

NORTH YORKSHIRE COUNTY COUNCIL**EXECUTIVE****8 December 2020****QUARTERLY FINANCE MONITORING REPORT****Report of the Chief Executive****EXECUTIVE SUMMARY****Revenue Budget 2020/21**

1. There is an overall projected net overspend of £1,425k against budget for 2020/21 (**paragraph 2.1.2**). The direct impact of COVID-19 is leading to 'headline' overspends in all directorates. Issues of note include:
 - An improvement in the underlying budget position of CYPS and HAS reflecting in part the additional funding provided as part of the 2020/21 approved budget.
 - Significant one off costs in Corporate Miscellaneous, in particular the creation of a provision to offset the potential loss of local taxation income which will impact in financial year 2021/22.
 - The above issues are significantly offset by the receipt of government funding for additional Covid-19 costs
2. A breakdown of each Directorates forecast variance is provided in **Appendices B to F** with the financial position for NYES provided in **Appendix G**.
3. The longer term impact of the Covid-19 crisis remains a critical issue. The potential long term impacts on levels of local tax funding, the wider economy and local markets represent very significant areas of uncertainty with potential major repercussions for the county council's budget and cash flow.

Capital Plan

1. The Council is currently planning to invest £182.6m on capital schemes across the County in 2020/21 and £355.3m, in total, over the next 5 years. Covid-19 is impacting on a number of schemes and re-profiling is required.
2. Executive is asked to approve: the proposal to fund the Technology and Change Roadmap 2020-2025 (**paragraph 4.2.29**).
3. Planned financing of the capital spend in 2020/21 (**paragraph 4.5.4 & Appendix E**) includes £5.9m capital receipts. After utilising other estimated capital income (grants, contributions and revenue contributions) totalling £165.5m, the balancing figure of £17.2m is planned to be funded from internal borrowing which has the impact of running down investments.
4. £17.1m potential surplus capital resources are available over the Capital Plan period (**paragraph 4.5.4**). This could be used to fund capital expenditure or to reduce the Council's outstanding debt.

Treasury Management

1. Investments outstanding at 30 September 2020 were £487.3m (**paragraph 3.15**) of which £230.3m belonged to other organisations who are part of NYCC's investment pool arrangements (**Appendix A**),
2. The daily average balance was £499.9m over Q2 of 2020/21 and an average rate of return of 0.67% was achieved (**paragraph 3.15**) which compares well against benchmarks (**paragraph 3.16**).
3. External debt stood at £247.1m at 30 September 2020. The average interest rate of this debt was 4.45% (**paragraph 3.19**).
4. The forecast capital borrowing requirement for 2020/21 is £37.7m (**paragraph 3.21**).

RICHARD FLINTON
Chief Executive

Gary Fielding
Corporate Director, Strategic Resources

County Hall
Northallerton
8 December 2020

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Executive Performance Report

Quarter 2 • 2020/21

Enter



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Executive Summary

Introduction

The council ambition in focus this quarter is **“Every adult has a longer, healthier and independent life”** starting on page 21.

This Quarter 2 performance report provides strong ongoing evidence of progress towards delivering on all our council ambitions, also the challenges we must strive to overcome to seek further improvement.

However, it is not surprising that the Covid-19 pandemic over the past several months has had a significant impact on the way we deliver services. In addition, the changing needs of our citizens over the various phases of the crisis has also meant that we have had to adapt rapidly to the types of services required.

Much of quarter 2 saw a return to a degree of normality for many, including pupils and students return to schools colleges, university and the economy opening up. However, we are now faced with a strong resurgence of the Covid-19 virus in our local communities. This has led to stricter Covid-19 measures being introduced, including new national restrictions for England as from the 5th November. The impact of this on communities, business and future performance is not yet fully understood, but we should take great confidence from the strong response to the crisis provided by the council to date.

Council Ambition – Leading for North Yorkshire



The development of the Local Outbreak Management and Prevention Plan and putting it into operation has optimised the council wide response to Covid-19 and mitigated the risks to residents as far as practicable. This includes leading and co-ordinating a whole-system, multi-agency response with support from district councils in North Yorkshire. The approach has included working with partners such as: local NHS partners in primary and secondary care, Public Health England, military, police, community and voluntary sector organisations, neighbouring authorities in Yorkshire and Humber and a range of national organisations.

Local Outbreak Management and Prevention Plan for North Yorkshire

The plan sets out the local response with North Yorkshire based around the seven key connected themes:



There have been over 10,000 test-confirmed cases of Covid-19 in North Yorkshire to date, yet this total is less than 2% of the county’s population, potentially meaning over 600,000 people could remain at risk. The second wave arrived in September, with many more cases being recorded due to the increased availability of testing.

The Council have developed, with partners an action plan under four main areas:

- **Testing Strategy:**

Planning and implementing a testing strategy within the District Area. Mobile Testing Units are being deployed to a number of “hot spot” locations.

- **Enforcement and Compliance Checks:**

A joined up approach by officers from Environmental Health, Licensing, Police, Community Safety and Trading Standards to undertake compliance and advisory visits to communities and business premises in towns and villages. Enforcement will be undertaken as appropriate and we are receiving reports of residents breaching legal isolation requirements that are being followed up.

- **Community Engagement:**

A combination of Covid Marshalls, Community Support and Liaison Officers and Community Ambassadors are being utilised to engage with our communities. This is to promote the message of the importance of complying with the lockdown rules and guidance and to also highlight the detrimental impacts caused to our communities by ignoring those requirements.

- **Communication Strategy:**

A joined up approach by all operational partners to deliver the key communications to our communities. This community messaging will be provided by a number of channels including social media, leaflet drops and posters. A mobile communication van will be visiting a number of communities in the coming days. This mobile van will display electronic messages for promoting the way communities can all play their part in reducing the risks of disease transmission. There will be an enhanced approach to previous communications and will now emphasise the consequences and potential penalties that can be given out to anyone found breaching the lockdown rules.

The Council will continue to respond to any new emerging threats from Covid-19. We are also planning for the recovery from Covid, which will have heavily impacted on the economic wellbeing of our residents, ensuring that firms and businesses across North Yorkshire have the information they need so they have the best chance post Covid.

There is likely to be additional physical and mental health demands built up in the population due to initial lower demand for some of our services due to a range of issues, potentially resulting in some people's needs becoming more complex. The initial stages of planning is already underway for delivering potential vaccination programmes against Covid-19.

Our Stronger Communities team have continued to work closely with Community Support Organisations since the first tranche of lock down to deliver support across the county. Our thanks go out to the volunteers who have worked tirelessly over recent months to support those living in their communities who needed extra support during this time. Their contribution has been exceptional and has enabled a huge amount of support be delivered, when people were unable to rely on their usual networks. We have led emergency response and mobilised our response with the support of the Community Support Organisations, Helping on average circa 2,870 people per week over 83,813 year to date (YTD). Over the year, they have delivered circa 280 prescriptions and 480 shops per week totalling 12,231 prescriptions and 17,560 shops.

In parallel with the immediate response to Covid, our attention has also been on supporting the economic recovery and growth, through a devolution deal for York & North Yorkshire anticipated to deliver £2.4 Bn over the next 30 years. <https://www.northyorks.gov.uk/frequently-asked-questions-about-devolution>.

As part of this proposal, councils in York and North Yorkshire received a letter on the 29th of June from Minister of State at the Ministry of Housing, Communities and Local Government. He stated that unitarisation was needed to ensure the best devolution deal for the region as part of a mayoral led combined authority. This council has

therefore been working on a case for change, setting out proposals for local government reorganisation across the sub-region.

The Case for Change <http://nyccintranet/content/stronger-future-together> details the challenges facing the county of North Yorkshire and the limitations of the current structure of local government in addressing them. It places these challenges in the context of national and regional agendas and the existing and future financial pressures, exacerbated by Covid-19.

The case for change concludes that the single unitary option for the Geography of North Yorkshire would provide the greatest value for money and savings of between £30.2m and £66.9m per annum (dependent on the degree of transformation undertaken by the new council). It will unlock greater economies of scale, and provide the greatest simplicity for partners and the public whilst ensuring that essential services are not disrupted. In addition, there is the potential for additional savings through collaborative working with the City of York Council. NYCC has proven that it can deliver strong services on our existing geography and the benefits of scale that it brings to our communities, for example our Outstanding children's services and nationally recognised adult social care.

The proposal for a single unitary authority was approved by full council on 4th November and submitted to government, setting out how it will result in a local government system that is **stronger and simpler, local and effective**, and **efficient and sustainable**.

The single unitary option will allow, subject to timescales permitting, North Yorkshire and York to move quickly to an ambitious devolution deal as early as 2022 and is critical to post-Covid economic recovery.

Progress and strength for this council ambition are:

Mobile Access North Yorkshire

NYCC are part of a consortium who were successful in securing £4.4m Department for Digital, Culture, Media and Sport (DCMS) funds from the 5G Rural Connected Communities fund, to investigate how improved connectivity can improve people's lives in poorly connected digital communities.

Superfast North Yorkshire

The project is bringing super-fast broadband to North Yorkshire and is built around a partnership between North Yorkshire County Council and BT for Phases 1-3, and has already successfully delivered superfast broadband to more than 180,000 homes and commercial properties. As well as delivering Superfast broadband to the county, the project also brings together other initiatives by the council to address rural areas where the fibre-based coverage is not available (the so called 'not' spots).

Rural Commission

The Rural Commission has continued to meet during Covid restrictions. Evidence gathering sessions on digital connectivity and rural transport issues were undertaken by video-conferencing over the summer period, with presentations from more than 20 additional participants representing a wide-ranging body of individuals, agencies and organisations, all keen to contribute to the work of the Commission.

Challenges for this council ambition are:

Securing devolution for York & North Yorkshire

Continuing to make the case for a single unitary option, subject to timescales permitting, North Yorkshire and York to move quickly to an ambitious devolution deal as early as 2022 and is critical to post-Covid economic recovery.

Management of Covid-19 in North Yorkshire

Implementation of the Local Outbreak Management and Prevention Plan in the ongoing Covid crisis, to ensure the best for the people of North Yorkshire.

Council Ambition – Every adult has a longer, healthier and independent life



Health and Adult services including Public Health, have shouldered the ongoing impact of the pandemic. This has resulted in new service delivery models being developed to ensure the council can meet the changing needs within communities over extended hours (weekends and evenings).

The impact on care homes continues to be well documented both in the national and local media and is no different in North Yorkshire. It has been vital throughout this period that the council has clear infection control practices in place to ensure staff and residents are protected from infection. This has been challenging whilst balancing the impact of residents not being able to see their family members either in care homes or the community.

Nearly all aspects of activity across the customer pathway for adult social care remain well below 2019/20 levels through the continuing Covid outbreak:

- Adult social care related contacts through the contact centre are down 12% or by 4,554 contacts;
- Referrals to adult social care teams are down 21% or by 1,940 referrals;
- Referrals to Living Well are down 34% or by 658 referrals; and,
- Admissions to residential and nursing settings are down 39% or by 168 placements.

Some of this reduced activity may result in people not getting the support they need at the time that it could be most effective. In the longer term, this could result in increased levels of demand for support both in terms of the number of people coming forward for support and in the level of need that they bring with them.

Assessment activity is up 11% or by 1,004 assessments. Part of the national Covid response includes funding through the NHS for people's initial social care support. The arrangements include a requirement for people to be reassessed for their on-going care needs and to facilitate the on-going costs to be picked up by the appropriate agency. This brings additional pressure on staff time – 635 people supported under the first scheme must be reviewed by the end of March 2021 and for the second scheme introduced from September, everyone is to be reviewed within 6 weeks of their initial support starting.

New safeguarding arrangements put in place towards the end of last financial year continue to deliver improved outcomes. Reduced levels of safeguarding concerns have been maintained (down 40%) and 80% of cases are being resolved quickly and without the need for more formal investigation.

Progress and strength for this council ambition are:

Reduced admissions to residential and nursing placements

At the end of Q2, the projected admissions rate for 2020/21 was 432.3 per 100,000 for 65+, and 13.2 per 100,000 for 18-64. For the same period in 2019/20, the rates were 618.9 and 18.4 respectively. At the end of September, the number of permanent placements in residential and nursing settings was down by 10% (223) since the end of March to 2,079. During the Covid outbreak, the reduction in long-term placements has been balanced by increased use of short-term placements to facilitate the joined up approach advocated by national discharge pathway. Currently, as initial packages of support provided by Covid emergency funding (up to 6 weeks) end, we are not seeing a corresponding rise in long-term placements.

Average cost of a Personal Budget remains very stable

The average cost of a PB was up 4.6% (£0.6K) year on year at the end of Q2, which compares with 10.2% (£1.1K) at the end of Q1.

Assessment completion timescales remain very good during the Covid outbreak

9,771 assessments have been completed for the year to September 11% (1,004) more than for the same period in 2019/20. Timescales for the completion of assessments remain good. Across the county, 95% of Covid-related assessments were completed within 28 days, including 64% completed within 3 days. All operational areas have achieved over 93% against the 28-day completion period

Improved safeguarding outcomes embedded

New safeguarding processes put in place in October 2019 continue to deliver a 40% (1,135) reduction in safeguarding concerns year on year. Consistently, approximately 80% of safeguarding concerns have been resolved at the information gathering stage without the need to progress to a more formal resolution stage.

Challenges for this council ambition are:

Further increases in placements above approved rates

55% (1,203/2,194) of permanent placements for older people were above the authority's approved rates at the end of Q2, up from 53% in Q1. 62% of new admissions were above NYCC rates, which rises to 98% in Harrogate. The report highlights planned actions in relation to the care market, including a cost of care exercise to provide a detailed analysis of market costs to inform the review of approved rates.

Significant reductions in prevention activity

Activity levels through the prevent, reduce, delay elements of the social care pathway remain well below 2019/20 levels. Living Well referrals are down by 34% (658) to 1,293; reablement involvements are down by 21% (240) at 913. Reduced early intervention activity through the Covid outbreak may result in higher levels of future demand as people have not benefitted from the preventative support to build and develop their resilience and well-being.

Annual review completions

The proportion of people receiving an annual review reached 32.9% at the end of Q2, but the gap against the target for this period (37.5%) increased to 4.6%, with only one locality remaining on target. Increased demand for assessments during the Covid outbreak (+1,000) has redirected staff time to deal with new service users, resulting in a corresponding reduction in review activity (-1,200). The report details actions put in place to address the reduction.

Council Ambition – Every child and young person has the best possible start in life



When schools closed on 20 March 2020, vulnerable and key worker children still needed to attend and have a place of safety. This was successfully achieved, with approximately 250 schools remaining open, providing places for over 1500 vulnerable and Key Worker children. This situation ran until September when all schools returned.

Sitting alongside this we needed to assure ourselves that for those children classed as vulnerable who were not in school remained safe throughout the pressures that lock down placed on families. Across our Children and Families and our Inclusion services, new service delivery practices were introduced which in many cases relied on virtual contact rather than face to face where it was appropriate to do this. Overall this worked well with positive feedback being received from children, young people and their families.

As with every directorate, Children & Young People's Services continue to operate in a climate of relative uncertainty due to the pandemic. Irrespective of this, the service continues to work hard to support children, young people, their families and carers through these unprecedented times. Having seen a marked, Covid-related reduction in the number of contacts received by the MAST and children referred to Children's Social Care during Quarter 1, Quarter 2 has seen a return to a more expected level, with 5,353 contacts being received by MAST and 991 referrals made to Children's Social Care. It is worth noting we are continuing to see an increased number of contacts from Police, up from 1,657 in Quarter 2, 2019/20 to 2,153 in Quarter 2, 2020/21. Decision making in the MAST is strong and we continue to see a low repeat referral rate (at just 15.1%, n= 150) in Q2, compared to a national average of 21.9%). Children and family's needs continue to be assessed in a timely way, with 85.6% (n= 934) of assessments completed within 30 working days and 99.2% (n= 1,179) completed within the 45 working day statutory timescale.

As expected, we are seeing the number of children subject to a Child Protection Plan (CPP) increase, up to 363 at the end of Q2 from 311 at the end of Q1. The proportion of children with a repeat Child Protection Plan remains high at 29.3% (n= 34). The service continues to scrutinise repeat CPPs on a monthly basis to gain assurance decisions are appropriate.

The number of children in Care at the end of Quarter 2 2020/21 was 456. Over the past 3 years, we have consistently seen more children entering care than being discharged from Care. Reflective of the Children & Families Service's Practice Model, the number of Looked after Children cared for by a family or friend foster carer has more than doubled over the past 3 years, from 56 in Quarter 2, 2017/18 to 124 in Quarter 2, 2020/21.

Schools in North Yorkshire have seen significant disruption, with several months of closure following the lockdown announcement in March 2020. We are now in a position where the majority of North Yorkshire's schools are fully open. As of 30th September, 15 schools in North Yorkshire had at least partially closed due to Covid-19 outbreaks in the school. Whilst it is encouraging that so many of North Yorkshire's schools are now fully open, it is worth noting that we have seen a notable increase in the number of children being Electively Home Educated, with 669 children being home educated, compared to 563 in September 2019 up by 17.4% (n=106).

A new approach for provision of support for pupils with Special Educational Needs and Disabilities in North Yorkshire went live at the beginning of September. This saw the introduction of locality based multi-disciplinary SEND Hubs, which serve the whole of the County. Four hubs have launched to enable a more localised response to supporting children with SEND.

Progress and strength for this council ambition are:

The number of contacts has increased to a more expected level

The MAST received a total 5,353 contacts during Quarter 2, up from 4,523 in Quarter 1. This brings us back to a more expected level following the reduction seen during Quarter 1, directly linked to Covid-19 and the whole-scale closure of schools.

Increase in referrals from a Covid-19 related low in Quarter 1

Following a considerable decrease in Quarter 1 (from 941 in Quarter 4 to 766 in Quarter 1), the number of referrals has increased with 991 referrals made during Quarter 2. It is worth noting this is 26 (2%) more referrals than the same period the previous year.

Low rate of repeat referrals

The rate of repeat referrals dropped (improved) to 15.1% during Quarter 2, from 21.1% in Quarter 1 despite a marked increase in referrals. This is the lowest rate of repeat referral since Quarter 1, 2019/20, and is notably lower than the national average of 21.9%.

Children & Families Assessments are completed in a timely manner

During Q2, 2020/21, 85.6% (n= 934) of assessments were completed within 30 working days (up from 68.9% for the same period last year), and 99.24% (n= 1,179) were completed within 45 days.

Relative stability in the number of Requests for Assessment despite recent closure of schools

Unsurprisingly, during the period when schools were closed, we saw the number of request for statutory assessment for Education, Health and Care Plans reduce considerably, down by 24.5% (n= 48) on the previous year. Since schools have reopened, despite the summer break, we have seen a marked increase in requests for assessment, up by 36.7% (n = 47) in Quarter 2 compared to the same period last year. As a result, the YTD figure for requests for assessment from 23rd March (when lockdown started) is comparable to the figure we saw last year (2020 = 330 / 2019 = 332).

Reduction in Exclusions compared to the same period last year

Exclusions for the first month of the 2020/21 academic year show a reduction of 43.8% (n= 130) compared to the same point the previous year, down from 298 in September 2019 to 168 in 2020.

Attendance for vulnerable pupils is strong and improving

Across both primary and secondary schools attendance of vulnerable pupils (i.e. pupils with an EHCP or Social Worker) has been strong and improving since schools returned W/C 5th October:

- Primary Schools: All Pupils = 93.3% / EHCP Pupils = 90.6% / Pupils with Social Worker = 90.8%.
- Secondary Schools: All Pupils = 87.5% / EHCP Pupils = 83% / pupils with a Social Worker = 79%.

Challenges for this council ambition are:

Continued uncertainty in the face of Covid-19

The service continues to face the unprecedented challenges associated with the Covid-19 Pandemic, which affects virtually every element of the service. The full impact of the socio-economic fallout of Covid-19 is not yet known, but expected to have an impact on demand for services over coming months.

High level of contacts received from Police

The number of contacts received from Police has increased by 29.9% (n = 496) compared to the same period last year, up from 1,657 in Q2 2019/20 to 2,153 in Q2 2020/21. The number of referrals resulting from contacts from Police has also increased, up by 44.4% from 279 in Q2 2019/20 to 403 in Q2 2020/21.

Since lockdown, cases coming into frontline teams have been more complex

Feedback from frontline staff is highlighting that the cases that are coming through to teams have increased in complexity, adding to the pressures facing frontline teams.

Increase in the number of children subject to a Child Protection Plan (CPP)

Linked to the increase in referrals we have seen an increase in the number of cases resulting in a CPP following a relatively low number of cases in the preceding Quarter. The number of children subject to a Child Protection Plan has increased from a low of 312 in Q1 to 363 (16.5%) in Q2.

The repeat Child Protection Plan rate remains high

The proportion of children subject to a second or subsequent child protection plan remains high at 29.3% (n = 34) in Q2 2020/21. This is above our statistical neighbour average of 24.8%. It is worth noting that, to some extent, this is reflective of the low number of children made subject to a Child Protection Plan (35.8 per 10k in North Yorkshire in the last 12 months compared to an average of 55.8 per 10k 2018/19 nationally).

The number of Looked after Children is static

The number of Looked after Children at the end of Q2, 2020/21 was 456 (including 15 Unaccompanied Asylum Seeker Children), up slightly from 455 at the end of Q1 (including 16 UASCs). Reflective of the Children & Families Service's Practice Model, the number of Looked after Children cared for by a family or friend foster care has more than doubled over the past 3 years, from 56 in Q2, 2017/18 to 124 in Q2, 2020/21.

A number of schools have at least partially closed due to Covid-19 outbreaks in the setting

As at 30th September, 15 schools had at least partially closed due to a Covid-19 outbreak in the school. One school had closed due to staff shortages related to Covid-19 and 14 were due to suspected or confirmed Covid-19 cases in the setting.

Increasing number of children being Electively Home Educated

The number of children in Elective Home Education continues to increase, up to 669 (17.4% higher than at the end of September 2019). 109 pupils became EHE during September – this is the highest monthly figure since at least September 2016 and may be reflective of parents concerns over Covid-19.

Council Ambition – Innovative and forward thinking council



Our employees remain our biggest asset, their positivity and willingness to be flexible as needed has been the biggest contributing factor to many of the outcomes we have delivered over recent months. Where it has been appropriate we enabled over 3700 staff to work from home at the height crisis and currently have approximately 3500 still providing services from home.

The resilience staff have shown has been amazing with some outstanding work being undertaken. However, we understand that these are very different times for everyone and some people may have found it more challenging than others may. We have therefore increased our employee wellbeing offer to ensure when staff need support they know how and where they can get it.

Quarter 2 has been dominated by the continuing response to the Coronavirus pandemic and ensuring the council is in the best possible place to continue delivering excellent services to the people and businesses of North Yorkshire.

A large proportion of the workforce continue to work from home enabled not only by the technology, but also by the support systems that ensure isolated staff are supported and managed appropriately. The current situation has accelerated the implementation of new ways of working, enabling us to meet many of the objectives of the 2020 transformation programme.

Progress and strength for this council ambition are:

Customer portal

At the end of the quarter, there were 80,712 customer accounts for the customer portal, compared to 49,000 at the same time last year. If we assume one account per household this means the percentage of households in North Yorkshire that have an account has increased from 18% to 32% over the last 12 months. There has been a focus on supporting resilience through staff networks, including informal “Yammer” groups, and resources to support employees with specific needs.

Remote working

During quarter 2, on an average weekday, 3,189 employees used their laptops and tablets to work remotely, peaking during the quarter at 3519 (on avg.) for the week commencing 28th September. To support the organisation’s move to remote working we have had to increase our Internet capacity by 350% and our use of mobile data on our Smartphones and Wi-Fi devices has increased by 181%.

Pulse Survey

In quarter two, a full workforce survey was undertaken to gauge how our workforce felt they were being supported through Covid. The results showed high levels of satisfaction with the support being provided by both the organisation and managers, with significant increases in the proportion of staff who feel they are being kept informed (88% Up by 13%) and have the resources both technology and equipment to work effectively, especially during the pandemic.

Property rationalisation

The programme of rationalisation of the corporate portfolio continues during 2020/21, with key activities including Northallerton space planning based on Covid-19 secure office layouts, staff engagement including the coordination of the emptying of East Block on the County Hall Campus and work with services to release the lease at Crayke House, Easingwold. Alongside planning the development of proposals for Selby, Scarborough and wider Northallerton considerations. Rationalisation work undertaken during 2019/20 has enabled £260k of Property savings being achieved within 2020/21.

The most significant procurement policy changes seen for many years

In response to a number of significant Covid-19 related Procurement Policy Notes (PPNs) 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. The Supply Chain Resilience Board (SCRB), set up to cover the Covid-19 crisis period, has been extended until at least March 2021.

The council website as an important source of information

The council website is an important and growing source of information. The website received almost 4 million visits this quarter, an increase of 20% on the same quarter last year, with well over 400,000 views of the coronavirus section alone.

Council Ambition – North Yorkshire is a place with a strong economy and a commitment to sustainable growth



The focus during quarter two remains on supporting the businesses and communities of North Yorkshire during the Coronavirus pandemic. Officers at North Yorkshire County Council continue to engage with businesses of all sizes and sectors to better understand the nature of the economic impact of the coronavirus and to provide guidance, they also engage with central government in terms of the support required for local businesses, highlighting the disproportionate impact on our hospitality industry.

Progress and strength for this council ambition are:

Support to Business

During the Coronavirus pandemic additional support has been provided to local businesses in order to minimise the impact of the pandemic wherever possible. This support includes providing guidance and information relating to support available from the Government and through district councils and the LEP.

Highways

Throughout Q2 the highways officers, now working solo as part of the Covid-19 restrictions, continue to carry out safety inspections of the road network across the county. Almost 12,600 inspections were completed in Q2 which is only 2.5% down on the same period as last year.

The overall count of works orders completed for Q2 was over 5,250. This is a drop of 12% from 2019, however this has enabled our contractor, Ringway, to clear the small backlog of the lower value orders and work on the backlog of higher value orders. It has also given the service the headroom to concentrate on some of the larger works added as a result of the flood damage at the beginning of the year.

Challenges for this council ambition are:

Furloughed Jobs

Over the course of the coronavirus crisis over 88,000 jobs in North Yorkshire have been furloughed under the Government's Coronavirus Job Retention Scheme (CJRS), 32% of the County's workforce.

Self-Employed Income Support Scheme

35,800 self-employed individuals in North Yorkshire have taken advantage of the self-employed income support scheme.

Support for public transport

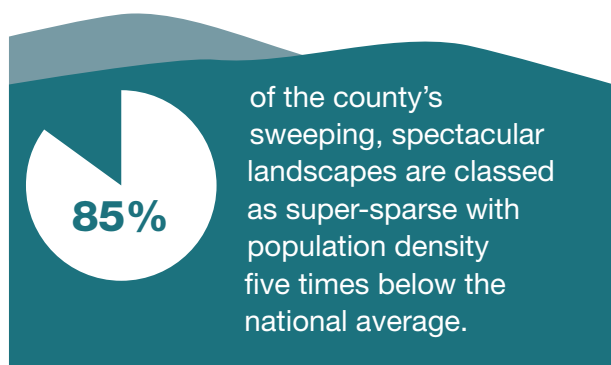
Despite the huge reduction in the number of passengers travelling, we have continued to support bus operators with payments for concessionary travel reimbursement at pre-Covid levels, providing over £3.2m to operators in the period April to September.



Council Ambition: 'Leading for North Yorkshire'

Outcomes:

1. A confident North Yorkshire championing the case for a fairer share of resources for our communities
2. Working with partners and local communities to improve health and economic outcomes for North Yorkshire
3. Resilient, resourceful and confident communities co-producing with the County Council.



North Yorkshire as a locality emitted

255 million tonnes of CO₂e in 2017. North Yorkshire has higher emissions per person than the England average but a lower emission per km². This is partly due to the rurality of the county.

North Yorkshire residents emit

1.7 times more CO₂ per person through transportation than the England average.



The Stronger Communities Team continue to deliver the Inspire, Achieve and Innovate programme which awarded **in excess of 120 grants** during 2018/19.

- During 2019/20 the Stronger Communities Programme has:
 - Supported at least **250 VCSEs**
 - Enabled the **119** Inspire projects to engage **2,270** volunteers giving **27,620** volunteer hours valued at **£398,556.60**
 - Enabled the five most mature Achieve Together Projects to deploy **215** volunteers who have given **15,000** hours valued at **£221,660** of which **c56% (8,387 hours)** may be attributable to SCP investment, equivalent to **£124,130**.

There were **2.2 million** visits to our libraries, including community run libraries, in 2019/20.

There were also **515,985** visits to our on-line library.

and **19,435** online lessons were given to help people get online.

We spend **£1,472 per person** on services in North Yorkshire, on areas such as Education, Adult Social care and Public health.

Volunteers gave over **160,000 hours** of their time to help run libraries in 2019/20.

11,161 children took part in the 2019 Summer Reading Challenge.



Harrogate and Rural Alliance
Health and Social Care working together with you

Harrogate and Rural Alliance partners spend **over £100m** in the local community.

A confident North Yorkshire championing the case for a fairer share of resources for our communities

Rural Commission

North Yorkshire County Council convened the Rural Commission in 2019. Membership of the Commission is comprised of eight key regional figures from business, farming, religion, academia, community development and journalism.

The key task of the Rural Commission is to recommend the actions that local partners should take over the next 10, 20 and 30 years in order to maximise the sustainability of the most rural communities in North Yorkshire.

The work programme of the Rural Commission is extensive and wide ranging. The Commission agreed in their inaugural meeting that they would tackle the main part of the task on a theme-by-theme basis. The Commission identified seven major themes or policy challenges that they wanted to investigate. These included farming and food, economy and jobs, rural housing, digital connectivity, rural transport, schools and education, and energy transition and environment.

The approach taken by the Rural Commission during the evidence gathering stage has been largely centred on a programme of monthly evidence sessions, in line with the seven major themes the work of the Rural Commission continues to progress well, with strategic and administrative support provided by the County Council.

Further evidence gathering sessions on digital connectivity and rural transport issues were undertaken by video-conferencing over the summer period, with presentations from more than 20 additional participants representing a wide-ranging body of individuals, agencies and organisations, all keen to contribute to the work of the Commission.

These recent evidence sessions build on the evidence collected to date on themes covering farming, economy and housing, with two additional sessions scheduled for October and November, covering issues affecting rural schools and education, and energy transformation and environment.

The Commission's call for written evidence has generated a good deal of additional material, including 10 further submissions on the latest debate on rural transport.

One key feature of the work of the Commission is to undertake a number of external visits around the county, in order for Commissioners to see for themselves, and to hear from local people and communities about the kinds of challenges experienced by people living in rural places. In August, Commissioners spent time in Ryedale District, in the east of the county, and met with local residents, councillors and community and voluntary groups. A further planned visit in the west of the county is scheduled to take place later in the year.

A planned meeting with North Yorkshire MPs will need to be rescheduled due to other work pressures and availability. The Commission is hopeful that this meeting will take place in late November or early December. This is before Commissioners can reflect on all of the findings from its work and formulate a final report and recommendations for all partners, scheduled for early next year.

Modern Communications

The government and mobile industry have announced £1bn Shared Rural Network Program which is to remove partial not spots (areas not covered by all operators) and take overall coverage to 95% by 2025. North Yorkshire have met with the national team delivering this project and are awaiting on more details of the proposal relating to North Yorkshire.

While this has been happening, we have seen minimal new build happening, however we have seen planning applications to improve 4G coverage in Swaledale from EE and we have been working with O2 Telefonica who are looking to provide coverage in Helmsley area.

The County Council are a member of a consortium who have successfully secured £4.4m from DCMS (Digital, Culture Media and Sport) as part of the 5G rural connected communities project. The project will work with the communities to understand how improved digital connectivity can help rural communities and will run until March 2022. The project is currently identifying areas into which it will look to provide services. The project will work with the communities to understand

how improved digital connectivity can improve peoples' lives and will run until March 2022.

Superfast North Yorkshire

The project is bringing super-fast broadband to North Yorkshire and is built around a partnership between North Yorkshire County Council and BT for Phases 1-3, and has already successfully delivered superfast broadband to more than 180,000 homes and commercial properties. As well as delivering Superfast broadband to the county, the project also brings together other initiatives by the council to address rural areas where the fibre-based coverage is not available (the so called 'not' spots). The council is currently out to procurement to find a supplier for the £12.5m Phase 4 roll-out contract, which aims to get "as close as possible to 100%" coverage of "superfast broadband". A preferred supplier has been chosen with contracts anticipated to be signed in early December with a likely outcome of 97% coverage after Phase 4 has completed.

Working to achieve an equal North Yorkshire, supporting, and celebrating our diverse communities

The corporate equality group has resumed work on refreshing the Council's equality objectives targeting areas of inequality identified through analysis of data and intelligence, including those relating to the impact of Covid-19. The objectives will have key performance indicators, progress against which will be reported in future performance monitoring reports

A single, strong, sustainable council for everyone in North Yorkshire

North Yorkshires Stronger Together proposal will simplify things for people and businesses, renew our economic fortunes and protect and strengthen front line services.

In order to get a devolution deal from government, which would mean significant funding and more decision-making powers for the area, the government have said we need to get rid of our current two-tier local government of County and Districts. North Yorkshire welcomes the government's challenge which will power up economic development and improve quality of life across all of North Yorkshire.

It is our firm view that a single council, based on the current population of just over 600,000 people in North Yorkshire is the only credibly and financially sustainable option. However, the seven districts are pushing an alternative plan of two unitaries, covering the East and West of the county but including the City of York in the western area. We also estimate our proposal would deliver savings of at least £25 million a year. Currently we are awaiting further details from government.

Preparation for EU exit transition

Work has been ongoing this quarter to mitigate the risks to the Council and the local economy arising from the end of the EU transition period. The Procurement and Contract Management Service have begun to review the resilience of the supply chain, is aware of, and prepared for changes in procurement legislation. Relevant trading standards staff have completed training on the new UK conformity assessment framework and principals of EU exit. Communication materials on settled or pre-settled status have been shared with service users and staff, The NYCC Registration Service has restarted supporting applicants who are resident in the county or employed by NYCC and need help to complete the ID verification part of the process. Actions will continue next quarter including LEP webinars for exporters.

Working with partners and local communities to improve health and economic outcomes for North Yorkshire

Supported Housing and Extra Care

Across North Yorkshire, we now have 1,299 units spread across 25 operation schemes.

We have had two schemes open this year, Fry Court, Great Ayton and Webb Ellis Court, Scarborough. Both are in the process of taking new residents in, this however has unfortunately been slowed down due to Covid.

Eller Beck Court in Skipton was due to open in October this year, however, there is now a 6-month delay, with a new practical completion date in May 2021.

Bowland View in Bentham, has also been delayed due to Covid, the practical completion date is now June 2021.

The team are now commencing work around planning for the Whitby extra care scheme, which will go out for procurement early next year.

We are also waiting for the proposed scheme in Bedale to return the Hambleton planning committee (possibly in November) and the outcome of the appeal hearing, from the first planning submission.

