Notice of a public meeting of

Executive

To: Councillors Aspden (Chair), Ayre, D'Agorne, Smalley, Waller and Widdowson

Date: Thursday, 24 June 2021

Time: 5.30 pm

Venue: The George Hudson Board Room - 1st Floor West Offices (F045)

[Note: this meeting will take place with a reduced Member attendance to ensure compliance with social distancing measures.]

A G E N D A

Notice to Members – Post Decision Calling In:

Members are reminded that, should they wish to call in any item* on this agenda, notice must be given to Democracy Support Group by **4:00 pm on Monday, 28 June 2021**.

*With the exception of matters that have been the subject of a previous call in, require Full Council approval or are urgent, which are not subject to the call-in provisions. Any called in items will be considered by the Customer and Corporate Services Scrutiny Management Committee.

1. Declarations of Interest

At this point, Members are asked to declare:

- any personal interests not included on the Register of Interests
- any prejudicial interests or
- any disclosable pecuniary interests

which they may have in respect of business on this agenda.

2. Minutes (Pages 3 - 12)

To approve and sign the minutes of the last Executive meeting, held on 20 May 2021.

3. Public Participation

At this point in the meeting members of the public who have registered to speak can do so. Members of the public may speak on agenda items or on matters within the remit of the committee.

Please note that our registration deadlines have changed to 2 working days before the meeting, in order to facilitate the management of public participation at remote meetings. The deadline for registering at this meeting is **5:00pm on Tuesday, 22 June 2021**.

To register to speak please visit www.york.gov.uk/AttendCouncilMeetings to fill in an online registration form. If you have any questions about the registration form or the meeting, please contact Democratic Services. Contact details can be found at the foot of this agenda.

Webcasting of Public Meetings

Please note that, subject to available resources, this meeting will be webcast, including any registered public speakers who have given their permission. The meeting can be viewed live and on demand at www.york.gov.uk/webcasts.

During coronavirus, we've made some changes to how we're running council meetings. See our coronavirus updates (www.york.gov.uk/COVIDDemocracy) for more information on meetings and decisions.

4. Forward Plan (Pages 13 - 16)

To receive details of those items that are listed on the Forward Plan for the next two Executive meetings.

5. City of York Council Recovery and Renewal Strategy - June Update (Pages 17 - 42)

The Chief Operating Officer to present an update report for June 2021 on the council's activities both directly in response to Covid-19 and to support recovery and renewal.

6. Supporting the York Economy (Pages 43 - 126)

The Director of Housing, Economy & Regeneration to present a report which sets out the findings of an independent evaluation of the council's Micro Business Grant scheme and asks Executive to endorse proposals to build a stronger business community and support the further recovery of micro businesses and the York economy.

7. Recycling Collection Options and Waste Consultations (Pages 127 - 270)

The Director of Environment, Transport & Planning to present a report which asks Executive to consider the results of a city-wide consultation on recycling and agree that these will inform the council's response to the Government's consultation on recycling, to be submitted by the deadline of 4 July.

8. Future of Medigold Element of CYC Approach to Absence Management (Pages 271 - 288)

The Chief Operating Officer to present a report which provides an overview of the sickness processes put in place under the contract with Medigold, feedback on the impact on sickness rates and options for the future, and seeks approval to extend the contract with Medigold for a further year after its expiry in September 2021.

9. Merger of York Coroner Area with North Yorkshire County Council Coroner Areas (Pages 289 - 330)

This report seeks approval to submit a request to the Chief Corone and the Ministry of Justice to merge the existing City of York Council coroner area and the North Yorkshire County Council coroner area into one area.

10. Finance and Performance Outturn 2020-21 (Pages 331 - 378)

The Chief Operating Officer to present a report which provides a year end analysis of the council's overall finance and performance position in 2020-2021.

11. Capital Programme Outturn 2020/21 and Revisions to the 2021/2- 2025/26 Programme (Pages 379 - 408)

The Chief Finance Officer to present a report which sets out the outturn position of the council's 2020/21 capital programme and the overall funding of the programme, and provides an update on the impact on future years of the programme.

12. Treasury Management Annual Report and Review of Prudential Indicators 2020/21 (Pages 409 - 420)

The Chief Finance Officer to present a report which outlines the annual treasury management review of activities and the actual prudential and treasury indicators for 2020/21.

13. Urgent Business

Any other business which the Chair considers urgent under the Local Government Act 1972.

Democratic Services officer:

Name: Fiona Young
Contact details:

- Telephone – (01904) 552030
- E-mail – fiona.young@york.gov.uk

For more information about any of the following please contact the Democratic Services officer responsible for servicing this meeting:

- Registering to speak
- Business of the meeting
- Any special arrangements
- Copies of reports and
- For receiving reports in other formats

Contact details are set out above.

This information can be provided in your own language.

