“We have been so impressed and grateful for the NYCC and our own school’s response - it has been absolutely fabulous during these unprecedented times.” (Parent)*

*“Super impressed with North Yorkshire and the way its kept in touch, helped with the financial side of things and answered any questions so quickly. Thank you so much for making this whole situation so smooth and stress free.” (Childcare provider)*

*“Thank you for your time and support with everything going on it means a lot, you are amazing and i appreciate everything your all doing. so grateful don’t know what i would do. you always know what to do and how to help every time you all smash it and doing the best you can with everything going on” (Care Leaver)*

*“I just wanted to drop you a line to let you know how impressed I have been with the work of two social workers who have been supporting us with some of our most vulnerable families. “A” has led this with an expertise and dedication that I have rarely seen in social care. She has trail blazed social care in a new era and has made the impossible possible during this Covid crisis.” (Headteacher)*

*“Thank you for your messages, I personally appreciate them very much and would like to thank you and your staff for the support you provide to us, you are all doing an excellent job.” (Headteacher)*

*“I felt it important to say thank you for the clear and energetic leadership you have shown to North Yorkshire’s education community during this uniquely challenging time.” (Headteacher)*

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



Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel
Smoking at the time of delivery	2018/19 10.5% (equates to 528 women)		England = 10.6% 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.	
The percentage of children aged 4 or 5 (reception) who have excess weight	2018/19 23.4%		England = 22.6% 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.	

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



Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel
The percentage of children aged 10 or 11 (Year 6) who have excess weight	<u>2018/19</u> 30.6%		England = 34.3% CIPFA: 27.0% to 35.5%	The proportion of children in Year 6 classes with excess weight has increased but remains significantly lower than England. North Yorkshire is ranked one of the best out of similar areas.	
The rate of children and young people admitted to hospital as a result of self-harm (10-24 yrs)	<u>2018/19</u> 496.4 per 100,000 population (440 10-24 year olds)		England = 440.0 per 100,000 CIPFA: 259.5 to 1,002.0 per 100,000	There were 440 admissions for self-harm in this age group in 2018/19. 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 10 <sup>th</sup> highest among 16 similar areas (previously 6 <sup>th</sup> highest). The rate of admissions is marginally down but remains significantly higher than England.	
Hospital admissions caused by unintentional and deliberate injuries to children under 15 years per 100,000	<u>2018/19</u> 108.6 per 10,000 (1,055 admissions)		England = 96.1 per 10,000 CIPFA: 75.2 to 124.9 per 10,000	There were 1,055 admissions for injuries in children aged 0-14, down from 1,190. 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 4 <sup>th</sup> highest rate among similar areas (previously highest).	
9.6. The rate of children and young people admitted to hospital for mental health conditions per 100,000 (under 18s)	<u>2018/19</u> 93.6 per 100,000 population (110 admissions)		England = 88.3 per 100,000 CIPFA: 58.4 to 153.6 per 100,000	There were 110 admissions for mental health conditions in 2018/19, up slightly from 92. 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 7 <sup>th</sup> highest among 15 similar areas. Admission rates have been similar for the past 7 years.	
First time entrants to the youth justice system aged 10-17 (per 100,000 population)	<u>Oct 18-Sep 19</u> 188		Target 430	The rate of FTE's in North Yorkshire decreased by 13 from the previous set of figures issued covering the period Apr 18 to Mar 19. No data was released covering the period Jul 18 to Jun 19. The rate of 188 is the 2 <sup>nd</sup> lowest seen in North Yorkshire and relates to 102 young people.  The rate in North Yorkshire remains lower than the regional and national rates but remains higher than the Family Group average.	
The percentage of children reaching a Good Level of Development in the Early Years Foundation Stage Profile	<u>2018/19</u> 72.8%		England = 71.8% CIPFA: 69.6% to 76.0%	This is a key indicator in relation to school readiness. North Yorkshire is marginally above the national performance for pupils achieving a Good Level of Development and performance has improved steadily over the last 3 years, with a small improvement seen last year. It is 3 <sup>rd</sup> highest among 16 similar areas.	
The percentage of pupils working at the expected standard or more in Reading, Writing and Maths Key Stage 1	<u>2019</u> Reading 74.0% Writing 68.0% Maths 74.0%		<u>2019 National</u> Reading 75.0% Writing 69.0% 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.	
The percentage of pupils working at the expected standard or more in Reading, Writing and Maths Key Stage 2	<u>2019</u> 63.0%		<u>2019</u> 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.	
Progress 8 score at Key Stage 4	<u>2019</u> 0.10		<u>2019 national</u> 0.00	The progress 8 score at Key Stage 4 is significantly above the national average.	
Average Attainment 8 score at Key Stage 4	<u>2019</u> 48.6		<u>2019 national</u> 44.5	The Attainment 8 average score at Key Stage 4 is significantly above the national average.	
Persistent absence as % of school population (primary/secondary)	<u>2018/19 2 Term</u> Primary: 7.3% Secondary: 13.2%		<u>2018/19 National 2 Term</u> Primary: 8.4% 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	 P  S

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



Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel
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> Q4 123 (1.1%)		National NEET 2.8% (March 2020) Y&H NEET 3.1% (March 2020) National Situation Not Known 2.3% (March 2020) Y&H Situation Not Known 2.3% (March 2020) NYCC Situation Not Known 7.1% (March 2020) <u>2018/19</u> Q1 145 (1.3%) Q2 74 (0.7%) Q3 101 (0.9%) 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 still below the national and regional figures although it has increased slightly since the last quarter. The percentage of 16-17 year olds with unknown education, training or employment status has now decreased but is still above the regional and National figure of 2.3%.	
The number of open early help cases (Prevention)	<u>2019/20</u> Q4 2,591		<u>2018/19</u> Q4 2,452 <u>2019/20</u> Q1 2,421 Q2 2,298 Q3 2,448	There were five successive monthly increases in the number of Households (Oct 19 -Feb 20). This has led to a position at the end of March 2020 where the number of Households were 5.7% higher than the number 12 months previously.  It is believed that changes in processing of contacts within the MAST may have contributed to the increases between Oct 19 & Feb 20.	
The total number of children subject to a child protection plan (rate per 10,000)	<u>2019/20</u> Q4 27.8 (327)		<u>2017/18</u> Q1 36.4 (427) Q2 38.2 (448) Q3 41.8 (490) Q4 44.4 (520) <u>2018/19</u> Q1 46.0 (539) Q2 40.1 (478) Q3 36.0 (422) Q4 34.5 (369) <u>2019/20</u> Q1 29.8 (349) Q2 32.6 (384) Q3 30.1 (354)	Following unprecedented growth in the number of open CPP through 2017/18 and Q1 of 2018/19 we saw a steady reduction over the remainder of 2018/19. 2019/20 has been characterised by relative stability with a further reduction in Q4. The rate at the of 2019/20 is more typical of the rates last seen in North Yorkshire in 2016.	
The total number of Children in Need (DfE Definition)	<u>2019/20</u> Q4 2,368		<u>2017/18</u> Q1 2,697 Q2 2,631 Q3 2,886 Q4 3,031 <u>2018/19</u> Q1 2,858 Q2 2,904 Q3 2,842 Q4 2,667 <u>2019/20</u> Q1 2,668 Q2 2,747 Q3 2,456	The number of Children in Need (CiN) refers to all children with an open involvement with children's social care.  We have seen a 14% decrease in the number of CiN in the 6 months between the end of Q2 and the end of Q4 2019/20. This followed a period of stability where end of Quarter numbers ranged from 2,668 and 2,842 in the previous three quarters.	

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



Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel
The total number of looked after children	<u>2019/20</u> Q4 447		<u>2017/18</u> Q1 415 Q2 409 Q3 429 Q4 437 <u>2018/19</u> Q1 434 Q2 447 Q3 454 Q4 435 <u>2019/20</u> Q1 460 Q2 440 Q3 443	The number of children in care remains stable at 447 at the end of Q4, up by 4 compared to the position at the end of December.  Of the 447 LAC reported at the end of the quarter, 19 were unaccompanied asylum seekers (UASC).	
The percentage of referrals to children's social care that are repeat referrals	<u>2019/20</u> Q4 16.3% Full year 16.3%		<u>2016/17</u> Target 20% <u>2017/18</u> Q1 12.0% Q2 18.6% Q3 14.7% Q4 15.8% Full year: 15.2% <u>2018/19</u> Q1 16.1% Q2 18.4% Q3 20.5% Q4 17.5% Full year 18.2% <u>2019/20</u> Q1 14.6% Q2 17.9% Q3 17.7%	The service continues to deliver very strong performance in respect of re-referrals.  In 2019/20 the re-referral rate was 16.3%. This is significantly lower (better) than national rates (22.6%) or the statistical neighbour average (20.0%) from 20/18/19.	
The percentage of pupils who attend a good or outstanding school	<u>End March 2020</u> Primary 80.0% Secondary 79.9%	P S	<u>End March 2020</u> Primary 87.9% Secondary 79.5%	At the end of Q4 the percentage of pupils attending a good or outstanding school continues above national at secondary, but below national at primary.	 P  S
The percentage of Education Health and Care Plans (EHCP) issued in 20 weeks (excluding exceptions)	<u>2018/19</u> Q4 96.9% <u>2019/20</u> Q4 60.5%		<u>National</u> 58%	There has been a significant drop in performance, down from 96.9% of new EHC plans being issued within 20 weeks in Q4 of 2018/19 to 60.5% in Q4 of 2019/20. This rate is now only slightly above the National rate of 58%, although there has been an increase in the number of new EHC plans being issued, 64 in Q4 of 2018/19 and 119 in Q4 of 2019/20. There has been a major restructure within the Inclusion Service recently and this is likely to have had an impact on this indicator. As the new structure becomes more bedded, this indicator will be monitored for an improvement.	
The number of children receiving SEN support	<u>Jan 2020</u> Primary: 12.4% of school population Secondary: 9.6% of school population <u>Jan 2019</u> Primary: 12.1% of school population Secondary: 8.5% of school population		<u>National</u> Primary 12.6% of school population Secondary 10.8% of school population Jan 2019	The percentage of the school population receiving SEN support continues to increase and the gap to national is reducing.	

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



Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel
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> 51.0%		<u>2018/19 National</u> 57.0%	The actual percentage of FSM pupils achieving a good level of improvement has improved but is significantly worse compared with England.	
Percentage of young people with a qualification by age 19 (Level 2 / Level 3)	<u>2018/19</u> Level 2: 86.3% Level 3: 62.2%		<u>National</u> Level 2: 82.2% 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.	
The percentage of care leavers aged 19, 20 and 21 that are in education, employment or training	<u>2019/20</u> Q1 72.0% Q2 71% Q3 66% Q4 63.4%		<u>2018/19</u> Q1 63.9% Q2 66.5% Q3 71.5% 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.	
Rate of children with an Education Health Care Plan as % of school population	<u>Jan 2020</u> <b>Primary:</b> 1.6% of school population <b>Secondary:</b> 1.4% of school population  <u>Jan 2019</u> <b>Primary:</b> 1.5% of school population <b>Secondary:</b> 1.3% of school population		<u>National</u> Primary 1.6% of school population Secondary 1.7% of school population Jan 2019	The percentage of the school population with an EHC plan continues to increase and the gap to national is reducing.	
GCSE 9-5 pass in English and Maths (Basics) at KS4	<u>2018/19</u> 47.4%		<u>National</u> 39.8%	North Yorkshire remains above the national and regional averages	
Persistent absence as % of school population (primary/secondary)	<u>2018/19 2 Term</u> Primary: 7.3% Secondary: 13.2%		<u>2018/19 National 2 Term</u> Primary: 8.4% 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	 P S 
Exclusion rate as % of school population (fixed-term/permanent)	Children Fixed-term excluded at least once 2018/19 to end Q4. 1545, 1.86% of school population 2019/20 to end Q4 1533, 1.86% of school population Permanent Exclusions: 2018/19 to end Q4. 61, 0.07% of school population 2019/20 to end Q4 54, 0.065% of school population		National 2017/18 academic year: Fixed-term child: 2.33% Permanent: 0.1% North Yorkshire 2017/18 academic year: Fixed-term child: 2.48% Permanent: 0.12%	There have been fewer permanent exclusions from North Yorkshire schools in the 2019/20 academic year to the end of Q4 than the same point in 2018/19. Levels of fixed-term exclusions are however similar to last year. National benchmarks are available for 2017/18 academic year only.	
Adult Learning - 19+ Adult Skills funded learners - Overall Achievement Rates	<u>2019/20</u> Q4 – Academic Year 19/20 80.6%		<u>2018/19</u> Q1 18/19 69.0% (Academic Year 17/18) Q2 18/19 78.5% (Academic Year 18/19) Q3 18/19 78.2% (Academic Year 18/19) 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%.	

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




Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel
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> 4.4% (136 of 3057 EHC plans)		<u>2016/17</u> 3.4% (76 of 2245 EHC plans) <u>2017/18</u> 4.0% (101 of 2545 EHC plans) <u>2018/19</u> 4.6% (128 of 2813 EHC plans) <u>2019/20 to end Q3</u> 4.4% (136 of 3057 EHC plans)	There is an increasing trend in children being placed in independent of 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.	
Under 18 conceptions (annual)	<u>2018</u> 12.8 per 1,000		England = 16.7 per 1,000 CIPFA: 10.8 to 17.1 per 1,000	The under 18 conception rates in North Yorkshire have been significantly lower than England from 1998 to 2018. The number has reduced from 366 in 1998 to 96 in 2017, but increased slightly to 122 conceptions in 2018. North Yorkshire has the 4th lowest rate amongst 16 similar areas.	
Face-to-face new birth visits undertaken within 14 days by a health visitor (%)	<u>2018/19</u> 93.2%		England = 88.8% 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 better compared to England. It is the 4th highest among 15 similar areas.	Face-to-face new birth visits undertaken within 14 days by a health visitor (%)
Eligible infants that receive a 12 month review by 15 months of age (%)	<u>2018/19</u> 97.2%		England = 82.3%* CIPFA: 63.4% to 97.4% *Annual figure includes constituent area(s) with annual figure scaled up data from three quarters' data	The percentage of infants that receive a 12 month review by 15 months of age in North Yorkshire is significantly better compared to England. It is the highest among 15 similar areas.	-
Eligible children receiving a 2-2.5 year review by the time they were 2.5 years (%)	<u>2018/19</u> 95.9%		England = 77.6%* CIPFA: 42% to 95.9% *Annual figure includes constituent area(s) with annual figure scaled up data from three quarters' data	The percentage of children who received a 2-2½ year review by the time they turned 2½ years old in North Yorkshire is significantly better compared to the England average. It is the highest among 15 similar areas.	-
Reception aged children completing a check (%)	<u>2018/19</u> <b>Q4 57.3%</b> <u>2017/18</u> Q4 66.2%		Local measure - no benchmarking data available	2017/18 data showed 66.2% for same quarter last year, so a little lower. Cumulative towards an annual target of 85%, so just below track.  This is under review as part of re-commissioning.	
Year 6 children completing a check (%)	<u>2018/19</u> <b>Q4 30.5%</b> <u>2017/18</u> Q4 30%		Local measure - no benchmarking data available	2017/18 data showed 30.0% for same quarter last year so broadly similar. Cumulative towards an annual target of 85%, so below track.  This is under review as part of re-commissioning.	
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> 97.7% (4,393 children aged 2-2.5 years old)		<u>2018/19</u> England: 90.3% 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 the England proportion.	
% of Care Leavers (aged 19, 20 or 21) that the local authority is not 'in-touch' with	<u>2019/20</u> Q1 98.2% Q2 97% Q3 97% Q4 97.5%		<u>2018/19</u> Q1 98.7% Q2 98.7% Q3 98.8% 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).	
% of Care Leavers (aged 19, 20 or 21) in suitable accommodation	<u>2018/19</u> Q1 92.7% Q2 91.7% Q3 91.4% Q4 91.5%		<u>2018/19</u> Q1 93.7% Q2 92.4% Q3 93.9% 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%)	
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 Q4 2019/20</u> 85.4%		<u>End Q3 2019/20</u> 86.4%	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.	
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 Q4 2019/20</u> 81.5%		<u>End Q3 2019/20</u> 84.3%	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.	