Leading the Covid-19 response

The Covid-19 global epidemic has been the dominant feature of 2020 and this is true in North Yorkshire as it is everywhere. There have been over 10,000 test-confirmed cases of Covid-19 in North Yorkshire to date, yet this total is less than 2% of the county’s population, meaning over 600,000 resident continue to be at risk. The chart below shows the first wave of the epidemic in the spring and early summer, where testing was largely limited to those being admitted to hospital until after the peak in mid-April. The second wave arrived in September, with many more cases being recorded due to the increased availability of testing.

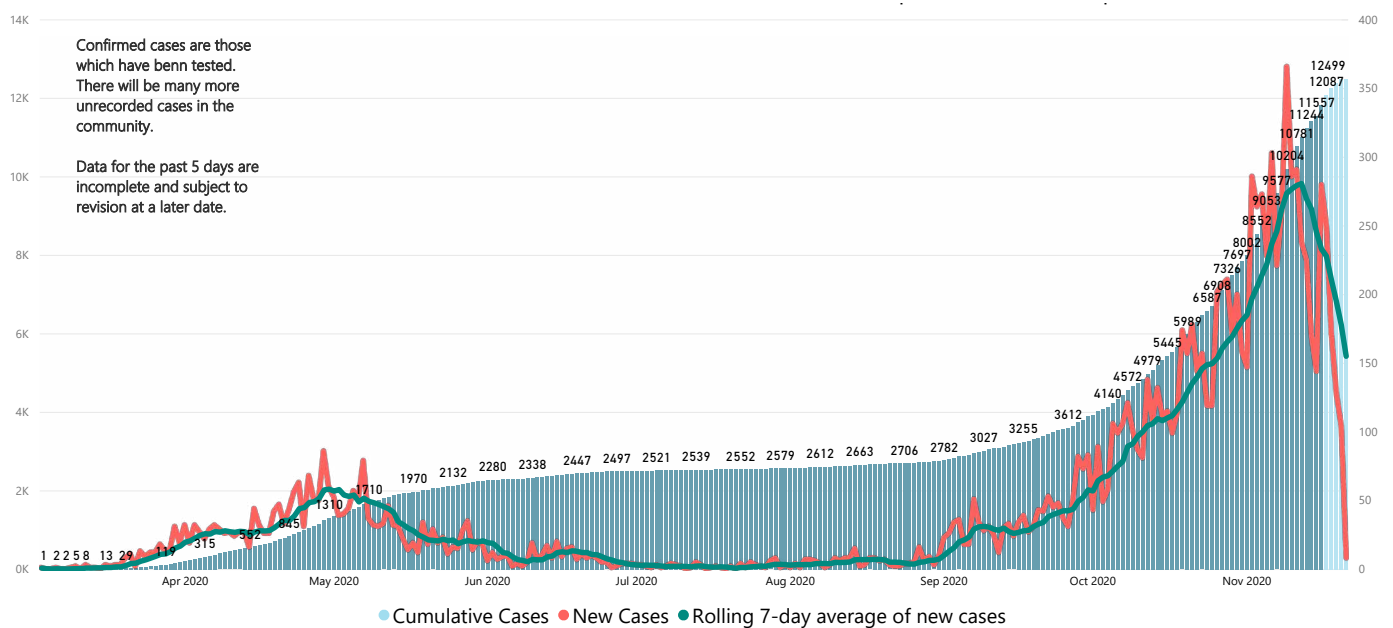
The Council wide response to COVID-19 has been managed through various channels, ensuring the most appropriate team is dealing with the situation. Making sure maximum use of the council resources

is achieved. The development of the Local Outbreak Management and Prevention Plan and putting it into operation has optimised the council’s response to Covid-19 and mitigated the risks as far as practicable. This includes leading and co-ordinating a whole-system, multi-agency response with support from district councils with in North Yorkshire, local NHS partners in primary and secondary care, Public Health England, military, police, community and voluntary sector organisations, neighbouring authorities from around Yorkshire and national organisations.

Future Actions

The Public Health team will continue to respond to emerging threats from Covid-19. We are planning for recovery from Covid, which will have impacted heavily on the economic wellbeing of our residents and potentially widened inequalities, which will require addressing. There is likely to be additional physical and mental health demands built up in the population due to services prioritising response to the pandemic and routine public health services will need to focus upon these. The initial stages of planning is already underway for delivering potential vaccination programmes against Covid-19.

Confirmed Covid-19 cases, North Yorkshire, 2020 (revised since 14 April to show date of specimen)



Testing Strategy:

Planning and implementing a testing strategy within the District Area. Mobile Testing Units are being deployed to a number of “hot spot” locations.

Enforcement and Compliance Checks:

A joined up approach by officers from Environmental Health, Licensing, Police, Community Safety and Trading Standards to undertake compliance and advisory visits to communities and business premises in towns and villages. Enforcement will be undertaken as appropriate and we are receiving reports of residents breaching legal isolation requirements which are being followed up.

Community Engagement:

A combination of Covid Marshalls, Community Support and Liaison Officers and Community Ambassadors are being utilised to engage with our communities. This is to promote the message of the importance of complying with the lockdown rules and guidance and to also highlight the detrimental impacts caused to our communities by ignoring those requirements.

Communication Strategy:

A joined up approach by all operational partners to deliver the key communications to our communities. This community messaging will be provided by a number of channels including social media, leaflet drops and posters. Starting today a mobile communication van will be visiting a number of communities in the coming days. This mobile van will display electronic messages for promoting the way communities can all play their part in reducing the risks of disease transmission. There will be an enhanced approach to previous communications and will now emphasise the consequences and potential penalties that can be given out to anyone found breaching the lockdown rules.

Warm and Well

Public health commission the Warm and Well service which has received and processed 126 referrals this quarter, an increase of 191% on quarter 1 20 – 21 and 196% increase on the same quarter 2019. Quarter 2 is usually the quietest quarter of the year due to the warmer weather and lighter nights. The cases have been complex with cases around Fuel Debt,

unexplained high-energy bills, queries regarding Warm Home Discount and benefit enquires.

Resilient, resourceful and confident communities co-producing with the County Council

People in North Yorkshire are likely to volunteer. Our survey of our North Yorkshire Views engagement community found that they are very likely to volunteer, 52% volunteered formally and 45% informally volunteered at least once a month. This compared well to the national community life survey 2019/20 that found 23% volunteered formally and 28% informally at least once a month. During the Covid-19 pandemic lockdown, 50% of respondents reported having helped neighbours informally in the previous week, 23% had volunteered formally for a group, club or organisation and a further 7% had volunteered but their help was not needed.

People felt that communities in response to the pandemic 68% of respondents felt that people were doing things to help others more since the Coronavirus (Covid-19) outbreak and a further 23% thought about the same.

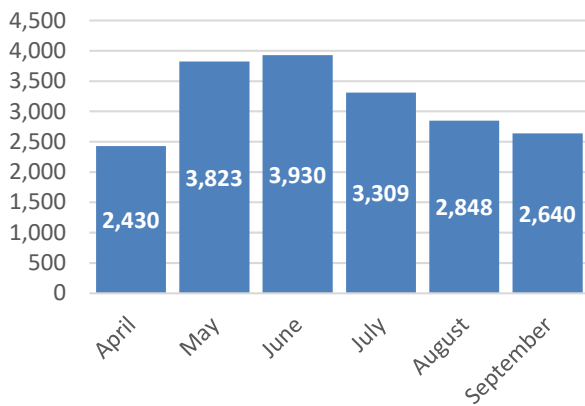
Community Support Organisations

The Stronger Communities Team continued to work with the 23-community support organisations across the county to manage the community response to help those isolated by the coronavirus pandemic. These all work in different ways due to being co-produced with the organisations and the need to work appropriately for each area. The CSOS have continued to support those isolating by shopping and prescription deliveries plus light touch prevention strategies to improve mental health, such as hobby packs and supporting people to re-integrate after the end of shielding on 1st August.

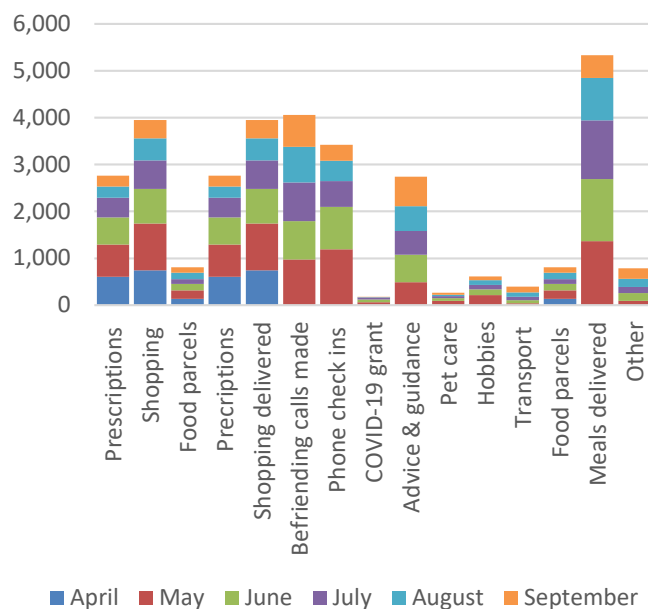
This has been nationally recognised with the Scarborough CSO features in the Carnegie UK Trust publication Pooling Together: How Community Hubs have responded to the Covid-19 Emergency

The numbers helped have reduced since the end of shielding but there continues to be a significant level of demand.

People helped per week



Average activities delivered per week



- Delivered circa **1,560** food parcels and **4,000** meals
- Processed **235** successful application for Covid-19 grants for food or energy worth **£22,750**. (252 applications received).

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.

In this quarter, the team awarded £20,404 worth of Covid grants to support community organisation and community response. In addition, £215,398 has been awarded from the Defra Local Authority Emergency Assistance Grant to Citizens' Advice North Yorkshire for advice and support services and 24 grants have been awarded through Food Banks and Community Food Projects Support Fund for food distribution.

The work with the CSOs has highlighted a number of issues:

- Financial hardship: a working groups has been set up with the district councils to investigate the issues and develop solutions
- Volunteering capacity: the need for ongoing support means there is a need for new volunteers, consideration on support actions including NYCC communications messages and use of internal NYCC volunteers.
- Patient transport is stretched as can only take one passenger per bus and community transport not at full capacity this is raising concern about capacity if the increase in appointment continues. Discussions are ongoing with IPT and Public Health re safe operating procedures.

During this quarter, the 23 community support organisations have:

- Received **201** referrals from the customer service centre (4938 YTD)
- Reported receiving over **17,800** contacts (57,376 YTD)
- Deployed on average circa **1,100** volunteers per week delivering around 32,800 volunteer hours.
- Helped on average circa **2,870** people per week (83,813 YTD)
- Delivered circa **280** prescriptions and **480** shops per week (12,231 prescriptions and 17,560 shops YTD)

Voluntary, Community and Social Enterprise Organisations (VCSEs)

In parallel to Covid-19 community response work, the Stronger Communities Programme has continued to strengthen local community assets and infrastructure; this has included continuing to encourage relationships and collaborations between VCSEs as well as stabilising, and / or building capacity within them if required. Between July and September 2020, the Programme has provided specialist support to assist

9 VCSEs with work areas such as restructuring their organisations, re-modelling their services and providing additional capacity for fundraising; all of which have been crucial in trying to ensure their future sustainability, in one of the most challenging times for the sector in recent years.

Libraries

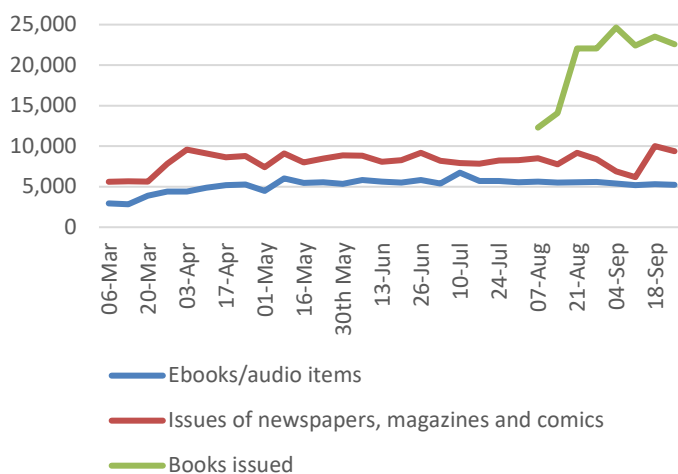
North Yorkshire libraries put in place robust existing operating protocols and measures to mitigate risk and started to gradually and tentatively open to the public in July, operating a select and collect service and the gradually opened up for browsing and access to IT. Over the period the number of libraries opened increased gradually in early October all were open (except Malton, which is closed for planned refurbishment). Business levels reached 65% issues for September against last year.

Nationally the Carnegie Trust highlighted that public library services had a positive impact on those who engaged with them during lockdown, staff made a valuable contribution to the Covid-19 response and services have huge potential to support individuals and communities as they navigate the short, medium and long-term impacts of the Covid-19 pandemic.

This quarter saw:

- **105,023** visits
- **208,459** Physical books issues
- **14,307** IT sessions

Digital library



The online presence and service has remained important throughout the quarter with people continuing to access the online offer even after the opening of libraries:

- **106,451** eNewspapers and eMagazines borrowed
- **72,323** e-issues
- **1,697** social media posts resulting in **1,911** new followers and **67,151** engagements
- The new library App was launched at the end of the quarter.

Norton HIVE and community hub was announced as the winner of the annual Library of the Year award for 2019/20 for outstanding performance in particular the range of community activities offered leading to increased visitor numbers being reflected in increased use of library services. Bilton and Woodfield, Boroughbridge, Filey, Sherburn and villages and South Craven were Highly Commended for outstanding performance awarded.

Future Focus

To continue the work of the Rural Commission, leading to the publication of the final report.

Building on the success of the Community Support Organisations in supporting vulnerable and isolated people in our communities.

Providing leadership, especially Public Health, to the people of North Yorkshire during this ongoing period of crisis.

Ensuring that North Yorkshire is prepared for EU exit transition in 2021.

That libraries in North Yorkshire continue to support the people of North Yorkshire in this second period of lockdown.




Focus on 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.



During 2019/20, we provided long-term support to **11,693** people – **7,415** with community-based packages of support and **4,278** people in residential or nursing placements



Following a period of reablement during 2019/20, **82.5%** of people successfully maintain their independence in their own home.



We have completed

25 extra care housing schemes in North Yorkshire, providing



apartments. Three further schemes are currently under construction.


The rate of admissions to permanent care placements for people in North Yorkshire is **23 per 100,000** of the population aged 18-64.




The full year admission rate for older people (aged 65+) into care homes (in North Yorkshire) is **669 admissions per 100,000** of the population aged 65+.



By **2030**, health condition forecasts show that the most prevalent issue will be people aged 65+ unable to manage a mobility activity, followed closely by people aged 18+ with diabetes.



The County Council uses assistive technology to enable people to live more independent lives for longer. "Yorkie" the toy seal is being trialled, as it has a great impact on people with dementia and Alzheimer's. The outcomes have been found to be reduced stress, stimulated interaction between people and carers, and reduced challenging behaviour.



Customer

Referrals

Activity levels at the “front door” for social care continue to show significant reductions year on year:

- Contacts (33,400) were down by 12% (4,554) at the end of Q2, which compares with a year on year reduction of 20% reported at the end of Q1 and shows that the return to normal activity levels is very slow. A review of activity trends through the contact centre is ongoing to improve and develop a shared understanding of demand patterns for both adult and children’s social care services.
- Referrals to adult social care teams (7,297) were down 21% (1,940 referrals) at the end of Q2. This compares with a 38% year on year reduction recorded at the end of Q1.

Within the overall reduction in front door activity, hospital discharge levels increased during Q2. Throughout 2019/20, the daily average for hospital discharges was 10 per day. For Q2, this increased to 13 per day, but had reached 15 per day in September. The increased proportion of hospital discharges and the requirements of the Covid emergency funding arrangements are the factors driving increased levels of assessment activity.

Despite the lower levels of incoming activity, key process measures remain in line with 2019/20 levels:

- 1.1% of referrals are pending allocation to a caseworker.
- 22.5% of referrals are pending action;
- 29.5% of referrals were closed with no assessment being required; and,
- 19 workers (10%) held more than 35 cases at the end of September, which remains well below the 26 reported at the end of 2019/20 going into the Covid outbreak.

As part of the Covid response, adult social care operational delivery has been restructured around the acute hospitals with a command centre at each acute site and a response and delivery area to facilitate the national discharge pathway arrangements. The key change has been the combination of Selby and Ryedale districts to form a York response area around York hospital. The Scarborough and Hambleton &

Richmondshire response areas have experienced higher levels of activity:

- Scarborough has received 68.2 contacts per 1,000 head of adult population compared with a rate of 58.3 for the county as a whole;
- Hambleton & Richmondshire has received 24.1 referrals per 1,000 head of adult population compared with a rate of 15.0 for the county as a whole; and,
- The two areas have received the highest numbers of command centre assessments, which provides a measure of the number of hospital discharges being received during the outbreak – Scarborough 627 and Hambleton & Richmondshire 535.

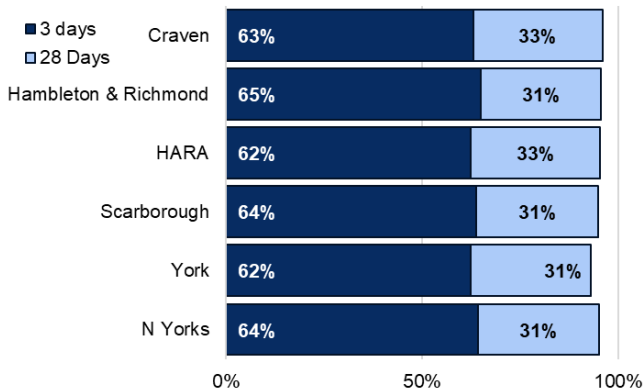
Assessments

Assessment activity is 11% higher (1,004 assessments) year on year, with 9,771 assessments completed during the first half of 2020/21 compared with 8,767 in 2019/20.

The national Covid response includes the provision of emergency funding through the NHS to facilitate the discharge pathway by providing funding for initial packages of social care support for people leaving hospital. Under these funding arrangements, the on-going care needs of these people must be assessed within 6 weeks of their initial support package starting. This is increasing the level of initial assessment activity for people coming out of hospital and creating additional pressure through the need for short-term reassessment activity.

Despite the increased levels of activity, timescales for the completion of Covid-related assessments remain very good. Across the county, 95% of assessments have been completed within 28 days – 64% within 3 days and a further 31% within the 28-day time period. All areas have achieved over 93% against the 28-day completion period:

Assessment timescales



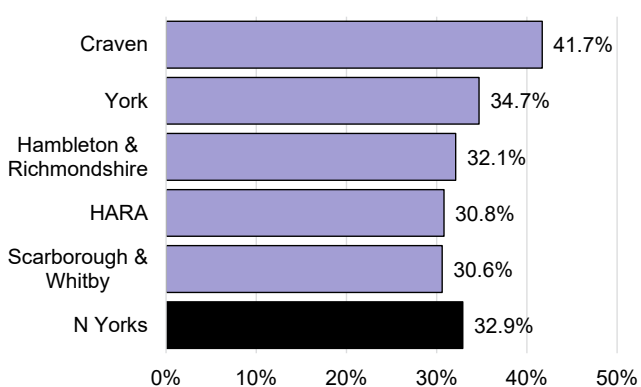
Reviews

The number of reviews of adult care plans completed during the first half of the year is down by 1,227 to 3,251, which reflects the increase in assessment activity during the Covid outbreak period identified above, and the resulting competing pressures on staff time.

Section 27 of The Care Act 2014 requires local authorities to keep care and support plans and carers' support plans under review generally, and to carry out an assessment where they are satisfied that the person's circumstances have changed.

As a consequence, progress against the key measure for reviews had slipped the target trajectory at the end of Q2. The measure (D40) monitors progress against the requirement for all service users to receive annual review. The target for 2020/21 was set at 75% for the full year, giving a midpoint target of 37.5% for the end of Q2. The chart below sets out the position for each Covid response area and indicates that only the Craven response area remains on track to achieve the annual target.

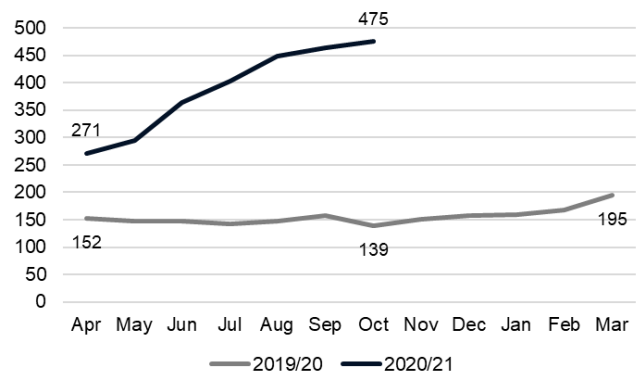
D40 – Year to Date



Additional pressure on staff time has also come from the requirement to reassess people whose care was funded under scheme 1 of the NHS' Covid funding arrangements, which ran up to the end of August. Scheme 1 covered 635 people who will all require a reassessment by the end of March 2021. Scheme 2 of the NHS' funding arrangements came into effect from 1st September, introducing a requirement for everyone funded under the scheme to be reassessed for their on-going care needs within 6 weeks.

As part of the service's quarterly budget recovery review and planning arrangements, a number of actions have been identified relating to review activity:

Short Term Bed Placements



- Monitoring high-cost packages and placements to ensure timely reviews, and that processes related to Continuing Healthcare (CHC) funding are triggered appropriately;
- Regular reviews of changes in LD residential and nursing placements to understand the causes and to consider actions to mitigate any potential escalations.
- Ensuring proactive management of caseloads, including planning for forthcoming reviews, by locality staff and managers;
- Maintaining a project management approach to planning and co-ordinating reviews for high cost supported living placements to ensure the agreed programme of reviews for specific properties are delivered within the agreed timescales.

Placements

Permanent residential and nursing placements continue to show a steady downward trend. At the end of Q1, there were 2,129 permanent placements, which was 8% (173) lower than at the end of March 2020. At the end of Q2, the number of permanent placements has reduced further to 2,071, a 10% reduction (231) since the end of the financial year.

There were 259 new admissions to permanent residential or nursing placements in the first half of the year, which compares with 427 admissions for the same period in 2019/20.

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 below shows the anticipated and significant rise in the use of short-term placements during the outbreak. At the end of Q1, there were 364 people in short term placements, which was 169 more people than at the end of March, a rise of 87%. At the end of Q2, this had increased to 475, a 144% rise (280 people).

The use of short-term beds is monitored closely, in conjunction with the Clinical Commissioning Groups (CCGs). Under the Covid funding arrangements introduced from September, a weekly reporting arrangement is being put in place to update the CCGs on the use of, and the on-going need for short-term beds across the county as part of the continuing Covid response.

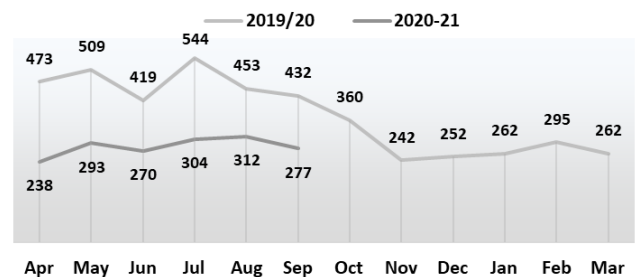
People are safe, with individuals, organisations and communities all playing a part in preventing, identifying and reporting neglect or abuse

Safeguarding

1,698 safeguarding concerns were received between April and October 2020, which represents a 40% (1,135) reduction on the same period in 2019/20. However, new safeguarding processes implemented from October 2019 aimed to reduce the number of concerns, with a new triage process in the customer

contact centre to screen and redirect cases that do not meet the safeguarding threshold. Between November 2019 and April 2020, 263 concerns were received per month on average. During the first half of 2020/21, this has increased to 283 concerns per month (up 8%) but throughout the Covid outbreak period it has remained broadly in line with the pattern established by the new arrangements in the second half of 2019/20.

Concerns by Month



The new process seeks to enable people to have their safeguarding issues resolved more quickly, and it continues to achieve a significant proportion of cases reaching an early conclusion in terms of no further action (NFA) being required. At the end of Q2, 79% of concerns required no further action or were signposted to other services, and performance has been consistently around 80% on this measure since the new arrangements came into effect:

Information Gathering Decision	%
Formal Meetings – Section 42	15.0%
Informal Discussion – Section 42	4.0%
Formal Meetings - Other	1.6%
Informal Discussion - Other	0.7%
Following Info Gathering - NFA	68.0%
Signposting	11.0%

The new approach also continues to deliver good results against safeguarding timescale targets between:

- The average time taken between receiving a safeguarding concerns and making a decision on its outcome following Information Gathering continues to be 13 days, against a target timescale of 15 days. This is based on 1,448 completed Information Gathering exercises since 1st April

- The average length of time for the completion of a Section 42 Enquiry was 6 weeks, against a target timescale of 12 weeks. This is based on 1,173 completed enquiries since 1st April.

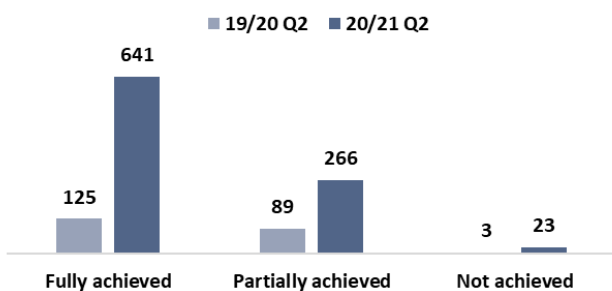
Section 42 of The Care Act 2014, which requires that each local authority must make enquiries, or cause others to do so, if it believes an adult is experiencing, or is at risk of, abuse or neglect

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.

1,013 people who had been involved in an enquiry between April and September were asked if they wished to express a desired outcome. 71% (720) of people identified an outcome they would like to achieve, which compares with 76% (290) for the same period in 2019/20. Whilst the current reach of this measure looks to be 5% lower year on year, the process has been successful in achieving a 250% increase in the number of people expressing a desired outcome.

At the end of the enquiry process, 69% (641) of people who provided feedback on their outcome felt that it had been fully achieved, which compares with 58% for 2019/20. A further 29% of people said their outcomes had been partially achieved. Where people express a negative response, a sample of cases are reviewed by the safeguarding team as part of the service improvement approach.

Personal Outcomes Achieved?

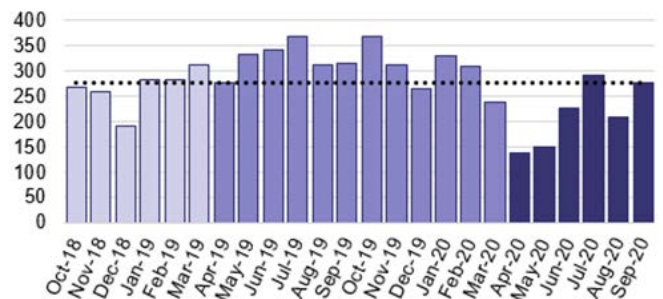


People have control and choice in relation to their health, independence and social care support

Living Well

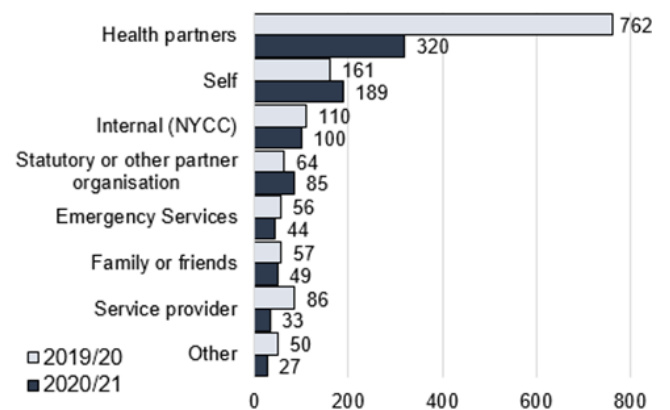
1,293 referrals were received between April-September 2020, a 34% (658) reduction on 2019/20. The gap year on year is down from 43% at the end of the first quarter. The number of referrals in September (278) increased significantly against the very low number in August, and matched the monthly average for the preceding 24 months (the dotted line on the chart).

Living Well Referrals by Month



Front door referrals continued to account for 65% of all referrals, which compares with 68% for all of 2019/20. 38% of these came from health agencies (33% in Q1) compared with 56% for the whole of 2019/20. GP referrals (121) continue to grow faster than mental health referrals (110), but the difference remains relatively small where last year there were three times as many GP referrals (422) than mental health referrals (149).

External Referrals – Source



One-off interventions accounted for 52% of all completed interventions during Q2, which is very similar to the proportion in 2019/20 (53%). The number of one-off interventions completed (746) is down 12% (99) year on year. The proportion of one-off interventions including the provision of emotional support was up from 37% to 53% year on year, reflecting the changing referral patterns and needs amongst service users during the Covid outbreak.

Reablement

913 completed reablement involvements were recorded April-September, which is 21% down on the 1,153 recorded in 2019/20. The average size of a support package reduced slightly between quarters, down from 9.1 to 8.9 hours per week, which compares with 9.5 hours for the same point in 2019/20. The average duration of an intervention decreased from 3.9 to 3.6 weeks, again well below 4.4 weeks reported in 2019/20.

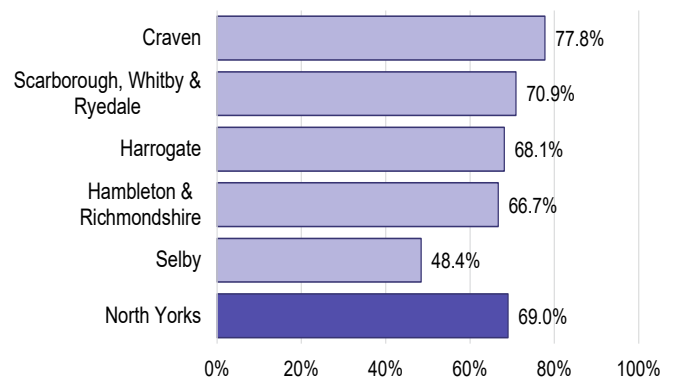
As part of the social care performance framework, the effectiveness of the council’s reablement offer is measured in terms of the proportion of people supported who return for subsequent social care support within 90 days of the completion of their reablement package.

455 people received completed packages of reablement between April and June, a 27% (165) reduction on 2019/20. The proportion of these people who had not subsequently returned for social care support by the end of Q2 was 69.0% (307) which is significantly lower than the 75.8% achieved for the same period in 2019/20.

The seemingly reduced level of effectiveness being achieved by Reablement may reflect a more rapid deterioration in people’s well-being and resilience due to Covid-related restrictions, which may, at different times, have resulted in:

- greater levels of isolation and loneliness;
- reduced access to services as people’s movement has been limited;
- reduced operation of non-essential or universal services; and,
- increased difficulties in accessing targeted services and support.

% of Reablement Clients not Receiving Further Support within 90 Days

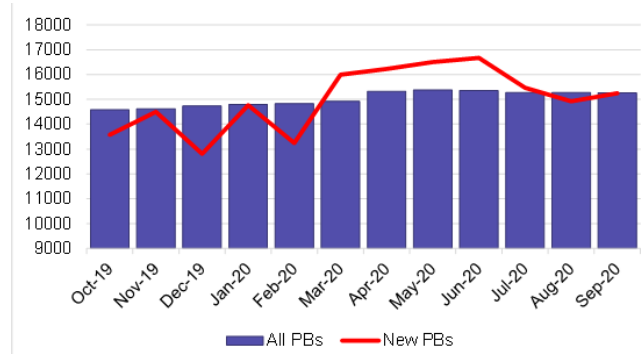


Personal Budgets (PB)

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.

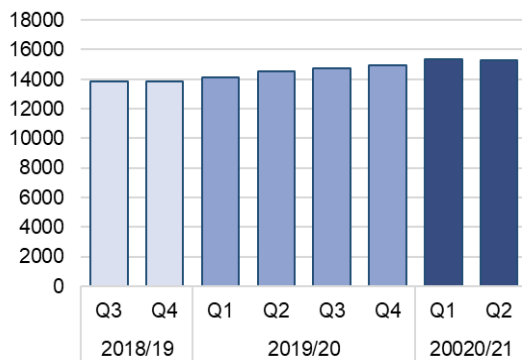
The number of people with a PB, including people with learning disabilities (LD), was down by 0.9% (32) year on year to 3,679 in September 2020.

Average Cost of PBs Starting in the Month vs Average Cost of all Open PBs



Monthly performance reporting for adult social care 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 non-LD cases was £15.3K at the end of September, a reduction of £0.1K against the position in Q1. This represents a 4.6% increase year on year (£675), compared with a 10.2% increase (£1,143) reported in Q1.

Average PB for Community Services Cases Excluding LD Clients



There has also been a high degree of stability in the median cost of a PB for non-LD cases, which continued to be around £11K in September, continuing a long run at this level. Similarly, 65% (1,433) of current PBs for non-LD cases continue to be below the county average PB (£15.3K). Harrogate (£16.6K) continues to be the only locality with an average PB significantly above the county average. At the end of Q2, Harrogate was showing the smallest increase over the last 12 months at 0.8%.

The average cost of PBs starting during the month typically shows a high degree of volatility, as it is affected by the size and nature of the cohort in the given month. This is evident in the period between October and February in the chart below. During the first wave of Covid, the average cost of PBs starting each month was consistently and markedly higher than the average cost for all open cases, which is visibly different to the pattern either side of the first wave period. In the last three months, the average cost for new PBs has reduced but it remains unusually stable.

The work plan of the Strategic Market Developments Board includes a number of care market interventions related to community-based support:

- Reimagining homecare;
- Pursuing opportunities to roll out microenterprises in rural areas;
- Establishing community support organisations, enhancing non-regulated support;
- Expanding and enhancing the use of Technology Enabled Care; and,
- Taking forward strategic projects, e.g. supported living schemes in Skipton and Whitby.

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

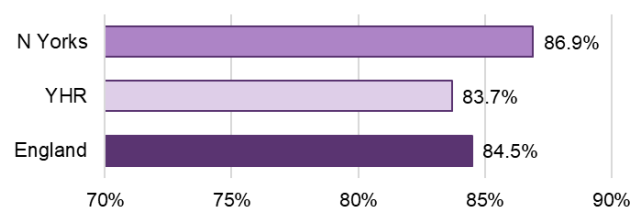
Integration

Delayed Transfers of Care – The last round of national data collections for delayed transfers of care was for February 2020. No performance data has been released since then.

Care Market

Based on current CQC overall inspection ratings, the proportion of provision across the county rated as “good” or better remains higher than both the England and regional levels.

% of Adult Social Provision Rated ‘Good’ or Better

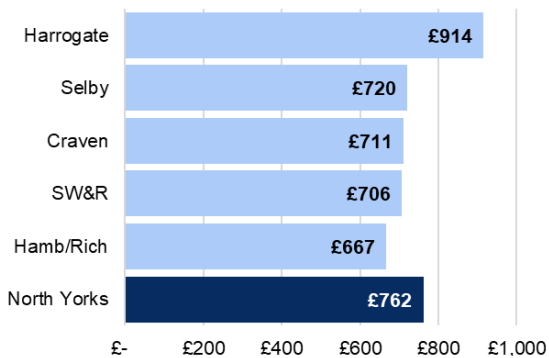


For in-house provision, the performance against this measure is higher still, with 94.6% of provision rated “good” or better.