我們也用您們的語言提供這個信息 **(Cantonese)**

এই তথ্য আপনার নিজের ভাষায় দেয়া যেতে পারে। **(Bengali)**

Ta informacja może być dostarczona w twoim własnym języku. **(Polish)**

Bu bilgiyi kendi dilinizde almanız mümkündür. **(Turkish)**

یہ معلومات آپ کی اپنی زبان (بولی) میں بھی مہیا کی جاسکتی ہیں۔ **(Urdu)**

☎ (01904) 551550

Agenda Annex

Coronavirus protocols for attending Committee Meetings at West Offices and the LNER Community Stadium

If you are attending a meeting in West Offices or the LNER Community Stadium, you must observe the following protocols.

Windows must remain open within the meeting room to maintain good ventilation.

Furniture must not be moved from the designated safe layout.

If you're displaying possible coronavirus symptoms (or anyone in your household is displaying symptoms), you must follow government self-isolation guidance and must NOT attend your meeting at West Offices or the LNER Community Stadium.

Testing

The Council encourages regular testing of all Officers and Members and also any members of the public in attendance at a Committee Meeting. Any members of the public attending a meeting are advised to take a test within 24 hours of attending a meeting, the result of the test should be negative, in order to attend. Test kits can be obtained by clicking on either link: Find where to get rapid lateral flow tests - NHS (test-and-trace.nhs.uk), or, Order coronavirus (COVID-19) rapid lateral flow tests - GOV.UK (www.gov.uk). Alternatively, if you call 119 between the hours of 7am and 11pm, you can order a testing kit over the telephone.

Guidelines for attending Meetings at West Offices and the LNER Community Stadium

You must:

- Not arrive more than 10 minutes early
- Wear a face covering when entering the building and at all times, except when addressing the Committee (i.e. public speaking, Officer responding to a question, Member speaking during to the Committee)
- If you do have cause to remove your face covering to speak, please ensure that you use hand sanitiser or wash your hands before replacing your face covering
- Visitors to enter West Offices by the customer entrance and Councillors to enter using the staff entrance only.
- Ensure your ID / visitors pass is clearly visible at all times
- Use the touchless hand sanitiser units on entry and exit to the building and within the Meeting room.

- Keep to the left and adhere to social distancing where possible when using staircases and walkways, giving way on the staircase landings
- You must sit at the dedicated spaces around the table and if screens are in place do not move them or lean around them.
- Bring your own drink if required
- Maintain social distancing of 2 metres within toilet areas and remain vigilant for other occupants
- Only use the designated toilets next to the Meeting room

Please note: If you intentionally, or repeatedly, breach any of the social distancing measures, or hygiene instructions, you will be asked to leave the building. The Meeting will not start, or may be paused should anyone remove their face covering, or not replace it after speaking.

Developing symptoms whilst in West Offices or the LNER Community Stadium

If you develop coronavirus symptoms during a Meeting, you should:

- make your way home immediately
- avoid the use of public transport where possible
- self-isolate for 10 days

You should also:

- Advise the Meeting organiser so they can arrange to assess and carry out additional cleaning
- Continue to observe social distancing
- Do not remain in the building any longer than necessary
- Do not visit any other areas of the building before you leave

If you receive a positive test result, or if you develop any symptoms before the meeting is due to take place, **you must not attend the meeting**.

City of York Council	Committee Minutes
Meeting	Executive
Date	20 May 2021
Present	Councillors Aspden (Chair), D'Agorne, Smalley, Waller and Ayre (substituting for Cllr Widdowson)
Apologies	Councillor Widdowson
In Attendance	Councillor Kilbane

Chair's Remarks

The Chair noted that this was the first time the Executive had met in person since March 2020. He welcomed Cllr Kilbane to the meeting as the new Opposition Group Leader and recorded his thanks for the contributions of the former Opposition Leader, Cllr Myers.

127. Declarations of Interest

Members were asked to declare at this point in the meeting any personal interests not included on the Register of Interests, or any prejudicial or disclosable pecuniary interests, that they might have in the business on the agenda.

Cllr Smalley declared a prejudicial interest in Agenda Item 7 (The Council's Contract with Make It York), as a Director of MIY. He left the room during consideration of that item and took no part in the debate or decisions thereon.

128. Minutes

Resolved: That the minutes of the Executive meeting held on 22 April 2021 be approved, and signed by the Chair as a correct record.

129. Public Participation

It was reported that there had been four registrations to speak at the meeting under the Council's Public Participation Scheme, including two from Council Members.

Gwen Swinburn had registered to speak on Agenda Items 4, 6 and 7 (Minutes 130-133 refer). Commenting mainly on Item 6, she suggested the council should focus on reviewing its governance arrangements and management systems instead of developing the Council Plan.

Joan Concannon spoke on Item 7 (Minute 133 refers), as a Make It York Board Member. She stressed the Board's commitment to collaborative working to help ensure the inclusive economic growth of the city.

Cllr Douglas also spoke on Item 7. She welcomed the proposals as first steps in the right direction and stated that, as a council-owned company, MIY should also adopt the council's principles.

Cllr Crawshaw spoke on Items 10, 11 and 12 (Minutes 136-138 refer). He welcomed the prospect of cross-party working on the LTP, questioned why it had taken so long to bring forward proposals to address delivery emissions, and suggested a role for Scrutiny in monitoring the Bus Service Improvement Plan.