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



Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Direction of travel
9.43.	% of respondents who we either satisfied or very satisfied with the involvement from the Children & Families Service  <u>End Q1 2019/20</u> 96.9%		<u>2018/19</u> Q4 95.3% Q3 98.6% Q2 96.7% 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.	

## 2.0 REVENUE BUDGET 2019/20

### 2.1 BACKGROUND AND SUMMARY

- 2.1.1 This section of the report presents details of the revenue outturn for the 2019/20 financial year. The final in-year 2019/20 budget is £387,353k with the net movement since the budget approved by Executive and County Council in February 2019 shown in **Appendix A**.
- 2.1.2 The overall 2019/20 revenue outturn position of the County Council is a net saving of £6,579k (-1.7%) against operational budgets. This compares with a projected saving at Q3 of £6,419k. Further detail is provided in **section 2.2**.
- 2.1.3 This underspend will be added to the Strategic Capacity – Unallocated Reserve in order to help support corporate objectives and priorities as set out in the Council Plan as well as helping to manage any future budget shortfalls.
- 2.1.4 Although the overall bottom line position is positive it has been a challenging year in many ways with significant pressures within both Adult Social Care and Children's Services. As in previous years, the outturn position for Health and Adult Social Care has been improved by the application of the improved Better Care Fund which is helping to support the pressure on the Care and Support purchasing budgets. Additional funding for Winter Pressures and High Needs have also been utilised to help with demand pressures, which is detailed in Section 2.2 below. Demand pressures are forecast to continue in the future, hence the prudent action taken by the Council to build in growth within the 2020/21 budget and beyond.
- 2.1.5 A significant, and growing, element of the financial pressure on the County Council's budget over the last few years has come from services for children. This includes a number of areas that are ostensibly funded through the Dedicated Schools Grant (DSG). However, because this funding from central government has been insufficient to meet the demands upon it, the additional costs have fallen on to the County Council. However in February 2020, the DfE changed the regulations to expressly prohibit local authorities from using general fund resources to meet such costs. This regulation applies to the DSG underfunding in 2019-20. The High Needs in-year deficit position for 2019-20 amounts to £4.5M and the accumulated deficit position amounts to £6.1M. When taking into account available one-off funds from Schools and Early Years Blocks, the overall accumulated DSG deficit amounts to £1.5M which represents 0.4% of the 2019-20 DSG allocation. Details of the most significant areas of pressure are shown in the table at Para. 2.2.14.
- 2.1.6 Obviously the Covid crisis started to impact toward the very end of the financial year so the direct effect on expenditure and income in 19-20 has been relatively minor. Details of its impact in 20-21 will be included in the Executive's quarterly performance update reports. However, in light of its potential longer term implications for the general economy there has been a recognition of the need to strengthen our provision for doubtful debts and to recognise potential reduced investment returns. These are detailed in the report and reflected in the attached appendices.

## 2.2 OPERATIONAL BUDGETS

2.2.1 The table below identifies the operational budgets for each of the Directorates in 2019/20. The net revenue outturn indicates a number of variances, which together total a saving of £6,579k. Issues of note include:

- Significant financial pressures in Health & Adult Services and Children & Young People's Services;
- Savings in Corporate Miscellaneous & Business and Environmental Services. The majority of these are of a non-recurring nature so whilst these more than offset the pressures in other Directorate budget lines in 2019/20, not all of these will necessarily recur in 2020/21.

<b>Directorate</b>	<b>Budget (£k)</b>	<b>Projected Outturn (£k)</b>	<b>Variance (£k)</b>	<i>Q3 Projected Outturn Variance (£k)</i>
HAS Gross	157,096	<b>164,563</b>	<b>+7,467</b>	<b>+6,836</b>
LESS: iBCF deployed	0	<b>(3,844)</b>	<b>(3,844)</b>	<b>(3,414)</b>
Less: Winter Pressures Grant	0	<b>(2,424)</b>	<b>(2,424)</b>	<b>(2,424)</b>
Less: Corporate Contingency Deployed	1,000	-	<b>(1,000)</b>	<b>(1,000)</b>
<b>HAS Net</b>	<b>158,096</b>	<b>158,295</b>	<b>+199</b>	<b>(2)</b>
<b>BES</b>	<b>78,384</b>	<b>75,029</b>	<b>(3,355)</b>	<b>(2,964)</b>
CYPS Gross	74,229	82,472	<b>+8,243</b>	<b>+8,906</b>
LA Contribution to High Needs	3,748	-	<b>(3,748)</b>	<b>(3,748)</b>
Less: Additional High Needs DSG	-	1,243	<b>(1,243)</b>	<b>(1,243)</b>
Transfer from DSG Schools Block	-	2,400	<b>(2,400)</b>	<b>(1,973)</b>
<b>CYPS Net</b>	<b>77,977</b>	<b>78,829</b>	<b>+852</b>	<b>+1,942</b>

<b>Central Services</b>	<b>62,099</b>	<b>62,193</b>	<b>+94</b>	<b>+470</b>
<b>Corporate Misc.</b>	<b>10,796</b>	<b>6,429</b>	<b>(4,367)</b>	<b>(5,865)</b>
<b>TOTAL</b>	<b>387,353</b>	<b>380,774</b>	<b>(6,579)</b>	<b>(6,419)</b>

- 2.2.2 A summary of the overall **Health and Adult Services (HAS)** position is outlined in **Appendix B**. This shows that the Directorate has utilised the £2.4m of Winter Pressures funding allocated by central government and £3.8m of iBCF (improved Better Care Fund) to meet Adult Social Care Pressures. In addition to this, and as reported previously, the directorate has used the remaining £1.0m of the HAS growth contingency budget.
- 2.2.3 Overall, the final position for the Directorate is an overspend of £199k, compared with a broadly break-even position (after use of the above funds) at Q3.
- 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 offset budget pressures in the future, this is not guaranteed.
- 2.2.5 The main cost pressure within adult social care continues to fall within Care and Support budgets, with this area overspending by £8.6m, highlighting the significant demand-led pressures faced by this area. The overspend increased by £1.4m since Q3 due to 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 and then are unable to contribute any further to the full cost of their care. The Council then has a legal obligation to pick up the difference. Costs for packages of care backdated from previous financial years of £1.9m have been funded from reserves (including iBCF) and therefore do not impact on the overspend. The figures also include an overspend of £174k on transport costs incurred by Integrated Passenger Transport. This has been investigated as part of a focussed review and should not be an issue in future years.
- 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 funding. However, we are aware of our responsibilities in response to the coronavirus pandemic and additional costs this will incur, some of which will be ongoing. The impact of this will have an effect on the financial position for 2020/21 and beyond.

- 2.2.7 Social Care Provider Services and Extra Care (EC)/Personal Care at Home (PCAH) have an underspend of £0.6m, an increase in underspend of £0.4m compared to the forecast position at Q3. This is due to increased contributions from people who use care services and Continuing Health Care income. This area is subject to fluctuations as it is case dependent, however this area will be reviewed in 2020/21.
- 2.2.8 The Mental Health overspend is £0.3m, which is a decrease of £0.2m in comparison to the Q3 position. This was primarily due to a review of cases.
- 2.2.9 As highlighted in the previous report, Public Health continues to underspend, with this area forecasting a gross underspend of £0.7m compared with plans at the start of the year. This underspend is matched by a reduced reserve draw down requirement and in 2019-20 we have used £1.9m of the reserve.
- 2.2.10 **Appendix C** includes details of the projected variance within **Business and Environmental Services**. The in-year savings identified at Q3 were achieved, with further areas contributing to the in-year underspend. These included the success of the LED Replacement project which continued to deliver benefits further reducing maintenance and energy costs; the continued mild winter which resulted in further reduced demand for salt, and the timing of recruitment to vacancies which resulted in further in-year staff budget savings across the Highways and Transport teams. Countryside Access undertook works on the public rights of way network during the final quarter of 2019/20, which was one off in its nature to improve surfaces, footpaths and footbridges.
- 2.2.11 A summary of the outturn for **Children and Young Peoples Services** (CYPS), a net overspend position of £0.9m, is shown at **Appendix D**. The following areas have changed since the last quarter's report to Executive:

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

Reduction of £270k in overspend. The cost of local commissioning turned out to be lower than previously anticipated. Contributions from health towards packages is also £70k higher than last year, however this is due to claims for back charges for historical agreements and does not reflect the general downward trend in income received from health over the last three years.

#### **Inclusion**

An increase of £210k in the underspend on this budget. The transition from Enhanced Mainstream Schools (EMS) to targeted provision has resulted in non-recurring in-year savings.

#### **Child Placements**

An increase in the underspend of £330k. Unaccompanied Asylum Seeking Children (UASC) income was higher than anticipated; in-house fostering also had lower than anticipated weekly costs for the final quarter of the year.

2.2.12 The Executive should also note that significant financial pressures have continued in the following areas, as previously highlighted in Q3:

#### **High Needs**

An increase of 68% in the number of Education, Health and Care Plans (EHCPs) since 2014 has given rise to a significant increase in cost. The cost is funded by a specific government grant (Dedicated Schools Grant), and the overspending has been carried forward to future financial years in accordance with the Schools & Early Years Finance Regulations 2020.

#### **Home to School Transport**

The financial pressure on SEN Transport is linked to the increase in the number of children and young people assessed as requiring EHCPs, and reduction in income related to Public Services Vehicle Accessibility Regulations (PSVAR).

#### **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.

#### **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.

2.2.13 **Central Services** budgets overspent by £94k, further details are included in **Appendix E**. Changes from Quarter 3 are within Technology & Change, HR and Business support, where additional income, process efficiencies and timing to recruit to vacancies offset a portion of the cost pressures that had been expected at Q3. The staffing pressures in legal services were offset by successful court case reimbursement which was not known at Q3. Policy & Partnerships and registrars services were both impacted by COVID19 throughout March.

2.2.14 Key variances were reported at Q3 and an update on these areas are outlined below:

<b>Directorate</b>	<b>Service</b>	<b>Outturn Q4</b>	<b>Projection Q3</b>
CYPS	Home to School Transport	+£1,000k	+£973k

CYPS	Disabled Children's Services	+£275k	+£575k
CYPS	Pooled Budgets for Residential Care	+£779k	+£891k
CYPS	Child Placements	-£119k	+£207k
CYPS	School Redundancies & Employment Related Costs	+£178k	+£184k
CYPS	Children & Families	-£999k	-£847k
CYPS	School Improvement	-£228k	-£150k
DSG	High Needs Commissioning	+£945k	+£889k
HAS	Care and Support Budgets	+£8,576k	+£7,179k
HAS	Mental Health	+£278k	+£476k
HAS	Commissioning & Quality	-£649k	-£550k
CS	Technology and Change	+£272k	+£537k
CS	Registrars	-£306k	-£415k
BES	Winter Maintenance	-£1,300k	-£850k
BES	Other Highways and Transportation Services	-£2,633k	-£1,666k
BES	Countryside Services	+£650k	+£68k
Corp Misc.	Corporate Contingency (recurring)	-£5,000k	-£5,000k
Corp Misc.	Provision for doubtful debt and investment returns	+£1,665	0
Corp Misc.	Business Rates Pilot Scheme (one-off)	-£1,200k	-£1,200k

*The items marked as DSG are funded from the Dedicated Schools Grant but as the grant funding is not sufficient to cover these costs the shortfall will impact on the County Council budget.*

2.2.15 The detailed explanations for the variances highlighted in the table above are set out in this report and/or in the previous 2019/20 quarterly monitoring reports.

2.2.16 In addition to the saving on the Business and Environmental Services Budget, there are a number of non-recurring savings in **Corporate Miscellaneous**, which have helped to offset the financial pressures elsewhere. The most significant variances are included within the table below:

	£m
Corporate Savings Contingency for undelivered savings - not required in 2019-20	(£5.0m)
Waste Strategy Contingency not required in 2019-20	(£0.8m)
Net Additional funding streams – including Brexit grant, levy account surplus and additional grants relating to indexation of business rates	(£1.9m)
<i>Offset by</i>	
Reduction in investment income due to market uncertainties and reduced lending for external capital investment	£1.3m
Increased provision for doubtful debt	£0.7m
Shortfall in commercial savings target	£0.4m
Provision for reduced commercial property returns linked in particular to Covid19 impact	£1.0m

2.2.17 The County Council has invested in several commercial investment opportunities during 2019/20. The full extent and impact of Covid-19 on commercial property markets, both in the near term and beyond cannot yet be confidently quantified. However, there is obviously increased potential for losses to be incurred going forward due to the current economic environment. As a result, £1m in 19/20 has been set aside to mitigate any potential future losses on commercial property Investments.

Details of the variances are provided in **Appendices B-F**.

2.2.18 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 Improved Better Care Fund

2.3.1 North Yorkshire's use of the £19m iBCF grant has been revised based upon current spending plans and discussions with our partners:



	Allocation	Revised Spend
	£m	£m
2017-18	9.3	3.7
2018-19	6.9	5.9
2019-20	3.4	10.0
<b>Total</b>	<b>19.6</b>	<b>19.6</b>

2.3.2 The Integration and Better Care Fund Planning Requirements for 2017-19 published on Monday 3rd July 2017 confirmed that the funding is provided to Local Authorities with conditions for the purposes of:

- Meeting adult social care needs
- Reducing pressures on the NHS, including supporting more people to be discharged from hospital when they are ready; and
- Ensuring that the local social care provider market is supported.

2.3.3 The spending of this grant has taken into account:

- Market intelligence regarding pressures and capacity in the care and support markets in North Yorkshire;
- DTOCs across North Yorkshire, including work to implement the High Impact Changes for managing transfers of care;
- Underlying £6 million annual pressure on social care purchasing budgets, due to complexity of care, market premiums and challenges with sourcing care packages;
- Steer from NYCC Executive Members;
- Feedback from the North Yorkshire NHS and care provider partners;
- Opportunity for partners within the four A&E Boards (which operate for each of the CCG/Acute Health Trust footprints), where possible, to feed in ideas and also a further opportunity to discuss the proposed schemes and use of the money to deliver the required impact for the health system before being presented to the Health and Wellbeing Board.
- Accountability for this investment (as part of the s75 agreement with health partners) is through the Health and Wellbeing Board and regular updates are provided.

2.3.4 Given the non-recurring nature of the funding, it was agreed in 2017 that unless and until recurrent additional funding is made available by the Government, that the County Council limits its exposure to recurrent financial risk for these schemes to a maximum of £3.4m, which reflects the value of the final year's grant allocation. The 2020-21 funding has now been confirmed non-recurrently at £3.4m and the value of schemes for 2020-21 have been agreed within this financial envelope.

## 2.4 **Welcome to Yorkshire (WtY)**

2.4.1 A request was received from WtY by Councils in the region to help fund the organisation through 2020/21. To help understand the size and nature of that ask, it is important to reflect on how WtY has been funded:

- 2018/19 – funding was received directly from Councils both in the form of subscription payments and one-off grant funds. For NYCC, the payments were £84,378 (subscription) and a notional share of £250,000 from the North Yorkshire business rates pool.
- 2019/20 – it was agreed that the North & West Yorkshire (N&WY) business rates pool would directly fund WtY with the values proportionate to previous years. Therefore, whilst not direct, NYCC's notional share could be considered consistent.
- 2020/21 – as a result of Covid-19, the N&WY business rates pool is not going to be able to afford to fund WtY this year and so the organisation has put a request in to partners.