During the Covid outbreak, the work of the Quality Improvement Team has been redirected at providing targeted support to help care homes to manage and deliver care appropriately to their residents. The team has made 32 visits to care homes, 12 of which identified concerns and required further intervention. In addition, the team has provided an on-site presence at a number of care homes where concerns have been raised, to ensure safe and secure practice in the care provided to residents. In a small number of homes, this has included overseeing the safe discharge of all residents to alternative care settings.

The proportion of permanent residential and nursing placements for people aged 65+ with a weekly cost above NYCC approved rates increased to 55% at the end of Q2, up from 53% in Q1. The average weekly cost for a 65+ placement was £762. Harrogate continues to have the highest average cost (£914) and Hambleton & Richmondshire the lowest (£667).

Average Weekly Cost for Permanent Placements for Older People



In Harrogate where the rising cost of permanent placements is most evident, new operational arrangements are in place to increase scrutiny of decision-making around new placements and proposed placement changes, including:

- Weekly sharing of monitoring data on the number of placements and the budget position with team managers, which includes a discussion of key changes.

- Weekly meetings between adult social care service managers and PCT managers include a review of changes to placements.
- A focus on ensuring that decision relating to all new placements are evidenced by appropriate recording of the Stage 1 conversation in the adult social care case management system (Liquidlogic), with weekly checks by heads of service.

The work plan of the Strategic Market Developments Board includes a number of care market interventions related to permanent placements:

- The development of a residential and nursing strategy;
- The implementation of an actual cost of care exercise; and,
- Taking forward strategic projects, including the Extra Care programme and the Harrogate Dementia Village.



Future Focus

Winter Planning 2020/21

The government published its adult social care winter plan on 18th September, setting out key actions for local authorities as they make their preparations for service provision during winter 2020/21, including a requirement for local authorities to confirm by 31 October that the actions had been built in to existing plans.

The government's plan is organised into four themes, setting out actions in a winter plan checklist:

- Preventing and controlling the spread of infection in care settings;
- Collaboration across health and care services;
- Supporting people who receive social care, the workforce, and carers; and,
- Supporting the system.

Continued close working between local authorities and their local health partners is a key strand of the plan, as is the lead role for local authorities in communicating with, and supporting local care providers.

There is no additional funding linked to the plan, beyond the £546 million for the infection control fund that was announced earlier in September.

The published plan is available on the government's website:

<https://www.gov.uk/government/publications/adult-social-care-coronavirus-Covid-19-winter-plan-2020-to-2021/adult-social-care-our-Covid-19-winter-plan-2020-to-2021>

A briefing from the Local Government Association is also available online:

<https://www.local.gov.uk/parliament/briefings-and-responses/adult-social-care-coronavirus-winter-plan-2020-21-briefing-and>

Covid-19 Taskforce Report

The report of the Covid-19 taskforce, chaired by a former ADASS president has also been published and "...sets out how we can enable people to live as safely as possible while maintaining contacts and activity that enhance the health and wellbeing of service users and family carers".

The report makes 52 recommendations, based on learning from the first phase of the pandemic. The taskforce's work also resulted in eight advisory groups being set up to explore specific areas of care including the impact on BAME communities, older people living with dementia, carers and self-directed support.

The report's publication ties in with the release of the government's winter plan, stating that "In preparing for winter and beyond, the taskforce believes that the government needs a plan that will lead to greater capacity, capability and resilience, reducing risk through to spring 2021".

The report is available on the government's website:

<https://www.gov.uk/government/publications/social-care-sector-Covid-19-support-taskforce-report-on-first-phase-of-Covid-19-pandemic/social-care-sector-Covid-19-support-taskforce-final-report-advice-and-recommendations>

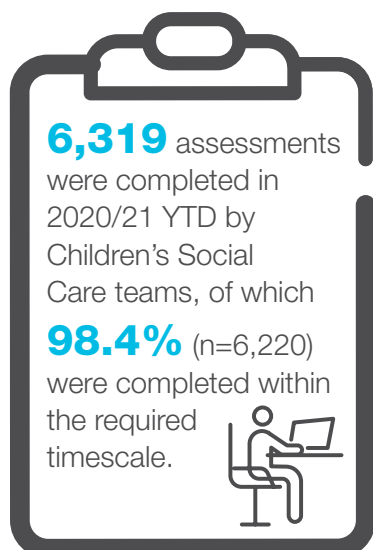
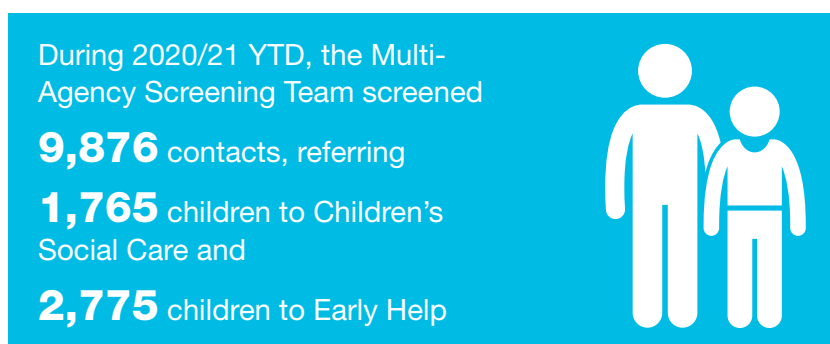
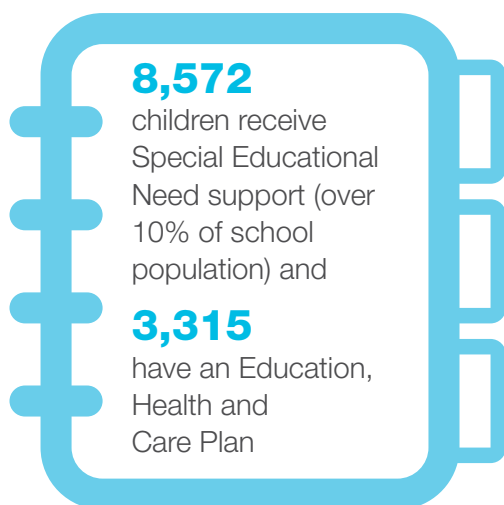


Council Ambition: ‘Best Start to Life’

‘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



2,586 children are supported by our Children’s Social Care Teams, of which

637 children are subject to a Child Protection Plan and

456 are Looked after Children



Customer

A healthy start to life with safe and healthy lifestyles

The Healthy Child Programme is currently in the process of re-commissioning. As part of this, the decision has been taken to de-commission the Healthy Choices Weight Management Service from October 2020. It is worth noting that, since the Covid-19 outbreak in March, the service has not taken on any new referrals. Throughout the Covid-19 pandemic, the service has continued to support existing families (using telephone, Skype and email) and has continued to work through waiting lists. It is also worth noting that a number of staff members have been redeployed from the service into other roles and projects.

During 2019/20, 20% (n= 328) of the 1,642 5 year olds examined had experience of visually obvious Tooth Decay, compared to 23.4% nationally and 28.7% across the Yorkshire & Humber region. Whilst more localised information is yet to be produced, 2019/20 results show that oral health was poorer in Scarborough and Richmondshire.

In total, 9,357 children were measured as part of the National Child Measurement Programme before the programme paused due to Covid-19. Early indications from 2019/20 show that 23.5% of 4 to 5 year old children had excess weight (overweight or obese) – this is relatively in line with the 23.4% reported in 2018/19. 10 to 11 year olds, however, have seen an increase in the proportion in the proportion with excess weight, up from 30.6% in 2018/19 to 32.7%. It is worth noting that the number of children measured in 2019/20 was 2,206 (19%) lower than in 2018/19.

Despite the disruption caused by the Covid-19 pandemic, 45% (n= 167) of all North Yorkshire Schools are signed up to the Healthy School Award, including 14 new schools that have signed up during the lockdown period. Schools have continued to be supported by the Healthy Schools Award Team to submit their applications, and events are being rearranged for the current academic year where they were postponed due to Covid.

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

With schools having largely been closed for the past 6 months, it is encouraging to see all but 15 schools open at the end of September. Of the 15 closed that have at least partially closed due to Covid-19 outbreaks, one is due to insufficient staffing (as staff self-isolate) whilst 14 are due to pupils having to isolate. As of 30th September, 88% of pupils were attending school in North Yorkshire (based on pupil numbers in the January census).

Across both Primary and Secondary schools, attendance of ‘vulnerable’ pupils (i.e. pupils with either an EHCP or a Social Worker) is strong and improving since schools reopened. The table below shows the attendance of vulnerable pupils compared to all pupils during the week commencing 14th September and Week Commencing 5th October:

		W/C 14th September	W/C 5th October
Primary	All pupils	81%	93.3%
	EHCP Pupils	66.3%	90.6%
	Pupils with Social Worker	81.5%	90.8%
Secondary	All pupils	81.7%	87.5%
	EHCP Pupils	75.7%	83%
	Pupils with Social Worker	66.3%	79%

As at the end of Quarter 2, 669 children were Electively Home Educated, with 109 children becoming electively home educated during September alone – this is the highest monthly figure since at least September 2016. There is a relatively strong probability that this may be linked to parental concerns relating to Covid-19.

Having seen the number of requests for statutory assessment for an Education, Health and Care Plan reduce by 24.5% (n= 48) during Quarter 1 compared to the previous Quarter – largely due to schools being closed. During Quarter 2, the number of requests for assessment have increased notably, up by 36.7% (n= 47) on the same period the year before. As a result over the period between 23rd March and 30th September, the number of requests for assessment is very similar (n=330) to that seen over the same period the year before (n=332). 62 of the 330 (18.8%) of the requests for assessment during this period were refused, closely aligning with the 15% seen in the 12-months up to the end of Quarter 1.

As at the end of September 2020, 3,315 children and young people were receiving support through an Education, Health and Care Plan. This is an increase from 3,246 at the end of Quarter 1. To the end of September in the 2020/21 academic year (end Q2 in 2020/21 financial year), there have been 168 children fixed-term excluded at least once and 1 permanent exclusion. In the same period of the 2019/20 academic year, there had been 298 children fixed-term excluded and 3 permanent exclusions. This is a reduction of 43.6% (n= 130) in the number of fixed term exclusions. Whilst this may, in part, be linked to the measures put in place to deal with Covid-19 (social distancing / ‘bubbles’ etc.) it is, undoubtedly an encouraging start to the year in terms of exclusions.

A new approach for provision of support for pupils with Special Educational Needs and Disabilities in North Yorkshire went live at the beginning of September. This saw the introduction of locality based multi-disciplinary SEND Hubs, which serve the whole of the County. Four hubs have launched to enable a more localised response to supporting children with SEND. Support from the hubs includes:

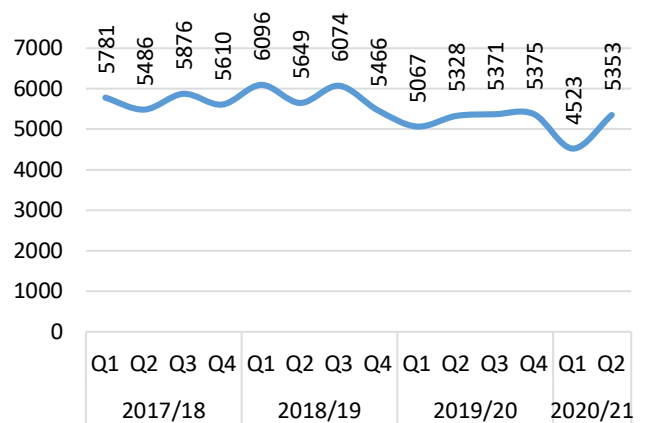
- A named Key Worker to act as a point of contact for schools and families to coordinate plans,
- Multi-disciplinary screening of special needs,
- The evaluation of a child/young person's view of their needs and the support they receive,
- The discussion with and advice to families, liaising with other agencies as necessary,

- Specific advice and intervention to support parents and schools to meet the child's needs and achieve their potential.

A happy family life in strong families and vibrant communities

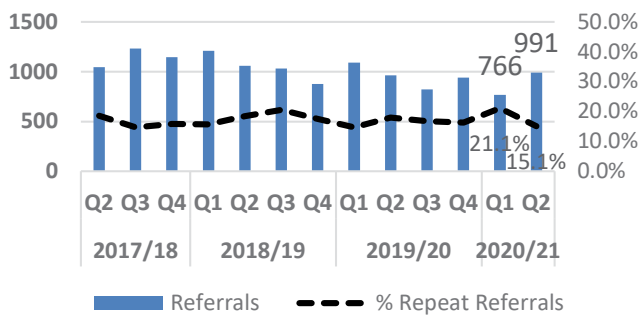
Quarter 2 has seen the an increase in the number of contacts received by the children and families service when compared to the previous Quarter, up from 4,523 to 5,353 as demand starts to return to a more expected level after lockdown. It is worth noting that the number of contacts being received from Police has increased by 29.9% compared to Quarter 2 2019/20 (n=1,657), with 3,315 contacts received from Police during Quarter 2 2020/21.

Contacts by Quarter



We continue to see the MAST making timely and accurate decisions once contacts are received. Over the year to date, of the 1,756 cases that have been referred to children's social care, 17.8% (n= 312) had previously been referred in the past 12 months, notably lower than the latest national average of 21.9%. Aligning with the increase in the number of contacts, we have also seen a notable increase in the number of referrals to Children's Social Care, up from a record low of 766 during Quarter 1 (linked directly to the Covid-19 lockdown) to 991 – the highest quarterly referrals since Quarter 1 2019/20.

CSC: Quarterly Referrals

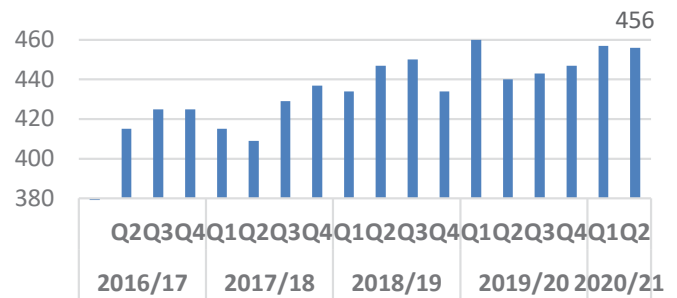


With an eye on the future, we continue to expect the number of contacts and referrals increase as schools ‘settle in’ to their new ways of working and the socio-economic impact of Covid-19 starts to take hold. It is worth noting that anecdotal evidence points to cases coming into teams being more complex following the initial lockdown in March.

Once a referral has been made to Children’s Social Care, cases are assessed in a timely way. 99.2% of assessments are completed within the 45 day timescale and we continue to see performance improve against the 30 working day practice guidance deadline – during Quarter 2 2020/21 85.6% of assessments were completed within 30 working days, compared to 68.9% in the same period last year. As the number of children subject to a Child Protection Plan (CPP) has increased, up to 363 (the highest quarterly figure since Quarter 2, 2019/20), we have continued to see a relatively high proportion of children becoming subject to a CPP having previously been subject to a CPP in the past. During Quarter 2, 29.3% of new CPPs were second or subsequent plans. It is worth noting that, to some extent, this is reflective of the low number of children made subject to a Child Protection Plan (35.8 per 10kin North Yorkshire in the last 12 months compared to an average of 55.8 per 10k in 2018/19 nationally). The service continues to scrutinise CPPs, particularly where children are subject to repeat CPPs to gain assurance that the right decisions are made at the right time.

The number of children in North Yorkshire’s care at the end of Quarter 2 2020/21 was 456.

Number of Children in Care



Over the past 3 years, we have seen an almost consistent rising trend in the number of children in care (from 409 in Q2, 2017/18 to 456 in Q2, 2020/21). Analysis of the long-term trend highlights that the increase in the number of children in care is not particularly linked to an increase in admissions, but is due to lower discharge rates.

	Admissions	Discharges
2018 (Apr – Sept)	88	80
2019 (Apr – Sept)	77	66
2020 (Apr – Sept)	82	69

Whilst the number of children in care has increased, we are seeing more children in care living within their family networks. This aligns with our Practice Model, which seeks to build on the strength of family networks to promote outcomes for children and young people. Over the past 3 years we have seen the number of children living in family & friends foster placements more than double from 56 in Quarter 2, 2017/18 to 124 in Quarter 2, 2020/21. Whilst, anecdotally, family & friend’s placements do pose some challenges to discharging care orders, with foster carers being reluctant to pursue alternatives to care orders, they are undoubtedly providing children with strong opportunities to improve their long-term outcomes whilst maintaining a sense of identity and their family networks.

The number of children open to Early Help has reduced over Quarter 2, down from 2,444 young people across 1,288 households in Quarter 1 to 2,155 young people across 1,112 households in Quarter 2. A reduction is frequently seen in Quarter 2 due to the school summer break. It is worth noting that our Early Help Service is currently also supporting Children’s Social Care through 400 interventions, providing a joined-up, family centred approach.

Future Focus

Looking to the future, the service will be closely monitoring the developments in regards to the demand at the front door and the impact that this will have on the caseloads of teams on the frontline as the socio-economic impact of Covid-19 begins to impact.

The service has implemented the Signs of Safety module of LCS (1st October). There is, therefore, be a volume of work focused on ensuring that this goes smoothly and that staff are in adapting appropriately to the new system.

Training around the Practice Model, such as Family Finding, will continue with the aim of equipping all our social workers with the tools needed to build on the relationships within families to support outcomes for children.

The Children & Families Service continues to work closely with other authorities to help develop their services through both the Partners in Practice Project and the Strengthening Families Protecting Children Programme.

Education Services will continue to work closely with schools to ensure that schools are effectively equipped to meet the needs of children and teach pupils in accordance with the Covid-19 guidance and supporting schools to work with health services to ensure that the outbreaks are identified and measures taken.

Future focus for promoting a healthy weight with children, young people and families will include a greater focus on prevention and early intervention via initiatives such as: the Healthy Schools Award; training for early years; NCMP (national child measurement programme); strategy and partnerships; training and awareness for professionals; School Zone project; and healthy catering work (e.g. healthy packed lunch guidance for schools and early years).

NYCC Public Health are also working with Leeds Beckett University on a research project to develop and pilot a digital / online weight management service for families – to be tested in NY Jan-July 2021.

The Oral Health promotion contract with HDFT ended at the end of March 2020. The options appraisal is currently underway for ongoing oral health promotion including; integration within the Healthy Child Programme, Healthy Schools Award and wider health promotion parenting programme.

Work is ongoing to re-provide the Healthy Child Programme from April 2021 through a Section 75 Agreement between NYCC and Harrogate District Foundation Trust (HDFT). Due to significant reductions in the Public Health Grant it is proposed that, subject to public consultation, the service will be delivered differently to the current model.



Council Ambition: 'Innovative and Forward thinking Council'

'Innovative and forward thinking Council'

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

We receive approximately **10 million** online visits to the Council's website in a year.

On average, each month we handle **26,000** contacts through the Customer Service Centre, of which **19,000** are telephone calls.

98%

of applications for a blue badge are made online.

94%

of older person's bus pass applications are made online. We continue to support residents who cannot get online to complete an application via the Customer Service Centre and libraries.

47% of our budget comes from council tax.

Of our **£592m** budget we spend:

£255m	adult social care and public health
£107m	children and young people
£39m	highways
£50m	waste disposal
£15m	property

Between 2018 and 2019 there was an **11% increase** in the percentage of total Council spend with local suppliers, in 2019 we spent **£190m**

In 2019 the Procurement and Contract Management Service generated income to the Council of over **£55k** through externally traded work

In 2019 the Property Service made a **5% reduction** to the corporate property portfolio (202 to 193 properties), resulting in a saving of **£664k**

There are **5,426** fte non-schools employees of whom

77% of are female,

56% work part time,

1.9% are from a BAME background, and **2.1%** declare a disability.

The average age of the workforce is **47.3** years and **4.4%** of the workforce are aged under 25.

Customer – Easy and effective access to County Council services

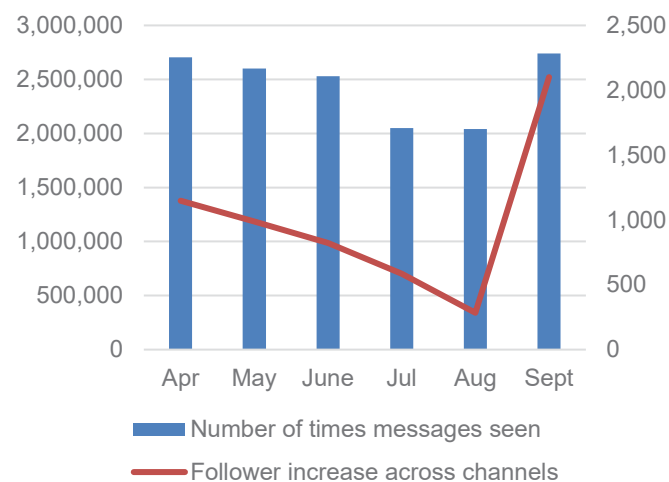
The council website has been an important source of information on the coronavirus for residents with 406,295 views of the coronavirus section alone. All pages on the council website received 3,906,182 visits this quarter an increase of 20% on the same quarter last year, which had a very high level of website visits as it was UCI at this time.

Top webpages – number of visits

	Jul-20	Aug-20	Sep-20	Total
Latest coronavirus news	27,130	27,410	74,878	129,418
Jobs and careers	42,193	33,155	41,817	117,165
Coronavirus landing area	14,933	13,702	34,161	62,796
School term and holiday dates	12,408	18,385	20,405	51,198
Coronavirus – testing sites		9,386	39,324	

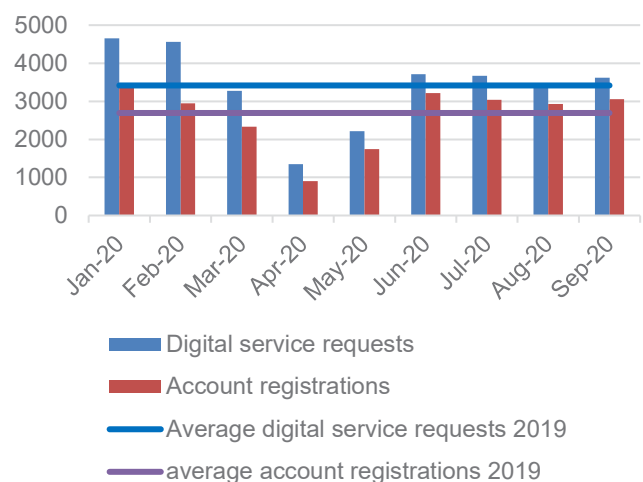
The Coronavirus – NYLRF “act now” news item In September received 14,943 visits; this is the largest number of visits of any news item ever. This item also reached 95,216 people on Facebook, 19,131 on twitter and resulted in a significant increase in social media followers.

Social media



The ambition is to ensure that 70% of contact with the authority by customers is via digital self-service channels. This quarter 40.4% of customer service requests were made digitally, and although this is below the target, it should be noted many requests were for social care services and booking ceremonies with the registration services, services that cannot currently be accessed online.

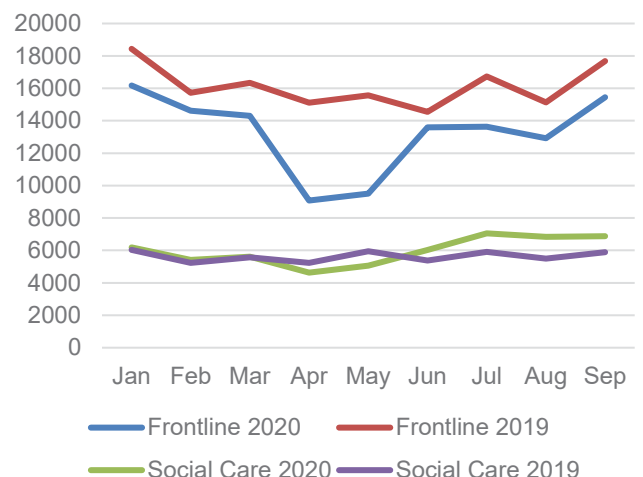
Portal actions



The portal service requests have increased after the fall last quarter due to Coronavirus, but service requests levels remain below that seen before the coronavirus lockdown in March.

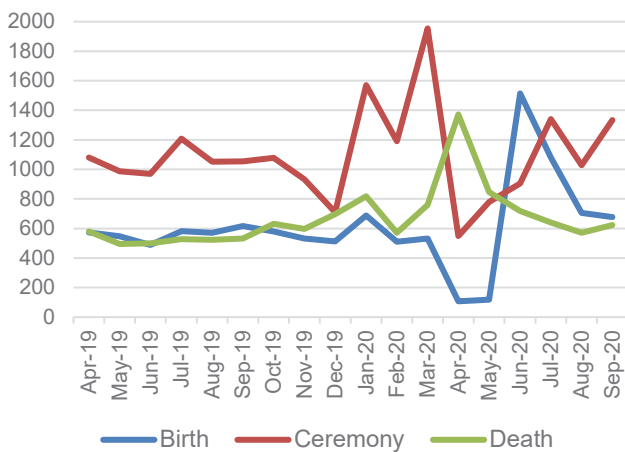
At the end of the quarter, there were 80,712 customer accounts for the customer portal, if we assume one account per household this means 31.8% of households in North Yorkshire have an account.

Calls offered



The overall level of calls is significantly down on the same period last year but social care demand is higher. This quarter the top information and advice calls were for blue badge, social care and registrar ceremonies bookings.

Registrars demand on Customer Service Centre



Covid-19 has had a big impact on the registration service. The contacts with the customer service centre about the service illustrate the suppressed demand for birth registration that peaked in June when registrations restarted and the erratic demand for ceremonies due to numerous changes to the restrictions around gatherings.

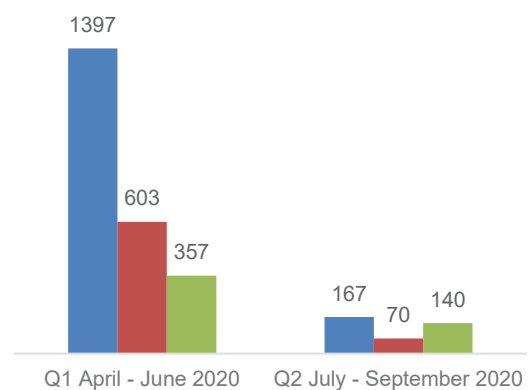
The registration service continues to register births and deaths. Deaths are registered very quickly, usually within 5 days (apart from when an inquest is required). There is a small number of late birth registrations, and this appears to be due to the reluctance of some parents. Work continues on this issue. The busiest team is the ceremony team who deal with all the postponements, cancellations and new bookings. The number of ceremonies in the peak season this year is much reduced, although some are still going ahead. Couples are now postponing until much later with a booking for as late as June 2024. This is because couples are wanting to wait until the current restrictions are lifted before they hold their ceremony. We anticipate the work of the ceremonies team is unlikely to diminish for the foreseeable future.

Challenging ourselves to change, innovate and deliver value for money support services to improve the customer experience

Legal and Democratic Services

It has been another very busy summer for the Council's Legal and Democratic Services Directorate with a combination of business as usual and Covid-19 related work.

Covid-19 related additional legal hours worked



In Legal Services, there is a continued additional demand for Covid-19 related work resulting from changes in legislation, government guidance and service practice, although this has reduced since the start of the pandemic. In this reporting period, between July and September, there were 377 Covid-19 additional legal hours worked, compared with 2,357 from the start of the pandemic up until the end of June. The overall number of Covid-19 related legal hours recorded at the end of September was 2,734. Across directorates, Central Services accounts for the largest proportion of legal work linked to the Covid-19 crisis but the additional support from Legal Services spans all directorates across the Council. In terms of Covid-19 work specifically, the team has been involved with drafting new Public Health directions to deal with events involving large public attendance. The team has also helped with legal advice on car park orders to enable temporary changes to parking charges to be brought in, without delay, to assist the local economy. Legal Services colleagues are also supporting HAS colleagues where the social care market has been impacted by Covid-19 and in general

terms, trying to find innovative legal solutions and new ways of working with a view to continuing to achieve best value for the council during these difficult times. Implementing contract variations across all areas, because of Covid-19, is another key area of work at the current time.

Other key achievements for this reporting period include dealing with a high number of unauthorised traveller encampments, one of which had been a long-standing issue despite the additional difficulties posed by the pandemic. The Council's Legal Services are also advising Ryedale DC on contract issues as part of a new, shared service; and undertaking recruitment for a new shared service with York to support adult and children's services. There is a continuation of work on North Yorkshire Highways; and, the Everybody Benefits Framework has now been completed, to commence from December 2020.

Democratic Services, working with Technology and Change and Communications, has rolled out live broadcast meetings of the Council's formal, public committees. To date, over 30 meetings have been held remotely. All have complied with the Government Regulations that were issued in the first wave of the pandemic. Over August and September, the focus has been upon moving from Skype to Microsoft Teams as the platform for the live broadcast meetings. This has involved working with all Councillors and other committee members and co-optees to ensure that they can access the meetings and fully participate in them. The intention is to live-broadcast all of the Council's formal, public meetings through to May 2021. The meetings are recorded and can be watched on the Council's YouTube pages or the Website - <https://www.northyorks.gov.uk/live-meetings>

The Council's five thematic overview and scrutiny committees have started to meet in public once again. Scrutiny Board is co-ordinating a piece of scrutiny work across the five committees that looks at the lessons learned from the response to the first wave of the pandemic and how the way in which the Council and other organisations work has changed. An example of this is the increased use of remote access to consultations by the NHS and the move away from face-to-face appointments.

A motivated and agile workforce working efficiently and effectively to drive innovation

Coronavirus has continued to dominate our workforce and our ways of working in Quarter 2, and we have extended and expanded measures to support employees described in the previous Q1 report. All employees who can work from home continue to do so and significant numbers remain working from home due to their vulnerabilities, or the requirement to self-isolate. Some key statistics this quarter:

- At its peak, nearly 700 employees were furloughed, and 300 employees are still either fully or partly furloughed. £1.5m has been claimed for furloughed employees, which will rise to over £2m before the scheme closes 31st October. Looking forward, furlough has been extended to December from when we expect to take advantage of the Government's Job Support Scheme. Furlough will continue to cover 80% of the wage costs of employees who work in services funded by income, which have seen reduced demand.
- The number of cases of Covid in the workforce is increasing in line with rising national and local rates, and the impact of a confirmed case can be particularly challenging for teams particularly small or frontline teams. The proportion of the workforce working has ranged from 90 – 93%. This reduced at the end of October to 89% as the increases in infections and effect of test and trace begins to impact on the workforce and as employees took leave over October half term. Nearly 600 staff were not working due to Covid at end of October due to a combination of factors including positive test result, symptoms, or the requirement to self-isolate due to contact; quarantine prior to/after planned hospital admission or holiday.
- The government requirement for the extremely clinically vulnerable to remain at home ended in August. In response, where staff cannot work normally from home, individual risk assessments have considered how work and the workplace can be adapted to allow a safe return or redeployment where this was not possible. A full individual risk assessment for any employee with 1 or more

vulnerabilities e.g. health, pregnancy, BAME, takes place prior to any consideration of a return to the workplace, including making changes to the job and or the workplace, or redeployment to a lower risk work area. From 5th November, the clinically extremely vulnerable will again have to either work from home or remain at home unable to work from an alternative workplace. Over 1600 employees are categorised as being vulnerable and it is likely that of these some 200 are Clinically Extremely Vulnerable (CEV) many of whom will already be working from home. The number of staff unable to undertake their role due to vulnerability to Covid had reduced to 19 with all successfully redeployed into other roles/duties but this will now increase as staff who are CEV are identified and deployed to alternative duties.

- Over 2600 homeworking risk assessments have been completed to ensure homeworking arrangements meet legal health and safety requirements with some £40k spent on equipment and technology to enable staff to work safely and efficiently at home
- Government guidance to work from home where possible continues to be followed but for frontline staff this is not possible and many other staff, following individual risk assessments, have returned to a Covid secure workplace for personal and practical reasons as well as work needs. Where homeworking was not suitable or sustainable. 120 staff have had risk assessments undertaken to ensure they are able to return to the workplace and 2,683 staff have completed the Covid safe workplace induction enabling them to return to a work base in whole or part. These inductions are required for staff to attend work-bases on an occasional basis for example for team meetings and face-to-face meetings with their manager.

After 6+ months, and as we move into winter with Covid levels rising, the focus is on supporting staff resilience. Staff and managers have access to expanded virtual support networks, including more informal groups on 'Yammer', and there is a framework and resources to help managers to manage remotely including skills' webinars. Staff are encouraged to take leave and have regular breaks. Mental health first aid training is available in addition to established employee

support resources. During Q2 support and resources have been developed for employees with a range of additional needs in mind, from those caring for children or other vulnerable loved ones, for those who already had mental health needs, and for those caring for those on the autistic spectrum for whom the changes have been particularly challenging.

In quarter two, a full workforce survey was undertaken to gauge how our workforce felt they were being supporting through Covid. The results showed high levels of satisfaction with the support being provided by both the organisation and managers, with significant increases in the proportion of staff who feel they are being kept informed and have the resources (technology and equipment) to work effectively, especially during the pandemic.

Pulse survey: Working through Covid

You

I have received enough information during the Covid pandemic to do my role well

I know where to access health and wellbeing resources that might support me

I have been able to strike the right balance between my work and home life during the Covid pandemic period

Where I work, we have the resources (e.g. technology and equipment) I have needed to complete my work effectively during the Covid pandemic working arrangements

I have adapted well to different working arrangements

Your team / manager

My manager has done a good job of keeping me informed during the Covid pandemic

People within my team have supported each other during the Covid pandemic working arrangements

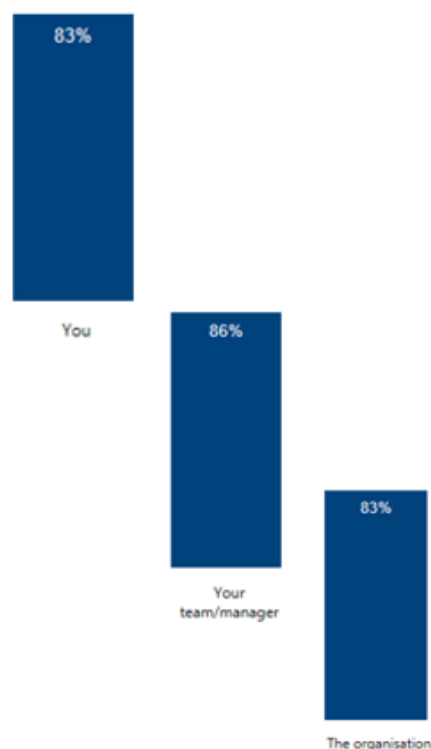
In my team we have been encouraged to identify new solutions for future working and service delivery

The organisation

Senior management has done a good job of keeping me informed about the County Council's response to the Covid pandemic

I would recommend the County Council as a great place to work

2020 NYCC satisfaction levels



You	2020	2019	↑↓
I have received enough information during the Covid pandemic to do my role well	88	75.67	↑ 13
I know where to access health and wellbeing resources that might support me	92		
I have been able to strike the right balance between my work and home life during the Covid pandemic period	67	70.92	↓ 4
Where I work, we have the resources (e.g. technology and equipment) I have needed to complete my work effectively during the Covid pandemic working arrangements	83	69.01	↑ 14
I have adapted well to different working arrangements	83		
Your team / manager			
My manager has done a good job of keeping me informed during the Covid pandemic	90		
People within my team have supported each other during the Covid pandemic working arrangements	92		
In my team we have been encouraged to identify new solutions for future working and service delivery	77		
The organisation			
Senior management has done a good job of keeping me informed about the County Council's response to the Covid pandemic	87	53.55	↑ 34
I would recommend the County Council as a great place to work	79	66.13	↑ 13

The Council will be a broker for the Government's Kickstart scheme for SMEs. The scheme provides funding to create new job placements for 16 to 24 year olds on Universal Credit who are at risk of long-term unemployment, and to date 18 organisations have submitted an Expression of Interest to host Kickstart placements. We are working with the LEP and DWP to progress with other partner organisations and will also provide placements within NYCC and the Brierley Group of companies.