130. Forward Plan

Members received and noted details of the items that were on the Forward Plan for the next two Executive meetings at the time the agenda was published.

131. City of York Council Recovery and Renewal Strategy - May Update

The Chief Operating Officer presented a report which provided an update for May on activities both directly in response to Covid-19 and to support recovering and renewal. He also expressed thanks to council staff for their work across all areas since March 2020.

As at 2 May, the official 7-day rate of Covid cases in York stood at 17.6 per 100k population, remaining lower than both national

and regional averages. Updates in respect of the three recovery themes: Economic, People and Corporate, were set out in paragraphs 11-15, 16-17 and 18-24 of the report respectively. Highlights included: employers' responses to increased demand for flexible working arrangements, the phased return of staff to council offices, developments in attracting businesses to York (in particular the proposed expansion of ETAS Ltd), provision of free school meals, and support for vulnerable residents.

In welcoming the report, the Chair expressed confidence in York's recovery from the effects of the pandemic, encouraging residents to continue to follow the guidance and to support local businesses.

Resolved: That the contents of the report be noted.

132. Update on the Council Plan 2019-2023 and Progress Towards a 10 Year City Plan

The Chief Operating Officer presented a report which proposed a number of updates to the 2019-2023 Council Plan (the Plan) in view of the changed context over the past year, and outlined progress and discussions currently under way to develop a 10-year Plan for the city.

The proposed updates, set out in Annex 1 to the report, did not seek to change the strategic outcomes of the Plan, but to describe changed or additional activities required to achieve these outcomes. They had been identified through conversations with key partners and organisations across York and discussion with senior managers in the council. An update on progress against the original 78 actions in the Plan was provided in Annex 2.

Development of a 10-year plan, first proposed last summer, had been delayed by the need to respond to subsequent waves of Covid infections. Conversations were now taking place with partner organisations, from which recurring themes included the need for ambition, clarity, and focus on the most critical activities, as well as for the plan to be jointly owned by the city as a whole.

Having noted the comments made on this item under Public Participation, it was

Resolved: (i) That the proposed updates to the Council Plan 2019-2023 be approved.

Reason: To ensure that the council's overall strategic plan continues to fully represent the context and activities of the council.

(ii) That the progress on development of the 10 Year Plan be noted and that further updates be requested in due course, as more detail becomes available.

Reason: To ensure the Executive is fully aware and consulted on the development of the Plan.

133. The Council's Contract with Make it York

The Assistant Director, Customer & Communities presented a report which set out the service specific requirements for a new contract to be entered into between the council and Make it York for the period 2021-24, in the light of consultation undertaken.

On 11 February 2021, Executive had approved the priorities on which the new Service Specification (the SLA) would be based (Minute 94 of that meeting refers). Consultation had now been carried out with key stakeholder groups, as detailed in Annex B to the report. The results had shown strong support for the SLA priorities, and for the council taking back the lead role in inward investment and economic development. Proposed changes to the SLA were set out in Annex A. Further work and proposals to ensure robust and transparent processes and compliance with Teckal were set out in paragraphs 15-18 and in Annex C.

Having noted the comments made on this item under Public Participation, it was

Resolved: (i) That the consultation undertaken with businesses and other stakeholder groups be noted.

(ii) That the changes to the Memorandum and Articles of Association, as set out in paragraph 16 of the report and in Annex C be approved, and that the Director of Governance be authorised to prepare the

necessary shareholder resolutions and carry out any action needed to effect the changes, and authority be delegated to the Chair of the Shareholder Committee to sign the relevant shareholder resolutions in relation to the changes.

(iii) That the changes to the specification set out in Annex A and the changes to the contract set out in paragraph 18 be approved, and that authority be delegated to the Director of Place and the Director of Customer & Communities (in consultation with the Director of Governance or her delegated officers) to take such steps as are necessary to enter into the resulting contract.

Reason: To secure a strong future for Make It York as a Teckal company.

134. School Capital Works - Internal Capital Works at Applefields Special School and Danesgate Pupil Referral Unit

The Assistant Director, Education & Skills presented a report which sought approval for capital works at Applefields Special School to accommodate a growth in pupil numbers, and at the Danesgate Community for adaptations to the site, to improve provision for children and young people with Social, Emotional and Mental Health (SEMH) needs.

In respect of **Applefields**, the following options were presented, as detailed in paragraphs 14-36 of the report:
Option 1 – do nothing. Not recommended, as the needs of pupils could not be met in the current building.
Option 2 – provide additional teaching accommodation only. This would mean some staff would need to be relocated off site.
Option 3 – provide additional teaching and office accommodation, as recommended.
In respect of **Danesgate**, the following options were presented, as detailed in paragraphs 61-71:
Option 1 – do nothing. Not recommended, as it was impossible to accommodate all students needing a place on the existing site.
Option 2 – provide additional accommodation on and off site to cater for existing cohorts. Not recommended, as there was little space on site, and off site provision was difficult and expensive.

Option 3 – Re-organise the existing site for students with a range of different needs, as recommended.

The current estimated total cost of the proposed works was £2,665,000, to be funded by a combination of the remaining SEND Facilities Scheme budget, new funding announced by the DfE for SEND provision, and a further allocation of uncommitted Basic Need funding.