In addition to the £84,378 standard subscription, NYCC have pledged a direct contribution of £76,600 plus £215,000 from ring-fenced Directors of Development funding (which itself is an accumulated fund from previous business rates surplus).

## 2.5 BUDGET/ MTFs SAVINGS TARGETS

- 2.5.1 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 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>

- 2.5.2 Assessment of progress against the targets indicates that there are some areas of the programme where savings were not 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
Commercial savings target	£400k

Finance savings	£63k
Inclusion Restructure	£146k

2.5.3 In addition part of the savings from schemes in earlier years: Disabled Children's Services (£67k), Education Psychology Review (£100k) and Income and Debt Management (£35k) 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**

2.5.4 Variances from the 2019/20 Budget will continue to be monitored through 2020/21 to ensure savings are delivered as part of the governance of the 2020 North Yorkshire Programme. The net position is always reported within the quarterly Revenue Budget monitoring report and details of the variances are shown in **Appendices B to F**.

2.5.5 Many of these savings represent major changes going forward, along with the associated risk, and therefore it is imperative that delivery of each saving is closely monitored. Due to the risk to delivery of some of the savings, the Corporate Savings Contingency of up to £7m 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.

## 2.6 GENERAL WORKING BALANCE

2.6.1 A key feature of the Revenue Budget for 2020/21 and Medium Term Financial Strategy, approved by County Council on 19th February 2020, is to maintain the General Working Balance (GWB) at a defined minimum acceptable level.

2.6.2 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;

2.6.3 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 underspend against operational budgets in 2019/20 of £6,579k, as outlined in **paragraphs 2.2.1 to 2.2.13**, has therefore been transferred into the Strategic Capacity –

Unallocated Reserve, and will be available to assist with MTFS/ Budget and investment decisions in 2020/21 and future years. Where sums were earmarked for other specific purposes they have been transferred to specific operational reserves.

2.6.4 The 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 from reserve	(£5,335k)
Release of reserves following review	£2,431k
New Additions/drawdowns	£4,129k
Net projected underspend	£6,579k
Balance as at 31.03.20	£47,557k

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

Year End	Start of Year	Latest Forecast			
		MTFS	Other base budget contributions	Other use of reserve	End of Year
	£000	£000	£000	£000	£000
31 March 2020	39,753	(5335)	6,560	6,579	47,557
31 March 2021	47,557	(3,921)	-	-	43,636
31 March 2022	43,636	(13,387)	-	-	30,249
31 March 2023	30,249	(15,957)	-	-	14,292
31 March 2024	14,292	(19,002)	-	-	-4,710

2.6.6 The table at 2.5.5 includes the projected impact of the budget shortfall identified in the February 2020 MTFS. These projections, which show that the Council will have a recurring savings gap of £19.0m, assume that further 'new' savings are not identified and is therefore very much a 'worst case scenario'. Measures are in progress to address the shortfall – which in some cases include using funds for investment in infrastructure, invest to save for service transformation or to generate a revenue saving. However, at this stage the

figures in the table do not include any potential impact of the Covid-19 crisis on the reserve balances available for future years.

## 2.7 Recommendation

That the Executive

- (i) notes the outturn position for the County Council's 2019/20 Revenue Budget as summarised in **paragraph 2.1.2**
- (ii) approves the additional pledged contributions of £76,600 and £215,000 (from the Directors of Development fund) to Welcome to Yorkshire (**paragraph 2.4.1**)
- (iii) notes the position on the GWB (**paragraphs 2.6.1 to 2.6.3**)
- (iv) notes the position on ' Strategic Capacity – Unallocated' reserve (**paragraphs 2.6.4 to 2.6.6**)

## 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 31/03/2020

	Original Budgets agreed by Cty Cncl on 20/02/19 £000s	Other agreed transfers and adjustments £000s	Latest Revised Budgets £000s
Children & Young Peoples' Service	77,959	18	77,977
Business & Environmental Services	78,504	(120)	78,384
Health & Adult Services	157,109	987	158,096
Central Services Directorate	62,051	48	62,099
Corporate Miscellaneous	11,820	(1,024)	10,796
NYES	(90)	90	-
<b>Total Directorate Spending</b>	<b>387,353</b>	<b>(0)</b>	<b>387,353</b>
<b>Contribution From (-) Strategic Capacity Reserve</b>	<b>(5,335)</b>	<b>-</b>	<b>(5,335)</b>
<b>Net Revenue Budget</b>	<b>382,018</b>	<b>(0)</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>-</b>	<b>382,018</b>

<b>HEALTH &amp; ADULT SERVICES</b>				
Appendix B				
<b>2019-20 REVENUE BUDGET OUTTURN REPORT</b>				
BUDGET HEAD	REVISED BUDGET	FINAL OUTTURN	VARIANCE	COMMENTS
<b>Care &amp; Support</b>				
<u>Area Budgets</u>				
Care & Support - Hambleton & Richmond	27,333	27,505	172	The outturn shows that the fundamental demand-led pressures within Care and Support continue to increase, particularly in the Harrogate area. The pressure of increased numbers, increase in average costs, Continuing Health Care (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 Miscellaneous (see below).
Care & Support - Harrogate	37,599	43,125	5,526	
Care & Support - Craven	10,761	12,568	1,807	
Care & Support - Scarborough, Whitby & Ryedale	42,267	44,978	2,712	
Care & Support - Selby	15,000	16,203	1,203	
CHC Income and Other Budgets	-	(2,844)	(2,844)	
	132,959	141,535	8,576	
<b>Provider Services &amp; EC/PCAH</b>	15,017	14,436	(582)	Underspend mainly relates to increases in income from client contributions and CHC
<b>Targeted Prevention</b>	998	891	(107)	Underspend due mainly to staffing vacancies and receipt of additional income.
<b>Mental Health Services</b>	8,620	8,898	278	The overspend is linked to the use of agency staff for specialist roles and also pressure due to increased residential costs.
<b>Assistant Director/Cross-area budgets</b>	(11,174)	(11,020)	155	Overspend primarily due to increased Integrated Passenger Transport recharge.
<b>Area Budgets Total</b>	<b>146,419</b>	<b>154,740</b>	<b>8,321</b>	
<b>Public Health</b>				
Spend	24,004	23,318	(686)	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 schemes against original targets.
Income	(24,004)	(23,318)	686	
<b>Commissioning &amp; Quality</b>	9,137	8,487	(649)	Some one-off savings due to contract negotiations and underspends due to contract efficiencies
<b>Integration &amp; Engagement</b>	869	734	(135)	Underspend primarily due to staffing vacancies and contract efficiencies.
<b>Resources Unit</b>	480	408	(73)	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>164,563</b>	<b>7,467</b>	
Supplementary Adult Social Care Grant Funding (Winter Pressure)	-	(2,424)	(2,424)	
Supplementary Adult Social Care Grant Funding (IBCF)	-	(3,844)	(3,844)	
Capital Contingency Deployed	1,000	-	(1,000)	
<b>REVISED TOTAL</b>	<b>158,096</b>	<b>158,295</b>	<b>199</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 BUDGET</b>	<b>FINAL OUTTURN</b>	<b>VARIANCE</b>	<b>COMMENTS</b>
Highways & Transportation	29,700	25,767	(3,933)	Variance made up of underspends across the service, including; Winter Service - Mild Winter resulted in reduced gritting requirements (-£1,300k) Road Lighting - Energy and Maintenance cost reduction due to accelerated LED replacement scheme, plus income from additional chargeable works (-£1,645k) Various Temporary Staffing Vacancies across Highways & Transportation Teams (-450k) Additional Income from Streetworks Licenses (-£440k) Bridges (-140k)
Integrated Passenger Transport	9,082	9,046	(36)	Staff Vacancies
Trading Standards & Planning Services	2,406	2,329	(76)	Additional Income from heritage services, along with vacancies in Trading Standards Team
Waste & Countryside Services	36,483	37,206	724	Various Public Rights of Way improvements (£650k) including; Surfacing Repairs, Equipment upgrades, Signpost replacement, Footpath and footbridge repairs. Waste (£74k) A combination of reduced income for recyclates due to decreasing market prices and increased cost for processing, maintenance at HWRC's and increased operational costs at waste transfer stations. These additional costs, are partially offset by additional contractual benefits delivered under commercial contracts.
Economic Partnership Unit	205	205	-	
Resources, Performance & Improvement	5	1	(4)	
Corporate Director of BES	506	476	(30)	
<b>REVISED TOTAL</b>	<b>78,384</b>	<b>75,029</b>	<b>(3,355)</b>	



CHILDREN & YOUNG PEOPLE'S SERVICE				
Appendix D				
2019/20 REVENUE BUDGET OUTTURN REPORT				
BUDGET HEAD	REVISED BUDGET	FINAL OUTTURN	VARIANCE	COMMENTS
<i>LOCAL AUTHORITY</i>				
<b>Inclusion</b>				
Inclusion	1,006	1,109	103	Overspending related to non-recurring costs on the cost of Education Psychology. The position has improved compared to Q3 following an increase in income from Fixed Penalty Notices associated with non-attendance at school.
Alternative Provision	-	-	-	
Early Years	51	0	(51)	
CYPS Commissioning	1,230	1,232	2	
<b>SEND - Special Educational Needs &amp; Disabilities</b>				
Assessment & Review Officers	666	627	(38)	
High Needs Commissioning	3,748	3,732	(16)	
Disabled Children's Services	5,135	5,407	272	Overspending associated with costs of local commissioning. The overspend is a reduction compared with Q3.
Home to School Transport	25,259	26,259	1,000	£270k overspend due to two additional days over the standard 190 transport days; £350k of income pressure resulting from the temporary suspension of charging for post-16 provision and spare seats from September 2019; and £387k due to growth in pupil numbers.
Children & Families	34,827	33,831	(995)	Underspending reflects lower than anticipated costs of child placements, an increase in income from the Home Office for unaccompanied asylum seeking children (£200k) and vacancies not filled.
CYPS Pooled Budgets	1,414	2,193	779	Overspending associated with higher than anticipated numbers of children in high cost residential placements.
Director's Unit	27	(58)	(86)	One off income arising from the sale of equipment and receipt of innovation income.
<b>Education &amp; Skills</b>				
Education & Skills Other	103	259	156	One-off overspend associated with the cost of EMA Hubs. Management action to address the overspend through a restructure has been completed.
School Improvement	1,559	1,273	(286)	Underspending following the implementation of a restructure.
Strategic Planning Team	51	44	(7)	
Music Service	-	(68)	(68)	
Outdoor Learning Service	-	79	79	
<b>Finance &amp; Management Support</b>				
Finance & Management Support	673	441	(232)	Underspend relates to an increase in Extended Rights to Free Travel Grant.
Early Years Review	215	185	(30)	
Sponsored Academy Deficits	-	-	-	
School Redundancies & Employment Related Costs	838	1,045	207	
Safeguarding Unit	1,175	1,238	63	
Schools & Units	-	-	-	
<b>LOCAL AUTHORITY TOTAL</b>	<b>77,977</b>	<b>78,829</b>	<b>852</b>	
<i>DSG</i>				
<b>Inclusion</b>				
Inclusion	6,821	6,660	(161)	One-off underspending on Enhanced Mainstream School budgets following decisions to de-commission existing arrangements and transition to new targeted provision arrangements.
Alternative Provision	4,304	4,163	(141)	
Early Years	50	(1)	(51)	
CYPS Commissioning	-	-	-	
<b>SEND - Special Educational Needs &amp; Disabilities</b>				
Assessment & Review Officers	39	39	-	
High Needs Commissioning	40,369	41,471	1,102	Overall High Needs Block has a net overspend of £4.5m, the Local Authority had planned to establish a £3.7m provision against this overspend as future DSG funding certainty was not forthcoming from DfE.
LA Provision to High Needs	(3,748)	(3,748)	-	
Children & Families	2,600	2,478	(123)	
CYPS Pooled Budgets	1,565	1,565	-	
Director's Unit	207	207	-	
<b>Education &amp; Skills</b>				
Education & Skills Other	22	14	(8)	
School Improvement	383	369	(14)	
Strategic Planning Team	709	640	(69)	
<b>Finance &amp; Management Support</b>				
Early Years Review	(185)	(185)	-	
Finance & Management Support	(53,512)	(53,248)	264	
School Redundancies & Employment Related Costs	377	377	-	
<b>DSG TOTAL</b>	<b>-</b>	<b>800</b>	<b>800</b>	
<b>HN Overspend Carried forward</b>		<b>(800)</b>	<b>(800)</b>	HN Spending exceeded the planned LA contribution by £800k. This has been funded through the HN DSG reserve, leaving the accumulated HN DSG (negative) reserve of £6m as at 31/03/20.
<b>TOTAL</b>	<b>77,977</b>	<b>78,829</b>	<b>852</b>	

<b>CENTRAL SERVICES</b>				
Appendix E				
<b>2019-20 REVENUE BUDGET OUTTURN REPORT</b>				
BUDGET HEAD	REVISED BUDGET	FINAL OUTTURN	VARIANCE	COMMENTS
<b>Strategic Resources</b>				
Financial Services	3,820	3,785	(35)	
Insurances	2,298	2,298	-	
Property Services	13,503	13,569	65	Licensing Costs for Safety Risk
Technology & Change	11,068	11,340	272	Cost pressure in finance systems - £130k and staffing pressure in Data & Intelligence Team - 120k
Customer Services	2,306	2,319	12	
	32,996	33,310	314	
<b>Business Support &amp; HR</b>				
Business Support Services	13,473	13,390	(84)	£100k Business Travel £55k Disclosure & Barring Service Income Pressure (-£115k) administrative supplies
HR Services	3,184	3,111	(73)	(-£125k) Staffing Vacancies Staffing Vacancies & additional income for HR support provided
	16,657	16,501	(156)	
<b>Chief Executives Office</b>				
CEO Support Services, Grants & Subscriptions	435	417	(18)	
Communications Unit	732	749	17	
Policy & Partnerships	2,690	2,784	94	Food Voucher Scheme & Community Support throughout COVID 19 period.
	3,857	3,949	93	
<b>Legal &amp; Democratic Services</b>				
Democratic Services	530	475	(55)	Staffing Vacancies
Legal Services	2,060	2,016	(44)	
Members Services	1,179	1,172	(7)	
	3,769	3,663	(106)	
<b>Library, Customer &amp; Community Services</b>				
Archives & Records Management	386	384	(2)	
Coroners	747	1,034	287	Coroners Salaries, set by chief Coroner. NHS Cost pressures for use of facilities
Public Library Service	4,103	4,072	(30)	
Registrars	(415)	(721)	(306)	Additional service demand, along with increase in fees for registration certificates
	4,821	4,770	(51)	
<b>REVISED TOTAL</b>	<b>62,099</b>	<b>62,193</b>	<b>94</b>	