Apprenticeships

2 new apprenticeship standards have been adopted for roles in NYCC; Senior Leader, Level 7 and Business Administrator, Level 3. All apprenticeship frameworks were withdrawn as of 31st July 2020 to be replaced with apprenticeship standards. This has affected the Business Support Level 2 and the Civil Engineering pathway development at Levels 4 and 5. Work continues with service leads and providers to review options available.

Unspent funds from the NYCC levy pot returned to the treasury totalled £824k, 100% is schools unspent funds. This is in line with expectations due to the ongoing challenges for schools as previously reported.

17 transfer levy agreements in place. The agreements cover 39 apprentices and transfer funding agreed is to a total value of c£299k, paid over the life of the apprenticeships. 22 in the Care Sector, 16 in the Construction Industry and 1 in Engineering. A further 58 apprenticeship applications are in progress to an additional value of c£259.5k. 56 in the Care Sector, 1 in the Voluntary Sector and 1 with Veritau.

Covid-19 response

As previously reported NYCC apprenticeships have continued to be delivered virtually and those unable to continue due to service demands being placed on break in learning (BIL) and resumed when the services were able to support the learning again. 31 apprentices initially affected, 27 in HAS Adult Care, and 4 in schools. Q2 saw 25 apprentices returned to learning. 6 apprentices remain on BIL, 2 in Adult Care, 2 Kitchen staff in schools and 2 Schools Business Professionals.

It has not been possible to begin new starts in HAS Adult Care with 13 starts delayed. These new starts will commence in Q3.

Q2 saw renewed interest from schools with 16 enquiries received covering 27 apprenticeships with new starts to commence in Q3. There continues to be an increased focus on Leadership and Management apprenticeships at Levels 5, 6 and 7. To date 2 schools are eligible for the additional Covid-19 Government Incentives.

A review of the levy transfer strategy was completed and expanded to include all North Yorkshire Based employers to support the economic recovery. Work continues with the York and North Yorkshire Local Enterprise Partnership (YNYLEP) and other partners to deliver the strategy. Initially new levy transfer agreements with other organisations decreased in Q4 2019/20; however, Q1&2 saw an increase in applications.

Public Sector Target Report 2019/20

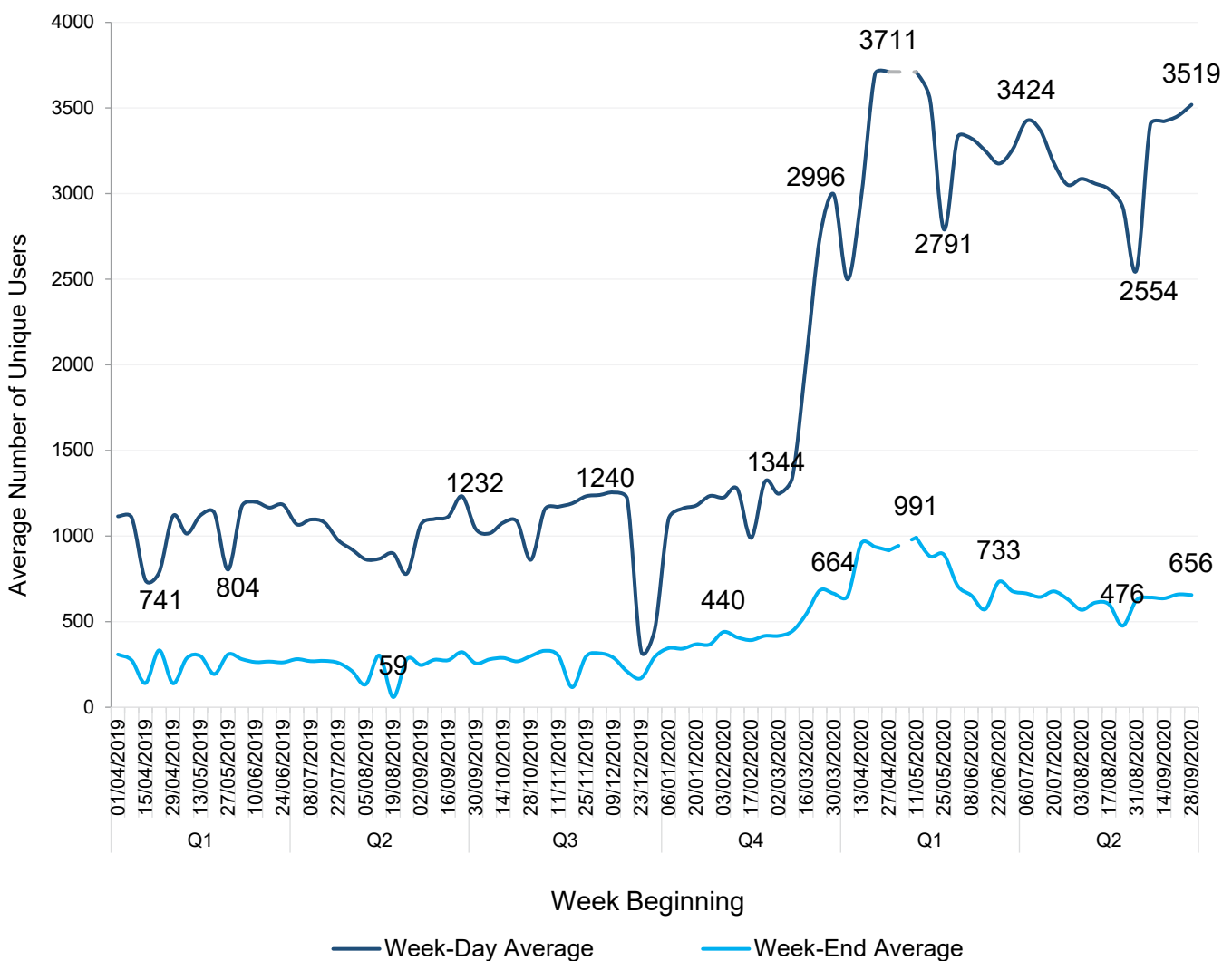
As per the annual reporting requirements of the Education Skill Funding Agency (ESFA), we have reported on our progress towards the achievement of the 2019/20 Public Sector apprenticeship target (achieving 2.3% of our workforce, including schools, being apprentices).

Performance towards the target decreased from 1% in 2018/19 to 0.76% in 2019/20. Core council performance was maintained at over 1.5% whereas schools dropped from 0.4% to 0.1%, having a negative impact on the overall percentage. We recorded 116 new starts in 2019/20. We continue to have regard to the public sector target; however, the target remains unachievable due to the continuing challenges and structural limitations previously reported.

New Ways of Working

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.

Employees working from home

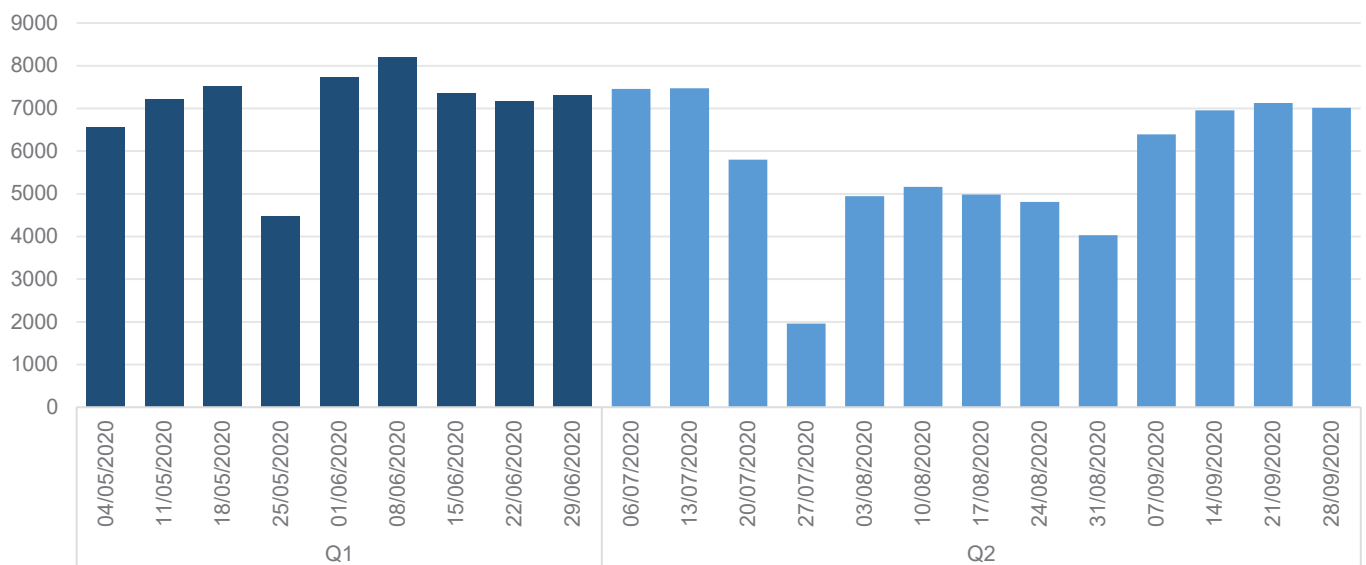


Technology and Change

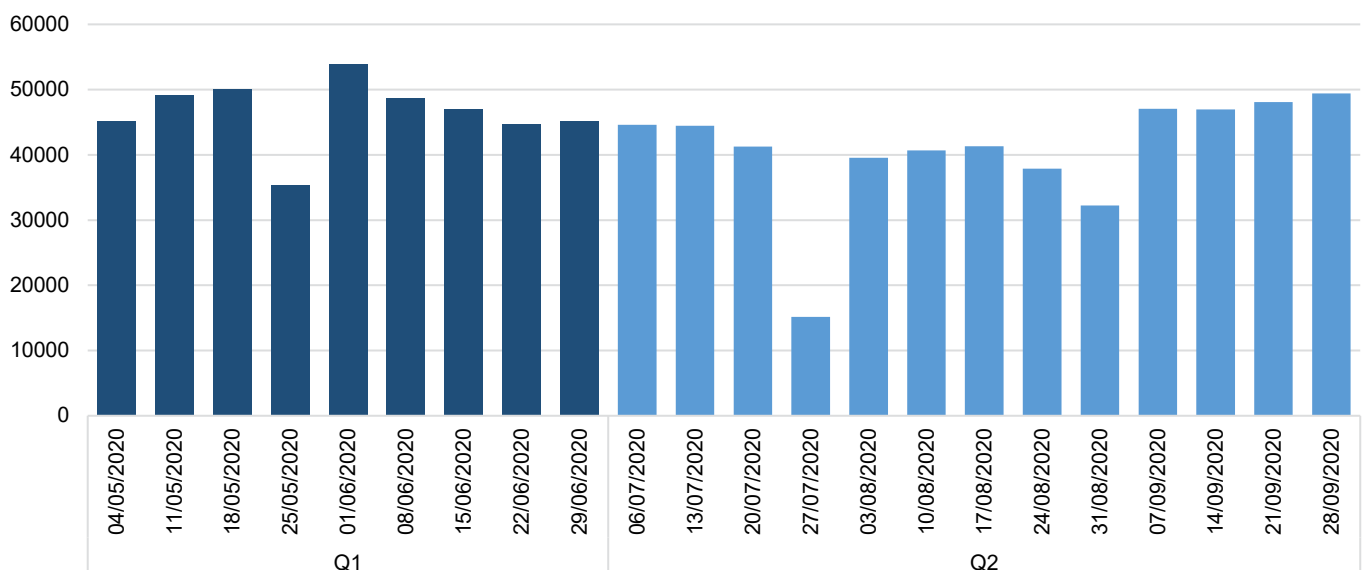
During quarter 2, on an average weekday, 3189 employees used their laptops and tablets to work remotely, peaking during the quarter at 3519 (on avg.) for the week commencing 28th September. This is a rise in comparison to the average weekday in Q1 (3068). The average number of unique users on a Saturday or Sunday was 622 during the quarter (Q2), a reduction in comparison to the weekend in Q1 (753).

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 staff to work more efficiently with virtual meetings, video conferences and audio calls.

Skype usage – Conference Calls



Skype usage – Instant Messaging Sessions

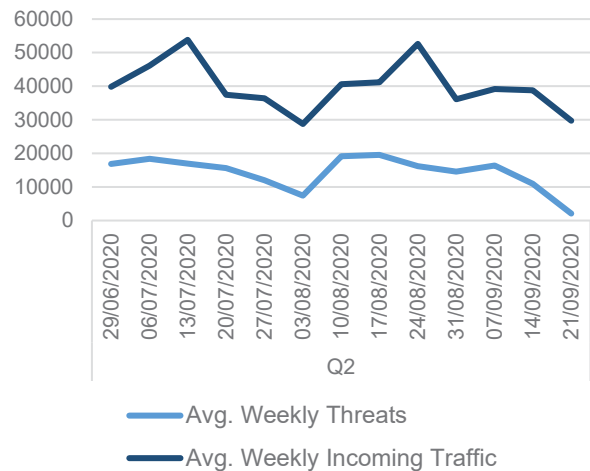


Cyber Threat Monitoring

The volume of blocked cyber-attacks on the Council increased after the country went into lockdown and we reached a threat high of 47% of our incoming traffic. This percentage reflected national averages as cybercriminals came out in force and launched a barrage of attacks on the country with us all relying on the internet to work and communicate.

In Quarter 2 we have seen a reduction and levelling out of cyber-attacks to a low of 27% of our incoming traffic. While it is encouraging to see this number fall, we are not resting on our laurels when it comes to cyber-security.

Cyber security



Incoming threats last 7 days 49k
(As at 29/10/2020)

Incoming threats last month 94k
(As at 29/10/2020)

Corporate internet and mobile data

Internet capacity increased by 350% to support remote working

In February, a neighbouring authority’s website and computers were targeted, resulting in about 135,000 people without online public services. The cyber-attack on the Councils computer systems is estimated to have cost the authority more than £10million.

With the majority of staff still working from home, the risk of human or technological failures leading to serious breaches is still as high as it has always been and we have seen in recent weeks minor phishing attacks, which have been quickly dealt with by T&C operational staff.

The graph below displays the correlation between the Council’s incoming traffic and cyber threats stopped over this quarter.

To support the organisation’s move to remote working we have had to increase our Internet capacity by 350% and our use of mobile data on our Smartphones and MiFi devices has increased by 181% when comparing February to September 2020 with an initial peak in May of 289%.

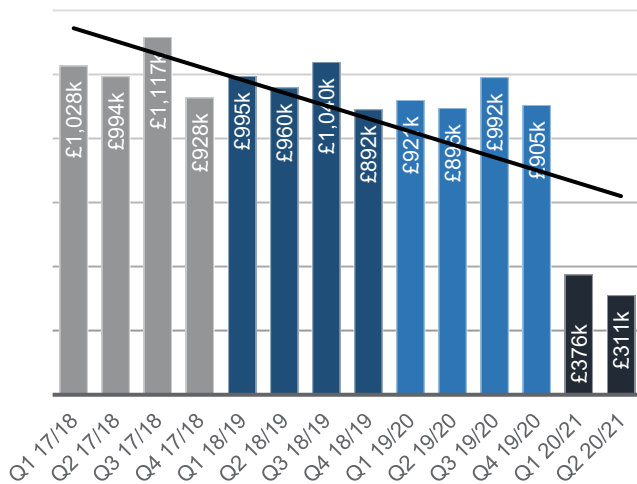
The increase in Internet usage is not just related to staff initiated activity such as Skype but also the fact we are continuing to send out important security updates to keep the Council’s Laptop and mobile device estate as safe as possible.

Corporate Resources

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

Mileage costs

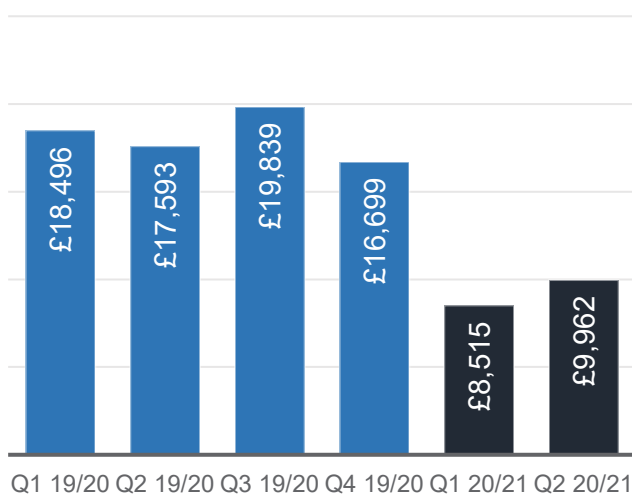
Mileage costs



There has been continued reduction in mileage claims and associated costs following Q1. This can be attributed to the current situation around Covid-19. Some of the mileage included within Q2 are miles due to emergency response e.g. delivering meals and medicines.

Printing costs

Printing costs



Printing costs remain low in Q2 however; there has been a slight increase in comparison to Q1. During Q1 some services were fully closed then started to resume from June/July, there has been more work activity during Q2 (Libraries, registrars).

Property Services

Covid-19 response and Quarter 2 update

During the course of quarter 2 there has been regular communication with services to review and monitor their property service delivery requirements, to enable a continued reduced corporate portfolio being maintained from an operational point of view as changes to the Covid-19 situation occur. Where sites are open, office space is set-up as Covid secure and audits by Health & Safety are conducted to ensure continued compliance. Processes are in place to ensure staff requiring access to buildings have completed their pre-return questionnaire and a Covid Secure Office Induction, with building access for all other members of staff being switched off. 34 buildings across the Workplace portfolio currently remain closed, with a regime developed around closed buildings visual inspections/ testing and requirements for the winter period being developed. A Covid secure larger meeting space has been set-up in White Rose House, Northallerton. Monitoring continues with the hard facilities management contractors to review access to sites across the corporate portfolio, schools and external clients, to enable essential compliance and emergency responsive maintenance services to be undertaken.

Following the 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 continues during 2020/21, with key activities including Northallerton

space planning based on Covid-19 secure office layouts, staff engagement including the coordination of the emptying of East Block on the County Hall Campus and work with services to release the lease at Crayke House, Easingwold. Alongside planning the development of proposals for Selby, Scarborough and

£260k savings achieved in 2020/21

wider Northallerton considerations. Rationalisation work undertaken during 2019/20 has enable £260k of Property savings being achieved within 2020/21.

Construction work continues on the County Hall Campus to remodel and refurbish the Brierley Building as part of Northallerton’s property rationalisation. Work commenced on procurement exercises for 2 new primary schools at North Northallerton and Manse Farm.



Operating on a commercial basis, where this is prudent and appropriate, to deliver a return which supports service delivery to those most in need

Procurement and Contracting

Covid-19 response and quarter 2 update

There are a range of actions that have been, and continue to be considered in response to the Covid-19 pandemic. These cover both policy and operational matters. The Procurement and Contract Management Service continue to work with Directorates to review Forward Procurement Plans and identify those procurement projects that should continue, those that can be paused, and ones that require us to put in place an emergency contract extension / variation due to the Covid-19 pandemic.

The Procurement and Contract Management Service have also undertaken a key role in supporting the 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.

In response to a number of significant Covid-19 related Procurement Policy Notes (PPNs) 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. The Supply Chain Resilience Board (SCRB), set up to cover the Covid-19 crisis period, has been extended until at least March 2021 and meets fortnightly to take a proportionate approach and triage suppliers that most need financial support or can secure and stabilise the key Council supply chains. In line with PPN 04/20 - Recovery and Transition from Covid-19, the focus has now moved to transition planning, with Contract Managers working with Suppliers to plan to exit from any contractual relief as soon as reasonably possible.

The Procurement and Contract Management Service continues to rise to the challenge of seeking to improve outcomes and deliver increased value for money from our spend, against the backdrop of increasing demand and reducing budgets.

The Procurement and Contract Management Service considers economic, social and environmental wellbeing 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 Q2	End of year target
% of total Council spend with local suppliers	52.15%	50%
% of total Council spend with SME suppliers	51.61%	60%
% total Council spend with the voluntary and community sector	2.96%	5%

Future Focus

As our innovation programme has been accelerated in response to the Coronavirus pandemic, it is important that we maximise the benefits of the new ways of working and continue to develop and improve the way we work. The “Beyond 2020” transformation programme is shaping the next round of programmes and projects that will enable us to remain at the cutting edge of local government modernisation.

Having already introduced the technology to facilitate new ways of working, the transformation programme will continue to review the property requirements of the new workforce and ensure the workforce is both supported and managed, whilst ensuring our IT hardware and software, (as well as our ability to use it), remain fit for purpose.



Council Ambition: ‘Growth’

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

High level outcomes:

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

We have responsibility for approximately **9,246 km** of road.

We are directly responsible for **6,110 km** of public rights of way, and we have delegated responsibility for paths in the national parks to the National Park Authorities.

The long term trend in road condition across the county remains one of improvement. We did see a slight worsening in the percentage of the less busy roads needing maintenance which **increased from 16% to 18%** which was, in the main attributable to the severe weather and the timing of our regular surveys. We continue to place a high priority on road maintenance investment and have implemented in an increased survey frequency to give an even more accurate and up to date picture of road condition.

We maintain **1,645** bridges across the county and this year we plan to spend in the region of **£52m** on highway maintenance schemes.

The Allerton Waste Recovery Park (AWRP) processes up to **6,000 tonnes** of black bag waste per week extracting significant amounts of recyclable materials including metals, cans and plastics.

The remaining waste is used to generate energy to support **40,000 households** each year. At the end of the process the ash is recycled into aggregates for use in road construction.

This diverts **over 80%** of our waste to landfill, a saving both financially and to the environment.

Customer

During the Coronavirus pandemic additional support has been provided to local businesses in order to minimise the impact of the pandemic wherever possible. This support includes providing guidance and information relating to support available from the Government and through district councils and the LEP, guidance on trading restrictions for businesses, monitoring outbreaks of the virus in commercial settings and a three level “offer” of Covid-19 support to businesses from the public health team.

A larger business base and increased number of good quality jobs in North Yorkshire

Creating the right conditions for business growth and investment

Officers at North Yorkshire County Council continue to engage with businesses of all sizes and sectors to better understand the nature of the economic impact of the coronavirus and to provide guidance and information relating to support available from the Government and through district councils and the LEP.

Officers have also continued to engage with central government in terms of the support required for local businesses and have highlighted the disproportionate impact on our hospitality industry and particularly on wedding venues and performance venues. One North Yorkshire tourism business near Ripon was discussed directly during Prime Ministers Questions in an attempt to highlight the plight of wedding venues when guest limits were reduced from 30 to 15.

Trading Standards and Public Health officers have been working closely with Environmental Health Officers to provide clear guidance on trading restrictions for businesses and monitor outbreaks of the virus in commercial settings.

Enhancing the environment, developing tourism and the green economy

NYCC via the Local Nature Partnership (LNP) is supporting the development of a comprehensive habitat map of North and East Yorkshire via remote sensing. Natural England and The North and East Yorkshire Ecological Data Centre (NEYEDC) initiated

the project in July and a final product will be available by the end of 2020. The LNP also supported the delivery of the LEP’s natural capital study, which is now complete. The findings were included in the North Yorkshire Devolution discussions as part of a natural capital chapter.

Live well

A three level “offer” of Covid-19 support to businesses has been developed by the public health team with the county council:

Level 1 is the prevention offer. Attempts were made to contact approximately 120 large businesses or organisations that may be at a higher risk of having a positive case (e.g. evidence from elsewhere showed that some meat production facilities were experiencing more positive cases than other industrial sectors). Companies where successful contact was made were signposted to the resources on the NYCC website and they were provided with contact details should they have any queries/cases in the future.

Level 2 is where there is a suspected/ positive case in a workplace. In these cases, contact is made to discuss the measures they already have in place, possible risk areas where transmission may occur and suggestions are made as to how to minimise that risk. These businesses are also signposted to the resources on the NYCC website.

Level 3 – is outbreak/incident management, where there are 2 or more cases. PHE and the local environmental health team become involved and the council provides support as part of the team to manage the outbreak and reduce risk of further transmission.

As at the end of quarter two the council has supported around 20 businesses at levels 2 and 3.

People across the county have equal access to economic opportunities

High quality places and increased housing provision

NYCC officers have been active in a range of spheres promoting good growth within the County.

With the York, North Yorkshire and East Riding (YNYER) Spatial Framework, work has continued to progress on the preparation of Long Term Development Statements

for the Strategic Development Zones (SDZ) identified in the Spatial Framework. The SDZs provide a focus for cross boundary development solutions and the shared prioritisation of infrastructure and investment. The York SDZ has currently been paused due to resourcing commitments for the City's Local Plan. It is anticipated that work on the other SDZs should conclude in the autumn.

Local Plan activity started to pick up again during the quarter. NYCC officers have been engaged on the Scarborough Local Plan Issues and Options consultation, the Yorkshire Dales National Park Authority Local Plan 'ambitions' consultation and preparation of the Preferred Options for the Selby Local Plan review. Hambleton's Local Plan is now progressing through its examination, and NYCC officers are providing support as required.

With economic recovery planning, work has progressed on the development of a North Yorkshire Strategic Framework for Economic Recovery. This sits alongside the Y&NY LEP Economic Recovery Plan, which is now focusing on reshaping the regional economy so that it aligns with Government's current priorities, and the Districts local recovery plans.

With regard to planning and housing, in August, the Government launched two major consultation exercises on changes to the planning system, including a White Paper on the Future of Planning. These could have significant implications for housing delivery and how growth is managed. NYCC officers have liaised with the Y&NY LEP and NYCYER Housing Partnership and the YNYER Directors of Development and Heads of Planning on the strategic issues that could affect our area and the implications for local authorities.

NYCC officers are collaborating with a number of our Local Planning Authorities to assist major development schemes to come forward. The outline planning application for Clothholme urban village at Ripon is being now being processed, and officers continue to engage with the MOD on the development plans for Catterick Garrison.

Officers continue to work closely with Scarborough Borough Council to support the development of Towns Fund proposals for both Scarborough and Whitby. Bids for specific projects are being prepared for submission to Government.

NYCC officers continue to contribute to the development of the Y&NY Devolution proposition and advice on the implications and opportunities related to a unitary structure of Local Government within North Yorkshire.

Deliver a modern integrated transport network

Highways

Throughout Q2 the highways officers, now working solo as part of the Covid-19 restrictions, continue to carry out safety inspections of the road network across the county. Almost 12,600 inspections were completed in Q2 which is only 2.5% down on the same period as last year.

The overall count of works orders completed for Q2 was over 5,250. This is a drop of 12% from 2019, however this has enabled our contractor, Ringway, to clear the small backlog of the lower value orders and work on the backlog of higher value orders. It has also given the service the headroom to concentrate on some of the larger works added as a result of the flood damage at the beginning of the year. An example is a £160k order in The Harrogate area to repair a damaged bridge parapet.

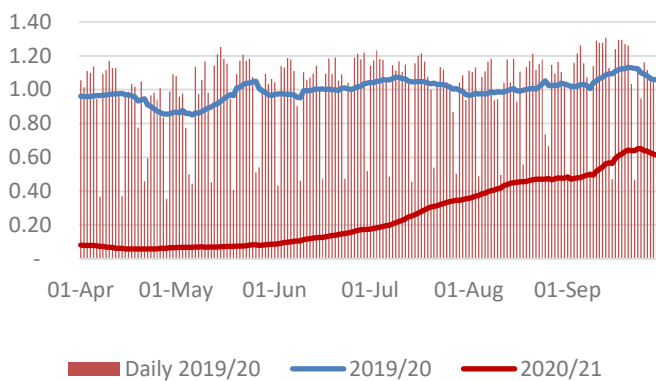
Passenger Transport

Passenger transport has seen great challenge and difficulty over the past 6 months with patronage and revenues dropping initially to less than 10% of normal levels for both bus and rail. Both these sectors are nominally private sector businesses, however as part of our national infrastructure, central and local Government have stepped in to provide £bn's of support to maintain services and prevent bus and rail operators collapsing. The rail industry is effectively renationalised now with GOV paying for services through Emergency Recovery Management Agreements (ERMA's) at over £110m per week, with the bus operators paid over £27m per week.

The County Council has provided support locally for bus operators with the continued payment of concessionary fares reimbursement at pre-Covid amounting to over £3.2m in the 6 months to the end of September.

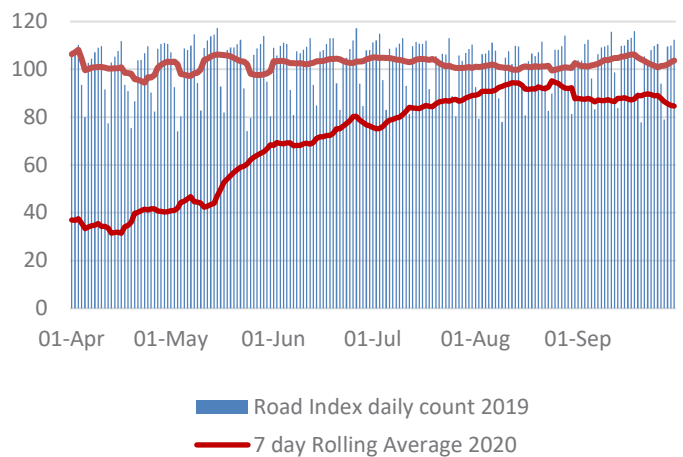
The following charts present patronage levels indexed to 2019 values. The passenger charts reflect seasonal variation with values related to the equivalent day last year. The road figures present the variance from the average annual daily travel for 2019/20.

Combined Bus Patronage Index 2019/20-2020/21 and 14 day Rolling Average

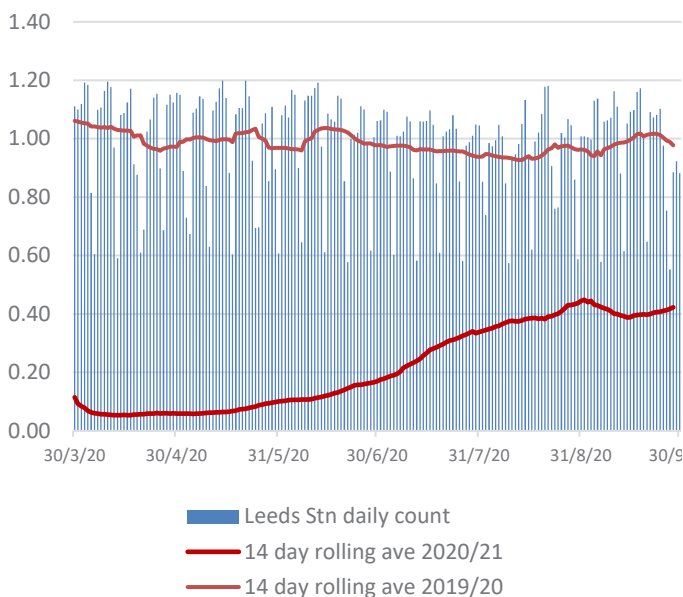


As can be seen from these charts, passenger levels remain significantly below pre-Covid levels, with bus at c60% and rail (at Leeds Station regional hub) approximately 40%. It is interesting to note that the rolling average figure for 2020 patronage for bus travel is beginning to track in parallel to the pre-Covid figures suggesting that the level of 60% is broadly likely to be the long term level whilst the present conditions persist. Rail is a little more variable, being more response to national messaging.

Daily Road Traffic Volume 1st April to 30th September (Index 100 = Average Daily Traffic 2019)



Passenger Count Index at Leeds Station 1 April 2019 to 30 Sept 2019 and 1 April 2020 to 30 Sept 2020



Roads traffic data is showing a stronger return to pre-Covid levels although, despite the reduction in alternative mode usage, it is notable that volumes remain below last year's equivalent days volumes.

Increased overall average median wage

Increase skills levels and ensure that the workforce meets the needs of the County

Over the course of the coronavirus crisis over 88,000 jobs in North Yorkshire have been furloughed under the Government's Coronavirus Job Retention Scheme (CJRS) up to 31 July 2020, 32% of the County's workforce.

County and district / unitary authority	Employments furloughed	Eligible employments	Take-up rate
North Yorkshire County	88,200	272,900	32%
Craven	8,400	24,300	35%
Hambleton	11,400	38,900	29%
Harrogate	23,500	75,500	31%
Richmondshire	6,400	22,900	28%
Ryedale	7,800	23,000	34%
Scarborough	17,200	44,900	38%
Selby	13,500	43,400	31%

As the table above shows, Scarborough Borough saw the highest levels of furlough in North Yorkshire at 38%; the average for England is 32%. With the original easing of lockdown measures the majority of these jobs returned to work, however there remains almost 10% of the workforce nationally who remain furloughed under the CJRS.

A further 35,800 self-employed individuals have taken advantage of the self-employed income support scheme up to 31/8/2020:

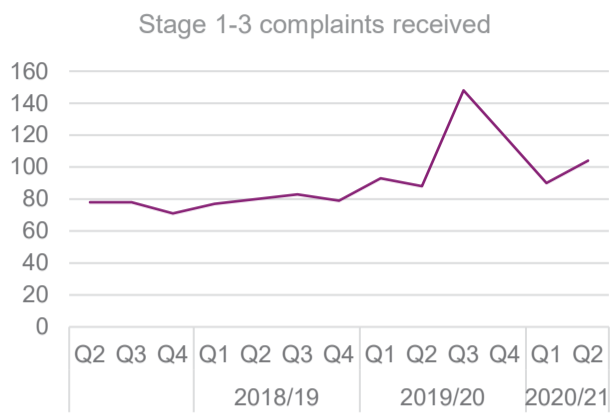
County and district unitary authority	Total potentially eligible population	Total no of claims made to 31/08/2020	Total value of claims made	County and district unitary authority	Total potentially eligible population
North Yorkshire County Council	35,800	19,100	49.0 M	2,600	53%
Craven	4,000	2,000	5.2 M	2,600	51%
Hambleton	5,400	2,700	7.1 M	2,700	50%
Harrogate	8,800	4,800	12.9 M	2,700	55%
Richmondshire	3,000	1,400	3.6 M	2,600	47%
Ryedale	4,000	2,000	5.1 M	2,600	49%
Scarborough	6,400	2,000	8.7 M	2,300	58%
Selby	4,300	2,400	6.3 M	2,600	57%

Future Focus

Work is being undertaken to establish the post Covid-19 skills needs for the County and better understand the acceleration of economic change brought about by the crisis. Those sectors most affected both locally and nationally are hospitality, manufacturing and construction.