Comments of the relevant portfolio holders who were not present at the meeting were reported by the Executive Member for Finance & Performance. All welcomed the proposals.

Resolved: (i) That works to complete classroom adaptations at Applefields School by September 2021 and the provision of essential administrative space by September 2022 (Option 3) be approved, and that authority be delegated to the Corporate Director of People (in consultation with the Director of Governance or her delegated officers) to take such steps as are necessary to procure, award and enter into the resulting construction contracts.

Reason: To provide sufficient special school places for children and young people with special educational needs and/or disabilities.

(ii) That works to carry out adaptations at Danesgate by September 2022 (Option 3) be approved, and that authority be delegated to the Corporate Director of People (in consultation with the Director of Governance or her delegated officers) to take such steps as are necessary to procure, award and enter into the resulting construction contracts.

Reason: To improve in-city provision for children and young people with SEMH.

135. Heslington Neighbourhood Plan - Examiner's Report

The Corporate Director of Place reported that, since publication of the agenda, Heslington Parish Council had requested an extension of time to 30 September for a decision to be made on the Examiner's Recommendations and progressing the

Heslington Neighbourhood Plan. This had been agreed by the council in accordance with Regulation 17A of the Neighbourhood Planning Regulations. It was therefore requested that this item be deferred.

Resolved: That consideration of this item be deferred until after 30 September 2021.

Reason: To allow time for Heslington Parish Council to consider the matters raised by the Examiner.

136. York's Local Transport Plan

The Corporate Director of Place presented a report which set out a proposed scope, timescale and budget for York's fourth Local Transport Plan (LTP4). The report had been considered by the Executive Member for Transport at a Decision Session on 11 May.

Outcomes achieved against LTP3, which had been in place since 2011, were summarised in paragraph 10 of the report. LTP4 would build on the work already undertaken on initiatives such as My City Centre and the Local Plan, and would complement the strategies being developed for York's Economic Recovery and Carbon Reduction / Climate Change. It would also take account of committed major transport schemes, national and regional policies, and the council's commitments to zero carbon and reducing car use in the city centre and around schools. It would concentrate on a 15-year period with a review every 5 years.

Governance arrangements for LTP4 were set out in paragraphs 25-27. They included a cross-party Member steering group that would make recommendations to the Executive or Executive Member for Transport at key points as the plan developed. A large stakeholder group would also be involved at the close of critical stages. A consultation process for the plan was set out in Annex A to the report, and a GANTT chart showing the stages towards an assumed completion in September 2022 was attached at Annex B.

Having noted the comments made on this item under Public Participation, it was

Resolved: That the approach set out in the report be endorsed.

Reason: To allow timely delivery of York's fourth Local Transport Plan.

137. Reducing Emissions for First and Last Mile Light Goods Deliveries in York

The Corporate Director of Place presented a report which sought approval for proposals to use funding of £297,237 awarded by the DEFRA Air Quality Grant Scheme to reduce emissions of nitrous oxide, particulate matter and carbon dioxide associated with delivery vehicles in York.

The award would be used to support two main projects; a feasibility study and a pilot project, as outlined in paragraphs 16-24 of the report and in Annexes 1 and 2. Both would be contracted out, through the council's procurement process. The aim was to address emissions and congestion from the growing number of delivery vans, HGVs and LGVs, especially in the city centre, via the use of low emission transport modes for the first and last mile of delivery. This would assist in delivering the Air Quality Action Plan and support a number of the city's objectives.

The funding would be subject to the UK Subsidy Control Rules, which replaced the European State Aid Rules in December 2020. Legal officers' views on how these rules would be complied with were set out in paragraph 34 of the report.

Having noted the comments made on this item under Public Participation, it was

Resolved: (i) That the funding from DEFRA be accepted, to be used to address emissions associated with deliveries in the city.

(ii) That the plan for the funding, as outlined in the report, and the conditions attached to the funding, be accepted.

(iii) That authority be delegated to the Corporate Director of Place (in consultation with the Director of Governance or her delegated officers) to take such steps as are necessary to procure, award and enter into the resulting contracts.

(iv) That further information on implementation of the scheme, and further details of the pilot scheme, be brought to the Executive in Autumn 2021.

Reason: To support current and ongoing work to improve air quality, support development of York's fourth Local Transport Plan, and contribute to a number of other council priorities.

138. York's Response to the National Bus Strategy

The Corporate Director of Place presented a report which explained how the council would discharge the obligation placed on English local transport authorities (LTAs) to develop a Bus Service Improvement Plan (BSIP) by October 2021.

The National Bus Strategy published on 15 March required either that bus operators form an Enhanced Partnership (EP) with their LTA, or that LTAs commit to franchising bus services in their areas, by the end of June. Failure to do either would mean losing covid bus service support grant. In October, LTAs not taking steps to franchise services must publish a BSIP, in partnership with bus operators, setting out how services would be improved in their areas. Detailed guidance on the BSIP was still awaited from the DfT (Department for Transport).