CORPORATE MISCELLANEOUS				
Appendix F				
2019-20 REVENUE BUDGET OUTTURN REPORT				
BUDGET HEAD	REVISED BUDGET	FINAL OUTTURN	VARIANCE	COMMENTS
<b>ANNUAL BUDGETS AND FUNDING (Excluding PIP)</b>				
<b>Contingencies</b>				
General Provision	8,622	4,622	(4,000)	In year underspend on provision for 2020 savings programme offset by initial £1m provision for investment losses linked to covid19
HAS Corporate Contingency	1,000	1,000	-	
Brexit Contingency	3,000	2,825	(175)	
2020 North Yorkshire	2,000	2,000	-	
	14,622	10,447	(4,175)	Brexit Grant Funding from the government
<b>Broadband</b>	-	-	-	
<b>Treasury Management</b>				
Capital Financing Costs	23,313	23,030	(283)	Reduced financing costs because of a lower than anticipated capital borrowing requirement.
Dividends & Interest Earned	(2,242)	(1,347)	895	Reflects the impact of Brexit uncertainties on invest rates
MTFS - Commercial Investments	(673)	(237)	436	Reflects current vacant occupancy by one tenant plus provision for potential loss in capital investment (£310k)
MTFS - Treasury Management Savings	(2,235)	(2,235)	-	
	18,163	19,211	1,048	
<b>Corporate Budgets</b>				
Corporate Funds	400	387	(13)	Includes increased provision for Bad Debts (£665k)
Other Corporate Budgets	(1,107)	115	1,222	
	(707)	502	1,209	
<b>Corporate Funding</b>				
Corporate Grant Funding	(18,961)	(18,808)	153	
Other Corporate Funding	(1,495)	(1,169)	326	
	(20,456)	(19,977)	479	
<b>Business Rates &amp; Council Tax</b>				
Business Rates Funding	(2,896)	(5,004)	(2,108)	Additional Business Rates and linked grant funding including from the 75% retention pilot
Business Rates Deficit	-	-	-	
Council Tax Surplus	1,249	1,249	-	
	(1,647)	(3,755)	(2,108)	
<b>TOTAL - Excluding PIP</b>	<b>9,975</b>	<b>6,429</b>	<b>(3,546)</b>	
Waste Budget Strategy Provision	821	-	(821)	Provision not required in 2019-20
<b>GRAND TOTAL</b>	<b>10,796</b>	<b>6,429</b>	<b>(4,367)</b>	

NORTH YORKSHIRE EDUCATION SERVICES				
Appendix G				
2019-20 REVENUE BUDGET OUTTURN REPORT				
BUDGET HEAD	BUDGET Profit(-) Loss(+)	FINAL OUTTURN Profit(-) Loss(+)	VARIANCE Increase (-) / Decrease (+)	COMMENTS
<b>Traded Services Profit / Loss Summary</b>				
Building Cleaning Services	(650)	(480)	170	Considerable stretch target built into this budget which is linked to management of vacancies.
County Caterers Service	(900)	327	1,227	Significant fall in income, partially due to the closure of Schools due to the Covid-19 lockdown and partially due to reduced take up and income throughout the year following the change in pricing structure.
Grounds Maintenance Service	(40)	66	106	Due to 3 years of backdated rent and rates £49k, plus additional fleet recharges of £8k
Arbor Service	-	-	-	
Health and Safety Service (HandS)	(40)	(103)	(63)	Significantly expanded trading with schools. Additional contract work has been undertaken without any associated increase to the H&S staffing establishment during the year. This is viewed as unsustainable in the short to medium term, plans to recruit additional posts during 2020/21.
Health and Safety Commercial	(27)	(25)	2	
Energy Traded Service	(24)	(47)	(24)	
Property Service - Traded	-	0	0	
Broadband Traded	-	-	-	
Maintenance and Servicing Scheme	(181)	(732)	(551)	Primarily due to improved monitoring and control of costs throughout the traditionally costly winter period (January to March 2020).
<b>Property &amp; Facilities</b>	<b>(1,861)</b>	<b>(994)</b>	<b>867</b>	
CYC	-	-	-	
School Improvement Service	(160)	(180)	(20)	The income was lower than previously forecasted, however this was offset by lower staffing and non-staffing expenditure at Q4 compared to Q3 forecast and budget.
LA Clerking Service	(30)	(2)	28	Service is trying to expand outside of NYCC, as a result they are continually recruiting. The service has seen a reduction in extra, additional meetings, Schools and GBs have also reduced the number of meetings they require. HoS was on maternity leave during the year.
Education Psychology & STS	(40)	(2)	38	Reduction in traded income.
Specialist Careers Service	-	35	35	Income was slightly higher than previously forecasted; however, it was still lower than target.
<b>Education &amp; Skills</b>	<b>(230)</b>	<b>(148)</b>	<b>82</b>	
School Admissions & Appeals	-	-	-	
Document Management Centre	-	-	-	
Prevention	-	-	-	
Financial Management Services	(202)	(223)	(21)	
Health and Wellbeing Service	(72)	(143)	(71)	This is due to maintaining contract work whilst controlling staffing costs.
HR Advisory Service	(37)	(194)	(157)	Increase in additional/bespoke work and training.
Legal Services Traded	(21)	(10)	12	
North Yorkshire Procurement Service	(50)	(74)	(24)	
Schools ICT Service	(251)	(258)	(8)	Includes broadband from 2019/20- saving this year through redesigning the scheme.
Performance and Intelligence	-	-	-	
Training and Learning	(5)	(65)	(60)	
Employment Support Service - Traded	(121)	(127)	(6)	Mainly due to staffing underspends and more income than forecasted.
<b>Professional Support Services</b>	<b>(759)</b>	<b>(1,094)</b>	<b>(335)</b>	
	<b>(2,850)</b>	<b>(2,237)</b>	<b>613</b>	
<b>Insurances</b>				
Balance of Risks	-	-	-	
Insurance Services	-	-	-	
Staff Absence Scheme	-	-	-	
	-	-	-	
Central Traded Establishment	1,250	681	(569)	Includes Insurance and support service recharges (£832k) Commercial Challenge £1.2m partially offset by £700k transfer from reserve for NYES support
North Yorkshire Education Solutions (NYES)	1,600	1,556	(44)	
<b>REVISED TOTAL</b>	<b>-</b>	<b>-</b>	<b>-</b>	

### 3.0 ANNUAL TREASURY MANAGEMENT AND PRUDENTIAL INDICATORS REPORT 2019/20

#### OVERVIEW

3.1 This section of the report presents the results of the Treasury Management operations of the County Council for 2019/20 and the outturn position on Prudential Indicators.

#### BACKGROUND

- 3.2 Treasury Management in Local Government is governed by the CIPFA Code of Practice on Treasury Management in Public Services and in this context is the management of the County Councils borrowing, cash flows, its banking and capital market transactions, the effective control of the risks associated with those activities and the pursuit of optimal performance consistent with those risks. The County Council has adopted the Code and complies with its requirements.
- 3.3 The Code recommends that Members should be informed of Treasury Management activities including as a minimum an Annual Strategy, a mid-year review and an annual report after the year end. This report ensures, therefore, that the County Council is adopting Best Practice in accordance with CIPFA's Code of Practice.
- 3.4 This report has been prepared in the context of the Annual Treasury Management Strategy for 2019/20 approved by Executive on 29 January 2019 and County Council on 20 February 2019.
- 3.5 This **Annual Treasury Management Report** for 2019/20 addresses the following:-
- the Council's overall treasury (debt and cash) position
  - performance measurement
  - Treasury Management Strategy for 2019/20
  - the Economy in 2019/20
  - borrowing and investment rates in 2019/20
  - borrowing outturn for 2019/20
  - debt rescheduling and the Premature Repayment of External Debt
  - investment outturn for 2019/20
  - revenue impact of 2019/20 Treasury Management Activity
  - compliance with Treasury limits and Prudential Indicators
  - approved lending list

3.6 The key statistics and/or performance indicators explained in this report can be summarised as follows:

- long term external debt decreased from £285.1m (at 31 March 2019) to £263.1m (at 31 March 2020) as a result of no new external borrowing taking place in 2019/20, whilst scheduled loan repayments have been made;
- the average rate of interest on this debt was 4.39% (4.37% at 31 March 2019) which is above the national average for all PWLB debt of 3.62%;
- for cash invested the average rate of interest achieved was 0.91% which outperformed the average 7-day market rate of 0.53% and the average bank rate during the year of 0.72%;
- none of the approved Treasury Management Prudential Indicators and limits were exceeded during the year

### OVERALL TREASURY (DEBT AND CASH) POSITION

3.7 The County Council's position at the beginning and end of the 2019/20 financial year was as follows:-

	As at 31 March 2019		As at 31 March 2020	
	Principal	Weighted Average Return	Principal	Weighted Average Return
	£m	%	£m	%
<b>External Debt Outstanding</b>				
PWLB	265.1	4.40	243.1	4.43
Money Market LOBOs	20.0	3.95	20.0	3.95
	<b>285.1</b>	<b>4.37</b>	<b>263.1</b>	<b>4.39</b>
<b>Investments (NYCC only)</b>	<b>231.1</b>	<b>0.82</b>	<b>241.2</b>	<b>0.91</b>
<b>Net Borrowing</b>	<b>-54.0</b>	<b>N/A</b>	<b>21.9</b>	<b>N/A</b>

3.8 In the above table the weighted average rate for 'cash available' is expressed on an annualised average basis.

### TREASURY MANAGEMENT STRATEGY 2019/20

3.9 The expectation for interest rates incorporated within the **Annual Treasury Management Strategy for 2019/20** was based on officers' views at that time, prepared with assistance from the County Council's Treasury Management Advisor, Link Asset Services, (Link) and supported by a selection of City forecasts.

3.10 The interest rates for the UK were expected to be as follows:

**Bank Base Rate** was expected to rise from 0.75% to 1.00%. It was not expected that Bank Rate would increase again in 2019/20 as a result of the major uncertainty surrounding Brexit.

**PWLB Borrowing rates** were forecast to rise gradually throughout the next three years in all periods. Variable and short term rates were expected to be the cheaper form of borrowing over the period.

3.11 Based on the above, the Strategy adopted by the County Council for 2019/20 was as follows:

**a) Long Term Debt to Finance Capital Expenditure (borrowing strategy 2019/20)**

2019/20 was expected to continue as a year of low bank interest rates, extending the current opportunity for the County Council to continue with the current internal borrowing strategy.

Borrowing in advance of need within the constraints of the Prudential Code and approved Prudential Indicators would only be considered in exceptional circumstances.

Consideration would be given to financing capital expenditure by taking borrowing from PWLB/money markets, but the key treasury strategy was to postpone borrowing and maintain an under borrowed position to avoid the cost of holding higher levels of investments and to reduce counterparty risk.

In considering this option however, day to day cash flow constraints and the loss of longer term interest stability would also be taken into account together with the possibility of having to replace the internal borrowing with external borrowing in a subsequent year at higher interest rates.

**b) Investment of Surplus cash (investment strategy 2019/20)**

The County Council's investment priorities are firstly the security of capital and secondly the liquidity of its investments. The highest return would then be sought provided that proper levels of security and liquidity are achieved. The investment risk appetite of the County Council is low in order to give priority to the security of investments.

## **THE ECONOMY IN 2019/20**

3.12 The Council's treasury advisors Link summarised the key points associated with economic activity in 2019/20 as follows:

- the focus in the House of Commons was to agree a way forward for the UK over Brexit;
- the general election in December, which gave the Conservative Party an overall majority, enabled the UK to leave the EU on 31 January 2020;
- the uncertainties around Brexit, resulted in the MPC maintaining Bank Rate at 0.75% until March 2020 when two emergency cuts in Bank Rate from 0.75% to 0.25% and then to 0.10% were made as a result of the coronavirus outbreak. These cuts were accompanied by an increase in quantitative easing (QE), essentially the purchases of gilts (mainly) by the Bank of England of £200bn, and
- the Government introduced various schemes to subsidise both employed and self-employed jobs for three months while the country is locked down due to the coronavirus outbreak. It also put in place a other measures to help businesses access loans from their banks, (with the Government providing guarantees to the banks against losses).

**BORROWING AND INVESTMENT RATES IN 2019/20**

3.13 Notwithstanding the forecasts for interest rates and prospects for the economy in 2019/20 as projected in February 2019 the actual interest position experienced during the year is described below.

3.14 The movement in relevant UK market interest rates for the year was as follows:

**a) for Bank rate**

Period	%
1 April 2019 – 10 March 2020	0.75
11 March 2020 – 18 March 2020	0.25
19 March 2020 – 31 March 2020	0.10

**b) for PWLB rates**

Item	Range during Year	Start of Year	End of Year	Average In Year
	%	%	%	%
<b>Fixed Interest Maturity</b>				
1 year	1.17 - 2.47	1.46	1.90	1.70
5 years	0.99 - 2.48	1.55	1.96	1.98
10 years	1.15 - 2.79	1.88	2.17	2.23
25 years	1.73 - 3.25	2.41	2.65	2.76
50 years	1.57 - 3.05	2.24	2.38	3.60

The PWLB rates in the above table reflect the PWLB 0.2% discount rate.

**c) for Investment Rates**

Deposit rates continued into the start of 2019/20 at previously depressed levels and then fell sharply following the cut to base rate in March 2020.

Item	Range during Year	Start of Year	End of Year	Average during Year
	%	%	%	%
7 day LIBID	0.00 – 0.58	0.56	0.00	0.53
1 month	0.11 – 0.61	0.60	0.12	0.56
3 month	0.26 – 0.72	0.72	0.47	0.63
6 month	0.31 – 0.83	0.83	0.60	0.70
1 year	0.39 – 0.98	0.94	0.74	0.80



**BORROWING OUTTURN FOR 2019/20**

3.15 The year on year movement in the external debt position is as follows:-

Item	£m	£m
Debt outstanding at 1 April 2019		
PWLB	265.1	
Other institutions	20.0	285.1
New borrowing in the year		0
Scheduled debt repayments in year		-22.0
Premature Debt Repayment in 2019/20		0
<b>= external debt outstanding at 31 March 2020</b>		<b>263.1</b>

3.16 The reduction in external debt during 2019/20 of £22.0m (from £285.1m to £263.1m) reflects the impact of debt repayments and the total 2019/20 borrowing requirement being funded internally from cash balances.

3.17 The following analysis shows the maturity profile of the County Council's long term debt as at 31 March 2020.

Item	Debt	Weighted average interest rate
	£m	%
<b>PWLB</b>		
Maturing within		
1 year	27.1	3.78
1-2 years	14.1	4.27
2-5 years	13.4	6.84
5-10 years	17.5	4.29
10-25 years	17.2	4.35
25-50 years	153.8	4.37
	243.1	4.43
<b>Money Market Loans</b>		
Commerzbank A.G.		
50 years but fixed for 5 years (to 26/09/2020)	5.0	3.78
50 years but fixed for 5 years (to 27/09/2024)	5.0	3.73
Dexia Bank		
70 years but fixed for 3 years (to 18/08/2021)	10.0	4.15
	20.0	3.95
<b>= total as at 31 March 2020</b>	<b>263.1</b>	<b>4.39</b>
<b>= total as at 31 March 2019</b>	<b>285.1</b>	<b>4.37</b>

3.18 As highlighted in the table above, the average debt portfolio interest rate has increased to 4.39%. This is because some of the loans repaid during 2019/20 were at a lower interest rate.

3.19 Recognising the Borrowing Strategy, the economic situation in 2019/20 and the actual borrowing rates during the year, the borrowing approach taken in 2019/20 was as follows:-

- a) in view of interest rate forecasts it was recognised that the internal borrowing strategy was not a significant risk throughout 2019/20. Continuing substantial cash balances ensured there was no need to borrow for cash flow purposes alone. Deferral of any potential new borrowing also supported the Council in terms of reduced credit risk on its investments;
- b) it was appreciated that the overall forecast for long term borrowing rates is to increase over the next few years and, therefore, consideration was also given to weighting the short term advantage of internal borrowing against potential long term costs. A close watch will, however, continue to be kept on interest rates;
- c) continuing low investment rates throughout 2019/20 supported the continued use of cash balances, where appropriate, to maintain the internal financing (under borrowed) position of the annual borrowing requirement;
- d) the 2019/20 borrowing requirement increased the internal financing position. No additional external debt repayments were made due to early redemption penalties that would be incurred;
- e) the internal borrowing strategy achieves significant short term revenue savings and also mitigates the credit risk incurred by holding investments in the market. The strategy is not risk free, however, in terms of the loss of long term stability in interest payments, operational cash flow and ultimate refinancing of the capital borrowing requirement;
- f) looking ahead to future years, the Capital Financing requirement is forecast to continue falling as the annual Minimum Revenue Provision for debt repayment exceeds the annual capital borrowing requirement. There is, however, further significant maturing debt and both these factors will be reflected in the annual consideration of how to finance the cumulative internally financed (under borrowed) position and the borrowing requirement for each year.