Appendix

1. Healthy and independent living - Customer feedback

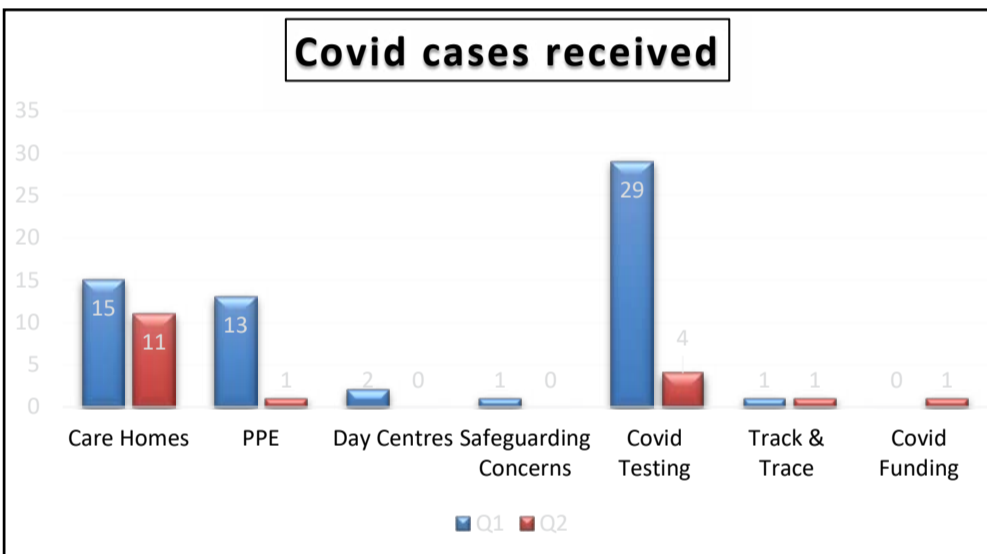


We received 87 complaints in Q2, of those 80 were acknowledged within time, this means at 92% we continue to exceed our 90% target.

Covid-19

Over Q2 we have received 18 Covid-19 related cases. The majority received have been from MP's and in relation to care homes and visits.

We continue to feed this information back to the relevant teams on a weekly basis. This is to assist with where we need to respond to any new peaks of Covid-19 related issues.



Root cause

Communication 11(13%), Covid-19 3(3%), disagrees with action/decision 45(52%), pricing and charging 7(8%), safety (2%), service and care 16(18%), staffing 3(3%)

Timeliness

In quarter 2 we closed 79 complaints out of this 27 were closed within time. 90% have been responded to within time; we are on our 90% target.

We did follow our regular escalation process, however during the current pandemic we continue to liaise between complainant and service area, this is so both parties have a realistic understanding of what is expected.

All of the complaints that were out of time were received late from the department.

16 Complaint reviews were responded to and 100% were responded to within time.

Learning

We continue to use our complaints to look at lessons learnt and how we can improve services. With the appointment of the Continuous Learning and Improvement Officer in September, this will be a focus for the team in the coming months.

Ombudsman

We received one new Ombudsman enquiry in September.

We currently have 11 open cases, 6 are with the LGSCO.

Of the five cases with us, four are final decisions (one long standing) and are at remedy stage. One is an initial investigation. All are within time.



2. 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.

69 complaints were received in Quarter 2, a 72% increase on Q1 (n=40). Six Corporate complaints have escalated to Stage 2. There were three statutory complaints considered at Stage 2 and one request for a Stage 3 Panel Hearing under the Statutory process is awaiting progression using video technology at the complainant’s request.

At stage 1, overall 26% of complaints were upheld. Two Corporate Stage 2 complaints were upheld out of the five investigations completed.

35 compliments and commendations were received during Q2 (decrease = 49 from Q1) related to support provided to families from Inclusion support, SEN Assessment and Reviewing Service, Adoption, Early Help, Looked After Children and No Wrong Door. There was also positive feedback and appreciation from education settings about the guidance and support provided by the LA with regard to Covid-19 and the reopening of schools.

Timeliness

In relation to Corporate Stage 1 investigations, 63% were completed within timescale in Quarter 1, an improvement on Q1 (55%). Five Stage 2 corporate complaint investigations were completed during Q1 but all fell out of timescale predominantly due to the need to focus capacity on Covid response and the period coinciding with the summer annual leave period.

In relation to Statutory Stage 1 investigations, 63% were completed within timescale, a decrease from Q1 (75%).

There were no Statutory Stage 2 complaints completed during this reporting period.

Impact of Covid-19

The number of new complaints received during Quarter 2 (n=69) was consistent with this time period in previous years and an increase of over 70% on the number of complaints received in Q1. Whilst timeliness improved in regard to corporate complaints, timeliness fell on Statutory Stage 1 investigations largely due to the need to focus social work teams on Covid-19 support. Text

Root cause

Themes during Q2 related to Communication (delays in responding or quality of communication accounted for 34% of complaints) and disagreement with decisions or actions taken (30%). 18% of complaints related to quality of service provided.

Learning

The formal escalation process has been refreshed and will be shared with team managers alongside a presentation to service group management teams over the next quarter through “virtual” sessions with the Complaints Team. In regard to learning from complaints investigated during this quarter:

- Changes to practice have been made to ensure that parents receive formal notification when Early Help Services are closing their case
- Changes to process notes to enable staff to understand the complexities of split families and the importance of ensuring better communication with a parent who does not permanently reside with their child
- The initial enquiry form for prospective foster carers has been amended to include a question regarding people’s health so that if there are any concerns these can be discussed at an early stage and before an initial visit is arranged.
- we will review how we get consent at the start of our involvement to complete assessments and agency checks.

Ombudsman

Three Ombudsman enquiries were received during this quarter. Two remain at enquiry stage whilst the third is under investigation with the outcome awaited. Two decisions were received in Quarter 2 as follows:

- Complaint regarding SEN provision - closed after initial enquiries as out of jurisdiction – the matter is being progressed via the SEN Tribunal route

Complaint regarding delay in discretionary direct payments for education for child with EHCP.

The Ombudsman upheld on grounds of Maladministration and Injustice but recognised that whilst the Council did not have a duty to provide the funding. Miss X chose to educate her son at home even though the Council considered a mainstream placement suitable. There was evidence the Council told her it would fund some tuition if she provided details of the costs. A letter of apology and financial remedy, including payment of the costs of tuition, has been made.

3. Innovative and Forward Thinking Council - Customer feedback



Stage 1-2 complaints received

18/19		19/20	
Q3	Q4	Q1	Q2
22	23	33	32

19/20		20/21	
Q3	Q4	Q1	Q2
18	27	21	25

Low numbers of complaints are received by the directorate, so it can be difficult to see trends. Generally though there are no areas of specific concern in any particular service.

Timescales have dipped from 100% last quarter, though this relates to only one case going over time.

43% of cases were upheld/partly upheld in Q2, a small drop from 44% in Q1.

Service and Care remains the top root cause of complaints for Central Services, as it has been for some time. After the impact of Covid-19 in Q1 and Q2, the root cause profile for Central Services has reverted to a similar pattern seen in recent years.

No cases were solely to do with Covid-19, and only two complaints included elements related to it.

The number of compliments received rose again, following a dip in Q1 due to much of the Registration Service (the main generator of compliments for Central Services) not operating during the first lockdown. This is not back to usual levels of compliments, but this is expected as Registration continue to be limited in the services they can currently provide.

Timeliness

In Q2 19 of 20 complaints were dealt with within timescales (95%)

Root cause

Root cause category	Q3	Q4	Q1	Q2
Service and Care	46%	32%	48%	54%
Communication	35%	24%	13%	20%
Covid-19	0%	35	26%	6%
Environment	0%	21%	0%	6%
Staffing	8%	3%	2%	6%
Disagree with decision/action	4%	15%	7%	3%
Pricing and charges	4%	3%	2%	3%

Learning

Remedies for the last quarter include apologies, explanations, additional support for blue badge and disabled parking bay applications, staff training, liaising with the customer to understand their experience of using an online form to prevent recurrence of problem and amended invoices sent out to replace incorrect ones.

Ombudsman

There were no new Ombudsman investigations or decisions this quarter.

4. Growth - Customer feedback



In Quarter 2 there were a total of 182 complaints received in relation to Business and Environmental Services, an increase of 65 (56%) from the previous quarter. For the same period, the Directorate also received 41 compliments.

97 (53%) of this quarters complaints are recorded against Highway Operations. A number of these complaints were following service dressing works that have been undertaken over the summer months and the fact that lining may not yet have been replaced. The complainant did not believe the surface dressing was required or that the subsequent road closures caused issues for road users around the amendments to local roads to support social distancing for Covid-19.

There were 42 Waste Management complaints this quarter and whilst there is no specific theme there has been an increase in use of the sites during this period as households have been carrying out works to their homes or clearing out rooms and garages.

Covid-19

In this quarter there have been 23 complaints (11%) relating to Covid-19 and 25 queries (18%) Whilst the number of queries has decrease (65%) there has been an increase in the number of complaints (91%)

Of the compliments received this month, six were Covid related.

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

Timeliness

88% of Stage 1 complaints were answered within the set timescale which is an decrease from 91% in Q3. An explanation for this is the additional pressure on resources dealing with Covid-19 issues and requirements. There were no Stage 2 complaints received in this quarter.

Learning

This is still an area that needs to have more work undertaken but unfortunately it has not been possible to engage with the appropriate officers in recent months due to the other roles that they have been required to undertake.

Ombudsman




There were two LGSCO complaint investigation received in this quarter which is an increase. However, these were not investigated.











Appendix

RAG - An indication of the level of performance an indicator is currently achieving in relation to a set target or benchmarking level for that indicator.

“Improvement since last” - Current direction of travel when compared to the last annual or quarterly figures. This is a measure of how the indicator is moving over two periods Annual and Quarterly.


Key





	Direction of Travel is positive compared to the yearend or last quarter figures		Direction of Travel is negative compared to the yearend or last quarter figures
	Performance is static to last year's outturn or last quarter's figures.	n/a	Data either at a yearly or quarterly level not available

Healthy and independent living - Primary indicators							
Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Improvement since last:		
					Quarter	Year	
1. 2A(1) - aged 18-64 admissions to residential and nursing care homes, per 100,000 population (year-end projection)	13.2 Q2 2019/20		Nat: 13.9 YHR: 15.1 (2018/19 full year) 18.0 Q2 2019/20	Ranked amber as the projected year-end figure is below available comparator averages, and shows a significant reduction year on year. 2018/19 NYCC ASCOF outturn = 22.7 See covid-related comment below.			
1.1. 2A(1) - aged 65+ admissions to residential and nursing care homes, per 100,000 population (year-end projection)	432.3 Q2 2020/21		Nat: 580.0 YHR: 644.3 (2018/19 full year) 619.0 Q2 2019/20	Ranked green as the projected year-end figure is well below available comparator averages and shows a significant reduction year on year. Current performance has been impacted significantly by the covid outbreak both in terms of the number of people moving through the care pathway into permanent placements and the availability of homes to admit new residents.			
1.2. Referrals to Adult Social Care (ASC) as % of ASC contacts	21.8% Q2 2020/21		n/a 23.4% Q2 2019/20	Ranked green as current performance shows a small increase between quarters but remains lower than 2019/20 outturn and maintains the significant improvement made against baseline. 2019/20 Outturn = 23.2% 2015/16 baseline = 29.0%			
1.3. % of referrals resulting in no further action (incl: NFA, case closed, no service required, support declined)	n/a Q2 2020/21		n/a	Changes to the assessment pathway as part of the covid response have meant this indicator cannot be reported currently.	n/a	n/a	
1.4. % of assessments resulting in no service provision	n/a Q2 2020/21		n/a	See above	n/a	n/a	
1.5. % of reablement clients not receiving a subsequent package of social care support within 91 days	69.0% Q2 2020/21		n/a 75.8% Q2 2019/20	Ranked red as current performance is well below the 2019/20 level for Q2. 2019/20 Outturn = 82.5% *This measure could not be reported in Q1 as sufficient time has not elapsed for service provision started during the quarter, so there is no direction of travel assessment available between quarters.	*		
1.6. Reablement packages delivered in the period as % of all weekly services delivered in the period	6.6% Q2 2020/21		n/a 8.7% Q2 2019/20	Ranked red as activity remains well below the levels recorded during 2019/20, with only a very small increase (0.1%) between quarters. Reablement is critical element of the authority's "prevent, reduce, delay" agenda and reduced levels of activity over a prolonged period of time may contribute to increased demand for support in the longer term.			

Healthy and independent living - Primary indicators							
Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Improvement since last:		
					Quarter	Year	
1.7. Clients receiving a review/reassessment in the year as a % of all open clients during the year	32.9% Q2 2020/21	R	n/a 8.6% Q1 2019/20	Ranked red as current performance is well below the target trajectory (37.5%) and well below Q2 performance in 2019/20. The main body of the report identifies actions put in place to strengthen the focus on the timely review of cases and to improve performance against this measure.			
1.8. Over 65s with an open weekly social care service as a % of the population aged over-65	3.0% Q2 2020/21	G	n/a 2.9% Q2 2019/20	Ranked green as the current level maintains the reduction against the 2015/16 baseline (3.4%). Performance has consistently been around 3% for the last two years with small changes between quarters.			
1.9. Rate of total DTOC bed days per 100,000 population	10.4 (Feb 2020)	G	6/16 in CIPFA group (Dec 2019 – Feb 2020)	Performance data no longer collected or published.	n/a	n/a	
1.10. % of residential/nursing beds for older people above NYCC rate	55.0% Q2 2020/21	R	n/a 46.2% Q2 2019/20	Ranked red as the rate continues to increase and is higher year on year and between quarters. The main body of the report identifies actions aimed at strengthening local care markets, including a cost of care exercise to underpin the review and revision of NYCC's approved rates for permanent placements			
1.11. Rate of safeguarding concerns per 100,000 population	341.0 Q2 2020/21	G	Nat: 943 (2018/19) 570.0 Q2 2019/20	Ranked green as the new safeguarding processes continue to deliver a 40% reduction in safeguarding concerns when compared against the previous arrangements. Activity levels were very low during Q1 and the first peak of the covid outbreak and have increased during Q2, but remain well below last year's levels. As a cumulative measure the headline figure increases each quarter – Q1 averaged 44 concerns per 100K of population, in Q2 this increased to 69. 2018/19 = 1066.0			
1.12. % of safeguarding enquiries progressing to Informal/formal discussions	21.3% Q2 2020/21	G	Nat: 39% (2018/19)	This measure relates to safeguarding processes introduced from October 2019, which means year on year comparisons are not possible. Ranked green as performance has been very consistent around 20% since the new processes were introduced, and performance remains well below the national comparator average.		n/a	
1.13. % of completed DoLS applications granted	39.9% Q2 2020/21	G	Nat: 54% (2018/19) 53% Q2 2019/20	Ranked green as performance is showing an increased level of applications granted at the end of Q2. Application levels are down 1% year on year and did show an increase between months when the covid restrictions were lifted. Good progress continues to be made in reducing the number of low priority cases, which do not go forward for approval.			
1.14. Smoking prevalence in adults	12.0%	G	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.	n/a		
1.15. Excess weight in adults	62.9% (2018/19)	G	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.	n/a		
1.16. New STI diagnoses (excluding chlamydia aged < 25)	450 per 100,000	G	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.	n/a		
1.17. Cumulative percentage of the eligible population aged 40-74 offered an NHS Health check	93.3%	G	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.	n/a		
1.18. Cumulative percentage of the eligible population aged 40-74 who received an NHS Health check	43.3%	O	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.	n/a		







Healthy and independent living - Primary indicators							
Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Improvement since last:		
					Quarter	Year	
1.19. 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 6 th highest of 16 similar areas. The completion rate is marginally reduced from the previous year, with the long-term trend being broadly unchanged.	n/a	=	
1.20. 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 13 th highest of 16 similar areas. The completion rate is reduced from the previous year, with a static long-term trend.	n/a	=	
1.21. 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 9 th of 16 similar areas, up from 14 th . The completion rate is increased from the previous year.	n/a	=	
1.22. 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 5 th highest in a group of 16 similar areas. There were 9 additional suicides in 2015-17 compared with 2014-16.	n/a	✗	
1.23. 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 4 th 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.	n/a	✔	
1.24. 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 10 th 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.	n/a	✔	
1.25. 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 5 th 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.	n/a	=	
1.26. 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.	n/a	Method change prevents comparison	
1.27. Number of Living Well referrals	Q4 2019/20: 995	 	Q1 2019/20: 881 Q2 2019/20: 716 Q3 2019/20: 1,189 Q4 2019/20: 995 Quarterly target: 725	The number of Living Well referrals is 995, 17% lower than for Q3, reflecting the early period of the coronavirus restrictions. To achieve the 2019/20 total of 2,900 referrals, a target of 725 is needed per quarter. Actual referrals are 3,781 referrals; a 35% increase on previous year. Growth in referrals from health has been maintained (now 40%).	n/a	✔	
1.28. 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 nd 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.	n/a	M: = F: ✔	
1.29. Slope index of inequality in Life Expectancy at birth (male / female)	Male: 6.4 Female: 4.8	1 st (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 st (best) quintile in England. For males, North Yorkshire is joint 4 th among 16 similar areas, and for females, it is 4 th .	n/a	M: ✗ F: ✗	
1.30. 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 th highest among 16 similar areas.	n/a	M: ✔ F: ✔	
1.31. Flu vaccination coverage 65+	73.6%	 	England = 72.6% CIPFA: 71.4% to 76.7%	Benchmarked against goal: <75% ≥75% 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 th among 16 similar areas.	n/a	✔	












Best start to life - Primary indicators table						 Improvement since last:	
Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Quarter	Year	
1.32. 1	Smoking at the time of delivery <u>2018/19</u> 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 th 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.	n/a	=	
1.33.	The percentage of children aged 4 or 5 (reception) who have excess weight <u>2018/19</u> 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 th out of similar areas.	n/a		
1.34.	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.	n/a		
1.35.	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 th highest among 16 similar areas (previously 6 th highest). The rate of admissions is marginally down but remains significantly higher than England.	n/a	=	
1.36.	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 th highest rate among similar areas (previously highest).	n/a		
1.37.	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 th highest among 15 similar areas. Admission rates have been similar for the past 7 years.	n/a	=	
1.38.	First time entrants to the youth justice system aged 10-17 (per 100,000 population) <u>Jan-Dec 18</u> 202 per 100,000		England = 239 per 100,000 CIPFA: 72 to 298 per 100,000	The figure of 202 per 100,000 10-17 population equates to 109 young people. The rate has decreased for the past 3 years and is lower than the regional (245) and national (238) rates.	n/a		
1.39.	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 rd highest among 16 similar areas.	n/a	=	
1.40.	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.	n/a		
1.41.	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.	n/a		
1.42.	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.	n/a		
1.43.	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.	n/a		








Best start to life - Primary indicators table							
Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Improvement since last:		
					Quarter	Year	
1.44.	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		 	
1.45.	The percentage of young people who are not in education, employment or training (NEET) in academic year 12 and year 13	<u>2020/21</u> Q2 127 (1.1%)	National NEET 3.4% (August 2020) Y&H NEET 3.6% (August 2020) National Situation Not Known 7% (August 2020) Y&H Situation Not Known 12.5% (August 2020) NYCC Situation Not Known 5.4% (August 2020) <u>2019/20</u> Q2 69 (0.6%) Q3 85 (0.7%) Q4 123 (1.1%) <u>2020/21</u> Q1 121 (1.1%)	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 and has remained static since the last quarter. The percentage of 16-17 year olds with unknown education, training or employment status has now decreased and is currently below the National and Regional figure of 7% and 12.5% respectively.	=		
1.46.	The number of open early help cases (Prevention)	<u>2020/21</u> Q2 2,164	<u>2019/20</u> Q2 2,298 Q3 2,448 Q4 2,591 <u>2020/21</u> Q1 2,463	The number of ongoing Early Help cases has decreased by 12% (n=299) between Quarter 1 and Quarter 2, from 2,463 to 2,164. The reduction in cases since 23rd March is 19% (2,682 to 2,164).	=	=	
1.47.	The total number of children subject to a child protection plan (rate per 10,000)	<u>2020/21</u> Q2 30.8 (362)	<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) Q4 27.8 (327) Q1 26.8 (315)	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. Prior to the Covid-19 pandemic 2019/20 had been characterised by relative stability in the rate of CPP. Since March 2020 we have seen a reduction in open CPP, linked to lower demand at the front door during lockdown. Following the easing of coronavirus-related restrictions in early July we have seen the number of reports of safeguarding concern increase and this has fed into an increase in the number of open CPP at the end of Q2. A further increase in Q3 cannot be ruled out, although it's important to note that the number of open CPP is not expected to exceed the expected range of 350-450 in the short term.	=	=	












Best start to life - Primary indicators table					Improvement since last:	
Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Improvement since last:	
					Quarter	Year
1.48.	The total number of Children in Need (Number of Children recorded as Child in Need by the service, excluding children in care and those subject to a child protection plan)	<u>2020/21</u> Q2 975	<u>2018/19</u> Q1 1,027 Q2 1,101 Q3 1,207 Q4 1,054 <u>2019/20</u> Q1 1,069 Q2 1,094 Q3 1,118 Q4 1,118 <u>2020/21</u> Q1 960	We continue to see the number of Children in Need around 7%-10% lower than was typical over the previous two years. It is too early to say if this is because families are presenting to services with higher levels of need than was the case pre-pandemic, although this will kept under close review.	=	=
1.49.	The total number of looked after children	<u>2020/21</u> Q2 458	<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 Q4 447 <u>2020/21</u> Q1 457	The number of children in care remained stable this quarter, up by 1 on the position at the end of Q1. At the end of Q2 there were 15 Unaccompanied Asylum Seeker Children (UASC) in the care of the LA. This is identical to the position at the end of the last quarter.	=	⊗

Best start to life - Primary indicators table

Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Improvement since last:	
					Quarter	Year
1.50.	The percentage of referrals to children's social care that are repeat referrals	2020/21 Q2 15.1%	<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% Q4 16.3% Full year 16.3% <u>2020/21</u> Q1 21.2%	Following an increase in the re-referral rate in the first 3 months of 2020/21, Q2 has a 6% reduction. For the year to date the re-referral rate was 17.8% at the end of Q2, slightly above the same period in 2019/20 (16.2%), but much better than the national rate of 22.6%		
1.51.	The percentage of pupils who attend a good or outstanding school	<u>End Sept 2020</u> Primary 80.5% Secondary 77.9%	Primary <u>End Sept 2020</u> Primary 88.2% Secondary Secondary 79.6%	At the end of Q2 the percentage of pupils attending a good or outstanding schools is below national at primary and secondary schools		 
1.52.	The percentage of Education Health and Care Plans (EHCP) issued in 20 weeks	<u>2019/20</u> Q2 86.9% <u>2020/21</u> Q2 10.6%	<u>National</u> 58%	With the introduction of lockdown across the country from 23 rd March, the government introduced an exception to new EHC plans being processed within the typical 20 week statutory period, due to increasing pressures on professionals regarding advice required in the assessment process. This is reflected in a significant drop in the rate of new EHC plans being produced in North Yorkshire during Quarter 2. We expect the percentage of new EHC plans being produced on time to return closer to normal, above national benchmark levels e.g. 86.9% in Q2 2019/20. There has also 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 embedded, this indicator will be monitored for an improvement.		 
1.53.	The number of children receiving SEN support	<u>Jan 2020</u> Primary: 12.43% of school population Secondary: 9.66% of school population <u>Jan 2019</u> Primary: 12.1% of school population Secondary: 8.5% of school population	<u>National</u> Primary 12.8% of school population Secondary 11.1% of school population Jan 2019	The percentage of the school population receiving SEN support continues to increase and the gap to national is reducing in primary schools. A greater		 

Best start to life - Primary indicators table							
Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Improvement since last:		
					Quarter	Year	
1.54.	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.			
1.55.	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.			
1.56.	The percentage of care leavers aged 19, 20 and 21 that are in education, employment or training <u>2020/21</u> Q1 55.5% Q2 57.6%		<u>2018/19</u> Q1 63.9% Q2 66.5% Q3 71.5% Q4 68.3% <u>2019/20</u> Q1 72.0% Q2 71% Q3 66% Q4 63.4%	Performance in Quarter 1 was 57.6%, whilst this remains higher than the latest national figure of 51% it is relatively in line with our stat. neighbour average of 55.4%. This is likely to be a result of the lockdown and the impact that this has had on employment and education.			
1.57.	Rate of children with an Education Health Care Plan as % of school population <u>Jan 2020</u> Primary: 1.62% of school population Secondary: 1.44% of school population <u>Jan 2019</u> Primary: 1.5% of school population Secondary: 1.3% of school population		<u>National</u> Primary 1.8% of school population Secondary 1.8% of school population Jan 2020	The percentage of the school population with an EHC plan continues to increase and the gap to national is reducing.	n/a		
1.58.	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	n/a		
1.59.	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	n/a	 	

Best start to life - Primary indicators table						
Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Improvement since last:	
					Quarter	Year
1.60.	Exclusion rate as % of school population (fixed-term/permanent)	Children Fixed-term excluded at least once: 2019/20 to end Q2 359 pupils excluded for a fixed period 2020/21 to end Q2 203, pupils excluded for a fixed period Permanent Exclusions: 2019/20 to end Q2 3 permanent exclusions 2020/21 to end Q2 1 permanent exclusion	National 2017/18 academic year: Fixed-term child: 2.33% Permanent: 0.1% <u>2018/19</u> Fixed-term child: 2.44% Permanent: 0.1% North Yorkshire 2017/18 academic year: Fixed-term child: 2.48% Permanent: 0.12% <u>2018/19</u> Fixed-term child: 2.03% Permanent: 0.077%	There have been fewer permanent exclusions and fewer children fixed-period excluded from North Yorkshire schools in the 2020/21 academic year to the end of September (Q2), when compared to the same period in 2021/22. Looking at the 2018/19 academic year North Yorkshire compares favourably to the National benchmark, with the rate of children permanently and fixed-period excluded being lower than the National rate and lower than the previous year's rate.	n/a	
1.61.	Adult Learning - 19+ Adult Skills funded learners - Overall Achievement Rates	<u>2019/20</u> Q2 (end of academic year 310720) 1920 83.0%	<u>2018/19</u> End of Academic Year 84.5%	2019/20 end of academic year performance a slight decline, by 1.5%, which will reflect the impact of the pandemic this year.	n/a	
1.62.	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 Q4</u> 4.4% (144 of 3246 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 Out of Authority independent or non-maintained special school, increasing by 79% between 2016/17 and 2018/19.	n/a	
1.63.	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.	n/a	
1.64.	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 4 th highest among 15 similar areas.	Face-to-face new birth visits undertaken within 14 days by a health visitor (%)	
1.65.	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.	n/a	

Best start to life - Primary indicators table						 Improvement since last:	
Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Quarter	Year	
1.66. 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.	n/a		
1.67. Reception aged children completing a check (%)	<u>2018/19</u> Q4 57.3% <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.	n/a		
1.68. Year 6 children completing a check (%)	<u>2018/19</u> Q4 30.5% <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.	n/a		
1.69. 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.	n/a		
1.70. % of Care Leavers (aged 19, 20 or 21) that the local authority is 'in-touch' with	<u>2020/21</u> Q1 98.1% Q2 98.3%		<u>2018/19</u> Q1 98.7% Q2 98.7% Q3 98.8% Q4 98.8% <u>2019/20</u> Q1 98.2% Q2 97% Q3 97% Q4 97.5%	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).			
1.71. % of Care Leavers (aged 19, 20 or 21) in suitable accommodation	<u>2020/21</u> Q1 94.2% Q2 95.8%		<u>2018/19</u> Q1 93.7% Q2 92.4% Q3 93.9% Q4 95.7% <u>2018/19</u> Q1 92.7% Q2 91.7% Q3 91.4% Q4 91.5%	We continue to perform strongly compared to the latest national average (84%) and the latest statistical neighbour average (83.5%). Quarter 2's figure of 95.8% is higher than any quarter last year.			
1.72. 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 Q2 2020/21</u> 83.8%		<u>End Q1 2020/21</u> 84.1% <u>End Q4 2019/20</u> 85.4%	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.			

Best start to life - Primary indicators table					Improvement since last:	
Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Quarter	Year
					1.73.	The percentage of parents/carers who strongly agree/agree that the Education, Health & Care Plan identifies the right support to achieve the outcomes.
1.74.	% of respondents who we either satisfied or very satisfied with the involvement from the Children & Families Service	End Q1 2019/20 96.9% Q2: 96%	2018/19 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.	=	=

Innovative and Forward Thinking Council - Primary indicators table					Improvement since last:	
Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Quarter	Year
					1.75.	Percentage of customer service requests received online
1.76.	Staff absence (sickness) rate	Q2 1.54 days lost per FTE (NYCC only – excluding schools). Q2 1.12 days lost per FTE (full workforce)	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 Q2 figure is up slightly on Q1 (1.42), but down from Q2 19/20 (2.02). The Q2 full workforce figure is down again on last quarter (1.13) and down from Q2 19/20 (1.69). The sickness absence figures for the year are down on last year with a predicted annual outturn of 6-7 days per FTE. However, absence related to Covid is not included in these figures as it is reported separately as self-isolation rather than sickness.		
1.77.	Staff turnover rates	Q2 Leavers – NYCC staff only (excluding schools) 263 (3.68%).	13% annually all English authorities LGA workforce survey 2018/19	This figure has increased on Q1 (135, 1.88%) but decreased on Q2 19/20 (334, 4.6%). Involuntary leavers are up slightly at 25. The projected full year turnover is down to 11%, which remains within a healthy range.		
1.78.	Spend on agency staff	Q2 - £84,069 (full workforce) Q2 - (excluding IR35) £0	Average annual spend pre-IR35 across comparable authorities was £3m (2016/17).	Total spend was substantially down on both Q1 19/20 (£46,595) and Q2 19/20 (£201,708). Spend excluding IR35 has been zero in both Q1 and Q2 this year. This will change in Q3 as there are Occupational Therapy and Public Health agency workers being whilst completing permanent recruitment. The vast majority of agency spend continues to be on Mental Health and Best Interest Assessors.		

Innovative and Forward Thinking Council - Primary indicators table							
Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Improvement since last:		
					Quarter	Year	
1.79. Spend against apprenticeship levy	<p>Q2 2020/21 Levy Deduction Core council – £188,921 Community & VC Schools – £185,108 Total - £374,029</p> <p>Levy Deduction April 17-Sept 20 Core Council – £2,410,541 Community & VC Schools - £2,878,358 Total - £5,274,129</p>				=		
1.80. Spend against apprenticeship levy	<p>Q2 2020/21 Levy Spend Core Council – £127,043 Community & VC Schools - £20,762 Total - £147,805</p> <p>Levy Spend April 17 – Jun 20 Core Council – £1,216,569 Community & VC Schools - £172,373 Total - £1,388,942</p>				=		
1.81. Spend against apprenticeship levy	<p>Q2 2020/21 Transferred Levy Funds Total - £26,339</p> <p>Transferred Levy Funds Dec 19 – Sept 20 Total - £76,659</p>				=		

Appendix - Growth - Primary indicators table																						
Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Improvement since last:																	
					Quarter	Year																
1.82. Total employee jobs in North Yorkshire	<p>265,000 (*15) 270,000 (*16) 270,000 (*17) 265,000 (*18)</p> <p>Source: NOMIS Area Profile: total jobs – FT+PT. (Excludes self-employed and farm based agriculture.)</p> <p>(revised by NOMIS this quarter, was previously 280,000)</p>	County wide economic indicators	<p>Using job density (all jobs per resident aged 16-64) as a comparator.</p> <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&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.	n/a	=
	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																			

Appendix - Growth - Primary indicators table



Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Improvement since last:																																																																																	
					Quarter	Year																																																																																
1.83. Gross Value Added per head of population. GVA (Income) made up of compensation of employees, gross operating surplus, mixed income, taxes on production, less subsidies on production. Source: ONS Regional GVA dataset (tables 2,3)	£20,354 (2014) £20,919 (2015) £21,761 (2016) £23,315 (2017) £23,374 (2018 provisional)	County wide economic indicators	NY in top quartile for Y&H unitary councils and counties Y&H £22,559 in 2018 (provisional) England £29,356 in 2018 (provisional) UK £28,729 in 2018 (provisional)	GVA per head has been slowly declining compared to the UK and English averages over last 18 years. <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&H</td> <td>83.4</td> <td>83.1</td> <td>79.2</td> </tr> <tr> <td>NYCC</td> <td>83.2</td> <td>83.3</td> <td>82.1</td> </tr> </tbody> </table> NY falling behind England and UK figures over the long term.		1999	2008	2018 (provisional)	UK	100	100	100	England	103.3	102.9	103.0	Y&H	83.4	83.1	79.2	NYCC	83.2	83.3	82.1	n/a																																																													
	1999	2008	2018 (provisional)																																																																																			
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1.84. Housing affordability: Ratio of median house price to median gross annual (where available) residence-based earnings. Source: ONS ratio of median house price median gross residents-based earnings. Table 1c, 3c, 5c	7.34 (2014) 7.78 (2015) 7.91 (2016) 8.21 (2017) 8.13 (2018) 7.66 (2019) (All figures revised this quarter)	County wide economic indicators	NY 2% more affordable than England, but 23% less affordable than Y&H. 3 Districts less affordable than England average.	<table border="1"> <thead> <tr> <th rowspan="2"></th> <th colspan="5">Resident in area</th> </tr> <tr> <th>2002</th> <th>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 & 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> 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'		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	n/a										
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1.85. Number of housing completions. Source: DCLG Table 253, ONS Table 406	910 (13/14) 1,330 (14/15) 1,530 (15/16) 1,830 (16/17) 2,080 (17/18) 2,020 (18/19)	County wide economic indicators	Completions per 1000 households. <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>2018/19</td> <td>9.54</td> <td>6.97</td> </tr> </tbody> </table> NY rate risen by 22% in last year, compared with 2% rise for England. While the countywide rate is up it has dropped dramatically in Richmondshire, and less so in Scarborough and Selby		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	2018/19	9.54	6.97	<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	n/a	
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1.86. The number of North Yorkshire Lower Super Output Areas (LSOAs) that are within the 20% most deprived nationally.	2010 - 18 LSOAs 2015 - 23 LSOAs 2019 - 24 LSOAs	County wide economic indicators	NY ranked 127th least deprived out of 151 upper tier LAs. Ranked 125th least deprived in 2015. 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. 153 out of 373 NY LSOAs in worst 20% in England for the 'Geographical Barriers to Services': road distance to shops, GPs, etc.	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. 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. The number in the second most deprived quintile (worst 20% - 40%) has remained stable at 34 in both 2015 and 2019. 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. Changes in rank indicate changes in deprivation relative to other parts of England but not necessarily absolute changes in deprivation.	n/a																																																																																	

Appendix - Growth - Primary indicators table



Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Improvement since last:	
					Quarter	Year
1.87. 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.	n/a	
1.88. 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.	n/a	
1.89. Road condition: % principle A roads where maintenance should be considered.	2% (2016 survey) 3% (2017 survey) 3% (2018 survey) 4% (2019 survey)		Single list indicator. Average for English LAs was 3% (2018/19) (RDC0120)	<p style="text-align: center;">Carriageway condition - percentage of roads where maintenance should be considered</p>	n/a	
1.90. 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%.		n/a	
1.91. 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%.		n/a	
1.92. 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)		Data from Public Health England for KSI during the period 2016-2018 places NY at 65.9 KSI per 100,000 population, against a Y&H figure of 49.1, and an England figure of 42.6.	Nationally there are no targets for Road Safety; therefore the 95 Alive partnerships monitors against a 5 year baseline average.	n/a	
1.93. Trading Standards: % of high risk inspections undertaken	9% (20/21 Q2) 78% (19/20) 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 Q1 outturn is 0%. The low return rate is a consequence of the Covid19 outbreak and in line with government guidance issued by the Food Standards Agency which called for the majority of inspections to be deferred until they were safe to be undertaken. There is a local plan in place to re-introduce inspections throughout the remainder of 2020/21.		