Initial consultation with bus operators in York had shown a clear preference for the EP delivery model. As explained in the report, the unusual features of York's bus network, and good relations between bus operators and the council, meant that a franchised service would not require such major changes as in other areas. However, procurement timescales meant that moving to a franchised model would not be deliverable within the timeframe. It was therefore recommended that the council notify the DfT of an intention to form an EP with York's bus operators by the end of June, and that a further report be brought to the Executive on the detail and content of the BSIP.

In response to the comments made on this item under Public Participation, officers confirmed that they would contact Cllr Crawshaw regarding the role of Scrutiny in the BSIP.

Resolved: That the approach set out in the report be endorsed.

Reason: To allow timely development of a Bus Service Improvement Plan for York, mitigate against potential loss of covid bus service support grant from July 2021, and enable a Bus Service Improvement Plan to be delivered in time for a decision on its adoption to be made by Executive in September 2021, prior to the DfT's deadline of October 2021.

Cllr K Aspden, Chair
[The meeting started at 5.30 pm and finished at 6.45 pm].

Forward Plan: Executive Meeting: 24 June 2021

Table 1: Items scheduled on the Forward Plan for the Executive Meeting on 20 July 2021

Title and Description	Author	Portfolio Holder
CYC Renewal and Recovery Strategy **Purpose of Report** To provide an update on activities in response to the Covid-19 and the work to support recovery and renewal. This follows previous Executive decisions to approve the Recovery and Renewal Plan, which frames the Council's recovery activities for the year. Executive will be asked to: note the report.	Will Boardman	Executive Leader
Flood Resilience Innovation Programme **Purpose of Report** CYC have been awarded funding through Defra's Flood and Coastal Resilience Innovation Programme; as one of 25 nationally funded schemes the six year programme will develop a range of incentivised natural flood risk management opportunities across the River Swale, Ure and Nidd catchments. These measures will deliver flood resilience and climate change mitigation outcomes for York and North Yorkshire communities. The report will inform Executive of the approaches being promoted with the project and the ways in which they will be delivered through partnership working with a wide range of partners across the river catchment. Executive will be asked to: endorse the report and its approaches and provide a steer through the consideration of a number of options of project governance approaches to embed and facilitate partnership working across the River Ouse catchment.	Steve Wragg	Executive Member for Environment & Climate Change

Title and Description	Author	Portfolio Holder
Lowfield Green – Learning Disabilities Accommodation and Support **Purpose of Report** The project proposes to build specialist accommodation for 6 adults with a learning disability who have dementia and 6 adults who because of the aging process are in accommodation which no longer meets their needs and would suit a more bespoke setting. In addition to the 12 units there will be up to 6 cluster flats on for first steps into independent living. The building of these units will enable a pathway through specialist supported accommodation for adults with a learning disability. There will be staff on site 24/7. The proposed site for this specialist accommodation is the Public Service Plot at Lowfield Green. Executive will be asked to: agree the specialist accommodation and approve the procurement of a housing provider to build the accommodation and a support provider to deliver the care and support element.	Katie Brown	Executive Member for Health & Adult Social Care
Huntington Neighbourhood Plan – Referendum Result and Adoption **Purpose of Report** to inform Members of the positive outcome of the Referendum and recommend that Members formally 'make' the Huntington Neighbourhood Plan and adopt it as Council policy. Executive will be asked to: note the positive outcome of the Referendum and recommend that Members formally 'make' the Huntington Neighbourhood Plan and adopt it as Council policy.	Anna Pawson	Executive Member for Economy & Strategic Planning

Table 2: Items scheduled on the Forward Plan for the Executive Meeting on 26 August 2021

Title and Description	Author	Portfolio Holder
CYC Renewal and Recovery Strategy **Purpose of Report** To provide an update on activities in response to the Covid-19 and the work to support recovery and renewal. This follows previous Executive decisions to approve the Recovery and Renewal Plan, which frames the Council's recovery activities for the year. Executive will be asked to: note the report.	Will Boardman	Executive Leader

Table 3: Items Slipped on the Forward Plan

Title & Description	Author	Portfolio Holder	Original Date	Revised Date	Reason for Slippage
Lowfield Green – Learning Disabilities Accommodation and Support *See Table 1 for details.*	Katie Brown	Executive Member for Health & Adult Social Care	24/6/21	20/7/21	To enable additional analysis of proposals to be undertaken across areas of the Council.

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Executive **24 June 2021**

Report of the Chief Operating Officer
Portfolio of the Leader of the Council

City of York Council Recovery and Renewal Strategy – June Update

Summary

1. This report provides an update on activities both directly in response to Covid-19 and the work to support recovery and renewal.

2. In this month's report, the work of the public health function is highlighted, along with updates on the city's work to improve mental health provision. The report also highlights the latest developments on reopening the city centre.

3. It is highly likely given the fast-changing nature of the pandemic that some of the information within this report will have changed between publication and the Executive meeting. Updates will, therefore, be given at the meeting.

Recommendations

4. Executive is asked to:
    a. Note the contents of the report

Background

5. On 25th June 2020, Executive received a report to outline the council's 1-year Recovery and Renewal Strategy. This highlighted the need for a revised set of strategies to address the very significant and immediate impacts of coronavirus across all aspects of life in our city.