3.20 The total borrowing requirement for 2019/20 and the financing of that requirement was as follows:-

Item	Total Borrowing Requirement	External Borrowing from PWLB	Financed Internally
	£m	£m	£m
Capital Spending 2019/20	3.5	0.0	3.5
Scheduled loan repayments	22.0	0.0	22.0
MRP charged to revenue etc	(11.6)	0.0	(11.6)
<b>Total in year borrowing requirement</b>	<b>13.9</b>	<b>0.0</b>	<b>13.9</b>

- 3.21 The £13.9m borrowing requirement was funded internally from cash balances rather than taking new external debt - in line with the 2019/20 Borrowing Strategy.
- 3.22 The element of the County Council's Capital Financing Requirement that is now being funded internally stands at £34.4m (including £12.0m of loans and £11.9m commercial investments which will remain internally financed) consisting of :

Item	£m
Balance as at 1 April 2019	20.5
Total 2019/20 borrowing requirement	13.9
<b>= Internally financed Capital expenditure at 31 March 2020</b>	<b>34.4</b>

- 3.23 The County Council's underlying need to borrow for capital purposes, known as the Capital Financing Requirement (CFR) as at 31 March 2020 was :

Item	£m
External borrowing	263.1
Internal Borrowing from cash balances	34.4
<b>= Net borrowing for capital purposes</b>	<b>297.5</b>
+ PFI Liability	154.1
+ Finance Lease Liability	1.0
<b>= Total CFR (borrowing and PFI etc) at 31 March 2020</b>	<b>452.6</b>

- 3.24 £297.5m borrowing element of the CFR of £452.6m includes both external borrowing and borrowing from internal sources and could be reduced by the application of additional capital financing resources (such as unapplied capital receipts) or increasing the annual Minimum Revenue provision for debt repayment.
- 3.25 The year on year movement for the CFR (borrowing and PFI / Finance lease liabilities) is as follows:-

Item	Capital Borrowing Requirement	PFI Liability	Finance lease Liability	Total CFR
	£m	£m	£m	£m
CFR at 31 March 2019	305.5	157.1	1.1	463.7
New borrowing required in 2019/20	3.5	0.0	0.0	3.5
Charge to revenue (MRP) in year	-11.6	-3.0	0.0	-14.6
<b>= Total CFR at 31 March 2020</b>	<b>297.4</b>	<b>154.1</b>	<b>1.1</b>	<b>452.6</b>

**DEBT RESCHEDULING AND THE PREMATURE REPAYMENT OF EXTERNAL DEBT**

- 3.26 The rescheduling of debt involves the early repayment of existing debt and its replacement with new borrowing. This can result in one-off costs or benefits called respectively premiums and discounts dependent on whether the rate of the loan to be repaid is higher (premium) or lower (discount) than comparative current rates.
- 3.27 No cost effective repayment options were identified in year.

**INVESTMENT OUTTURN FOR 2019/20****Internally Managed Investments**

- 3.28 The County Council's investment policy is governed by MHCLG guidance which has been implemented in the annual investment strategy approved in February 2019. This policy sets out the approach for choosing investment counter parties and is based on credit ratings provided by the three main credit rating agencies supplemented by additional market data such as rating outlooks, credit default swaps, bank share price etc.
- 3.29 The investment activity during the year conformed to the approved strategy and the County Council had no liquidity difficulties.
- 3.30 The County Council currently manages its cash investments in-house and only invests with the organisations specified in its Approved Lending List. Investments were made for a range of periods from overnight to 24 months dependent on cash flow, interest rates on offer and interest rate expectations. The investment position was managed as follows:
- a) the County Council generally looks to keep most cash invested for short periods (to cover specific dates and cash flow requirements);
  - b) the general approach throughout the year was, therefore, one of keeping investments at shorter dates whilst taking advantage of perceived good value for longer term investments;
  - c) two investments for longer than one year was made during 2019/20 and were two in place at 31 March 2020 (£40m maximum limit);
  - d) less use was made of business reserve accounts for cash flow generated balances. Alternatively, a number of "notice" accounts were used during the year with notice periods varying between 31 and 180 days which offered attractive rates of return. Increasingly using longer fixed rate investment opportunities and lending to other Local Authorities has been required to achieve acceptable rates. The County Council will continue with this strategy in the future, subject to satisfying the stringent Approved Lending List criteria;
  - e) as in the previous year, the overall level of investments was depressed throughout the year through the agreed strategy of internally funding the 2019/20 and recent previous years capital borrowing requirements.

3.31 The results of the County Council's investment activities for 2019/20 were as follows:-

Number of loans made	418
	<b>£m</b>
Balance outstanding 31/03/2019	459.6
+Loaned during 2019/20	1,684.4
-Repaid during 2019/20	1,679.6
=Balance outstanding 31/03/2020	464.4
Average daily balance during 2019/20	490.4
Interest Earned	4,509.3
<b>Average Rate achieved 2019/20</b>	<b>0.91%</b>
Average 7 Day Rate 2019/20	0.53%
Average Bank Rate 2019/20	0.72%

3.32 An analysis of the investments placed at 31 March 2020 totalling £464.4m is attached at **Appendix A**.

3.33 No institutions in which investments were made had any difficulty in repaying investments and interest in full during the year.

### **Treasury Management Investment Pool**

3.34 The level of funds loaned out and interest earned figures reported above include transactions relating to the various independent bodies for which the County Council provided treasury management services during 2019/20.

3.35 Due to the size of the cash balances of these bodies, the County Council operates a 'sweep' arrangement under which any surplus cash of the organisation(s) are merged with similar funds managed by the County Council to secure better overall returns in the money market.

3.36 This arrangement is advantageous to these bodies because on their own the day to day balances in their bank accounts can be volatile and unpredictable and yet are small in terms of involvement in the money market.

3.37 Interest is paid out to these organisations at the same overall average rate as earned by the County Council on the total funds loaned out, and they are charged an annual fee for the service provided.

3.38 Any loss incurred as a result of default by a bank / building society counterparty would be apportioned between the County Council and these organisations in proportion to the total surplus cash funds of each organisation, at the time of default.

3.39 In terms of levels of balances outstanding the position is as follows:-

Item	31 March 2019	31 March 2020	Interest Earned in 2019/20
	£m	£m	£000
NY Pension Fund	155.1	140.0	1456.1
NY Fire and Rescue Authority	6.8	4.7	66.4
Yorkshire Dales National Park	3.4	3.3	40.4
North York Moors National Park	2.2	2.6	33.3
Peak District National Park	5.2	5.0	71
Selby District Council	52.5	66.7	601.5
National Parks England	0.3	0.1	1.9
Align Property Partners	0.5	0.9	7.1
NYnet Limited	2.5	3.0	0.0
	228.5	226.3	2,277.7
County Council	231.1	238.2	2,231.6
<b>Total</b>	<b>459.6</b>	<b>464.4</b>	<b>4,509.3</b>

### Fund Managers and Externally Managed Investments

3.40 The option to use external Fund Managers for management of an element of the Investment Portfolio has been kept under constant review throughout 2019/20 and is discussed as part of regular strategy meetings with the Council's Treasury Management advisors, Link.

3.41 No Fund Managers were used during 2019/20.

### ALTERNATIVE INVESTMENTS

3.42 The prolonged low interest rate environment has resulted in reduced returns on treasury management investments. Moreover, the introduction of the general power of competence has given local authorities far more flexibility in the types of activity they can engage in. These changes in the economic and regulatory landscape, combined with significant financial challenges, have led many authorities to consider different and more innovative types of investment.

3.43 The primary objectives of alternative investment activities are:

- a) Security – to protect the capital sums invested from loss; and
- b) Liquidity – ensuring the funds invested are available for expenditure when needed.

3.44 Non-core activities and investments are primarily undertaken by the Council in order to generate income to support the delivery of a balanced budget. Such investments are only entered following a full assessment of the risks and having secured expert external advice (i.e. where it is relevant to do so).

3.45 An overall maximum exposure of £60m for alternative investments was approved by Executive on 15 January 2019.

3.46 In order to manage risk appropriately, achieve targets for investment returns, deliver a diverse portfolio and maintain a level of liquidity, the Commercial Investment Board has established an investment framework. The investment framework provides a range of investment options and investment limits for each option.

### Commercial Property

3.47 Options are continually reviewed for the acquisition of land and buildings for investment purposes. Such assets will be classified as Commercial Property.

3.48 The investments in Commercial Property are classed as capital expenditure. As Commercial Properties are funded from core cash balances, the investments are effectively funded from internal borrowing for capital accounting purposes. As a result, expenditure on Commercial Property investments are included in the calculation of the Capital Financing Requirement (CFR). When the County Council ultimately disinvests and sells the properties, the income will be classed as a capital receipt and applied to reduce the CFR. The County Council will not borrow to fund commercial investment through loans from PWLB or money markets.

3.49 Commercial Properties in place as at 31 March 2020 are as follows:

Property	Date Purchased	Amount	Rate of Return	Return
		£m	%	£k
Bank Unit in Stafford Town Centre	May-19	0.9	6.05	53.0
Harrogate Royal Baths	Jan-19	9.5	2.13	202.8
Co-op Store in Somercotes	Mar-19	1.5	4.89	73.1
		<b>11.9</b>	<b>2.77</b>	<b>328.9</b>

The full extent and impact of Covid-19 on commercial property markets, both in the near term and beyond cannot yet be confidently quantified. However, there is obviously increased potential for losses to be incurred going forward due to the current economic environment. As a result, £1m in 19/20 has been set aside to mitigate any potential future losses on Commercial Property Investments.

### Loans to Companies in which the County Council has an interest

3.50 The County Council's policy on making loans to companies in which it has an interest is incorporated into the Annual Treasury Management Strategy and is as follows:-

- a) the County Council's general investment powers under the Annual Treasury Management and Investment Strategy come from the Local Government Act 2003 (section 12). Under this Act a local authority has the power to invest for any purpose relevant to its functions or for the purpose of the prudent management of its financial affairs;
- b) in addition to investment, the County Council has the power to provide loans and financial assistance to limited companies under the Localism Act 2011 (and also formally under the general power of wellbeing in the Local Government Act 2000) which introduced a general power of competence for authorities (to be exercised in accordance with their general public law duties); and
- c) any such loans to limited companies by the County Council would therefore be made under these powers. They would not, however, impact on the Investment Strategy but would be

classed as capital expenditure by the County Council under the Local Authorities (Capital Finance and Accounting) Regulations 2003 and would be approved, financed and accounted for accordingly.

3.51 The position on these loans at 31 March 2020 is as follows:-

<b>Period</b>	<b>Yorwaste</b>	<b>NYnet *</b>	<b>Brierley Homes</b>	<b>First North Law</b>	<b>Total</b>
	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>
Balance as at 31 March 2019	6.81	5.63	3.11	0.09	15.64
Variation in 2019/20	0.00	2.01	1.45	0.00	3.46
Balance as at 31 March 2019	6.81	7.64	4.56	0.09	19.10
<b>Approved Limits</b>	<b>7.50</b>	<b>10.00</b>	<b>8.00</b>	<b>0.25</b>	<b>25.75</b>

\* Funds currently held with NYnet

3.52 These loans have been treated as Capital Expenditure by the County Council and financed from Internal Borrowing. The revenue interest loss is offset by the interest charged to the two companies.

## Property Funds

3.53 Property Funds, pooled investment vehicles investing in diversified UK commercial property, were added to the schedule of Non Specified Investments as part of the 2019/20 Annual Treasury Management Strategy.

3.54 Following consultation with the Audit Committee and subsequent approval by the Commercial Investment Board, a procurement process, supported by the County Councils Treasury Management advisers was undertaken during 2018/19 and two Property Funds, BlackRock UK Property Fund and Threadneedle Property Unit Trust were selected.

3.55 Investments held in Property Funds are classified as Non-Specified Investments and are, consequently, long term in nature. Valuations can, therefore, rise as well as fall, over the period they are held. Any gains or losses in the capital value of investments are held in an unusable reserve on the balance sheet and do not impact on the General Fund until units in the funds are sold. As at 31 March 2020 the total capital value of the Property Fund investments had reduced by £308.5k (£151.1k BlackRock; £157.4k Threadneedle). The funds reduced by £41.1k in 18/19 and £308.5k in 19/20. As a result, £310.k has been set aside in an unusable reserve in the Balance Sheet in 19/20.



3.56 Each fund also provides a monthly revenue return, representing interest earned on the fund over that period. The position on Property Funds at 31 March 2020 is as follows:-

Fund	Investment	Valuation as at 31 March 2020	Gain / (Loss)	Revenue Return	Return	Transfer to Reserve
	£k	£k	£k	£k	%	£k
Blackrock	3,003.0	2,851.9	(151.1)	100.1	3.33	(150.0)
Threadneedle	2,927.1	2,769.7	(157.4)	132.2	4.52	(160.0)
<b>Total</b>	<b>5,930.1</b>	<b>5,621.6</b>	<b>(308.5)</b>	<b>232.3</b>	<b>3.92</b>	<b>(310.0)</b>

## Summary

3.57 The investment framework and alternative position as at 31 March 2020 is as follows:

Type of Investment	Max Limit	Invested as at 30/03/2020	Rate of Return	Return Achieved 19/20
	£m	£m	%	£k
<b>Alternative Treasury Instruments</b>				
Money Market Funds	20.0	20.0	0.4	103.4
Enhanced Cash Funds	20.0	-	-	-
Certificate of Deposit	20.0	-	-	-
Property Funds	20.0	5.9	3.9	232.3
<b>Total Alternative Treasury Instruments</b>	<b>80.0</b>	<b>25.9</b>	<b>1.2</b>	<b>335.7</b>
<b>Alternative Investments</b>				
<b>Loans to Council Companies</b>				
- Yorwaste	} 25.0	6.8	4.1	285.2
- NYnet		7.7	3.1	261.5
- Brierley Homes		4.6	4.1	201.5
- First North Law		0.1	4.1	3.9
<b>Total Loans to Council Companies</b>	<b>25.0</b>	<b>19.1</b>	<b>3.7</b>	<b>752.1</b>
<b>Other Alternative Investments</b>				
Spend to Save	5.0	-	-	-
Loans to Hosung Associations	10.0	-	-	-
Solar Farm (or similar) Project	5.0	-	-	-
Commercial Investments/Local Growth	20.0	11.9	2.8	322.1
<b>Total Other Alternative Investments</b>	<b>45.0</b>	<b>11.9</b>	<b>2.8</b>	<b>322.1</b>
<b>Total Alternative Investments</b>	<b>60.0</b>	<b>31.0</b>	<b>3.3</b>	<b>1,074.2</b>

## REVENUE IMPACT OF 2019/20 TREASURY MANAGEMENT ACTIVITY

3.58 The revenue impact of the 2019/20 Treasury Management Activity (for both borrowing and investments) is as follows:

Activity	Principal	Weighted Average Return	Return
	£m	%	£m
<b>Investments</b>			
Core Treasury Management (inc Alternative Treasury Instruments)	238.2	0.9	2.2
Alternative Investments	31.0	3.3	1.1
<b>Total Investments</b>	<b>269.2</b>	<b>1.23</b>	<b>3.3</b>
<b>Capital Financing</b>			
External Debt	263.1	4.39	(12.1)
Minimum Revenue Provision			(11.6)
<b>Total Capital Financing Costs</b>			<b>(23.7)</b>
<b>Transfer to Reserves</b>			
Commerical Property			(1.0)
Property Funds			(0.3)
<b>Total Transfer to Reserves</b>			<b>(1.3)</b>
<b>Net Revenue Impact</b>			<b>(21.7)</b>

3.59 While interest rates have remained low throughout 2019/20, cash balances have continued at relatively high levels. Investment returns for 2019/20 were £2.2m which was higher than budget (£1.5m). The outturn interest yield on investments of 0.91% was below the 1.10% budget provision.