Appendix - Growth - Primary indicators table



Primary Indicators:	Latest data / figure	RAG status	Benchmarking data	Comments	Improvement since last:																	
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1.94. County matter' planning applications determined within 13/16 week timescales or within agreed extension of time (EoT). 2-year rolling measure	93% As of 09/20 89.7% (up to 06/20)		England average figure for the 2 year rolling measure up to 06/20* is 91.6% (Source: Ministry of Housing, Communities and Local Government, 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.																		
1.95. PRoW Network condition: % of network passable	89.93% (19/20Q4) 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). <p style="text-align: center;">% of network usable</p> <table border="1" style="display: none;"> <caption>% of network usable</caption> <thead> <tr> <th>Period</th> <th>% of network usable</th> </tr> </thead> <tbody> <tr> <td>18/19 Q4</td> <td>89.3%</td> </tr> <tr> <td>19/20 Q1</td> <td>89.4%</td> </tr> <tr> <td>19/20 Q2</td> <td>89.2%</td> </tr> <tr> <td>19/20 Q3</td> <td>89.6%</td> </tr> <tr> <td>19/20 Q4</td> <td>89.9%</td> </tr> <tr> <td>20/21 Q1</td> <td>89.8%</td> </tr> <tr> <td>20/21 Q2</td> <td>90.0%</td> </tr> </tbody> </table>	Period	% of network usable	18/19 Q4	89.3%	19/20 Q1	89.4%	19/20 Q2	89.2%	19/20 Q3	89.6%	19/20 Q4	89.9%	20/21 Q1	89.8%	20/21 Q2	90.0%		
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1.96. The percentage of young people who are not in education, employment or training (NEET) in academic year 12 and year 13	2019/20 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) 2018/19 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%.																		
1.97. 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																		
1.98. % waste arising to landfill (former NI193)	9.4% (Q1 20/21) 8.7% (19/20) 8.8% (18/19) 24.0% (17/18) 39.7% (16/17) 40.0% (15/16)		Internal dataset, no comparators available.	From Q1 to Q3 for 19/20 the % of waste arising to landfill was 10.6%. During Q3 AWRP was closed for its annual maintenance, which identified some additional repairs, so some waste was sent to contingency, which was landfill. In Q4, we have not had any contingency requirements, so all waste has been delivered to Allerton Park. Quarter 1 20/21 – In May there was a planned shutdown for annual maintenance and in June the site was in contingency due to issues onsite. Some of the destinations used in both these occurrences was landfill.																		

2.0 REVENUE BUDGET 2020/21

2.1 BACKGROUND AND SUMMARY

2.1.1 This section of the report presents details of the projected revenue outturn for the 2020/21 financial year. The latest in-year 2020/21 budget is £393,410k with the net movement since the budget approved by Executive and County Council in February 2020 shown in **Appendix A**.

2.1.2 At the end of Q2, there is a projected net overspend of £1,425k (0.36%) against operational budgets. This projection is based on the best estimates of operational and finance staff at the time the report was prepared but clearly in the current situation there remains a significant level of uncertainty about future levels of costs and demand. Further detail on the directorate budgets and forecasts is provided in **section 2.2**.

2.2 OPERATIONAL BUDGETS

2.2.1 The table below identifies the operational budgets for each of the Directorates in 2020/21. The projected revenue outturn indicates a number of variances, which together produce a net projected overspend of £1,425k. Issues of note include:

- The direct impact of COVID-19 leading to 'headline' overspends in all directorates.
- An improvement in the underlying budget position of CYPS and HAS mainly reflecting the additional funding provided as part of the 2020/21 approved budget.
- Significant one off costs in Corporate Miscellaneous, most notably the creation of a reserve to offset the potential loss of local taxation income, which will impact in financial year 2021/22.
- The above issues are significantly offset by the receipt of government funding for additional COVID-19 costs.

Directorate	Budget (£k)	Projected Outturn (£k)	Variance (£k)	Q1 Projected Outturn Variance (£k)
HAS	164,064	178,868	14,804	15,709
Winter Pressures Grant/Budget growth	4,000	0	(4,000)	(4,000)
iBCF Grant	0	(550)	(550)	(550)
HAS Net	168,064	178,318	10,254	11,159
BES	73,188	73,134	(54)	1,366
CYPS	79,007	81,127	2,119	1,720
LA Provision for High Needs	4,211	4,211	-	-
CYPS Net	83,218	85,338	2,119	1,720
Central Services	66,348	73,251	6,903	7,876
Corporate Misc.	2,592	18,994	16,402	11,277
Directorate Totals	393,410	429,035	35,625	33,398
COVID-19 Grant Funding	-	(34,200)	(34,200)	(29,523)
TOTAL	393,410	394,835	1,425	3,875

It is also worth noting that a £3.9m transfer from reserves already supports this budget figure.

Health and Adult Services

2.2.2 A summary of the overall Health and Adult Services (HAS) position across public health and adult social care (ASC) is outlined in **Appendix B**. This shows that the Directorate has utilised the £2.4m of Winter Pressures funding allocated by central government and £0.6m of iBCF (improved Better Care Fund) to meet Adult Social Care Pressures. A further £1.6m of growth allocated by the County Council has also been used.

2.2.3 It should be noted that the winter pressures funding and iBCF is only *guaranteed* to continue for the current financial year (2020/21) and, whilst there is expectation of similar funding continuing to offset budget pressures in the future, this is not guaranteed.

2.2.4 Overall, adult social care is forecasting a net overspend of £10.3m (net of projected £23.5m covid-linked CCG funding). This reflects COVID-19 related budget pressures of £13.9m and other net underspends of £3.6m. Although this latter amount is related to “business as usual activity,” COVID is also having an impact on this, and it is increasingly difficult to predict what would have been normal business activity levels, had the pandemic not happened.

COVID-19

2.2.5 It is difficult to quantify the impact of COVID-19 at this stage with any certainty, but the financial pressure on HAS will be substantial. Due to the intricacies of COVID-19 the forecast financial position will be subject to fluctuations and will continue to be reviewed throughout the year.

There is a £9.6m overspend forecast in relation to supporting the adult social care market and additional demand as a consequence of COVID:

On the 21st August the Government released new guidance on the hospital discharge service and associated funding. During the emergency period, care packages for people discharged from hospital or to avoid hospital admissions up to 31st August have been fully funded by the Government, via the CCGs, with the expectation that assessments should be completed as soon as is practical to ensure transition to normal funding arrangements. From the 1st September the Government will fund up to six weeks of costs. Our updated forecasts take this into account.

A further £6.3m relates to compensatory and hardship payments to care providers. This is an increase in forecast spend of £2.1m since quarter 1. Ensuring care market resilience is a key part of recovery operations and we are now forecasting to continue this support for an additional six months.

In addition, we are forecasting an increase (£0.5m) in Mental Health care packages, placements and increases in the workforce with the additional use of agency staff as a direct consequence of the pandemic. This is a decrease in forecast expenditure of £0.4m since quarter one in the current year. However, it is now anticipated that the expenditure will move into 2021/22.

2.2.6 Other COVID-19 related budget pressures totalling £4.3m include workforce pressures, additional materials and direct payments to clients and the loss of income:

	£m
Increased staffing costs	2.4
Direct payments and additional materials	0.4
Loss of client income	0.4
Loss of CHC income	0.7
Delayed Savings	1.3
Infection Control Grant	-0.9
Other COVID related budget pressures	4.3

Non-Covid 19

- 2.2.7 Although there continue to be significant pressures on the Care and Support budgets the additional funding provided as part of the approved 2020/21 budget, together with supplementary funding from the iBCF, currently more than offset these pressures (-£2.5m). However, as noted, not all elements of this funding are guaranteed into future years. This is an increase in underspend of £0.7m since quarter 2. At this point in the financial year we have limited activity to forecast from, however business as usual demand on adult social care is lower than previous financial years due to a number of factors resulting from COVID. Longer term, we do not expect these factors to drive permanent reductions and expect a drift back up in demand as a new normal settles post COVID-19.
- 2.2.8 Market pressures, particularly in Harrogate, continue to be a major issue and this is exacerbated as people use up their own funds, with the Council then picking up any further costs. Remedial action as identified in previous reports is underway to reduce this pressure, however this has been delayed due to our responsibilities in response to the coronavirus pandemic.

Public Health

- 2.2.9 Public Health is forecasting an underspend of £1.0m on initial plans, which is matched by a reduced reserve draw down requirement. This underspend has increased from the Q1 figure of £0.6m. The reduced reserve drawdown reflects the net impact of both the delays to savings and the lower activity on Public Health contracts due to COVID. Although earmarked reserves, built up from underspends in previous years, are currently used to support the budget there is a planned programme of savings over the medium term that is necessary to ultimately bring annual expenditure in line with government funding levels.

Business and Environmental Services

- 2.2.10 **Appendix C** includes details of the projected variance within Business and Environmental Services (BES). Factors, which are currently affecting the service and could serve to impact the service further throughout the year, are;
- COVID-19
- 2.2.11 Concessionary Fares – as expected COVID-19 has had a significant impact on public transport to date. Whilst NYCC continues to financially support bus

operators in North Yorkshire, support is also available to them from the Department for Transport and therefore, there is a residual saving from reduced fare payments of £890k.

2.2.12 Permits on the road network – £145k Impact of COVID-19 has reduced the charges throughout the highways network budget where volume for works to be carried out by utility companies has reduced, and causes pressure where teams are funded by the fees charged. This has improved from the expected forecast at Q1 by £260k, whereby the impact of COVID-19 has been less than expected.

2.2.13 Traffic Management - Costs for traffic management on the highways to maintain social distancing measures in areas, which experience high volumes of tourism have cost £475k.

2.2.14 Civil Parking Enforcement – Whilst the charges received are re-invested into the highways network and therefore do not affect the outturn position, the impact of COVID-19 has reduced the expected level of charges collected by £1.3m in the first half of the year, this will in turn determine the prioritisation of future projects due to reduced investment from this source.

2.2.15 Waste Management – COVID-19 impact was greatest whilst HWRCs were closed and through the process of re-opening them. Traffic management costs to support safety on site were £285k. Loss of waste fees and payments to districts for increased recycling and green waste tonnages throughout COVID-19 lockdown periods is £665k.

Non-COVID-19

2.2.16 Concessionary fares – Over the last few years, concessionary travel numbers have been declining resulting in in-year underspends due to decreased payments to operators and reduced levels of printing. The current forecast is based on 2019/20 demand levels outside of COVID-19 lockdown periods.

2.2.17 Street lighting – The LED replacement scheme continues to deliver savings in line with expectations, however, rate of installation could further affect energy and maintenance costs, this is currently expected to deliver in year savings of £250k.

2.2.18 Street works Team – Penalties are expected to generate an additional £650k income above budget.

2.2.19 Waste Management – Recyclate processing continues to increase in cost and the decreasing market prices reduce the income received to offset the costs, causing pressures of £595k. Interest costs are now being charged as per the contract but this is being funded corporately this financial year and is reflected in the forecast outturn for Corporate Miscellaneous.

Children and Young Peoples Services

2.2.20 A summary of the projected revenue outturn for Children and Young Peoples Services (CYPS) is shown at **Appendix D** and forecasts a net overspend position of £2.1m by the end of the 2020/21 financial year.

COVID-19

2.2.21 COVID-19 has affected a number of services, which do not normally impact on the Local Authority's bottom line, including:

- Outdoor Learning Service, where there has been a significant drop in traded income from schools (net c.£1.0m)
- Adult Learning & Skills Service, where provision for £0.4m has been made to recognise the one-off nature of the in-year deficit position.
- Additional costs (£0.5m) associated with Home to School Transport arising from additional transport required to respond to COVID-19, loss of income due to Public Services Vehicle Accessibility Regulation requirements and the impact of the new network from September 2020.
- Financial pressure has also continued in the cost of looking after children totalling c. £1.0m (including the cost of provision of North Yorkshire children and young people who attend a residential out of authority education/care provider).
- Provision (£0.2m) for the cost of delays in conversion for schools sponsored to become academies where the LA is expected to pick up any deficit balances.

Non-COVID 19

2.2.22 Previous reports to the Executive have highlighted a number of budget pressures, which were recognised in part in setting the approved budget in February 2020. Based on the information available as at the end of September 2020, the key areas include:

- Significant financial pressure in High Needs – a more than 70% rise in Education, Health and Care Plans (EHCPs) since 2015 has not been met by a matching increase in High Needs Block funding in the Dedicated Schools Grant (DSG), which has led to a projected £3.0m in-year underlying overspend. This is an improvement compared with Q1 but there remains a risk of the financial impact of a backlog in SEND assessments. The High Needs budget allocates funding for mainstream and special schools to support children and young people with special educational needs. Note that this overspend does not form part of the Council's net revenue outturn position as changes in government regulations since January 2020 now prohibit the local authority from using its general resources to fund shortfalls in the DSG. Management action to address the financial pressure has been ongoing since 2019 as part of the implementation of the NYCC Strategic Plan for SEND 0-25.

- Pressure within occupational therapy and Direct Payment Support costs have continued within Disabled Children's Services, amounting to £0.4m of projected overspend.
- There are also a number of in-year savings that offset other financial pressures. These include in-year savings within Children and Families (£0.8m), Inclusion Services (£0.2m) and School Improvement (£0.2m) linked to vacancies and the delayed financial impact of the implementation of local service strategies, and increase in funding allocation for extended rights to free travel grant (£0.2m).

Central Services

2.2.23 Central Services variance details are included within **Appendix E**. Factors which are currently impacting the service and could serve to impact the service further throughout the year, are;

COVID-19

2.2.24 To help support the Council's management of COVID-19, services across the Directorate have needed to increase staffing levels with an associated cost of £550k. The forecast is based on the current levels of additional support continuing until March 2021.

2.2.25 PPE – The forecast expects an annual spend of £5.8m and assumes further requirements for PPE will be met by national government supplies, however, if current infection levels continue to rise and recent lockdown measures remain, demand could require an additional spend of up to £1m, however this is currently not in the forecast.

2.2.26 Registrars Service – Whilst restrictions on wedding ceremonies remain in place, ceremony bookings are being cancelled or re-booked for dates in the future. The forecast reflects the current bookings and the impact of this is £1.1m, a loss of income £400k higher than expected at Q1. Ceremony fees are therefore, not currently expected to cover the cost of the registrar's team. If tightened restrictions remain in place, a further decline in bookings could result in further loss of charges of up to £100k per month. The impact of this is offset by additional demand above budget for registration certificates and licensing fees (£200k).

2.2.27 Policy & Partnerships – Community Support payments, small grants and food voucher scheme are administered from this budget. These are expected to cost £1.2m based on current known commitments until March 2021. This has increased by £400k from Q1 due to the tightening restrictions.

2.2.28 Areas which serve to reduce the impact are in year restrictions in spend on admin supplies and services (£290k), venue hire (£475k) & public transport (£400k). The expected saving in these areas is £500k greater than forecast at Q1 based on continuing tight restrictions.

2.2.29 Changes in focus and prioritisation of COVID-19 affected areas have resulted in delays in project implementation in Technology and Change resulting in an

expected in-year underspend of £430k.

Non-COVID-19

2.2.30 The Coroners Service is forecast to spend in line with 2019/20, however salary increases set by the chief coroner are not covered by current budget and increased NHS cost pressures for use of mortuaries result in an expected overspend position of £200k.

Corporate Miscellaneous

2.2.31 Corporate Miscellaneous is shown at **Appendix F**. As with the other service areas, COVID is impacting heavily – forecast variances include:

- £14.1m overspend on general provisions. This reflects, in particular, an increased provision of £20.5m for anticipated future Council Tax and Business rates losses linked to COVID-19. This is offset by savings on budgets for inflation, PSVAR funding for school transport and lower than anticipated support to the waste function.
- Investment and commercial income shortfalls of £3.3m reflecting the wider economic downturn. This is made up of reduced interest earnings (£1.4m) and a specific one-off provision of £1.7m to cover the estimated capital loss on investment.
- Government COVID emergency funding income of £34.2m is also being held corporately and shown in Appendix F. This now reflects the fourth tranche of general covid support and the initial funding to partially compensate for the loss of fees and charges income.

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

2.3 BUDGET/ MTFS SAVINGS TARGETS

2.3.1 The 2020/21 revenue budget reflects previously agreed and updated 2020 North Yorkshire savings targets and these are incorporated into Directorate 2020/21 budget control totals shown in the table in **paragraph 2.2.1**. These challenging 2020/21 savings targets (which are in addition to savings targets reflected in previous year's budgets) total £8,900k, and consist of:

Item	£m
Budget Savings in 2020/21 agreed in the February 2020 budget and earlier years MTFS savings targets:	
BES	1.0
CYPS	1.2
HAS	1.9
CS	0.9
Shortfall	3.9
Total savings reflected in 2020/21 budget	8.9

2.3.2 Assessment of progress against the targets indicates that there are some areas of the programme where savings are unlikely to be achieved within expected timescales for 2020/21; these delays are almost entirely driven by the COVID-19 situation. These are outlined in the table below but it should be noted that the impact of these delays are already incorporated into the projected outturn position in **paragraph 2.2.1**

At Risk/ Cash-funding of Projects in 2020/21	£000's
BES – Winter Salt Heaps & Bins	75
BES – Licensing Enforcement	50
BES – Joint Waste Service	30
CYPS – Safeguarding Unit Review	60
CS – Strategic Support (both elements)	50
Corp – Treasury Management	618
Corp – Commercial Investments	100
HAS – Working Practices	100
HAS – Reablement19	250
HAS – Extra Care Housing & SPHs	497
HAS – Brokerage	50
TOTAL	1,880

2.3.3 In addition, part of the savings from schemes in earlier years totalling £517k: Strength-based Assessments (£400k), Disabled Children's Services (£67k) and Developer's One Stop Shop (£50k) will remain unrealised in 2020-21. Again, it should be noted that these are already incorporated into the forecast outturn position in **paragraph 2.2.1**

2.3.4 Variances from the 2020/21 Budget are being tracked as part of the governance of the 2020 North Yorkshire savings programme. The net position

is always reported within the quarterly Revenue Budget monitoring report and details of the variances are included in **Appendices B to F**.

- 2.3.5 As further savings are required, the schemes to achieve these will become more challenging and inevitably contain a higher level of uncertainty and risk. Therefore, it is imperative that delivery of each saving is closely monitored. Due to the long-term risk to delivery of some of the savings, a Corporate Savings Contingency for non-delivery of savings continues to be included in the 2020/21 Budget. This will be able to be released if savings are ultimately delivered on target and could potentially contribute to the overall MTFS shortfall identified as £19m in February 2020.

2.4 GENERAL WORKING BALANCE

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

- 2.4.2 For 2020/21, 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 2020/21 Budget report and in particular;
- (ii) Savings targets not being delivered on time;

- 2.4.3 Taking into account the GWB policy on minimum balances – 2% of the net revenue budget plus £20m – GWB at year-end amounts to £28m. This is held at “policy” level and any unallocated balance in excess of this level is transferred to ‘Strategic Capacity – Unallocated’. The projected overspend against operational budgets in 2020/21 of £1,425k, as outlined in **paragraphs 2.2.1 to 2.2.32** will, if confirmed and approved, be transferred to the Strategic Capacity – Unallocated Reserve.

- 2.4.4 The anticipated movement in the balance of the Strategic Capacity – Unallocated reserve over 2020/21 is as follows:

Strategic Capacity – Unallocated	
Actual Balance as at 31.03.20	£47,557k
Planned MTFS contribution from reserve	(£3,921k)
Release of reserves following review	-
New 2020 Savings Projects	-
Net projected overspend	(£1,425k)
Forecast Balance as at 31.03.21	£42,211k

2.4.5 The balance of the Strategic Capacity – Unallocated Reserve as at 31 March 2020 was £47,557k. The following table provides an initial longer-term forecast for this reserve.

Year End	Start Year	Latest Forecast			End-Year
		MTFS	Other base budget contributions	Other use of reserve	
	£000	£000	£000	£000	£000
31 March 2021	47,557	(3,921)	-	(1,425)	42,211
31 March 2022	42,211	(13,387)	-	-	28,824
31 March 2023	28,824	(15,957)	-	-	12,867
31 March 2024	12,867	(19,002)	-	-	(6,135)

2.4.6 The figures in the table above are based purely on the cumulative shortfalls identified in the current MTFS and show that the strategic capacity reserve would be insufficient to fund the shortfalls over the existing MTFS period unless there are further savings and/or other funding identified.

2.4.7 In addition, the longer-term impact of the COVID-19 crisis remains a critical issue. The potential long-term impacts on levels of local tax funding, the wider economy and local markets represent very significant areas of uncertainty with potential major repercussions for the county council's budget and cash flow. In partial recognition of this the figures in the table at 2.2.1 include the creation of a provision (£20.5m) to meet potential shortfalls in local taxation receipts which will impact in 2021-22. This figure has increased since Q1 by £8.6m based on national evidence of percentage reductions in receipts and some early indications based on more localised data.

2.5 Recommendation

That the Executive

- (i) Notes the latest position for the County Council's 2020/21 Revenue Budget, as summarised in **paragraph 2.1.2.**
- (ii) notes the position on the GWB (**paragraphs 2.4.1 to 2.4.3**)
- (iii) notes the position on the 'Strategic Capacity – Unallocated' reserve (**paragraphs 2.4.4 to 2.4.6**)

REVENUE BUDGET APPENDICES

- A 2020/21 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

2020-21 REVISED ESTIMATE REVENUE BUDGETS AT 30/09/2020

	Original Budgets agreed by Cty Cncl on 19/02/2020 £000s	Other agreed transfers and adjustments £000s	Latest Revised Budgets £000s
Children & Young Peoples' Service	84,601	(1,383)	83,218
Business & Environmental Services	73,051	137	73,188
Health & Adult Services	167,789	275	168,064
Central Services Directorate	66,265	83	66,348
Corporate Miscellaneous	1,703	889	2,592
NYES	-	-	-
Total Directorate Spending	393,410	-	393,410
Contribution From (-) General Working Balances	(3,921)	-	(3,921)
Net Revenue Budget	389,489	-	389,489
Business Rates DCLG Top Up	(48,441)		(48,441)
Business Rates from District Councils	(19,323)		(19,323)
Precept on District Councils - Current Year	(321,725)		(321,725)
=Net Budget Requirement	(389,489)	-	(389,489)

HEALTH AND ADULT SERVICES				
Appendix B				
2020-21 REVENUE BUDGET OUTTURN REPORT				
BUDGET HEAD	REVISED BUDGET 2020-21 £000	FORECAST OUTTURN 2020-21 £000	VARIANCE (-) = saving £000	COMMENTS
Care & Support - Area Budgets				
Care & Support - Hambleton & Richmond	27,669	27,778	109	The outturn shows that Care and Support continues to be impacted by wider demographic pressures, particular in the Harrogate area, including increases in average costs, Continuing Health Care (CHC) funding and young people transitioning into Care and Support with high costs. There are additional cost pressures attributable to the COVID-19 crisis including increased staffing costs to meet our revised operating model and delays in the delivery of savings. The overspend will be financed by supplementary Adult Social Care Funding (see below).
Care & Support - Selby	14,373	14,572	199	
Care & Support - Scarborough, Whitby & Ryedale	44,886	45,242	357	
Care & Support - Harrogate	39,453	42,495	3,042	
Care & Support - Craven	13,162	13,976	815	
CHC Income and Other Budgets	-	(972)	(972)	
Area Budgets	139,542	143,092	3,550	
Provider Services & EC/PCAH	15,096	16,578	1,482	Overspend due to COVID-19 pressures including requirement for additional staffing and materials, loss of income due to the closure of day care services and respite care and delays in the Extra Care Housing programme delivery. Excluding COVID-19 related costs and income reductions there would be a small underspend (-£68k) mainly relating to increases in income from client contributions and CHC.
Targeted Prevention	1,510	1,440	(70)	Underspend due mainly to staffing vacancies.
Mental Health Services	9,186	9,692	506	Overspend due to the expectation of increased care packages, placements, increases in the workforce and in the use of agency staff within the Mental Capacity Act Deprivation of Liberty Safeguards due to COVID-19.
Assistant Director/Cross-area budgets	(10,778)	(10,940)	(162)	Underspend primarily linked to staffing.
COVID-19 Costs	-	10,152	10,152	Overspend directly attributable to the COVID-19 pandemic including the 2.5% (previously 5%) compensatory payment to support providers, costs of care packages made by the CCG for clients discharged from/or to avoid admission to hospital which are likely to need to be funded by the Council after the emergency period, additional staffing and hardship payments.
Area Budgets Total	154,555	170,013	15,458	
Public Health				
- Spend	26,333	25,355	(978)	Reduced spend resulting from lower activity due to the service model for smoking cessation and reduced take up of demand-led schemes against original targets. This is matched by a reduced reserve draw down requirement.
- Income	(26,333)	(25,355)	978	
Commissioning & Quality	7,857	7,311	(546)	Some one-off savings due to contract negotiations and underspends due to contract efficiencies offset by additional COVID-19 costs such as increased staffing costs to support the new operating model and due to delays in delivery of savings.
Integration & Engagement	895	796	(99)	Underspend primarily due to staffing vacancies.
Resources Unit	561	544	(16)	
Director & Cross-Directorate	197	204	7	
TOTAL	164,064	178,868	14,804	
Supplementary Adult Social Care Grant Funding & Growth	4,000	-	(4,000)	
Supplementary Adult Social Care Grant Funding (IBCF)	-	(550)	(550)	
REVISED TOTAL	168,064	178,318	10,254	

BUSINESS & ENVIRONMENTAL SERVICES				
Appendix C				
2020-21 REVENUE BUDGET OUTTURN REPORT				
BUDGET HEAD	REVISED BUDGET 2020-21 £000	FORECAST OUTTURN 2020-21 £000	VARIANCE (-) = saving £000	COMMENTS
Highways & Transportation	23,725	23,569	(156)	Underspend as a result of reduced energy and maintenance costs for street lighting (£250k), additional income from streetworks licensing and notices and decreased spend on fees in development management team. However, additional pressures due to COVID-19 have also occurred, primarily traffic management costs £475k & additional staffing/vehicle costs £135k.
Integrated Passenger Transport	9,425	8,020	(1,405)	Underspend partially due to staffing vacancies, reduced concessionary ticket printing costs and reduced demand for concessionary fares. Additional support from central government to bus operators as a result of COVID has also reduced the concessionary fare costs (£890k).
Growth, Planning & Trading Standards	2,508	2,616	108	Overspend is partially due to COVID-19 impacting fees and charges income. There are also staffing pressures in the Planning Team and Proceeds of Crime Act Team.
Waste & Countryside Services	36,806	38,202	1,396	Overspend is due to additional traffic management costs for HWRC's £275k during lockdown period of COVID pandemic. Income has also been reduced whilst HWRC's were closed and there have been a reduction in charges for commercial waste as a result of COVID-19, along with additional payments to District Councils for increased Greenwaste and Recyclate collections £480k. Decreasing market prices & increasing costs for disposal of recyclates at HWRC's have resulted in an overspend of 595k.
Economic Partnership Unit	205	205	(0)	
Resources, Performance & Improvement	5	5	0	
Corporate Director of BES	514	516	3	
TOTAL	73,188	73,134	(54)	

CHILDREN & YOUNG PEOPLE'S SERVICES				
Appendix D				
2020-21 REVENUE BUDGET OUTTURN REPORT				
BUDGET HEAD	REVISED BUDGET 2020-21 £000	FORECAST OUTTURN 2020-21 £000	VARIANCE (-) = saving £000	COMMENTS
Local Authority				
Inclusion				
Inclusion	2,257	2,151	(106)	Lower than anticipated spending following the implementation of the Inclusion Service restructure due to unfilled staff vacancies in Locality hubs.
Alternative Provision	-	-	-	
Early Years	102	-	(102)	Savings made in advance that will contribute to the Savings programme.
CYPS Commissioning	982	1,014	32	
SEND - Special Education Needs & Disabilities				
High Needs Commissioning	4,211	4,211	(0)	Local Authority provision agreed in anticipation of projected unfunded High Needs spending pressures.
Disabled Children's Services	5,141	5,561	420	Overspending associated with reduction in financial contribution from Health partners for Continuing Care (£0.3m). In addition, Occupational Therapy costs are higher than budgeted (£0.1m).
Home to School Transport	26,285	26,805	520	Provisional assessment of spending indicates a £0.5m overspend arising from lost fee income due to PSVAR compliance and further increases in transport contract costs. The budget has also been adversely affected by the ongoing COVID-19 pandemic. Current Government guidance for transport arrangements in Autumn term have limited financial exposure but there remains a financial risk associated with public transport arrangements should government guidance Child placement costs are expected to be higher than budget due to COVID-19 (£0.5m); this overspending is however being managed by the service through reduced expenditure in Early Help hubs, keeping existing staff vacancies unfilled, and reduction in staff travel costs (£0.8m).
Children & Families	37,055	36,754	(300)	
CYPS Pooled Budgets	1,477	2,035	558	Overspending associated with higher than anticipated numbers of children in high cost residential care placements.
Director's Unit	28	25	(3)	
Education & Skills				
Education & Skills Other	71	506	435	LA Provision for forecasted financial pressure in the Adult Learning & Skills Service.
School Improvement	1,366	1,170	(196)	In-year savings associated with the implementation of School Improvement Localities budget.
Strategic Planning Team	56	58	2	
Music Service	-	(32)	(32)	
Outdoor Learning Service	-	973	973	The trading income of the service has been severely affected by the ongoing COVID-19 pandemic.
Finance & Management Support				
Finance & Management Support	1,823	1,553	(270)	In-year savings related to an increase in the Extended Rights to Free Travel
Early Years Review	155	155	-	
Sponsored Academy Deficits	-	179	179	LA provision for sponsored academy deficits, the cost of which is expected to increase as a result of COVID pandemic.
School Redundancies & Employment Related Costs	1,053	980	(73)	
Safeguarding Unit	1,158	1,241	83	
Schools & Units	-	-	-	
LA TOTAL	83,218	85,338	2,119	
DSG				
Inclusion				
Inclusion	4,042	3,907	(135)	Lower than anticipated spending following the implementation of the Inclusion Service restructure due to unfilled staff vacancies in Locality hubs.
Alternative Provision	1,101	1,092	(9)	
Early Years	-	-	-	
CYPS Commissioning	70	70	-	
SEND - Special Education Needs & Disabilities				
High Needs Commissioning	43,925	47,086	3,161	Financial pressure persists in the High Needs Block as the funding from DfE has not kept up to speed to match the increase in the number of North Yorkshire children with EHCP in recent years.
LA Contribution to High Needs	-	-	-	
Disabled Children's Services	-	-	-	
Home to School Transport	-	-	-	
Children & Families	1,635	1,607	(28)	
CYPS Pooled Budgets	1,991	1,991	-	
Director's Unit	207	184	(23)	
Education & Skills				
Education & Skills Other	12	3	(9)	
School Improvement	317	292	(26)	
Strategic Planning Team	709	715	7	
Finance & Management Support				
Sponsored Academy Deficits	-	-	-	
Early Years Review	(114)	(155)	(41)	
Finance & Management Support	(54,257)	(54,346)	(90)	Underspending in the Schools Causing Concern budget relates to school
School Redundancies & Employment Related Costs	363	226	(137)	
DSG TOTAL	-	2,671	2,671	
DSG Net overspend funded by DSG reserve		(2,671)	(2,671)	DSG Spending is expected to exceed the Grant allocation by £2.7m in 2020-21. This will be funded through the DSG reserve, increasing the accumulated negative DSG reserve further.
TOTAL	83,218	85,338	2,119	

CENTRAL SERVICES				
Appendix E				
2020-21 REVENUE BUDGET OUTTURN REPORT				
BUDGET HEAD	REVISED BUDGET 2020-21 £000	FORECAST OUTTURN 2020-21 £000	VARIANCE (-) = saving £000	COMMENTS
Strategic Resources				
Financial Services	3,978	3,907	(71)	Underspend due to temporary Staffing Vacancies.
Insurances	2,527	2,527	-	
Property Services	10,992	11,049	57	Overspend due to additional licence requirements in Safety Risk Team.
Technology & Change	15,080	14,647	(433)	Underspend due to delayed spend for project implementations due to reprioritisation's as a result of COVID-19
Customer Services	2,584	2,628	44	Additional staffing requirements (COVID)
Business Support & HR				
Business Support Services	14,231	18,893	4,663	Overspend due to COVID-19 pressures including £5.4m additional PPE and additional staffing requirements £0.4m, this is partially offset by underspend on venues, transport & document management (£1.1m).
HR Services	3,289	2,998	(291)	Training and learning underspend on travel & venues.
Chief Executives Office				
CEO Support Services, Grants & Subscriptions	434	436	2	
Communications Unit	770	889	119	Staffing pressures & photography costs
Policy & Partnerships	3,510	5,027	1,517	Overspend as a result of COVID-19 requirement for additional support, including COVID Small Grants, Community Support and Food Voucher Scheme £1,414k. Further to this there is an additional staffing pressure due to increased workload as a result of COVID-19
Centralised COVID19	-	473	473	Overspend is due to requirement for PPE, additional storage facilities and IT costs as a result of COVID-19
Legal & Democratic Services				
Democratic Services	495	480	(15)	
Legal Services	2,358	2,162	(196)	Underspend due to temporary staffing vacancies along with additional income generated for support work within the team.
Members Services	1,146	1,090	(55)	
Library, Customer & Community Services				
Archives & Records Management	399	386	(13)	
Coroners	741	936	195	Overspend due to increased Coroners salaries, set by chief Coroner and NHS Cost pressures for use of facilities.
Public Library Service	4,231	4,224	(6)	Overspend due to loss of income due to closures throughout COVID period £196k, which is offset partially by lower staff costs & reduced transport costs.
Registrars	(418)	498	916	Overspend as a result of COVID-19, whilst restrictions are in place for wedding ceremonies, the cost of Registrars team is not re-covered £1,105k, this is partially offset by additional demand for licenses and certificates (£190k).
TOTAL	66,348	73,251	6,903	

CORPORATE MISCELLANEOUS Appendix F				
2020-21 REVENUE BUDGET OUTTURN REPORT				
BUDGET HEAD	REVISED BUDGET 2020-21 £000	FORECAST OUTTURN 2020-21 £000	VARIANCE (-) = saving £000	COMMENTS
ANNUAL BUDGETS AND FUNDING (Excluding PIP)				
Contingencies				
General Provision	16,880	30,965	14,085	Underspends on the provisions for waste, inflation and for the PSVAR impact on school transport offset by making early provision for covid loss of Council tax and NNDR monies (£20.5m) which will not impact until the following year.
HAS Corporate Contingency	6,100	5,100	(1,000)	Assume HAS market pressures monies will be utilised in this financial year
Brexit Contingency	3,000	3,000	-	
2020 North Yorkshire	2,000	2,000	-	
	27,980	41,065	13,085	
Broadband				
Broadband	-	-	-	
	-	-	-	
Treasury Management				
Capital Financing Costs	23,307	23,028	(279)	
Dividends & Interest Earned	(2,242)	(833)	1,409	Current forecast reflects lower interest rates achieved on investments due economic downturn
Commercial Investments	(512)	1,336	1,848	Reflects provision to be made for estimated capital loss on investment
MTFS - Treasury Management Savings	(3,114)	(3,014)	100	
	17,439	20,518	3,079	
Corporate Budgets				
Corporate Funds	400	387	(13)	
Other Corporate Budgets	(859)	723	1,582	
	(459)	1,110	1,569	
Corporate Funding				
Corporate Grant Funding	(38,798)	(38,473)	326	
Other Corporate Funding	(1,495)	(1,495)	-	
	(40,293)	(39,968)	326	
Business Rates & Council Tax				
Business Rates Funding	(2,896)	(3,731)	(835)	
Business Rates Deficit	-	-	-	
Council Tax Surplus	-	-	-	
	(2,896)	(3,731)	(835)	
TOTAL - Excluding PIP	1,771	18,994	17,223	
Waste Budget Strategy Provision	821	-	(821)	Provision not required in the current financial year.
TOTAL - Including PIP	2,592	18,994	16,402	
Covid 19 Grant Funding	-	(34,200)	(34,200)	Government grant funding including the first four tranches of general Covid funding plus the preliminary payment for losses of fees and charges income.
GRAND TOTAL	2,592	(15,206)	(17,798)	

**NORTH YORKSHIRE EDUCATION SERVICES
APPENDIX G**

2020-21 REVENUE BUDGET OUTTURN REPORT

BUDGET HEAD	BUDGET Profit(-) / Loss(+) 2020-21 £000	FORECAST Profit (-) / Loss (+) 2020-21 £000	VARIANCE Increase(-) / Decrease (+) £000	COMMENTS
TRADED SERVICES PROFIT & LOSS SUMMARY				
Property & Facilities	(1,523)	1,208	2,731	Variance predominantly due to Catering service which has been unable to provide schools meals through lockdown. Note - figure includes furlough payments of £845k however excludes Sales, Fees & Charges submission of £1.5m which is retained within corporate budgets
Education & Skills	(230)	105	335	Variance due to School Improvement service where staff were retained (rather than placed on furlough) to support the core, statutory offer. Note - figure excludes £100k of Sales, Fees & Charges submission which is also held within corporate budgets.
Professional Support Services	(866)	(785)	81	Services have largely continued through lockdown and so no significant variances to note.
	(2,619)	528	3,147	
Central Traded Establishment	1,337	(1,641)	(2,978)	This line balances the traded budget through use of reserves.
North Yorkshire Education Solutions (NYES)	1,283	1,113	(170)	Underspend due to receipt of furlough income and staff vacancies.
TOTAL	-	(0)	(0)	

3.0 TREASURY MANAGEMENT

Overview

- 3.1 This section of the report presents details of the County Council's Treasury Management Activity during Q2 2020/21, changes to the Approved Lending List and other current policy issues and considerations.
- 3.2 Treasury Management in Local Government is governed by the CIPFA Code of Practice on Treasury Management in the Public Services and in this context is the management of the County Council's borrowing, cash flows, its banking and capital market transactions, the effective control of the risks associated with those activities and the pursuit of optimum performance consistent with those risks. The County Council has adopted the Code and complies with its requirements.
- 3.3 The CIPFA Code of Practice for Treasury Management recommends that Members should be informed of Treasury Management activities at least twice a year but preferably quarterly. This report ensures, therefore, that the County Council is adopting Best Practice in accordance with CIPFA's Code of Practice.