6. The strategy set the following principles upon which we will build our response:

    a. Prioritise the health and wellbeing of our residents, against the immediate threat of coronavirus and the consequences of changes to the way we live. Public Health guidance will be paramount in all the decisions we make.

b. Support the economic recovery of the City, helping to create a strong, sustainable and inclusive economy for the future. Learning lessons from the challenges of coronavirus, promote a system that utilises the strengths of our city and region to the benefit of all York's residents and businesses.
c. Protect and prioritise the City's environment and reinforce our work to mitigate and adapt to climate change.
d. Pursue improvements in service delivery where they have been identified as part of the Response phase, creating a more efficient and resilient system.
e. Reinforce and restore public confidence in the resilience of public agencies and resilience to future challenges and emergencies.

7. Included in June's report was a One Year Transport and Place Strategy, as the first part of the economic recovery approach. A report in July supplemented this with a Business Support Plan, a Skills and Employment Plan and a Tourism Marketing Plan.

<table>
<tr><td colspan="5">CYC Recovery and Renewal Plan (1 year)</td></tr>
<tr><td colspan="3">Economic Recovery Plan</td><td>Communities</td><td>Corporate</td></tr>
<tr><td>Business Support Plan</td><td>One Year Transport and Place Plan</td><td>Skills and Employment Plan</td><td rowspan="2">Recovery from coronavirus: A community-based approach</td><td rowspan="2">Organisational Development Plan</td></tr>
<tr><td colspan="3">Tourism Marketing Plan</td></tr>
</table>

Latest Outbreak Update

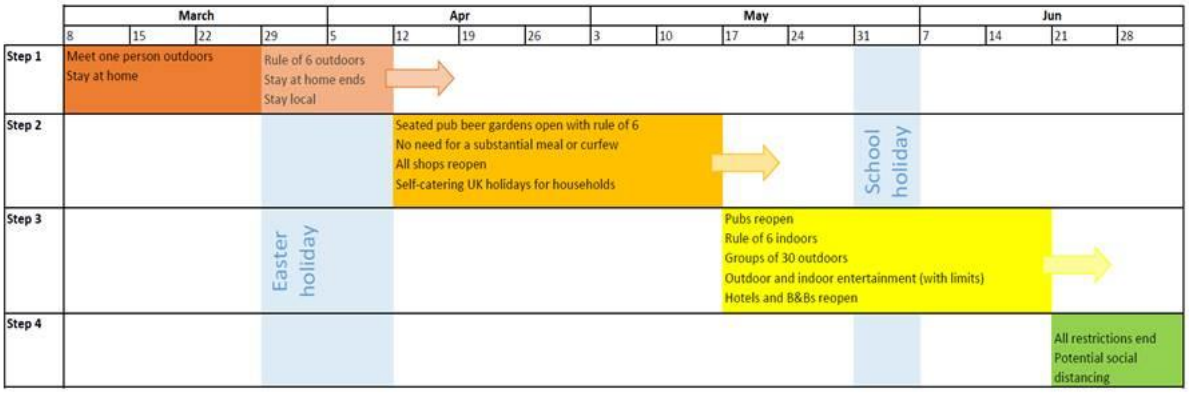
8. Given the continually changing context, an update on the latest situation will be given verbally to the Executive at the meeting.

9. As at 8.6.21 a total of 123,766 CYC residents have had the first dose of the vaccine. This represents 58.8% of the estimated total population of York and 71.1% of the estimated adult (18+) population of York.

10. As at 8.6.21 a total of 84,737 CYC residents have had both doses of the vaccine. This represents 40.2% of the estimated total population of York and 48.7% of the estimated adult (18+) population of York.

11. The latest official 7 day rate of positive cases of Covid in York is, at 4th June 2021, 29.4 per 100,000 population. This figure remains lower than the national and regional averages.

12. On Monday 22 February the Prime Minister set out the timetable for the easing of the lockdown measures that had been introduced over the winter in response to Covid-19. Over a series of 5 week periods the restrictions have been gradually eased, reducing social distancing measures and allowing the reopening of the economy. We are now in step 3 of the process, with the final step which will release the vast majority of restrictions due on the 21 June, subject to review based on the ongoing impact of the virus



13. At the time of writing, it is not yet clear whether the country will move to step 4 of the recovery process on 21st June. This would mean removing most restrictions from people and organisations in respect of Covid.

Recovery Updates

Economic

14. In response to the restrictions the council has worked with key stakeholders and partners to ensure the city centre has been prepared for each stage in the process. This has included the ongoing temporary extension of the footstreets and footstreet hours to facilitate pavement café licences and social distancing; the provision of managed outdoor seating areas by Make It York and the York BID in Parliament Street and College Green; the provision of further seating throughout the city centre to enable to buy from surrounding businesses; and increased cleaning regimes and the presence of Covid Marshalls and BID Rangers to assist and help residents, visitors, and businesses and ensure the successful management of the city centre. The measures have received overwhelmingly positive feedback from stakeholders and the public, enabled businesses to reopen, and ensured a successful transition as restrictions have been lifted.