3.60 The Minimum Revenue Provision (MRP) was budgeted to be £11.6m for 2019/20, which was as budgeted.

## COMPLIANCE WITH TREASURY LIMITS AND PRUDENTIAL INDICATORS

3.61 The County Council is required to comply with the CIPFA Prudential Code and set Prudential Indicators for the next three years to ensure that capital investment plans are affordable, prudent and sustainable.

3.62 During the financial year the County Council operated within the Treasury Limits and Prudential Indicators as set out in the Council's Treasury Management Policy Statement and Annual Treasury Management Strategy for 2019/20.

3.63 The Prudential Indicators covering the period up to 31 March 2022 were approved by the County Council in February 2019. An in year revision was subsequently approved by County Council in November 2019. More recently an updated set of indicators up to 31 March 2023 was approved by County Council in February 2020 as part of the 2020/21 Budget process.

3.64 As part of this Annual Treasury Management Report for 2019/20 it is therefore appropriate to report the 2019/20 outturn position on these Prudential Indicators compared with the last updated set of indicators, these are set out in **Appendix B**.

## APPROVED LENDING LIST

3.65 The criteria for monitoring and assessing organisations (counterparties) to which the County Council may make investments (i.e. lend) are incorporated into the detailed Treasury Management Practices (TMPs) that support the Treasury Management Policy Statement (TMPS). Applying these criteria enables the County Council to produce an Approved Lending List of organisations in which it can make investments, together with specifying the maximum sum that at any time can be placed with each. The Approved Lending List is prepared and maintained, taking into account the advice of the County Council's Treasury Management Advisor, Link Asset Services.

3.66 The credit rating criteria utilised in 2019/20 reflected the following:

- a) a system of scoring each organisation using Link's enhanced creditworthiness service. This service which has been progressively developed uses a sophisticated modelling system that includes:
  - credit ratings published by the three credit rating agencies (Fitch, Moody's and Standard and Poor) which reflect a combination of components (sovereign, long term, short term, individual and support)
  - credit watches and credit outlooks from the rating agencies
  - Credit Default Swaps (CDS) spreads to give early warnings of likely changes in credit ratings
  - sovereign ratings to select counterparties from only the most credit worthy countries;
  - any known Central Government involvement or specific guarantees issued for an organisation.
- b) sole reliance was not placed on the information provided by Link. In addition, the County Council also used market data and information available from other sources such as the financial press and other agencies and organisations;
- c) furthermore, the following measures were also actively taken into consideration throughout the year:
  - institutions were removed or temporarily suspended from the Approved Lending List if there was significant concern about their financial standing or stability
  - investment exposure was concentrated with higher rated institutions wherever possible
  - investments were generally kept short.

3.67 The Approved Lending List is monitored on an ongoing basis and changes made as appropriate by the Corporate Director – Strategic Resources to reflect changes in organisations standing against the agreed criteria. This includes credit rating downgrades/upgrades, mergers or market intelligence and rumours that impact on the 'credit score' and 'colour coding system'

3.68 Changes to the Approved Lending List, together with the current List are included in the Treasury Management section of the Quarterly Performance Monitoring reports submitted to Executive. Changes to the list last submitted to Executive in February 2020 are listed in **Appendix C** with the current lending list attached as **Appendix D**.

**RECOMMENDATION**

3.69 That the Executive notes the performance of the Treasury Management operation during 2019/20 and the outturn position on Prudential Indicators.

## **TREASURY MANAGEMENT APPENDICES**

Appendix A Analysis of Investments placed at 31 March 2020

Appendix B Compliance with Treasury Limits and Prudential Indicators

Appendix C Changes to Approved Lending List since January 2020

Appendix D Approved Lending List as at 31 March 2020

## Analysis of Investments placed at 31 March 2020

	Lender	Sector	Start Date	Amount	End Date	Interest Rate
				£		%
	Barclays Bank Plc (NRFB)			62,540,000		0.00
	State Street Global LVNAV MMF			20,000,000		0.41
	Property Funds			5,930,079		3.92
	Handelsbanken Plc 35 day Notice			5,000,000		0.80
	Santander UK Plc 95 Day Notice			21,950,000		1.00
	Santander UK Plc 180 Day Notice			12,000,000		1.10
<b>Apr-20</b>	LB Hillingdon	LA	04-Mar-20	5,000,000	03-Apr-20	1.10
	West Berkshire	LA	06-Mar-20	3,000,000	06-Apr-20	1.05
	Goldman Sachs	B	10-Oct-19	10,000,000	09-Apr-20	0.90
	Goldman Sachs	B	15-Oct-19	10,000,000	15-Apr-20	1.00
	Bank of Scotland	B	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	B	18-Oct-19	5,000,000	20-Apr-20	0.84
	South Ribble BC	LA	24-Mar-20	5,000,000	24-Apr-20	2.00
	Surrey CC	LA	25-Mar-20	5,000,000	27-Apr-20	1.95
<b>May-20</b>	Bank of Scotland	B	30-Apr-19	5,000,000	30-Apr-20	1.25
	Bank of Scotland	B	01-Nov-19	10,000,000	01-May-20	0.85
	Standard Chartered	B	04-Nov-19	5,000,000	04-May-20	0.87
<b>Jun-20</b>	Goldman Sachs	B	07-Nov-19	10,000,000	07-May-20	0.94
	Rhondda CTCBC	LA	10-Mar-20	5,000,000	10-Jun-20	1.25
	Highland Council	LA	15-Oct-19	5,000,000	17-Jun-20	0.93
<b>Jul-20</b>	Nottingham City	LA	19-Mar-20	5,000,000	19-Jun-20	0.90
	LB Croydon	LA	26-Jul-19	5,000,000	24-Jul-20	0.89
	Rhondda CTCBC	LA	20-Jan-20	10,000,000	20-Jul-20	0.92
	RB Windsor	LA	20-Jan-20	5,000,000	20-Jul-20	0.91
<b>Aug-20</b>	Dundee City Council	LA	22-Jan-20	5,000,000	22-Jul-20	0.92
	Cambridgeshire CC	LA	07-Aug-19	5,000,000	05-Aug-20	0.90
	North Lanarkshire	LA	23-Jan-20	10,000,000	05-Aug-20	0.85
<b>Sep-20</b>	Stockton-on-Tees BC	LA	05-Feb-20	5,000,000	05-Aug-20	0.90
	National Westminster Bank PLC	B	02-Sep-19	5,000,000	01-Sep-20	0.84
	Aberdeenshire Council	LA	13-Mar-20	10,000,000	14-Sep-20	1.10
	Dundee City Council	LA	13-Mar-20	10,000,000	14-Sep-20	1.25
	National Westminster Bank PLC	B	18-Sep-19	5,000,000	17-Sep-20	0.95
<b>Oct-20</b>	Cheshire East	LA	27-Mar-20	5,000,000	28-Sep-20	1.45
	Helaba	B	08-Oct-19	10,000,000	07-Oct-20	0.89
	Helaba	B	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
<b>Nov-20</b>	LB Waltham Forest	LA	31-Oct-19	5,000,000	29-Oct-20	1.00
	Highland Council	LA	11-Nov-19	5,000,000	09-Nov-20	0.95
	National Westminster Bank PLC	B	15-Nov-19	5,000,000	13-Nov-20	0.98
	National Westminster Bank PLC	B	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	B	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
	Eastbourne BC	LA	24-Feb-20	5,000,000	24-Nov-20	1.00
	LB Brent	LA	25-Nov-19	5,000,000	24-Nov-20	0.95
<b>Dec-20</b>	Woking BC	LA	02-Dec-19	5,000,000	30-Nov-20	0.95
	Bank of Scotland	B	04-Dec-19	5,000,000	03-Dec-20	1.10
<b>Jan-21</b>	Bank of Scotland	B	21-Jan-20	5,000,000	18-Dec-20	1.10
	South Ayrshire	LA	15-Jan-20	5,000,000	13-Jan-21	1.02
	Bank of Scotland	B	29-Jan-20	5,000,000	28-Jan-21	1.10
<b>Feb-21</b>	Bank of Scotland	B	31-Jan-20	10,000,000	26-Jan-21	1.05
	Bank of Scotland	B	05-Feb-20	10,000,000	04-Feb-21	1.05
	Wokingham BC	LA	26-Feb-19	5,000,000	26-Feb-21	1.45
<b>Mar-21</b>	South Somerset	LA	20-Mar-20	5,000,000	19-Mar-21	1.75
	West Dunbarton	LA	23-Mar-20	5,000,000	22-Mar-21	1.15
				<b>464,420,079</b>		<b>0.90</b>

<b>Actual Loans Outstanding Summarised by Organisation</b>	
	<b>£m</b>
Local Authority	192.0
Barclays	62.5
Bank of Scotland	60.0
Santander	34.0
Goldman Sachs	30.0
National Westminster Bank PLC	25.0
State Street Global CNAV MMF	20.0
Helaba	20.0
Standard Chartered	10.0
Property Funds	5.9
Handelsbanken	5.0
	<b>464.4</b>

<b>Maturity Profile</b>	
Period	<b>%</b>
< 1 Month	18
1 – 3 Months	23
3 – 6 Months	25
6 – 9 Months	23
9 – 12 Months	10
> 12 Months	1
	<b>100</b>

<b>Portfolio Breakdown</b>	
	<b>%</b>
Fixed Term	73
Notice Accounts	8
Call Accounts	14
Money Market Funds	4
Property Funds	1
	<b>100</b>

<b>Institution Type</b>	
	<b>%</b>
Banks	53
Local Government	42
Building Societies	0
Money Market Funds	4
Property Funds	1
	<b>100</b>

<b>Country</b>	
Domestic	92
Foreign	4
Money Market Funds	4
	<b>100</b>

### COMPLIANCE WITH TREASURY LIMITS AND PRUDENTIAL INDICATORS

(i) **Statutory Affordable Borrowing Limit for 2019/20 required under Section 3 of the Local Government Act 2003**

Item	Borrowing	Other Long Term Liabilities	Total
	£m	£m	£m
Initial figure approved February 2019	379.4	157.8	537.2
Revised November 2019	378.2	156.3	534.5
Revised February 2020	378.0	155.1	533.1
<b>Actual limit 2019/20</b>	<b>325.1</b>	<b>155.1</b>	<b>480.2</b>

The limit set reflects sufficient headroom to cover a number of eventualities that could have occurred in the course of the financial year. Examples include debt rescheduling, capital receipts slippage, new capital borrowing requirements being taken early in the financial year and unusual cash movements.

(ii) **Ratio of capital financing costs to the net revenue budget**

*Formally Required Indicator Net of Interest Earned*

Reported February 2020	%
- 2018/19 actual	9.3
- 2019/20 probable	10.8
<b>Actual 2019/20 outturn</b>	<b>10.8</b>

The capital finance costs figure takes into account loan charges (principal plus interest) on external debt plus PFI and Finance Lease charges less interest earned on cash invested.

*Local Indicator*

Capital Financing costs are capped to 10% of the annual Net Revenue Budget (excludes interest earned on surplus cash balances).

Reported February 2020	%
- 2018/19 actual	6.8
- 2019/20 probable	6.2
<b>Actual 2019/20 outturn</b>	<b>6.2</b>



(iii) **Capital Expenditure Actual and Forecasts**

Reported February 2020	£m
- 2018/19 actual	127.2
- 2019/20 probable	121.8
<b>Actual 2019/20 outturn</b>	<b>99.1</b>

The outturn position is lower than the probable as a result of rephasing of capital spending in the year self-funded from revenue and capital contributions, including school schemes.

(iv) **Capital Financing Requirement (as at 31 March)**

	Borrowing	Other Long Term Liabilities	Total
	£m	£m	£m
Reported February 2020			
- 2018/19 actual	305.5	158.1	463.6
- 2019/20 probable	299.8	155.1	454.9
<b>Actual 2019/20 outturn</b>	<b>297.5</b>	<b>155.1</b>	<b>452.6</b>

The outturn position is lower than the previous forecast largely as a result of the lower than anticipated

(v) **Gross borrowing against the Capital Financing Requirement**

The Prudential Indicator requires that, except in the short term, gross debt should not exceed the capital need to borrow as demonstrated by the Capital Financing Requirement (CFR).

The Corporate Director – Strategic Resources reports that the County Council has had no difficulty in meeting this requirement up to 2019/20 with the 2019/20 outturn position being as follows:

	£m
CFR (borrowing) at 31 March 2020	297.5
Less actual external debt at 31 March 2020	263.1
<b>Head room at 31 March 2020 (= internally financed capital expenditure at 31/3/2020)</b>	<b>34.4</b>

(vi) **External Debt Limits**

	<b>Borrowing</b>	<b>Other Long Term Liabilities</b>	<b>Total</b>
Reported February 2020	£m	£m	£m
- Authorised limit for 2019/20	378.0	155.1	533.1
- Operational Boundary for 2019/20	358.0	155.1	513.1
<b>Actual limit reached during 2019/20</b>	<b>285.1</b>	<b>155.1</b>	<b>440.2</b>

(vii) **Actual External Debt**

	<b>Borrowing</b>	<b>Other Long Term Liabilities</b>	<b>Total</b>
	£m	£m	£m
At 31 March 2019	285.1	158.1	443.2
<b>At 31 March 2020</b>	<b>263.1</b>	<b>155.1</b>	<b>480.2</b>

(viii) **Maturity Structure of Borrowing**

The amount of borrowing maturing in each period as a percentage of total projected borrowing that is fixed rate.

	<b>Lower Limit</b>	<b>Upper Limit</b>	<b>Actual at 31 March 2020</b>
	(February 2020)		
	%	%	%
Under 12 months	0	50	16
12 months and within 24 months	0	25	5
24 months and within 5 years	0	50	7
5 years and within 10 years	0	75	7
10 years and within 25 years	10	100	7
25 years and within 50 years	10	100	58
			<b>100</b>

(ix) **Total Principal Sums Invested for Periods longer than 365 days**

The agreed maximum sum for investment longer than one year was £40m. The following investments were in place at 31 March 2020:-

<b>Investment Date</b>	<b>Maturity Date</b>	<b>Amount</b>
		£m
30 April 19	30 Apr 20	5.0
26 Feb 19	26 Feb 21	5.0

## Changes to Approved Lending List 1 January 2020 to 31 March 2020

## Amendments to Investment Limits / Terms

Organisation	Original Investment Limit / Term	Date Amended	Revised Investment Limit / Term	Reason for Amendment
<b>Amendments made to Investment Limits</b>				
None				
<b>Amendments made to Investment Terms</b>				
Barclays Bank PLC (NRFB) Goldman Sachs International Bank	6 Months	27 Mar 20	3 Months	Uncertainties in the markets due to Covid19 Pandemic
<b>Temporary Suspensions for Lending List</b>				
None				

The above shows changes to the Lending List as at 31 March 2020 compared to 31 December 2019. 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.

## APPROVED LENDING LIST AS AT 31 MARCH 2020

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

	Country	Specified Investments (up to 1 year)		Non-Specified Investments (> 1 year £20m limit)	
		Total Exposure £m	Time Limit *	Total Exposure £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	3 months	-	-
Barclays Bank UK PLC (RFB)	GBR		6 months	-	-
Bank of Scotland PLC (RFB)	GBR	60.0	365 days	-	-
Lloyds Bank PLC (RFB)	GBR		6 months	-	-
Lloyds Bank Corporate Markets PLC (NRFB)	GBR		365 days	-	-
HSBC Bank PLC (NRFB)	GBR	30.0	365 days	-	-
HSBC UK Bank PLC (RFB)	GBR		365 days	-	-
Goldman Sachs International Bank	GBR	60.0	3 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-Thüringen 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 at 31 March 2020

## 4.0 CAPITAL EXPENDITURE OUTTURN AND FINANCING 2019/20

### OVERVIEW

4.1 This section of the report presents a summary of actual capital expenditure incurred in 2019/20 along with details of the means by which that expenditure has been financed.