Economic Update

- 3.4 The County Council's treasury advisors Link Asset Services – Treasury Solutions summarised the key points associated with economic activity in Q2 2020/21 up to 30 September 2020:
- the Coronavirus outbreak has resulted in economic damage to the UK and the world, with UK GDP falling by 23%;
 - Bank Rate remained unchanged at 0.1%, with this rate now expected to continue for some time;
 - Quantitative Easing remains unchanged at £745bn;
 - the Governor of the Bank of England stated that more quantitative easing would be favoured over the instruction of negative interest rates;
 - economic recovery is expected to be gradual and prolonged; and
 - Brexit uncertainties ahead of the 31 December deadline are expected to affect economic recovery;

A more detailed economic commentary on developments during Q2 2020/21 is included in **Appendix E**.

Interest Rate Forecasts

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

Link Group Interest Rate View 11.8.20											
	Sep-20	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23
Bank Rate View	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10	0.10
3 Month average earnings	0.10	0.10	0.10	0.10	0.10	0.10	0.10	-	-	-	-
6 Month LIBID	0.10	0.10	0.10	0.10	0.10	0.10	0.10	-	-	-	-
12 Month LIBID	0.20	0.20	0.20	0.20	0.20	0.20	0.20	-	-	-	-
5yr PWLB Rate	1.90	1.90	2.00	2.00	2.00	2.00	2.00	2.10	2.10	2.10	2.10
10yr PWLB Rate	2.10	2.10	2.10	2.10	2.10	2.20	2.20	2.20	2.30	2.30	2.30
25yr PWLB Rate	2.50	2.50	2.50	2.50	2.60	2.60	2.60	2.70	2.70	2.70	2.70
50yr PWLB Rate	2.30	2.30	2.30	2.30	2.40	2.40	2.40	2.50	2.50	2.50	2.50

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

- 3.6 After the Bank of England took emergency action in March to cut Bank Rate to first 0.25%, and then to 0.10%, it left Bank Rate unchanged at its last meeting, although some forecasters suggested that negative rates could be set. However, the Governor of the Bank of England has made it clear that he currently thinks that such a move would do more damage than good and that more quantitative easing is the favoured tool if further action becomes necessary. As shown in the forecast table above, no increase in Bank Rate is expected within the forecast horizon ending on 31st March 2023 as economic recovery is expected to be only gradual and, therefore, prolonged.
- 3.7 Gilt yields had therefore already been on a falling trend during the last year up until the coronavirus crisis hit western economies. Since then, we have seen gilt yields fall sharply. At the close on 30th September, all gilt yields from 1 to 6 years were negative.
- 3.8 Major western central banks started massive quantitative easing purchases of government bonds which has acted to maintain downward pressure on government bond yields at a time when there has been a huge and quick expansion of government expenditure financed by issuing government bonds.
- 3.9 As the interest forecast table for PWLB certainty rates, above shows, there is likely to be little upward movement in PWLB rates over the next two years as it will take economies, including the UK, a prolonged period to recover all the momentum they have lost in the sharp recession caused during the coronavirus shut down period.

Annual Investment Strategy

3.10 The Treasury Management Strategy Statement (TMSS) for 2020/21, which includes the Annual Investment Strategy, was approved by the County Council on 19 February 2020. It sets out the County Council's investment priorities as being:

- Security of capital;
- Liquidity; and
- Yield.

- 3.11 The County Council will aim to achieve the optimum return (yield) on its investments commensurate with proper levels of security and liquidity. In the current economic climate it is considered appropriate to keep investments short term to cover cash flow needs, but also to seek out value available in periods up to 12 months with high credit rated financial institutions, using our suggested creditworthiness approach, including a minimum sovereign credit rating and Credit Default Swap (CDS) overlay information.
- 3.12 Although the credit rating agencies changed their outlook on many UK banks from stable to negative outlook during the quarter ended 30th June 2020, due to upcoming risks to banks' earnings and asset quality during the economic downturn caused by the pandemic, the majority of ratings were affirmed due to the continuing strong credit profiles of UK banks. However, during Q1 and Q2 2020, banks did make provisions for *expected* credit losses and the rating changes reflected these provisions.
- 3.13 For the remainder of the financial year, more information will emerge on actual levels of credit losses. This has the potential to cause rating agencies to revisit their initial rating adjustments later in 2020. However, the Financial Policy Committee (FPC) report on 6th August revised down their expected credit losses for the banking sector and stated that, in their assessment, "Banks have buffers of capital more than sufficient to absorb the losses".
- 3.14 The approved limits within the Annual Investment Strategy were not breached during the quarter ended 30 September 2020.

3.15 The investment activity up to Q2 2020/21 was as follows:

- Balance invested at 30 September 2020: £487.3m
- Average Daily Balance 2020/21 up to 30 September 2020: £499.9m
- Average Interest Rate Achieved up to 30 September 2020: 0.67%

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

3.16 The average return to Q2 2020/21 of 0.67% compares with the average benchmark returns as follows:

- -0.06% 7 day
- 0.02% 1 month
- 0.11% 3 months
- 0.21% 6 months
- 0.35% 12 months

3.17 It is also a key requirement of the CIPFA Code of Practice that annual Treasury Management Strategies should be kept under constant review throughout the year and reported to Members as appropriate. Although there is now great uncertainty in the financial and banking market, both globally and in the UK, **it is considered that the Strategy approved in February 2020 is still fit for purpose in the current economic climate.** No changes are therefore considered necessary to the Strategy at this stage.

Approved Lending List

3.18 The Approved Lending List as at 30 September 2020 is attached as **Appendix B** with changes made during Q2 2020/21 being reported in **Appendix C**.

Debt and borrowing

3.19 The County Council's external debt outstanding at 30 September 2020 and forecast position for 2020/21 is as follows:-

Detail	PWLB		Money Market Loans		Total	
	£m	%	£m	%	£m	%
At 31 March 2020	243.1	4.43	20.0	3.95	263.1	4.39
Loan Repayments	-16.0		0.0		-16.0	
New Loans Taken	0.0		0.0		0.0	
= Loans Outstanding at 30 Sept 2020	227.1	4.50	20.0	3.95	247.1	4.45
Further Scheduled In Year Repayments	-11.1		0.0		-11.1	
Forecast Additional Loans to be Taken	0.0		0.0		0.0	
= Estimated Loans Outstanding at 31 March 2021	216.0	4.51	20.0	3.95	236.0	4.46

3.20 Any change to the forecast debt outstanding by the end of 2020/21 will be largely determined by whether the borrowing requirement for 2020/21 is ultimately financed by external borrowing or internal borrowing.

3.21 Based on the Q2 Capital Plan update the total external borrowing requirement for 2020/21 is currently forecast to be:-

Detail	£m
Internally Financed Capital Expenditure at 31 March 2020	
Internally Financed Borrowing from Previous Years	34.4
Less Company Loans to be Repaid	-12.0
Less Commercial Investments to be Repaid	-11.8
	10.6
2020/21 Borrowing Requirement	
Q2 2020/21 Borrowing Requirement	11.1
Less Company Loans advanced in year to be Repaid	0
Revenue Provision for Debt Repayment (MRP)	-11.1
Refinance 2021/22 PWLB Loan Repayments	27.1
= Total 2020/21 Borrowing Requirement	37.7

- 3.22 As shown in the table above, internal capital borrowing (use of cash balances) to part fund the County Council's Capital Financing Requirement was £34.4m at 31 March 2020. Over the next two to three years investment rates are expected to continue to be below long term borrowing rates. A value for money assessment would therefore indicate that value could be best obtained by avoiding/delaying new borrowing and continuing to use internal cash balances to finance new capital expenditure or to replace maturing external debt. This would maximise short term revenue savings and produce other benefits, but is not risk free.
- 3.23 This Internal Capital Financing option will therefore continue to be actively adopted on an ongoing basis in order to achieve short term revenue savings and mitigate the credit risk incurred by holding investments in the market.
- 3.24 New external borrowing rates (fixed interest maturity rates from the PWLB reflecting the 0.2% 'certainty discounts') during Q2 2020/21 were as follows:-

	Bank Rate	7 day	1 mth	3 mth	6 mth	12 mth
High	0.10	0.00	0.14	0.56	0.62	0.77
High Date	01/04/2020	02/04/2020	20/04/2020	08/04/2020	14/04/2020	21/04/2020
Low	0.10	-0.08	-0.08	-0.07	-0.05	0.02
Low Date	01/04/2020	30/09/2020	30/09/2020	18/09/2020	21/09/2020	18/09/2020
Average	0.10	-0.06	-0.02	0.11	0.21	0.35
Spread	0.00	0.08	0.22	0.63	0.67	0.76

- 3.25 No debt repayment or rescheduling exercises have been effected to date in 2020/21 or are in the pipeline but the situation continues to be monitored to identify any opportunities that may arise. Such opportunities, however, have been limited in the current economic climate and structure of interest rates.

Prudential Indicators

- 3.26 It is a statutory duty for the County Council to determine and keep under review its *Affordable Borrowing Limits*.
- 3.27 The Prudential Indicators for the three year period 2020/21 to 2022/23 were initially approved by Executive on 4 February 2020 and adopted by County Council on 19 February 2020. These Indicators were subsequently undated to reflect the 2019/20 outturn position and other factors arising in Q1 and were reported to Members as part of the Q1 Performance Monitoring report on 25 August 2020.
- 3.28 During the financial year to date, the County Council has operated within the latest Treasury Prudential Indicators approved and in compliance with the County Council's Treasury Management Practices.

Impact of Treasury Management Activities on the Revenue Budget

- 3.29 Based on the Treasury Management activity at Q2 2020/21 and a forecast for the remainder of the year, the revenue impact is as follows:

While interest rates have remained low throughout 2020 to date, cash balances have continued at relatively high levels. The current forecast for investment returns is £0.8m

which is £0.6m below budget, as investment returns are likely to be lower than anticipated with no further rise in bank rate expected in 2020/21. Returns will reviewed in advance of Q3 as uncertainties over Coronavirus and Brexit continue.

The budget and forecast outturn for interest paid on long term borrowing is £11.0m.

The forecast outturn for the Minimum Revenue Provision (MRP) is £11.1m for 2020/21.

Capital Strategy

- 3.30 The Capital Strategy was included as part of the County Council's Annual Treasury Management and Investment Strategy 2020/21, approved in February 2020. The Capital Strategy sets out how capital expenditure, capital financing and treasury management contribute to the provision of Corporate and service objectives and properly takes account of stewardship, value for money, prudence, sustainability and affordability. It sets out the long term context in which capital expenditure and investment decisions are made and gives due consideration to both risk and reward and impact on the achievement of priority outcomes.
- 3.31 Alternative non-treasury investments are considered as part of the Capital Strategy. Given the technical nature of potential alternative investments and strong linkages to the County Council's Treasury Management function, appropriate governance and decision making arrangements are needed to ensure robust due diligence in order to make recommendations for implementation. As a result, all investments are subject to consideration and where necessary recommendations of the Commercial Investment Board.
- 3.32 The alternative investments considered by the Commercial Investment Board are as follows:

Type of Investment	Maximum Limit £m	Invested as at 30/09/20 £m	Rate of Return %
Alternative Treasury Instruments			
Money Market Funds	20.0	20.0	0.0
Enhanced Cash Funds	20.0	-	-
Certificates of Deposit (CDs)	20.0	-	-
Property Funds	20.0	5.9	3.8
Total Alternative Treasury Instruments	80.0	25.9	0.9
Alternative Investments			
Loans to Council Companies			
- Yorwaste	25.0	6.4	4.1
- Nynet		11.2	3.1
- Brierley		4.6	4.1
- First North Law		0.1	4.1
Total Loans to Council Companies	25.0	22.3	3.6
Other Alternative Investments			

Spend to Save	5.0	-	-
Loans to Housing Associations	10.0	-	-
Local Economic Growth Projects	15.0	-	-
Solar Farm (or similar) Projects	5.0	-	-
Commercial Investments	20.0	11.9	0.84
Total Other Alternative Investments	45.0	11.9	0.84
Total Alternative Investments*	60.0	34.2	2.64

* Total Alternative Investments capped at £60m

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

3.34 The position on Property Funds at 30 September 2020 is as follows:-

In Year Performance

Fund	Bwd Investment Valuation	Valuation as at 31/03/20	In Year Performance Q2 2020/21			
			Capital Gain / (Loss)		Revenue Return	
			£000	%	£000	%
Blackrock	2,851.9	2,795.7	(56.6)	(2.0)	41.7	3.2
Threadneedle	2,769.7	2,657.7	(112.0)	(4.0)	58.4	4.4
Total	5,621.6	5,453.4	(168.2)	(3.0)	100.1	3.8

Total Fund Performance

Fund	Bwd Investment £k	Valuation as at 31/03/20	Total Performance			
			Capital Gain / (Loss)		Revenue Return	
			£000	%	£000	%
Blackrock	3,003.0	2,795.7	(207.3)	6.9	185.9	6.2
Threadneedle	2,927.1	2,657.7	(269.4)	9.2	251.8	8.6
Total	5,930.1	5,453.4	(476.7)	8.0	437.7	7.4

3.35 Given the volatility and risk within the market, both property funds will be reviewed in terms of their strategies to mitigate risk within their portfolios, in the context of the longer term nature of these investments. Should any changes to these investments be considered necessary, these will be reported to the Executive and to Council if required.

3.36 In addition, as the full impact of Covid-19 on the property markets becomes clearer, the values of Commercial Property Investments may also be impacted. While the

extent and impact of Covid-19 on commercial property markets was unclear at the end of 19/20, £1m was set aside to mitigate any potential future losses on investments. A full valuation of commercial property investments will be undertaken as part of the year-end accounting requirements and any changes will be reported as part of the Q3 update.

Other Treasury Management Development and Issues

3.37 UK Sovereign Rating

The credit rating agency, Moody's Investor Services (Moody's) downgraded the United Kingdom Sovereign Rating on 16 October 2020 from Aa3 to Aa2. In Moody's view, there were three key drivers for this action :-

- UK's economic strength had diminished and growth had been weaker than expected, with additional pressures now being incurred as a result of Covid-19;
- UK fiscal strength has eroded as a result of high Government debt; and
- a perceived weakening in the UK's institutions and governance, with Policymaking, particularly with respect to fiscal policy, has become less predictable and effective.

3.38 Credit Ratings – UK Banks

As a consequence of the downgrading of the UK Sovereign Rating, Moody's have also reviewed their Credit Ratings for a number of UK Banks. These Rate changes will be reviewed and reflected in the Approved Lending List if required.

RECOMMENDATIONS

3.39 That Executive

- (i) notes the position on the County Council's Treasury Management activities during the second quarter of 2020/21
- (ii) refers this report to the Audit Committee for their consideration as part of the overall monitoring arrangements for Treasury Management.

TREASURY MANAGEMENT APPENDICES

Appendix A Analysis of investments placed as at 30 September 2020

Appendix B Approved Lending List with counterparty limits

Appendix C Changes to the Approved Lending List during Q2 2020

Appendix D Treasury Management Monitoring and Reporting Arrangements 2020/21

Appendix E Detailed Economic Commentary on Developments during Q2 2020/21

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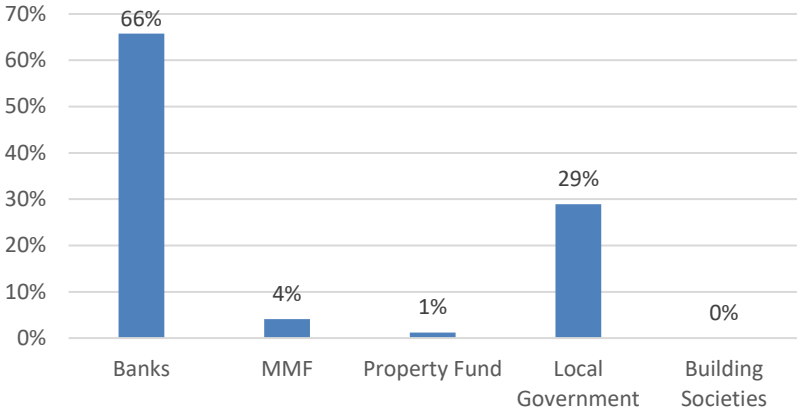
Analysis of loans outstanding as at 30 September 2020

Actual Loans Outstanding – Summarised by Organisation	
	£m
Local Authority	141.0
Santander	60.0
Bank of Scotland	55.0
Standard Chartered	55.0
Handelsbanken	40.0
Barclays	35.4
National Westminster	35.0
State Street Global CNAV MMF	20.0
Helaba	20.0
DBS	15.0
Goldman Sachs	5.0
Property Funds	5.9
	487.3

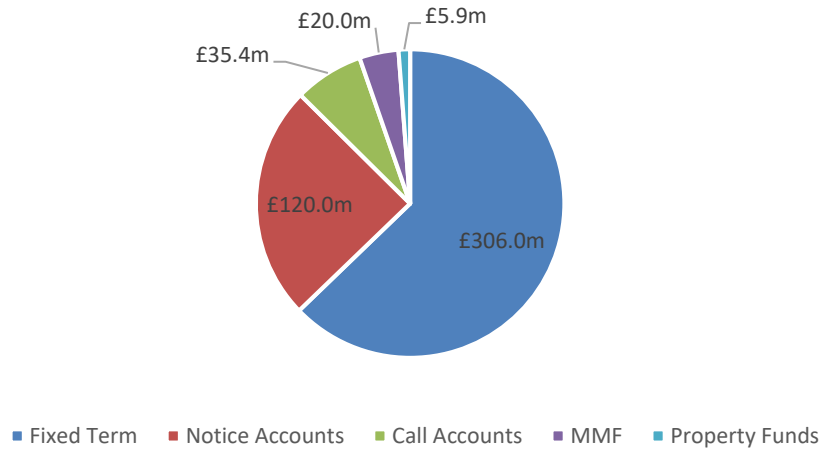
Other Bodies				
	30-Jun-20		30-Sep-20	
	£m	%	£m	%
NY Pension Fund	140.2	27	136.5	28
NY Fire and Rescue Authority	7.1	1	7.9	2
Yorkshire Dales National Park	3.9	1	4.0	1
North York Moors National Park	3.1	1	4.0	1
Peak District National Park	4.8	1	4.3	1
Selby District Council	68.1	13	72.7	15
National Parks England	0.2	0	0.2	0
Align Property Partners	0.6	0	0.7	0
Total Other Bodies	228.1	44	230.3	48
NYCC Cash	281.7	56	257.0	52
Total Investment	509.9	100	487.3	100

Rates as at 30 September 2020	
	%
Bank Rate (change from 0.25% 10/03/20)	0.10
Investment Rates	
- NYCC overnight (on call)	0.00
- call accounts	0.00
- 1 month	0.02
- 6 months	0.05
- 1 year	0.11
- Government Debt Management Office Account	-0.02 to 0.01

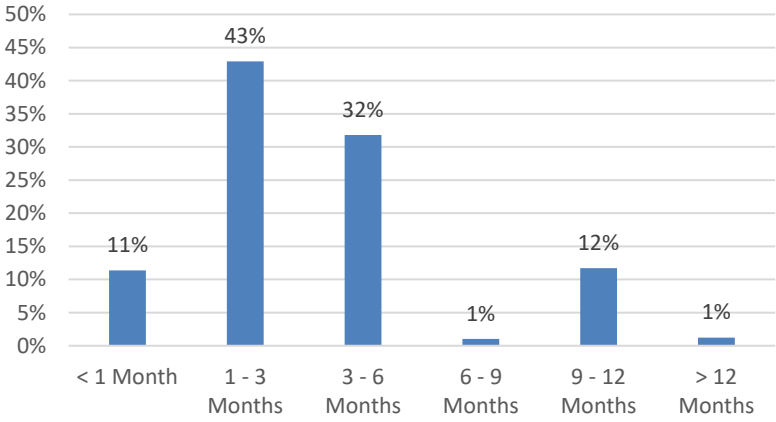
Institution Type



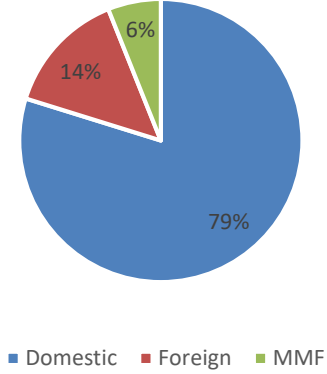
Portfolio Breakdown



Maturity Profile



Country



Appendix B

APPROVED LENDING LIST Q2

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 £40m limit)	
		Total Exposure £m	Time Limit *	Total Exposure £m	Time Limit *
UK "Nationalised" banks / UK banks with UK Central Government involvement					
Royal Bank of Scotland PLC (RFB)	GBR	75.0	365 days	-	-
National Westminster Bank PLC (RFB)	GBR				
UK "Clearing Banks", other UK based banks and Building Societies					
Santander UK PLC (includes Cater Allen)	GBR	60.0	6 months	-	-
Barclays Bank PLC (NRFB)	GBR	75.0	6 months	-	-
Barclays Bank UK PLC (RFB)	GBR				
Bank of Scotland PLC (RFB)	GBR	60.0	365 days	-	-
Lloyds Bank PLC (RFB)	GBR				
Lloyds Bank Corporate Markets PLC (NRFB)	GBR		6 months		
HSBC Bank PLC (NRFB)	GBR	30.0	365 days	-	-
HSBC UK Bank PLC (RFB)	GBR				
Goldman Sachs International Bank	GBR	60.0	6 months		
Sumitomo Mitsui	GBR	30.0	6 months		
Standard Chartered Bank	GBR	60.0	6 months		
Handelsbanken	GBR	40.0	365 days		
Nationwide Building Society	GBR	40.0	6 months	-	-
Leeds Building Society	GBR	20.0	3 months	-	-
High Quality Foreign Banks					
National Australia Bank	AUS	30.0	365 days	-	-
Commonwealth Bank of Australia	AUS	30.0	365 days		
Toronto-Dominion Bank	CAN	30.0	365 days		
Credit Industriel et Commercial	FRA	30.0	6 months	-	-
Landesbank Hessen-Thuringen Girozentrale (Helaba)	GER	30.0	365 days		
DBS (Singapore)	SING	30.0	365 days		
Local Authorities					
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
Other Deposit Takers					
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 30 September 2020

Appendix C

CHANGES TO THE APPROVED LENDING LIST DURING Q2

There have been no changes to the Lending List from the 30 June 2020.

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

Maximum investment durations for other organisations have, therefore, been changed during this quarter, but have since returned to the level at 30 June 2020.

Treasury Management and Reporting Arrangements

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

- (a) an annual report to Executive and County Council as part of the Budget/MTFS process that sets out the County Council's **Treasury Management and Investment Strategy and Policy** for the forthcoming financial year. For 2020/21 this report was submitted to Executive on 4 February 2020 followed by County Council on 19 February 2020;
- (b) an annual report to Executive and County Council as part of the Budget/MTFS process that sets the various **Prudential Indicators** (submitted to Executive on 4 February 2020 and County Council on 19 February 2020)
- (c) **annual outturn reports** to the Executive for both Treasury Management and Prudential Indicators setting out full details of activities and performance during the preceding financial year. The outturn reports for 2019/20 were submitted to Executive on 28 July 2020;
- (d) a quarterly report on Treasury Management to the Executive (this report) as part of the **Quarterly Performance Monitoring** report;
- (e) **periodic meetings** between the Corporate Director – Strategic Resources, the Corporate Affairs Portfolio Holder and the Chairman of the Audit Committee to discuss issues arising from the day to day management of Treasury Management activities;
- (f) reports on proposed changes to the County Council's Treasury Management activities are submitted to the **Audit Committee** for consideration and comment. A copy of this report is also provided to Audit Committee Members.

Detailed Economic Commentary on Developments during Q2 2020/21

1. Economic Background

UK

- 1.1 As expected, the Bank of England's Monetary Policy Committee (MPC) kept Bank Rate unchanged on 6th August (and subsequently 16th September). It also kept unchanged the level of quantitative easing at £745bn. Its forecasts were optimistic in terms of three areas:
 - a. The fall in GDP in the first half of 2020 was revised from 28% to 21.8%. This is still one of the largest falls in output of any developed nation. However, it is only to be expected as the UK economy is heavily skewed towards consumer-facing services – an area which was particularly vulnerable to being damaged by lockdown.
 - b. The peak in the unemployment rate was 7½% by Q4 2020.
 - c. It forecast that there would be excess demand in the economy by Q3 2022 causing CPI inflation to rise above the 2% target in Q3 2022. Nevertheless, even if the Bank were to leave policy unchanged, inflation was still projected to be above 2% in 2023.
- 1.2 The MPC also stated that negative interest rates would not be used, at least in the next six months or so. It suggested that while negative rates can work in some circumstances, it would be “less effective as a tool to stimulate the economy” at this time when banks are worried about future loan losses. It also has “other instruments available”, including QE and the use of forward guidance.
- 1.3 The MPC expected the £300bn of quantitative easing purchases announced between its March and June meetings to continue until the “turn of the year”. This implies that the pace of purchases will slow further to about £4bn a week, down from £14bn a week at the height of the crisis and £7bn more recently.
- 1.4 In conclusion, this would indicate that the Bank could now pause, as the economy was recovering better than expected. However, the minutes of the meetings had multiple references to downside risks, which were judged to persist both in the short and medium term, including second waves of the virus. However, rather than a national lockdown, as in March, any spikes in virus infections are now likely to be dealt with by localised measures and this should limit the amount of economic damage caused. In addition, Brexit uncertainties ahead of the year-end deadline are likely to be a drag on recovery. The wind down of the initial furlough scheme through to the end of October is another development that could cause the Bank to review the need for more support for the economy later in the year.
- 1.5 Overall, the pace of recovery is not expected to be in the form of a rapid V shape, but a more elongated and prolonged one after a sharp recovery in June through to August which left the economy 11.7% smaller than in February. The last three months of 2020 are now likely to show no growth as consumers will probably remain cautious in spending and uncertainty over the outcome of the UK/EU trade negotiations concluding at the end of the year. If the Bank felt it did need to provide further support to recovery, then it is likely that the tool of choice would be more QE.

- 1.6 There is also likely to be a reversal of globalisation as this crisis has shown how vulnerable long-distance supply chains are. On the other hand, digital services are one area that has already seen huge growth.
- 1.7 The Financial Policy Committee (FPC) report on 6th August revised down their expected credit losses for the banking sector to “somewhat less than £80bn”. It stated that in its assessment “banks have buffers of capital more than sufficient to absorb the losses that are likely to arise under the MPC’s central projection”. The FPC stated that for real stress in the sector, the economic output would need to be twice as bad as the MPC’s projection, with unemployment rising to above 15%.

USA

- 1.8 Performance of the US Economy was stronger than expected. With the number of new daily coronavirus infections beginning to abate, recovery from its contraction this year should continue over the coming months and employment growth should also pick up again. However, growth will be dampened by continuing outbreaks of the virus in some states leading to fresh localised restrictions. At its end of August meeting, the Fed amended its inflation target to maintaining an average of 2% over an unspecified time period. This change is aimed to provide more stimulus for economic growth and higher levels of employment and to avoid the danger of getting caught in a deflationary “trap” like Japan. It is to be noted that inflation has actually been under the 2% target significantly for most of the last decade so financial markets took note that higher levels of inflation are likely to be in the pipeline. The Fed also called on Congress to end its political disagreement over providing more support for the unemployed as there is a limit to what monetary policy can do compared to more directed central government fiscal policy. The FOMC’s updated economic and rate projections in mid-September showed that officials expect to leave the fed funds rate at near-zero until at least end-2023 and probably for another year or two beyond that.

EUROZONE

- 1.9 The economy was recovering well towards the end of Q2 after a sharp drop in GDP. However, the second wave of the virus affecting some countries could cause a significant slowdown in the pace of recovery, especially in countries more dependent on tourism. The fiscal support package, agreed by the EU after prolonged disagreement between various countries, is unlikely to provide significant support and quickly enough to make an appreciable difference in weaker countries. The ECB has been struggling to get inflation up to its 2% target and it is therefore expected that it will have to provide more monetary policy support through more quantitative easing purchases of bonds in the absence of sufficient fiscal support.

CHINA

- 1.10 After a concerted effort to get on top of the virus outbreak in Q1, economic recovery was strong in Q2 and has enabled it to recover all of the contraction in Q1. However, this was achieved by major central government funding of yet more infrastructure spending. After years of growth having been focused on this same area, any further spending in this area is likely to lead to increasingly weaker economic returns. This could, therefore, lead to a further misallocation of resources which will weigh on growth in future years.

- 1.11 There are some concerns that a second wave of the virus is gaining momentum and could dampen economic recovery from its contraction of 8.5% in GDP. It has been struggling to get out of a deflation trap for many years and to stimulate consistent significant GDP growth and to get inflation up to its target of 2%, despite huge monetary and fiscal stimulus. It is also making little progress on fundamental reform of the economy. The resignation of Prime Minister Abe is not expected to result in any significant change in economic policy.

WORLD GROWTH

- 1.12 Latin America and India are currently hotspots for virus infections. World growth will be in recession this year. Inflation is unlikely to be a problem for some years due to the creation of excess production capacity and depressed demand caused by the coronavirus crisis.

4.0 CAPITAL FIVE YEAR SPENDING PLAN 2020/21

4.1 OVERVIEW

4.1.1 The Capital Plan sets out the County Council's longer-term capital investment plans. These plans support the Council's strategic and service objectives by maximising the assets and infrastructure necessary to support service delivery whilst minimising the impact on the revenue budget. Sitting behind the Plan is the Council's Capital Strategy, which provides a high-level overview of how capital expenditure, capital financing and treasury management contribute to this end.

4.2 REFRESHING THE CAPITAL PLAN

4.2.1 The schemes and programmes within the Capital Plan are reviewed regularly to track whether or not they are being delivered to both schedule and budget. Refreshed on a quarterly basis, this report details the Capital Plan for Quarter 2 2020/21, 1 July to 30 September, and reflects the additions and adjustments, including the reprofiling of budgets, since the last version was approved.

4.2.2 The Council is currently planning to invest £182.6m on capital schemes across the County in 2020/21 and £355.3m, in total, over the next 5 years. Included this Quarter, is the addition of the 2023/24 financial year.