15. Government has made a further £186k available for York through the Welcome Back Fund, utilising what remains of the EU's ESIF funds. This extends the Reopen the High Street Safely Fund (RHSSF) which was used last summer to support business engagement and ensure that the temporary extension of the footstreets was done safely. Our Welcome

Back Fund proposals are currently being considered by Government and cover:

a. further support for the city centre trading environment to Xmas (including security measures to protect Xmas Market),
b. a dedicated communications post to keep covid-safety high on the agenda of businesses,
c. improved street cleaning,
d. funding for events to celebrate Yorkshire Day on 1st August, and
e. an expansion of provision to Secondary and neighbourhood shopping areas.

People

16. The work of the Council's Public Health function has been critical in response to Covid. Annex 1 contains a summary of the wider work of the team as it has balanced the ongoing public health responsibilities with Covid response.

17. Mental Health is an area where demand has been exacerbated by Covid. The council has been working with a range of partners through the Mental Health Partnership to consider how people are supported in the city. Annex 2 provides a summary of this important work.

Corporate

18. City of York Council's contact tracers went out into communities in late May, offering symptom-free coronavirus tests in an effort to help case numbers remain low and to keep the city open. The work supported the Council's efforts to increase the number of people being tested for Covid to identify symptom-free cases and stop the spread of the virus.

19. The council also thanked the thousands of Covid volunteers, as part of Volunteers' Week 2021, who, since the start of the pandemic, have performed around 1,400 acts of kindness, from calling round for a chat on the doorstep, to going for a socially distanced walk or making a cheerful phone call.

20. New arrangements for COVID-19 volunteering have been in place from the start of Volunteers' Weeks on 1 June. As part of this change, all volunteering for roles related to the pandemic are now managed by Centre for Voluntary Service (York CVS). Anyone who signed up for covid volunteering through the council can now opt in to sign up with the CVS.

Council Plan

21. The Recovery and Renewal Strategy outlines activities for the next year to allow the continued achievement of Council Plan outcomes.

Implications

- **Financial** – Within the body of the report.
- **Human Resources** – No specific impacts identified.
- **One Planet Council / Equalities** – A principle of recovery is to ensure climate change is considered in decisions taken. The economic recovery plans recognise and respond to the unequal impact of coronavirus and the risk of increasing levels of inequality as a result.
- **Legal** – No specific impacts identified.
- **Crime and Disorder** – No specific impacts identified.
- **Information Technology** – No specific impacts identified.

Risk Management

22. There remain significant areas of risk in responding to this crisis across all areas of recovery. The highest priority continues to be the health and wellbeing of residents and all planning and decisions will be taken with this in mind.

Contact Details

Authors:	**Chief Officer Responsible for the report:**
Will Boardman Kate Helme Sharon Stoltz Andy Kerr Simon Brereton	**Ian Floyd** **Chief Operating Officer**
	Report Approved √ **Date** 16/6/21

Wards Affected: List wards or tick box to indicate all **All** √

For further information please contact the author of the report

Annexes

Annex 1 – Public Health Update
Annex 2 – Northern Quarter Project update

Background Reports

Update on Coronavirus Response – 7 May 2020
https://democracy.york.gov.uk/documents/s139955/Coronavirus%20Executive%20Report.pdf

City of York Council Recovery and Renewal Strategy - June
https://democracy.york.gov.uk/ieIssueDetails.aspx?IId=59688&PlanId=0&Opt=3#AI55501

CYC Recovery and Renewal Strategy Update – July
https://democracy.york.gov.uk/mgIssueHistoryHome.aspx?IId=59899

CYC Recovery and Renewal Strategy update - August
https://democracy.york.gov.uk/ieIssueDetails.aspx?IId=60167&PlanId=0&Opt=3#AI55914

CYC Recovery and Renewal Strategy update – September
https://democracy.york.gov.uk/documents/s142400/Recovery%20and%20Renewal%20Update%20Report.pdf

CYC Recovery and Renewal Strategy update – October
https://democracy.york.gov.uk/ieIssueDetails.aspx?IId=60724&PlanId=0&Opt=3#AI56530

City of York Council Recovery and Renewal Strategy - November Update
https://democracy.york.gov.uk/documents/s144127/Recovery%20and%20Renewal%20Update%20-%20November%202020%20v0.3.pdf

City of York Council Recovery and Renewal Strategy – December update
https://democracy.york.gov.uk/ieIssueDetails.aspx?IId=61412&PlanId=0&Opt=3#AI57153

City of York Council Recovery and Renewal Strategy –January Update
https://democracy.york.gov.uk/ieIssueDetails.aspx?IId=61755&PlanId=0&Opt=3#AI57489

City of York Council Recovery and Renewal Strategy –February Update
https://democracy.york.gov.uk/documents/s146708/Recovery%20and%20Renewal%20Update%20-%20February%202021.pdf

City of York Council Recovery and Renewal Strategy –March Update
https://democracy.york.gov.uk/ieIssueDetails.aspx?IId=61990&PlanId=0&Opt=3#AI57770