### CAPITAL PLAN

4.2 For the purposes of this report, the final capital outturn expenditure for the financial year 2019/20 is compared to the Capital Plans for 2019/20 as at Quarter 3 of both 2018/19 (original) and 2019/20 (latest revised).

4.3 Both Plans are submitted to and approved by Executive then County Council as part of the following year's budget / MTFS suite of reports as shown below:

	Original 2019/20 Plan	Latest Revised 2019/20 Plan
Approved by Executive	29/01/2019	04/02/2020
Approved by County Council	20/02/2019	18/02/2020

### CAPITAL EXPENDITURE IN 2019/20

4.4 A comparison of the capital expenditure incurred in 2019/20 to the forecasts in both the original Capital Plan and the latest revised Capital Plan referred to in **paragraph 4.2** is as follows:

Item	Original Plan £m	Latest Plan £m	Capital Outturn £m	Variance Original Plan £m	Variance Latest Plan £m
Gross Capital Spend	137.6	121.7	99.1	-38.5	-22.6
Grants and Contributions	-134.4	-113.6	-93.9	40.5	19.7
<b>Net Capital Spend</b>	<b>3.2</b>	<b>8.1</b>	<b>5.2</b>	<b>2.0</b>	<b>-2.9</b>

4.5 The outturn variances referred to throughout the remainder of this report are based on a comparison with the latest revised 2019/20 Capital Plan reported to and approved by Executive in February 2020.

- 4.6 A summary of the outturn position for gross capital spend at Directorate level is set out below.

Service	Appendix	Gross Latest Plan £m	Gross Outturn Spend £m	Gross Spend Variance £m
HAS	B	2.7	0.7	-2.0
BES	C	81.4	69.5	-11.9
CYPS	D	24.8	20.1	-4.7
CSD	E	12.9	8.7	-4.2
<b>Total</b>		<b>121.7</b>	<b>99.1</b>	<b>-22.6</b>

- 4.7 A more detailed summary is provided at **Appendix A** with individual statements for each Directorate being provided at **Appendices B to E**. These Appendices also show the outturn position for related capital income from grants and contributions, and a net spend which is funded from capital receipts and borrowing.
- 4.8 The gross capital underspend of £22.6m represents underspending in all 4 Directorates.
- 4.9 In **Health and Adult Services**, the underspend of £2.0m relates to the development of Extra Care schemes where the completion of and legal transfer of facilities have been delayed. Ongoing legal discussions with providers relating to the legal charge to protect the grant in the event of future additional borrowing by the provider has delayed payment. A final proposal from Legal Services is currently with the provider for consideration and agreement.
- 4.10 In **Children and Young People's Service**, the largest part of the £4.7m underspend relates to the Basic Need programme (£3.3m) where (i) a number of large-scale schemes were the subject of retendering exercises and (ii) the claim for S106 developer contributions totalling £1.7m was not made by the DfE in relation to the Keeble Gateway Free School scheme in year as expected. The £1.4m balance was made up of a variety of School Condition schemes (£0.8m), the repayment of the Early Years Capital Grant to the DfE (£0.4m) and the failure to complete the acquisition of a property for Children's Social Care prior to the end of the financial year (£0.2m).
- 4.11 The main element of **Central Services** underspend of £4.2m relates to the New Ways of Working and IT Infrastructure schemes. The five-year funding approval of £6.6m in relation to New Ways of Working and IT Infrastructure expired as at 31<sup>st</sup> March with an overall underspend of £1.8m. The original spending plans have been subject to regular review due to changing technologies and priorities across the County Council. The service is preparing proposals to continue this work for a further fixed term period. In addition, a much slower draw down of loan than had been forecast by Brierley Homes (£1.9m) as a result of the timing of land acquisitions has resulted in slower spend on actual development in 2019/20. The balance of the Central Services underspend relates to the estimate of Material Damage insurance claims being lower than was provided for (£0.3m), the works to

County Hall (£0.1m) and minor underspends in year across the remainder of the programme.

- 4.12 **Business and Environmental Services** realised an overall underspend of £11.9m on the latest revised 2019/20 Capital Plan. In Highways, £2.5m of this related to specific grant funded schemes (NPIF and Safer Roads) which had not progressed as had been originally forecast. In comparison, the LTP grant funded element of the Highways annual programme overspent by £1.8m, the funding of which has been met from the advance drawing down of 2020/21 available funding.

Within the Business and Environmental Services Capital Plan there was lower than expected activity by the Local Enterprise Partnership in terms of the issuing of Growing Places loans (£0.5m) and the awarding of MHCLG funded Local Growth Fund grants to larger scale infrastructure projects (£6.3m). Although funding allocations are provided on an annual basis at an agreed amount, the projects span the entire length of the overall funding period which runs until March 2021. At this stage, there is currently £9.8m that has been committed and allocated to projects but as yet not been spent mainly due to either slight delays in the start of projects or issues that have slowed delivery resulting in delayed claims. £9.6m of this relates solely to the Harrogate – York Rail project which was originally programmed for delivery in 2018/19 but which has been delayed. It is now due to be completed in 2020/21.

#### **IMPLICATIONS OF 2019/20 CAPITAL UNDERSPENDING AND PROPOSED CARRY FORWARD TO 2020/21**

- 4.13 The County Council's Financial Procedure Rules allows the carrying forward of under/overspends both for approved capital expenditure and scheme specific capital income.
- 4.14 The various components of this net £2.8m underspend and the proposed carry forward to 2020/21 is as follows:

<b>Item</b>	<b>£m</b>
2019/20 Q3 Capital Plan - Latest Revised Update (Gross Spend)	121.7
Less 2019/20 Capital Outturn (Gross Spend)	99.1
= Gross Capital Underspend	<b>22.6</b>
Less Reduction in Grants and Contributions	-19.8
= Net Capital Underspend	<b>2.8</b>
Less Capital Scheme variations not proposed for Carry Forward	-2.2
<b>= Adjusted Net Underspend Proposed for Carrying Forward</b>	<b>0.6</b>

- 4.15 This proposed carry forward will not impact on the long term capital financing arrangements for the Capital Plan as borrowing and use of capital receipts can be used flexibly between years.

#### **FINANCING OF 2019/20 CAPITAL EXPENDITURE**

- 4.16 Total capital expenditure of £99.1m in 2019/20 has been financed as follows:

Item	£m
New Internal Borrowing	3.6
Grants and Contributions	70.0
Schemes financed from Revenue	23.1
Capital Receipts from Property Sales	1.6
Loan Repayment (Yorwaste & Growing Places)	0.8
<b>= Total Capital Expenditure to be Financed in 2019/20</b>	<b>99.1</b>

- 4.17 The £3.6m figure in the table above is a balancing figure which, effectively, represents the increased level of borrowing for capital purposes made from internal sources. In 2018/19, the Council introduced a new approach to identifying, assessing and implementing longer term investments in commercial property that target commercial returns greater than those available from traditional investments. This led to £11.8m of investment in 2018/19. No such investments were made in 2019/20 resulting in a reduction in this balancing figure of 75% on that for the previous financial year.
- 4.18 The level of internal borrowing required for non-commercial capital expenditure has been minimised through the prioritisation of grants and contributions received by the County Council to fund eligible capital expenditure.
- 4.19 A more detailed comparison of the above funding package with that underlying both the original and latest revised Capital Plans approved by Members in February 2019 and February 2020, respectively, is provided at **Appendix F**.

## CAPITAL RECEIPTS

- 4.20 The County Council's policy on capital receipts is one that requires that all such receipts shall be used to finance capital expenditure in the year in which the receipts are generated.
- 4.21 The outturn position on Capital Receipts is as follows:

Item	£m
Receipts from the Sale of Other Land, Buildings and Equipment	1.6
Loans to Limited Companies Repayments	0.8
<b>= Total Capital Receipts in 2019/20</b>	<b>2.4</b>
Capital Receipts used to fund Capital Expenditure in 2019/20	-2.4
<b>= Capital Receipts Carried Forward to 2020/21</b>	<b>0.0</b>

- 4.22 The £2.4m available Capital Receipts as at 31 March 2020 have been used to fund capital spending in the year. This approach is advantageous in terms of treasury management activities and reducing capital financing costs in 2019/20.



## FUTURE AVAILABILITY OF CAPITAL RESOURCES

- 4.23 The latest revised Capital Plan update report at Q3 identified a potential £14.2m of unallocated capital funding that could potentially become available in the Capital Plan period. This sum arose mainly from additional capital receipts that had been identified, net of additional capital funding allocations approved by Executive. Following the 2019/20 outturn position and the latest forecast of capital receipts up to 2020/21, the surplus capital resources has increased slightly to £14.5m.
- 4.24 However, it is currently difficult to predict the level of capital receipts that will be achieved over the next few years with any degree of certainty. Given this scenario, the current forecast of surplus corporate capital funding does include some fairly significant potential receipts that are relatively uncertain in terms of timing and amount.
- 4.25 The surplus corporate capital resources could be made available for either:
- (i) new capital investment (i.e. additional schemes), or
  - (ii) reducing prudential borrowing in 2020/21 or subsequent years and therefore achieving debt financing cost savings in the Revenue Budget/MFTS, or
  - (iii) holding for the time being with no immediate decision to either spend or reduce borrowing. This course of action would result in additional short-term interest being earned within Corporate Miscellaneous.
- 4.26 Members have previously agreed to adopt option (iii) above and retain any surplus capital funding for the time being. Another factor that influenced this decision was that the forecast funding levels include a capital receipts risk in terms of both forecast receipts slipping into a future year and/or not achieving their estimate.
- 4.27 Given the factors mentioned above, it is proposed that option (iii) be reaffirmed at this stage and that the unallocated funding is held in reserve for the time being. Future further investment proposals are likely to include Capital projects and initiatives however and these will be incorporated into a future quarterly Capital report.

## NEW APPROVALS

- 4.28 **NHBC Guarantee for Brierley Homes** - Brierley Homes, a wholly owned company of North Yorkshire County Council, is required to obtain warranties to cover the homes it is building in order to support sales and build customer confidence. NHBC are the leading provider in the home warranty marketplace and Brierley Homes is a registered developer with NHBC having concluded that registration in June 2019. With a current Premium Rating Scale of A1 which reflects their capability, experience and financial security, Brierley Homes are in a position to reduce the cost of warranty products on each scheme and so remain competitive in the marketplace. A condition of this A1 rating is the introduction of a Parental Indemnity provided by NYCC. It is proposed that the Parental Indemnity is capped at £100k and will be documented under a facility agreement between Brierley

Homes and NYCC where NYCC is providing the guarantee on commercial terms (4% above base rate) to ensure that there are no state aid issues. There is no requirement for an initial outlay by NYCC and it would only become payable if Brierley Homes default on any of their liabilities under their agreement with NHBC. In such circumstances, under the facility agreement, Brierley Homes must repay the amount to NYCC with any relevant interest. The indemnity and facility agreement will expire in March 2028.

- 4.29 **Basic Need** – Paragraph 4.10 refers to a number of retendering exercises which have resulted in delays to delivery and therefore spend in 2019/20. Schemes to provide additional pupil places at two primaries, Sherburn Hungate Primary School & at the Middle Deepdale site (to replace Overdale Primary School) were retendered. The completion of these tendering exercises during Quarter 4 has identified the need to increase the original budget allocations by £504.3k and £758.6k respectively. In order for these schemes to progress, these uplifts are included in the Outturn Report and will be actioned as part of the Quarter 1 Performance Monitoring.

## RECOMMENDATIONS

4.30 The Executive is recommended:

- (a) to note the position on capital outturn as detailed in **Appendices A to E**
- (b) to recommend to the County Council, the proposed carry forward to 2020/21 of the net capital underspend totalling £0.6m as set out in **paragraph 4.14**
- (c) to approve the financing of capital expenditure as detailed in **paragraph 4.16** and **Appendix F**
- (d) to approve the Parental Indemnity arrangement for Brierley Homes details of which are set out in **paragraph 4.28**
- (e) to approve the budget uplifts to two Basic Need schemes as detailed in **paragraph 4.29**

## **CAPITAL OUTTURN 2019/20 - APPENDICES**

- Appendix A** Capital Expenditure and related Income 2019/20 compared with the Capital Plan (original and latest) at Directorate level
- Appendix B** Health and Adult Services
- Appendix C** Business and Environmental Services
- Appendix D** Children and Young People's Service
- Appendix E** Central Services
- Appendix F** Financing of Capital Expenditure 2019/20

## CAPITAL EXPENDITURE AND INCOME 2019/20

Appendix A

		GROSS EXPENDITURE					GRANTS AND CONTRIBUTIONS					NET EXPENDITURE										
Appendix		Capital Plan		Actual	Variation		Capital Plan		Actual	Variation		Capital Plan		Actual	Variation							
		Original	Latest		Original	Latest	Original	Latest		Original	Latest	Original	Latest									
		Approved Feb 2019	Approved Feb 2020	Approved Feb 2019	Approved Feb 2020	Approved Feb 2019	Approved Feb 2020	Approved Feb 2019	Approved Feb 2020	Approved Feb 2019	Approved Feb 2020	Approved Feb 2019	Approved Feb 2020	Approved Feb 2019	Approved Feb 2020							
		£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s							
Health and Adult Services	B	1,760	2,658	725	-	1,035	-	1,933	-	1,760	-	2,658	-	725	1,035	1,933	-	-	-			
Business and Environmental Services	C	75,609	81,365	69,544	-	6,065	-	11,821	-	74,690	-	79,801	-	68,104	6,586	11,697	919	1,564	1,441	522	-	124
Children and Young People's Services	D	51,088	24,813	20,118	-	30,970	-	4,695	-	51,088	-	24,813	-	20,118	30,970	4,695	-	-	-	-	-	-
Central Services	E	9,182	12,871	8,713	-	470	-	4,158	-	6,941	-	6,417	-	4,933	2,008	1,484	2,241	6,454	3,780	1,539	-	2,674
<b>Total</b>		<b>137,640</b>	<b>121,707</b>	<b>99,100</b>	-	<b>38,539</b>	-	<b>22,606</b>	-	<b>134,479</b>	-	<b>113,688</b>	-	<b>93,880</b>	<b>40,599</b>	<b>19,809</b>	<b>3,160</b>	<b>8,018</b>	<b>5,221</b>	<b>2,060</b>	-	<b>2,798</b>

## HEALTH AND ADULT SERVICES

## 2019/20 CAPITAL BUDGET - OUTTURN POSITION

CAPITAL PLAN HEAD	ORIGINAL PLAN	LATEST PLAN	OUTTURN	VARIANCE	COMMENTS
	£000	£000	£000	£000	
Maintaining Fabric / Facilities of Properties	390	698	705	7	Schemes at Bentham and Filey not yet complete (£470k); acquisition not concluded in year (£1,000k); legal completion of transfer not concluded in year (£490k).
"Draft Care and Support Where I Live Strategy" Extra Care Scheme	1,370	1,960	21	1,940 CR	
<b>TOTAL GROSS SPEND</b>	<b>1,760</b>	<b>2,658</b>	<b>725</b>	<b>1,933 CR</b>	
<b>CAPITAL GRANTS AND CONTRIBUTIONS</b>					
Capital Grants					
- PSS Capital Grant	390 CR	698 CR	705 CR	7	
Revenue Contributions					
- Valuing People - Day Service Provision (from PIP)	1,370 CR	1,960 CR	21 CR	1,940	
<b>TOTAL GRANTS AND CONTRIBUTIONS</b>	<b>1,760 CR</b>	<b>2,658 CR</b>	<b>725 CR</b>	<b>1,933</b>	
<b>TOTAL NET EXPENDITURE</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	