4.2.3 The latest Capital Plan is set out, by directorate, at Appendices A-D. A summary of gross expenditure is summarised in the following table:

	Quarter 2 1 July to 30 September 2020					
	2020/21	2021/22	2022/23	2023/24	Later Years	Total
	£k	£k	£k	£k	£k	£k
Business & Environmental Services	128,970.6	70,438.8	12,800.5	227.0	1,476.3	213,913.2
Children & Young People's Service	38,589.1	28,034.2	9,026.8	4,640.0	16,129.6	96,419.7
Central Services	12,379.4	9,763.9	1,300.0	1,387.0	5,829.0	30,659.3
Health & Social Care	2,627.6	8,206.9	253.5	0.0	3,199.4	14,287.4
	182,566.7	116,443.8	23,380.8	6,254.0	26,634.3	355,279.6

Additions to the Capital Plan this Quarter

4.2.4 Only individual additions to the Capital Plan that are of a value in excess of £250k are detailed in this report.

4.2.5 The following table highlights updates referred to in the Q1 report that have been added to the Capital Plan this quarter:

Directorate	Scheme Heading	Scheme Detail	Budget £k
BES	Transforming Cities Fund	The NYCC element of infrastructure funding investment to improve public and sustainable transport connectivity between urban centres and suburbs with a view to driving up productivity. Match funding from the Council's Sustainable Transport and Air Quality budgets of £300k.	£18,559.2k grant plus £300k match funding
BES	MHCLG Getting Building Fund / Highways	The YNYER Local Enterprise Partnership has been awarded funding for investment in local, 'shovel-ready' infrastructure projects to stimulate jobs and support economic growth in the wake of the Covid 19 pandemic. £6m of this allocation has been added to the Highways Annual Programme for the A19 Chapel Haddlesey scheme.	£15,400k
BES	NY Highways Limited Company	A further £8m for the advance purchase of vehicles giving a total funding available for this purpose of £10m.	£8,000.0k
CYPS	School Condition Grant	One-off additional allocation announced on 29 th June for repairs and upgrades to locally maintained school buildings. The initial proposal for its application is a programme of boiler replacements in 2020/21 with the majority of the funding to be utilised in 2021/22.	£4,543.6k
Total			£46,802.8k

4.2.6 Whilst the Treasury has confirmed that a planned three-year spending review, in which an indication of future local authority Highways funding was expected, has been abandoned in favour of a one-year review at the end of November, the development of the 2021/22 annual Highways programme continues so as to ensure continued delivery throughout the period. Alongside this, the delivery of a small number of schemes in the current annual programme have been deferred to the 2021/22 programme due to operational issues. To support the Highways service in managing their programming, there is a need to include a budget within the Capital Plan for 2021/22. This budget is based on the level of grant funding received under

the heading of the Local Transport Plan in the current year. Whilst the Pothole Funding of £15,160.0k per annum has been confirmed for a three year period, 2021/22 being the second year, the DfT have intimated that the Council should not expect to receive funding less than the £31,850.0k per annum received since the introduction of their 2015-2021 needs based funding arrangements.

4.2.7 This and other new additions this quarter are summarised below:

Directorate	Scheme Heading	Scheme Detail	Budget £k
BES	Local Transport Plan & Pothole Funding 2021/22	An indicative budget based upon the value of grant funding received in 2020/21 (as outlined in paragraph 4.2.6 above).	£47,010.0k
CYPS	Sherburn High School Insurance Scheme	Works to rebuild the gymnasium and changing facilities following the 2018 fire (funded from Insurance). Contractor due on site October 2020 for approx. 10 months.	£1,499.2k
CSD	T&C Roadmap 2020-2025	T&C earmarked Reserve funding.	£1,397.7k
Total			£49,906.9k

4.2.8 In addition, a further year, 2023/24, has been inserted into the Capital Plan this quarter. As well as returning the Capital Plan to a five year Plan, this serves to determine the Prudential Indicators that will be reported to both Executive and MHCLG in January 2021 as part of the 2021/22 Budget process and the updating of the MTFS.

4.2.9 A gross capital spend of £6.3m is forecast for 2023/24 and is set out by directorate at Appendix E. There are no new schemes or provisions reflected in this additional year and the items that have been included are based on their falling into one of the following categories:

- annual block provisions approved by Executive as part of the extended capital forecast;
- self-funded from capital grants, contributions and revenue contributions; and
- capital expenditure from the approved Q1 Capital Plan that has subsequently been reprofiled into 2023/24 including an appropriate allocation from the 'later years' column of Q1.

4.2.10 This addition this Quarter does not preclude further subsequent refinements.
Reprofiling of Approved Schemes within the Capital Plan

4.2.11 The following table sets out the reprofiling and accelerated spend since the last Plan was presented to Executive (Reduction (-) or increase in the annual profiled spend):

	REPROFILED EXPENDITURE AS AT Q2 2020/21					
	Quarter 2					
	1 July to 30 September 2020					
	2020/21	2021/22	2022/23	2023/24	Later Years	Total
£k	£k	£k	£k	£k	£k	
Business & Environmental Services						
Structural Maintenance of Roads & Bridges	-10.0	10.0	0.0	0.0	0.0	0.0
Major Highways Schemes	0.0	0.0	0.0	12.0	-12.0	0.0
Waste Services	-411.1	0.0	0.0	0.0	411.1	0.0
	-421.1	10.0	0.0	12.0	399.1	0.0
Children & Young People's Service						
Schools						
Basic Need programme	-4,474.5	4,488.1	0.0	0.0	-13.6	0.0
School Condition Programme	-3,053.3	3,128.1	0.0	0.0	-74.8	0.0
Capital Maintenance Programme	-700.0	700.0	0.0	0.0	0.0	0.0
	-8,227.8	8,316.2	0.0	0.0	-88.4	0.0
Central Services						
Property	-416.1	416.1	0.0	0.0	0.0	0.0
Technology & Change	-2,660.8	700.0	700.0	700.0	560.8	0.0
Loans to Limited Companies	0.0	0.0	0.0	87.0	-87.0	0.0
	-3,076.9	1,116.1	700.0	787.0	473.8	0.0
Health & Social Care						
Maintaining Fabric / Facilities of Properties	-300.0	300.0	0.0	0.0	0.0	0.0
Extra Care Facilities	-665.1	665.1	0.0	0.0	0.0	0.0
	-965.1	965.1	0.0	0.0	0.0	0.0
Total Capital Expenditure	-12,690.9	10,407.4	700.0	799.0	784.5	0.0

4.2.12 The addition of 2023/24 to the Plan has resulted in the reprofiling from Later Years of Brierley Homes loan drawdown (£87.0k) and landscaping budget (£12.0k) in relation to the works currently being delivered at Junction 47 of the A1.

4.2.13 The Structural Maintenance of Roads and Bridges reprofiling relates to the deferral of a scheme in Area 4 with additional works which are part funded from a local contribution (£10.0k).

4.2.14 Following the decision not to proceed with works to develop the household waste recycling centre at Brompton-on-Swale, the residual Waste Performance Efficiency Grant budget of £411.1k has been reprofiled to Later Years. There are no conditions that suggest that this grant, which was awarded between 2005-07, cannot be retained for future use on recycling projects.

4.2.15 Covid 19 has led to further reprofiling of Basic Need schemes into 2021/22 for a second quarter as delivery is deferred:

- Middle Deepdale New Primary School (£2m)
- Kirk Fenton Primary School extension (73.4k)
- Kirkbymoorside Primary School (95.7k)
- East Ayton Primary School (£1,863.6k)
- Malton School (£455.4k)

4.2.16 S106 developer contributions have been reprofiled from Later Years to 2020/21 for the following schemes:

- Whitley and Eggborough Primary School led scheme to improve their Early Years and Key Stage 1 outdoor area (£13.6k).
- Easingwold Primary School classroom refurbishment (£74.8k).

4.2.17 Of the additional School Condition Grant referred to in paragraph 4.2.5, £2,843.6k (63%) has been reprofiled into 2021/22 whilst a programme of works is developed. A boiler replacement programme within the schools Capital Planned Maintenance Programme has been agreed in principle to proceed using the remaining £1.7m. As work will be undertaken on sites where other work is already scheduled, some of it during term time when schools will be operational, a conservative estimate is that £700k worth of work will fall into 2021/22 to ensure safe working practices.

4.2.18 The second and third phases of work to develop the Mowbray Special School site at Ripon are being funded from the 20/21 Special Provision Targeted Capital Programme. Works are now not expected to be completed until 2021/22 resulting in the reprofiling of £230.5k.

4.2.19 Agreed top-up funding of £54k required for the PCU replacement and corridor works at Wavell Junior School from this year's contingency budget has been reprofiled to 2021/22 to reflect delays due to Covid.

4.2.20 Property rationalisation plans for the wider Northallerton, Scarborough and Selby areas are under review in light of Covid 19 and the potential reorganisation of local government across North Yorkshire. Proposals to relocate Trading Standards to 3 Racecourse Lane are progressing but are unlikely to be completed this financial year. Budget of £416.1k has been reprofiled to 21/22 to reflect this.

4.2.21 The request for approval to vire unspent funding from the expired ICT Infrastructure and New Ways of Working programmes to the T&C Roadmap 2020-2025 is addressed at paragraph 4.2.29. The funding has been reprofiled to reflect the capital requirements of the Roadmap over the five year programme.

4.2.22 Following the completion of works at Station View EPH, Harrogate, plans for adaptations at Ashfield EPH, Skipton, and Silver Birches, Filey, are being taken forward this year. £300.0k has been reprofiled to 2021/22 this quarter for this leaving £83.0k in 2020/21 to cover associated fees and some other minor works.

4.2.23 Legal property charge arrangements are expected to finally conclude within the next six months so allowing for the long awaited release of grant in relation to Extra Care facilities at Helmsley (100%) and three other sites (50%). £665.1k has been reprofiled to 2021/22 to facilitate the release of the final 50% instalments upon completion of Bentham, Filey and Skipton.

Removal of Budgets

4.2.24 A number of budgets have been identified as being no longer required and so have been removed from the Capital Plan this quarter.

4.2.25 The countywide project to replace existing street lighting lanterns with more efficient LED versions is approaching its completion. Of the £2,347.4k remaining budget, an estimated £700k is required to purchase and install the last of the lanterns. The balance of £1,647.4k is, therefore, released back to the Strategic Capacity Reserve (in addition to the £3,000.0k released back at Q2 2019/20). This final forecast suggests a total underspend of £4,467.4k on an original approval of £12,858.0k as a result of savings realised during the procurement process.

4.2.26 As referred to in paragraph 4.2.14, the proposed delivery of a household waste recycling centre at Brompton-on-Swale has been mothballed with the budget funded from Strategy Capacity Reserve of £339.8k being removed from the Capital Plan this quarter.

4.2.27 Further to discussions between Eskdale School and the Football Foundation, the 3G pitch scheme will now be a school-led scheme with the school claiming the grant direct. The scheme will no longer be managed through the CYPS Capital Plan resulting in the removal of the budget of £573.7k this quarter.

4.2.28 The changes to the Capital Plan outlined above are summarised in the following table:

SUMMARY OF CHANGES SINCE THE LAST CAPITAL PLAN UPDATE	2020/21	2021/22	2022/23	2023/24	Later Years	Total
	Capital Plan as at Q2 2020/21					
	£k	£k	£k	£k	£k	£k
	176,828.5	42,996.8	10,317.3	0.0	25,960.2	256,102.8
Changes this Quarter:						
Total schemes carried forward from 2019/20	0.0	0.0	0.0	0.0	0.0	0.0
Total reprofiling between years	-12,690.9	10,407.4	700.0	799.0	784.5	0.0
Total variations in the funding of schemes	18,429.1	63,039.6	12,363.5	5,455.0	-110.4	99,176.8
Updated Gross Capital Spend	182,566.7	116,443.8	23,380.8	6,254.0	26,634.3	355,279.6

Other Capital Updates

4.2.29 The development of a five year Digital, Data and Technology Roadmap has highlighted the need for a capital budget to support delivery. It is proposed that the unspent funding approval from the previous programme which expired at 31 March 2020 is vired to support what is, in many respects, a continuation of the work completed to date to ensure that the Council has the IT solutions to support ongoing service delivery. The value of funding available already within the Capital Plan is £1,823.1k (made up of £1,352.0k earmarked Reserve and £471.1k unallocated capital receipts) to which would be added the balance in the T&C Reserve of £1,397.7k to create a T&C Roadmap 2020-2025 budget of £3,220.8k.

4.2.30 Budget uplifts are required for the construction of new primary schools at Manse Farm, Knaresborough, and North Northallerton. Tendering and procurement exercises are imminent with a view to contracts being awarded in Spring 2021 with a preferred start date of Summer 2021 for completion in Summer 2022. The uplift requirement to Gateway report estimates is included in this report as these timings do not fit well with Performance and MTFs reporting. Manse Farm will require a top up of £1,104k to £6,104k and North Northallerton £2,687.8k to £5,540.0k. Any further uplifts required as a result of the tendering exercise will be addressed at a future date.

4.3 RISKS

4.3.1 Every effort is made to identify, assess and minimise the level of risk associated with a scheme or programme within the Capital Plan. Larger schemes and programmes are subject to assessment and monitoring under the Council's Risk Management Strategy.

Current Identified Risks

4.3.2 The following table sets out the types of risk that have been identified against current schemes and programmes within the Capital Plan.

	Under- & Over- Programming	Costs	Funding	Time	Receipts	Delivery
Business & Environmental Services						
Structural Maintenance of Roads & Bridges	x	x				
Kex Gill Realignment		x	x	x		
Local Growth Fund				x		x
Children & Young People's Service						
School Capital Programme		x	x	x	x	x

Structural Maintenance of Roads

- 4.3.3 As previously reported, in order to maximise spend against plan each year, Business and Environmental Services set a rolling two-year capital works programme for Highways which includes additional schemes that, on paper, would result in an over-programming of works against available funding. In reality, this is unlikely to result in a budget overspend as approved schemes will either (i) be programmed together as a single scheme thereby reducing costs, (ii) be reprofiled into the following year or (iii) be removed from the programme altogether.
- 4.3.4 Following confirmation of the £6.0m Getting Building grant allocation towards the flood repairs at Chapel Haddlesey, the Highways annual programme is currently showing an under-programming value of £385.3k. The service is working to mitigate this through the bringing forward of schemes that are 'shovel ready' and/or addressing unforeseen weather related landslips and drainage requirements as they occur. However, the risk of over-commitment remains as a result.

Kex Gill Realignment

- 4.3.5 Further to previous reporting, a firm funding commitment has still not been received from the Department for Transport (DfT). However, DfT plan to take forward the funding of the scheme to their investment board shortly and then, if approved, to Ministers.
- 4.3.6 At the time of writing, the planning application is to be considered at the November planning committee. However, a response is still required from one of the statutory consultees. In the meantime, work on the necessary compulsory purchase and side roads orders continues with tender documents already prepared with a view to going out to tender in January 2021 for a start

on site of June/July 2021. If there are enough major objections to warrant a Public Inquiry, this will delay this step by approximately 12 months. The estimated overall project budget currently stands at £49.6m, £4.95m of which is being funded from the Council's Strategic Capacity Reserve.

Local Growth Fund Risk Update

- 4.3.7 As reported at Q1, 2020/21 marks the final year of the current Local Growth Fund programme. The Cities & Local Growth Unit have since released the final third of this year's funding allocation following a review over the summer of the contractual status of projects and an assessment of the risk and level of potential slippage. The Local Enterprise Partnership continues to work to achieve full spend before 31st March 2021 although this remains a risk.

Basic Need, School Condition and Capital Planned Maintenance Programmes

- 4.3.8 The school programmes have recommenced following lockdown with the majority of Basic Need schemes due on site this summer as planned. The risk to the delivery of the programme is the potential for future lockdowns as a result of a second wave of Covid 19. In terms of budgets, additional costs relating to safe distancing working is having to be factored in.
- 4.3.9 Feasibility studies are being commissioned for the 2021/22 programme although there is concern that Align Property Partners and the Property Service may struggle to manage a standard annual programme of works plus the backlog from this year's programme in 2021/22.

4.4 CAPITAL FORWARD PLAN

- 4.4.1 The intention of the Capital Forward Plan is to ensure that there is a methodical approach to developing proposals for new capital schemes to be added to the Capital Plan and, in particular, the process for securing funding.
- 4.4.2 The Technical (Capital) and Strategic teams within Finance, are the key contacts for officers developing funding proposals that require both grant applications and access to central funding reserves.
- 4.4.3 There are no new proposals this quarter.

4.5 CAPITAL FINANCING

- 4.5.1 The financing of the Capital Plan is realised, primarily, through the receipt of Government grants. In addition, the Council can utilise revenue contributions,

reserves, capital receipts from the sale of assets such as surplus land and buildings, and, as a last resort, it can borrow from either the Public Works Loan Board or money markets.

4.5.2 The main grants received and included in the Capital Plan relate to Highways and Schools and, as such, the Council's Capital Plan can be heavily influenced by Government department priorities. Grants, in total, fund 77% of the total 2020/21 Capital programme (an increase of 3 percentage points on the last quarter reflecting the growth in additional grant funding this Quarter). Where confirmed, grants have been added to the Capital Plan in the years to which they are due to be received.

4.5.3 Revenue contributions, whilst reflected in capital budgets, are also addressed in the associated revenue budgets.

Financing the Refreshed Capital Plan

4.5.4 The table below indicates that there is potentially £17.1m of unallocated capital funding that might become available over the Capital Plan period (depending upon the realisation of forecast capital receipts).

Source	2020/21 £k	2021/22 £k	2022/23 £k	2023/24 £k	Later Yrs £k
Forecast Sources of Finance					
Borrowing	17,200	4,649	-10,654	-3,118	7,558
Grants and Capital Contributions	151,012	89,364	18,428	2,100	17,516
Schemes financed from Revenue	14,507	7,767	4,100	3,467	556
Capital Receipts	5,918	15,521	12,137	3,805	10,596
= Total Forecast Capital Funding	188,637	117,301	24,011	6,254	36,226
- Updated Capital Plan	-182,567	-116,444	-23,381	-6,254	-26,634
= Potential Unallocated Capital Resources	6,070	857	630	0	9,592
Total potentially unallocated available over full capital reserves resources Capital Plan period	17,149				

4.5.5 Some of the forecast receipts making up this 'Corporate Capital pot' are not expected to be realised for some time yet. As a result, the availability of this unallocated funding is speculative in terms of both timing and amount. Against this background, any material spending of the 'pot' combined with significant reductions in the expected value of potential capital receipts in the pipeline could result in its becoming 'overdrawn'. Such a scenario would result in the requirement for additional Prudential Borrowing to finance the existing Capital plan.

4.5.6 Assuming that the forecasts remain accurate, the options for this unallocated resource are:

- a) To retain, resulting in the earning of short term interest within Corporate Miscellaneous; or

- b) To make available for either new capital investment or for reducing Prudential Borrowing which would, in turn, result in financing cost savings in the Revenue Budget.

4.5.7 The current position, as previously agreed by Members, remains to retain any surplus capital funding for the time being.

4.6 RECOMMENDATIONS

4.6.1 The Executive is recommended to:

- (a) Approve the refreshed Capital Plan summarised at **paragraph 4.2.3**;
- (b) Approve the proposal to fund the Technology and Change Roadmap 2020-2025 as set out at **paragraph 4.2.29**; and
- (c) Agree that no action be taken at this stage to allocate any additional capital resources (**paragraph 4.5.7**)

APPENDICES TO THE CAPITAL PLAN

- A BUSINESS & ENVIRONMENTAL SERVICES
- B CHILDREN & YOUNG PEOPLE'S SERVICE
- C CENTRAL SERVICES
- D HEALTH & ADULT SERVICES
- E FINANCING OF THE CAPITAL PLAN
- F ADDITION OF 2023/24 FINANCIAL YEAR

2020/21 CAPITAL BUDGET MONITORING - POSITION TO 30 SEPTEMBER 2020

BUSINESS AND ENVIRONMENTAL SERVICES

ITEM	Total £000	Expenditure to 31.3.20 £000	2020/21 £000	2021/22 £000	2022/23 £000	2023/24 £000	Later Years £000
GROSS EXPENDITURE							
HIGHWAYS & TRANSPORTATION ANNUAL PROGRAMME							
Structural Maintenance	170,456	-	74,971	52,932	-	-	-
Integrated Transport	5,877	-	5,877	-	-	-	-
New and Replacement Road Lighting Columns	9,054	7,511	1,543	-	-	-	-
Regional Funding Allocation	454	-	9	-	-	-	445
Overprogrammed Works	-	-	-	-	-	-	-
Flood Risk Management	3,274	-	1,424	1,240	370	200	-
HIGHWAYS & TRANSPORTATION MAJOR PROJECTS							
Kex Gill Realignment	4,950	2,840	2,111	-	-	-	-
Junction 47 Improvements	7,890	609	3,924	3,297	12	12	36
Harrogate- York Rail Scheme	9,854	-	9,854	-	-	-	-
Bedale-Aiskew-Leeming Bar Major Scheme	25,651	25,052	80	60	40	-	420
A174 Sandsend Slope Stabilisation	7,032	7,032	-	-	-	-	-
Transforming Cities	18,859	-	1,856	4,640	12,364	-	-
WASTE & COUNTRYSIDE SERVICES							
Waste Management Service	650	-	29	15	15	15	576
Waste Procurement Project	5,632	5,534	98	-	-	-	-
ECONOMIC PARTNERSHIP UNIT							
Rural Connected Communities (5G)	1,000	4	441	555	-	-	-
Mobile Infrastructure Programme	79	79	-	-	-	-	-
Heritage Services	175	-	175	-	-	-	-
GROWTH, PLANNING & TRADED SERVICES							
Local Growth Deal	86,402	62,512	23,891	-	-	-	-
LEP Growing Places Fund (Grant)	-	-	-	-	-	-	-
LEP Growing Places Fund (Grant Reinvested)	988	-	988	-	-	-	-
Getting Building Fund	9,400	-	1,700	7,700	-	-	-
TOTAL GROSS SPEND	367,678	153,765	128,971	70,439	12,801	227	1,476
Last Update	280,620	153,765	117,107	8,139	437	-	1,172
CAPITAL GRANTS & CONTRIBUTIONS							
Capital Grants							
- Local Transport Plan Grant	68,446 CR	2,269 CR	34,327 CR	31,850 CR	-	-	-
- National Productivity Investment Fund	3,434 CR	580 CR	2,854 CR	-	-	-	-
- Safer Roads Fund	11,552 CR	653 CR	7,927 CR	2,972 CR	-	-	-
- Highways England Grant	813 CR	29 CR	-	784 CR	-	-	-
- Section 31 DfT Grants	23,144 CR	23,140 CR	4 CR	-	-	-	-
- Transforming Cities Fund Grant	18,559 CR	-	1,856 CR	4,640 CR	12,064 CR	-	-
- EA Grant	5,656 CR	4,763 CR	431 CR	405 CR	57 CR	-	-
- Waste Capital Grants	425 CR	-	14 CR	-	-	-	411 CR
- DfT Grant	35,933 CR	-	20,773 CR	15,160 CR	-	-	-
- Local Growth Deal	126,551 CR	87,879 CR	38,373 CR	300 CR	-	-	-
- Getting Building Fund	15,400 CR	-	7,700 CR	7,700 CR	-	-	-
- DCMS Grant	1,000 CR	4 CR	441 CR	555 CR	-	-	-
- Other Capital Grants	20 CR	-	20 CR	-	-	-	-
Capital Contributions	3,825 CR	1,580 CR	1,600 CR	425 CR	20 CR	200 CR	-
S106 Contributions	728 CR	-	283 CR	-	-	-	445 CR
LEP Growing Places Fund/Teckal Loan Repayments	10,988 CR	-	988 CR	10,000 CR	-	-	-
Revenue Contributions							
- Road Lighting Columns	8,211 CR	7,511 CR	700 CR	-	-	-	-
- Structural Maintenance of Roads	15,000 CR	14,798 CR	202 CR	-	-	-	-
- Structural Maintenance of Bridges	-	-	-	-	-	-	-
- Kex Gill	4,950 CR	2,840 CR	2,111 CR	-	-	-	-
- Flood Risk Management	1,438 CR	40 CR	735 CR	370 CR	293 CR	-	-
- Junction 47	2,323 CR	-	-	2,263 CR	12 CR	12 CR	36 CR
- Harrogate-York Rail	254 CR	-	254 CR	-	-	-	-
- Transforming Cities	300 CR	-	-	-	300 CR	-	-
- BALB (PIP)	2,402 CR	1,802 CR	80 CR	60 CR	40 CR	-	420 CR
- Other Revenue Contributions	603 CR	418 CR	140 CR	15 CR	15 CR	15 CR	-
TOTAL GRANTS AND CONTRIBUTIONS	361,955 CR	148,304 CR	121,813 CR	77,499 CR	12,801 CR	227 CR	1,312 CR
TOTAL NET EXPENDITURE	5,723	5,461	7,158	7,660 CR	-	-	165

2020/21 CAPITAL BUDGET MONITORING - POSITION TO 30 SEPTEMBER 2020

CHILDREN AND YOUNG PEOPLE'S SERVICE

ITEM	Total £000	Expenditure to 31.3.20 £000	2020/21 £000	2021/22 £000	2022/23 £000	2023/24 £000	Later Years £000
GROSS EXPENDITURE							
NYCC MANAGED SCHOOL SCHEMES							
Basic Need Schemes	55,298	-	21,703	14,004	4,081	-	15,511
School Condition Schemes	14,339	-	6,937	6,596	296	-	510
Capital Maintenance Programme	7,033	-	4,250	2,784	-	-	-
General Compliance & Health and Safety	264	-	264	-	-	-	-
Strategic Management of Capital	361	-	361	-	-	-	-
SCHOOL MANAGED SCHEMES							
Self Help Schemes	12,402	-	3,402	3,000	3,000	3,000	-
Devolved Formula Capital Grant Funding	5,380	-	1,160	1,410	1,410	1,400	-
NYCC NON-SCHOOL MANAGED SCHEMES							
Catering Equipment	960	-	240	240	240	240	-
Prevention & Commissioning	109	-	-	-	-	-	109
Children & Families	212	-	212	-	-	-	-
Aiming High for Disabled Children - Short Breaks	61	-	61	-	-	-	-
TOTAL GROSS SPEND	96,420	-	38,589	28,034	9,027	4,640	16,130
Last Update	86,298	-	42,070	18,968	9,027	-	16,233
CAPITAL GRANTS & CONTRIBUTIONS							
NYCC MANAGED SCHOOL SCHEMES							
Capital Grants							
- Basic Need Grant	22,410 CR	-	11,948 CR	5,447 CR	2,188 CR	-	2,827 CR
- Devolved Capital Grant	250 CR	-	165 CR	85 CR	-	-	-
- School Condition Grant	19,715 CR	-	10,400 CR	9,019 CR	296 CR	-	-
- Special Provision Capital Fund Grant	239 CR	-	239 CR	-	-	-	-
- Other Capital Grants	38 CR	-	38 CR	-	-	-	-
Capital Contributions							
- Section 106 Income	30,501 CR	-	8,724 CR	6,836 CR	1,893 CR	-	13,048 CR
- Other Capital Contributions	1,499 CR	-	750 CR	750 CR	-	-	-
SCHOOL MANAGED SCHEMES							
Capital Grants							
- Devolved Capital Grant	5,380 CR	-	1,160 CR	1,410 CR	1,410 CR	1,400 CR	-
- Sport Organisation Grants	402 CR	-	402 CR	-	-	-	-
Capital Contributions							
- Self Help Capital Contributions	2,000 CR	-	500 CR	500 CR	500 CR	500 CR	-
- School Budgets Revenue Contributions	10,000 CR	-	2,500 CR	2,500 CR	2,500 CR	2,500 CR	-
NYCC NON-SCHOOL MANAGED SCHEMES							
Capital Grants							
- Other Capital Grants	109 CR	-	-	-	-	-	109 CR
Revenue Contributions							
- Catering Equipment	960 CR	-	240 CR	240 CR	240 CR	240 CR	-
- Other Revenue Contributions	273 CR	-	273 CR	-	-	-	-
TOTAL GRANTS AND CONTRIBUTIONS	93,776 CR	-	37,339 CR	26,787 CR	9,027 CR	4,640 CR	15,994 CR
Last Update	83,655 CR	-	40,820 CR	17,721 CR	9,027 CR	-	16,087 CR
TOTAL NET EXPENDITURE	2,643	-	1,250	1,248	-	-	146
Last Update	2,643	-	1,250	1,248	-	-	146

2020/21 CAPITAL BUDGET MONITORING - POSITION TO 30 SEPTEMBER 2020							
CENTRAL SERVICES							
ITEM	Total	Expenditure to 31.3.20	2020/21	2021/22	2022/23	2023/24	Later Years
	£000	£000	£000	£000	£000	£000	£000
GROSS EXPENDITURE							
County Hall Redevelopment	6,444	3,091	2,918	435	-	-	-
Property Rationalisation	1,500	259	75	1,166	-	-	-
ICT Infrastructure (FCS)	-	-	-	-	-	-	-
New Ways of Working	-	-	-	-	-	-	-
T&C Roadmap 2020/2025	3,221	-	560	700	700	700	561
Super Fast Broadband Scheme	840	154	-	-	-	-	686
Library Schemes	769	731	38	-	-	-	-
Purchase of Vehicles, Plant & Equipment	400	-	100	100	100	100	-
Material Damage Provision	2,000	-	500	500	500	500	-
South Cliff, Scarborough	1,212	-	1,212	-	-	-	-
Capital Investments	-	-	-	-	-	-	-
Capital Loan Provisions	-	-	-	-	-	-	-
Loans to Limited Companies	30,737	12,229	6,976	6,863	-	87	4,582
Investments in Limited Companies	500	500	-	-	-	-	-
TOTAL GROSS SPEND	47,622	16,963	12,379	9,764	1,300	1,387	5,829
Last Update	45,625	16,963	14,059	8,648	600	-	5,355
CAPITAL GRANTS & CONTRIBUTIONS							
Capital Grants							
- Performance Reward Grant	800 CR	124 CR	-	-	-	-	676 CR
Loan Repayments	30,848 CR	389 CR	389 CR	4,593 CR	11,747 CR	3,805 CR	9,926 CR
Revenue Contributions							
- Revenue Contributions - Property	6,194 CR	3,091 CR	2,918 CR	185 CR	-	-	-
- Revenue Contribution - Technology & Change	2,790 CR	29 CR	560 CR	700 CR	700 CR	700 CR	100 CR
- Revenue Contribution - Other	1,212 CR	-	1,212 CR	-	-	-	-
- Revenue Contribution - Library Kiosks	741 CR	703 CR	38 CR	-	-	-	-
- Revenue Contributions - Limited Companies	500 CR	500 CR	-	-	-	-	-
TOTAL GRANTS AND CONTRIBUTIONS	43,085 CR	4,836 CR	5,117 CR	5,478 CR	12,447 CR	4,505 CR	10,702 CR
Last Update	41,687 CR	4,836 CR	5,909 CR	4,778 CR	11,747 CR	-	14,417 CR
TOTAL NET EXPENDITURE	4,538	12,127	7,262	4,286	11,147 CR	3,118 CR	4,873 CR
Last Update	3,938	12,127	8,150	3,870	11,147 CR	-	9,062 CR

2020/21 CAPITAL BUDGET MONITORING - POSITION TO 30 SEPTEMBER 2020

HEALTH AND ADULT SERVICES

ITEM	Total	Expenditure to 31.3.20	2020/21	2021/22	2022/23	2023/24	Later Years
	£000	£000	£000	£000	£000	£000	£000
GROSS EXPENDITURE							
Maintaining Fabric / Facilities of Properties	1,027	-	83	690	254	-	-
Extra Care Scheme (Invest to Save)	13,261	-	2,545	7,517	-	-	3,199
TOTAL GROSS SPEND	14,287	-	2,628	8,207	254	-	3,199
Last Update	14,287	-	3,593	7,242	254	-	3,199
CAPITAL GRANTS & CONTRIBUTIONS							
Capital Grants							
- PSS Capital Grant	609 CR	-	83 CR	526 CR	-	-	-
Revenue Contributions							
- Revenue Contributions - PIP Funding	3,979 CR	-	2,545 CR	1,434 CR	-	-	-
TOTAL GRANTS AND CONTRIBUTIONS	4,587 CR	-	2,628 CR	1,960 CR	-	-	-
Last Update	4,587 CR	-	3,593 CR	995 CR	-	-	-
TOTAL NET EXPENDITURE	9,700	-	-	6,247	254	-	3,199
Last Update	9,700	-	-	6,247	254	-	3,199

FINANCING OF CAPITAL PLAN					
Q2 2020/21					
A FORECAST FUNDING AVAILABLE	2020/21 £000s	2021/22 £000s	2022/23 £000s	2023/24 £000s	Later Yrs £000s
1 Borrowing					
Prudential (Unsupported) Borrowing	19,141	-6,460	600	600	-34,885
Rephased borrowing (capital expenditure & receipts slippage)	-1,941	11,109	-11,254	-3,718	42,443
	17,200	4,649	-10,654	-3,118	7,558
2 Capital Grants and Contributions					
Health & Adult Services	83	526	0	0	0
Business & Environmental Services	116,602	64,791	12,141	200	856
Children & Young People's Service	34,327	24,047	6,287	1,900	15,984
Central Services	0	0	0	0	676
	151,012	89,364	18,428	2,100	17,516
3 Schemes financed from Revenue					
Health & Adult Services	2,545	1,434	0	0	0
Business & Environmental Services	4,222	2,708	660	27	456
Children & Young People's Service	3,013	2,740	2,740	2,740	0
Central Services	4,728	885	700	700	100
	14,507	7,767	4,100	3,467	556
4 Capital Receipts available to finance Capital Spending					
Other capital receipts from sale of properties	4,541	928	390	0	670
LEP Growing Places Loan Repayment (classed as capital receipts)	988	0	0	0	0
Highways Teckal Advance Purchase Provision					
Company & Other Loan Repayments (treated as capital receipts)	389	14,593	11,747	3,805	9,926
	5,918	15,521	12,137	3,805	10,596
= Total Forecast Funding Available	188,637	117,301	24,011	6,254	36,226
B CAPITAL PLAN Updated gross spend	-182,567	-116,444	-23,381	-6,254	-26,634
C FUNDING REMAINING	6,070	857	630	0	9,592
D TOTAL FUNDING REMAINING					17,149

ADDITION OF 2023/24 TO CAPITAL PLAN			
Schemes	£000	2023/24 £000	£000
Forecast Prudential Borrowing Requirement			
Provision for the Purchase of Plant, Vehicles and Equipment (CS)	100		
Material Damage Provision (CS)	<u>500</u>		
		600	600
Schemes and Provisions Self-Funded by Capital Grants and Contributions			
Flood Risk Management (BES)	200		
Devolved Capital Grant & Contributions (CYP)	1,400		
School Led Schemes (CYP)	<u>500</u>		
		2,100	
Schemes and Provisions Self-Funded by Directorate Revenue Contributions			
Catering Equipment (CYP)	240		
School Led Schemes (CYP)	2,500		
HWRC Equipment (BES)	<u>15</u>		
		2,755	
			4,855
Rephasing of Expenditure			
(a) Phasing of expenditure moved from earlier years			
T&C Roadmap 2020-2025	<u>700</u>		
		700	
(b) Phasing of expenditure moved from later years			
Loans to Limited Companies	87		
Junction 47 Improvements (BES)	<u>12</u>		
		99	
			799
= 2023/24 Forecast Capital Spend		<u>6,254</u>	

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

- a. notes the latest position for the County Council's 2020/21 Revenue Budget, as summarised in **paragraph 2.1.2**.
- b. notes the position on the GWB (**paragraphs 2.4.1 to 2.4.3**)
- c. notes the position on the 'Strategic Capacity – Unallocated' reserve (**paragraphs 2.4.4 to 2.4.6**)
- d. notes the position on the County Council's Treasury Management activities during the second quarter of 2020/21
- e. refers this report to the Audit Committee for their consideration as part of the overall monitoring arrangements for Treasury Management.
- f. Approve the refreshed Capital Plan summarised at **paragraph 4.2.3**;
- g. Approve the the proposal to fund the Technology and Change Roadmap 2020-2025 as set out at **paragraph 4.2.29**; and
- h. Agree that no action be taken at this stage to allocate any additional capital resources (**paragraph 4.5.7**)

Richard Flinton
Chief Executive
8 December 2020

Gary Fielding
Corporate Director, Strategic Resources