## BUSINESS &amp; ENVIRONMENTAL SERVICES

## 2019/20 CAPITAL BUDGET - OUTTURN POSITION

CAPITAL PLAN HEAD	ORIGINAL	LATEST PLAN	OUTTURN	VARIANCE	COMMENTS
	£000	£000	£000	£000	
<b>GROSS EXPENDITURE</b>					
New and Replacement Road Lighting	7,282	4,658	2,268	2,391 CR	Capacity to complete LED programme has been limited and will therefore be completed in 20/21.
Structural Maintenance of Roads	44,020	44,792	47,069	2,277	
Integrated Transport Block Provision (inc. fees)	3,023	5,702	2,530	3,171 CR	Programme has overspent by £1.77m, mainly due to over-programming
Regional Funding Allocation	150	-	134	134	
Structural Maintenance of Bridges	-	3,597	2,159	1,438 CR	Delivery slower than originally anticipated
Flood Risk Management	-	350	40	310 CR	Delays in securing external programme funding
Waste Management Service	801	40	115	75	Capitalisation of revenue expenditure met from revenue contributions - additional expenditure in year relates to purchase of gantries, containers and fencing.
Waste Procurement Project	919	1,429	1,441	12	
LEP Growing Places Fund	3,519	1,034	545	489 CR	Fewer loans than originally anticipated
Local Growth Deal	9,456	16,815	10,529	6,286 CR	Underspend due to programme changes
Mobile Infrastructure Programme	500	50	56	6	
Rural Connected Communities (5G)	-	-	4	4	
Bedale-Aiskew-Leeming Bar Major Scheme	301	112	251	139	Increase in Part 1 claims and post-Archaeological works
A1 Dishforth to Leeming	-	-	2	2	Met from Highways Grant
Kex Gill	2,200	2,137	1,776	361 CR	A funding decision expected from the DfT has been delayed by the general election then the current coronavirus situation. Some on site investigation works have started later than envisaged and work relating to land negotiation and associated statutory procedures has slipped back. Tenders have not yet been issued with no requirement to deal with tender queries as a result.
Junction 47 Improvements	3,433	650	609	41 CR	
A174 Sandsend Slope Stabilisation	5	-	-	-	
Heritage Services	-	-	16	16	
<b>TOTAL GROSS SPEND</b>	<b>75,609</b>	<b>81,365</b>	<b>69,544</b>	<b>11,821 CR</b>	
<b>CAPITAL GRANTS AND CONTRIBUTIONS</b>					
Capital Grants					
- Local Transport Plan Grant	31,889 CR	35,183 CR	35,008 CR	176	
- NPIF Grant	4,436 CR	3,509 CR	1,349 CR	2,160	
- Safer Roads Grant	2,970 CR	457 CR	159 CR	298	
- Environment Agency Grant	-	200 CR	17 CR	183	
- Pothole Grant	1,637 CR	1,991 CR	1,991 CR	-	
- Other DfT Grants	563 CR	-	29 CR	29 CR	
- Regional Funding Allocation	69 CR	-	119 CR	119 CR	
- LEP Growing Places Grant	570 CR	145 CR	145 CR	0	
- Local Growth Deal	13,022 CR	20,854 CR	13,155 CR	7,699	
- Waste Grant	446 CR	25 CR	21 CR	4	
- Highways England Grant	-	-	-	-	
- DCMS Grant (5G)	-	-	4 CR	4 CR	
- Other Capital Grants	-	-	-	-	
Capital Contributions	-	502 CR	1,652	2,154	
Capital Receipts - LEP Growing Places Loan Repayments	2,949 CR	753 CR	400 CR	353	
Capital Receipts - Waste	-	-	-	-	
Revenue Contributions					
- Revenue Contributions - LED Street Lighting	7,282 CR	3,778 CR	1,431 CR	2,347	
- Revenue Contributions - Cat 4 Roads	3,604 CR	3,604 CR	3,608 CR	4 CR	
- Revenue Contributions - Pothole Match Funding	2,397 CR	-	-	-	
- Revenue Contributions - Kex Gill	2,200 CR	2,137 CR	3,704 CR	1,567 CR	
- Revenue Contributions - BALB PIP	-	-	-	-	
- Revenue Contributions - BALB	301 CR	112 CR	251 CR	139 CR	
- Revenue Contributions - HWRC	340 CR	-	-	-	
- Revenue Contributions (less than £75k)	15 CR	6,552 CR	8,367 CR	1,815 CR	
<b>TOTAL GRANTS AND CONTRIBUTIONS</b>	<b>74,690 CR</b>	<b>79,801 CR</b>	<b>68,104 CR</b>	<b>11,697</b>	
<b>TOTAL NET EXPENDITURE</b>	<b>919</b>	<b>1,564</b>	<b>1,441</b>	<b>124 CR</b>	

## CHILDREN &amp; YOUNG PEOPLES SERVICE

## 2019/20 CAPITAL BUDGET - OUTTURN POSITION

CAPITAL PLAN HEAD	ORIGINAL PLAN	LATEST PLAN	OUTTURN	VARIANCE	COMMENTS
	£000	£000	£000	£000	
<b>GROSS EXPENDITURE</b>					
<b>NYCC MANAGED SCHOOLS SCHEMES</b>					
Basic Need Schemes	27,656	6,193	2,901	3,292 CR	Combination of under/over spends on various schemes. Main areas of high underspend relate to: Barlby CP PFI extension (£215k), Northallerton new PS (£142k), Sowerby Gateway (awaiting DfE claim for S106 funds of £1.5m), Staynor Hall PS, Oatlands Jnr and Harrogate Grammar School (academy trust led schemes not progressing as quickly as expected £320k/£100k/£220k), unused contingency budgets (£400k inc Sowerby Free School).
School Condition Schemes	17,500	9,107	8,428	679 CR	Combination of under and overspends against plan.
Capital Maintenance Programme	500	2,933	3,671	738	Higher than anticipated Devolved Capital Contributions from schools and inclusion of the insurance scheme at Sherburn High to be covered by insurance.
General Compliance & Health & Safety	14	200	100	100 CR	Block sum budget used to support works in schools resulting from safeguarding audits and Ofsted inspections. Difficult to anticipate actual requirement due to nature of works and when they might arise.
School Reorganisation	200	199	199	-	
Strategic Management of Capital Programme	0	600	437	163 CR	Review of methodology for charging Planning fees has resulted in a saving to the Programme; funds will be redirected to schemes in schools.
<b>NON NYCC MANAGED SCHOOLS SCHEMES</b>					
Self Help Schemes	3,000	3,000	1,324	1,676 CR	
Devolved Capital	1,560	1,221	2,521	1,300	Carried forward grant (3 year rolling programme) and additional grant allocation announced in the Chancellor's October statement (2018) has resulted in expenditure being higher than the original 2019/20 allocation.
<b>NYCC NON SCHOOL MANAGED SCHEMES</b>					
Catering Equipment	240	240	124	116 CR	Level of replacement of equipment lower than anticipated
Prevention & Commissioning					
- Childrens Centre Capital	-	460	24	436 CR	The original grant allocation for a private early years provider has been cancelled due to legal matters. Funds clawed back by the DfE March 2020 leaving the sum relating to officer time (now transferred to respective service areas as a capital recharge).
Children & Families	-	210	-	210 CR	Acquisition not completed prior to year end.
Social Care Maintaining Fabric	0	-	-	-	
Aiming High for Disabled Children - Short Breaks	418	450	390	61 CR	Scheme is expected to complete under budget.
<b>TOTAL GROSS SPEND</b>	<b>51,088</b>	<b>24,813</b>	<b>20,118</b>	<b>4,695 CR</b>	

## CHILDREN &amp; YOUNG PEOPLES SERVICE

## 2019/20 CAPITAL BUDGET - OUTTURN POSITION

CAPITAL PLAN HEAD	ORIGINAL PLAN	LATEST PLAN	OUTTURN	VARIANCE	COMMENTS
	£000	£000	£000	£000	
<b>CAPITAL GRANTS AND CONTRIBUTIONS</b>					
<b>NYCC MANAGED SCHOOLS SCHEMES</b>					
Capital Grants					
- Basic Need Grant	12,819 CR	2,057 CR	1,415 CR	642	
- Devolved Capital Grant	-	292 CR	422 CR	130 CR	
- School Condition Grant	17,004 CR	11,008 CR	10,422 CR	586	
- Special Provision Fund	342 CR	502 CR	515 CR	13 CR	
- Healthy Pupils Grant	468 CR	597 CR	603 CR	6 CR	
- Other	-	253 CR	215 CR	38	
Capital Contributions					
- Capital Contributions	-	27 CR	421 CR	394 CR	
- Section 106 Income	15,237 CR	4,485 CR	1,707 CR	2,779	
Revenue Contributions					
- Direct Revenue Fundings - Other	-	10 CR	16 CR	6 CR	
<b>NON NYCC MANAGED SCHOOLS SCHEMES</b>					
- Devolved Capital Grant	1,560 CR	3,721 CR	2,521 CR	1,200	
- Sports Organisation Grants	-	-	-	-	
- Capital Contributions - Self Help Schemes	500 CR	500 CR	416 CR	84	
- Revenue Contributions - Self Help Schemes	2,500 CR	-	908 CR	908 CR	
<b>NYCC NON SCHOOL MANAGED SCHEMES</b>					
Capital Grants					
- Aiming High for Disabled Children's Grant	206 CR	239 CR	239 CR	-	
- Early Education 30hrs	-	460 CR	24 CR	436	
Capital Contributions from External Bodies	-	-	-	-	
Revenue Contributions					
- Catering Equipment	240 CR	240 CR	124 CR	116	
- Other	212 CR	422 CR	151 CR	271	
<b>TOTAL GRANTS AND CONTRIBUTIONS</b>	<b>51,088 CR</b>	<b>24,813 CR</b>	<b>20,118 CR</b>	<b>4,695</b>	
<b>TOTAL NET EXPENDITURE</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	



## CENTRAL SERVICES

## 2019/20 CAPITAL BUDGET - OUTTURN POSITION

CAPITAL PLAN HEAD	ORIGINAL PLAN	LATEST PLAN	OUTTURN	VARIANCE	COMMENTS
	£000	£000	£000	£000	
<b>GROSS EXPENDITURE</b>					
County Hall Redevelopment (2018-20)	3,087	2,143	1,853	290 CR	
Data Centre	336	664	851	187	
Corporate Accommodation (Magistrates Court)	-	450	462	12	
Property Rationalisation	-	271	259	12 CR	
Travellers' Sites	-	250	231	19 CR	
ICT Infrastructure (FCS)	800	1,055	592	463 CR	Review of priorities resulting from changing technologies
New Ways of Working	2,443	2,480	1,128	1,352 CR	has led to lower than anticipated expenditure
NY Data Observatory	-	-	-	-	
Super Fast Broadband Scheme	686	-	-	-	Scheme budget has been moved to Later Years
Library Schemes	-	769	731	38 CR	
Purchase of Vehicles, Plant & Equip	100	100	36	64 CR	Additional revenue funding identified for the purchase of Directorate vehicles thus reducing the requirement for funding from prudential borrowing
Material Damage Provision	500	500	226	274 CR	Lower than anticipated number of material damage claims
South Cliff, Scarborough	-	-	-	-	
Capital Loan Provisions	-	500	500	-	
Capital Investments	-	-	4	4	
Loans to Limited Companies etc.	1,230	3,689	1,839	1,850 CR	To maintain a working balance of £250k, the Brierley Homes loan is drawn down in instalments as and when required. Less was drawn down in 19/20 than originally anticipated due to delays in the acquisition of site 2.
<b>TOTAL GROSS SPEND</b>	<b>9,182</b>	<b>12,871</b>	<b>8,713</b>	<b>4,158 CR</b>	

## CENTRAL SERVICES

## 2019/20 CAPITAL BUDGET - OUTTURN POSITION

CAPITAL PLAN HEAD	ORIGINAL PLAN	LATEST PLAN	OUTTURN	VARIANCE	COMMENTS
	£000	£000	£000	£000	
Capital Grants					
- Performance Reward Grant	676 CR	-	-	-	
- Regional Improvement Grant	-	-	9 CR	9 CR	
Capital Contributions	-	-	-	-	
Loans to Limited Companies Repayments (classed as Capital Receipts)	389 CR	389 CR	389 CR	-	
Revenue Contributions					
- Other Revenue Contributions	5,876 CR	6,028 CR	4,535 CR	1,493	
<b>TOTAL GRANTS AND CONTRIBUTIONS</b>	<b>6,941 CR</b>	<b>6,417 CR</b>	<b>- 4,933 CR</b>	<b>1,484</b>	
<b>TOTAL NET EXPENDITURE</b>	<b>2,241</b>	<b>6,454</b>	<b>3,780</b>	<b>2,674 CR</b>	

## APPENDIX F

## FINANCING OF CAPITAL EXPENDITURE IN 2019/20

	Original Plan to Exec Feb 2019 £000s	Latest Plan to Exec Jan 2020 £000s	Year End Outturn Mar 2020 £000s
<b>Borrowing</b>			
Unsupported Prudential Borrowing	2,105	6,215	4,031
Re-phased borrowing re slippage etc	3,058	- 163	- 463
= total capital borrowing requirement	5,163	6,052	3,568
Surplus capital resources etc	- 4,996	346	-
= adjusted borrowing requirement	167	6,398	3,568
<b>Capital Grants &amp; Contributions</b>			
HAS	390	698	705
BES	55,602	62,865	50,343
CYPS	48,137	21,614	18,919
CS	676	-	9
	104,805	85,177	69,976
<b>Financed from Revenue</b>			
HAS	1,370	1,960	20
BES	16,139	16,183	17,360
CYPS	2,952	3,199	1,200
CS	5,876	6,028	4,535
	26,337	27,370	23,115
<b>Available capital receipts</b>			
County Farms receipts	-	-	-
Earmarked for Depots Rationalisation Programme receipts	-	-	-
Other capital receipts from sale of properties	2,993	1,620	1,653
LEP Growing places loan repayment (classed as capital receipts)	2,949	753	400
Company Loan repayments (treated as capital receipts)	389	389	389
	6,330	2,762	2,442
Brought forward from	-	-	-
Carried forward to	-	-	-
	6,330	2,762	2,442
<b>Total Expenditure to be financed</b>	<b>137,639</b>	<b>121,707</b>	<b>99,101</b>

## 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 outturn position for the County Council's 2019/20 Revenue Budget as summarised in **paragraph 2.1.2**
- c) approves the additional pledged contributions of £76,600 and £215,000 (from the Directors of Development fund) to Welcome to Yorkshire (**paragraph 2.4.1**)
- d) notes the position on the GWB (**paragraphs 2.6.1 to 2.6.3**)
- e) notes the position on ' Strategic Capacity – Unallocated' reserve (**paragraphs 2.6.4 to 2.6.6**)
- f) That the Executive notes the performance of the Treasury Management operation during 2019/20 and the outturn position on Prudential Indicators.
- g) to note the position on capital outturn as detailed in **Appendices A to E**
- h) to recommend to the County Council, the proposed carry forward to 2020/21 of the net capital underspend totalling £0.6m as set out in **paragraph 4.14**
- i) to approve the financing of capital expenditure as detailed in **paragraph 4.16** and **Appendix F**
- j) to approve the Parental Indemnity arrangement for Brierley Homes details of which are set out in **paragraph 4.28**
- k) to approve the budget uplifts to two Basic Need schemes as detailed in **paragraph 4.29**

Richard Flinton  
Chief Executive  
28 July 2020

Gary Fielding  
Corporate Director, Strategic Resources

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