City of York Council Recovery and Renewal Strategy –April Update
https://democracy.york.gov.uk/ieIssueDetails.aspx?IId=62864&PlanId=0&Opt=3#AI58384

City of York Council Recovery and Renewal Strategy – May Update
https://democracy.york.gov.uk/ieIssueDetails.aspx?IId=62866&PlanId=0&Opt=3#AI58386

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Annex 1 **24 June 2021**

Report of the Director of Public Health

Update on Public Health services and outcomes for the city (Q1 2021)

Context

1. Since 2013, most local public health functions have been delivered by Local Authorities. These include a number of statutory services such as NHS Healthchecks, the Healthy Child Programme (health visiting & school nursing), the National Child Measurement Programme, delivery of a universal and confidential Sexual Health and Contraception service, statutory Health Protection functions, the production of the Joint Strategic Needs Assessment (JSNA), and the provision of healthcare public health advice to the local CCG.

2. They also include non-statutory but essential activities such as the provision of a substance misuse recovery and treatment service, public mental health, interventions around healthy lives (smoking cessation support, diet and weight management, physical activity), health intelligence/surveillance, and work to improve the wider determinants of health (working in partnership with other council teams on issues such as healthy housing, economy etc).

3. Public Health also provides the secretariat function for the Health and Wellbeing Board, produces the statutory Joint Health and Wellbeing Strategy and the statutory Pharmaceutical Needs Assessment in addition to the JSNA.

4. Research published in the BMJ suggests that the median return on investment for public health interventions such as those described below is £14 for every £1 invested (Masters 2017).

5. Many of the core public health team have been pulled into the COVID response over the past year. The team's work was highlighted and praised – along with the efforts of many other council departments – in the recent LGA peer review of the CYC response to the pandemic so

far. In terms of public health, over the last year the team have managed PPE supply chains, deployed outbreak control teams to multiple settings including healthcare, care homes, workplaces, educational settings and businesses, set up and staffed four testing sites, conducted tens of thousands of LFD tests, contacted and traced thousands of cases, fed weekly into city-wide communications plans, given specialist input into local resilience and planning arrangements (including surge testing preparation), and worked closely with the CCG on the rollout of the vaccination programme.

6. Through the work of team members not directly involved in COVID, and through our commissioned services, routine public health activity has continued and adapted to the pandemic situation. The following high-level summaries consider both the activity delivered around public health services and the outcomes

Public health services - activity

Data is presented below on recent service activity from four key public health areas:

- Healthy Child Service
- Health Trainers
- Substance Misuse service
- Sexual Health and Contraception Service

Healthy Child Service

The Healthy Child Programme consists of the 0-5 component led by health visitors in partnership with midwives, GPs, children centres and other universal and specialist services and the 5-19 service led by school nurses in partnership with education and health. Both elements include child health surveillance, screening, health reviews, immunisation advice, safeguarding, review health assessments for children in care and health promotion.

Health Visitors hold caseloads of approximately 300 families and are currently working with around 40 families per worker requiring intensive support. Perinatal mental health need has increased, and there is significant concern around the impact on attachment and brain development. Other support is focussed around regression of daily living skills in children- sleep, toileting, and independence. Requests for support have also increased- also thought to be in relation to the impact of lockdown.

The school nursing team has primarily been working with children and young people with health needs who are subject to child protection plans and subject to care arrangements. Team also providing tier one continence support which remains roughly the same as pre covid. Review health Assessment for children in care remain statutory responsibility for the

team- approx. 140 per year for 5-19 years to complete. Emotional health needs in young people frequent reason for referral in to school nursing.

Example of activity

	2019/20 Q1	2019/20 Q2	2019/20 Q3	2019/20 Q4	2020/21 Q1
Antenatal visit					
Number of mothers who received a first face to face antenatal contact with a Health Visitor	281	319	221	292	329
% mothers on antenatal waiting list with due date falling in the quarter who received a visit	59.7%	67.4%	63.7%	67.8%	75.9%
14 day New Birth Visit					
Number of infants born during the quarter	417	444	426	352	403
% getting a face to face HV visit within 14 days	86.33%	87.39%	86.62%	87.78%	55.09%
% getting a face to face HV visit after 14 days	12.23%	11.04%	11.74%	10.23%	37.97%
6-8 week review					
Total number of children who received a 6-8 weeks review by the time they turned 8 weeks	402	448	449	353	371
% of children who receive a review	88.55%	88.89%	88.56%	87.59%	82.26%
1 year review					
Total number of children who received 1 yr review by the age of 15 months	384	390	369	380	362
% of children who receive a review	86.49%	84.60%	83.48%	86.76%	87.23%
2-2 ½ year review					
Total number of children who received 2-2 ½ year review by the age of 2 ½ years	350	324	328	348	317
% of children who receive a review	72.61%	71.37%	76.28%	72.65%	78.27%

Key priorities / challenges

- Early language identification measure and interventions: rollout of new PHE programme
- Integrated 2 year review (SEND written statement of action) Aims to bring early years settings, health visitor and parents/carers together for holistic understanding of child's needs and agreed action planning.
- Increase uptake of antenatal and 2 year review- good uptake of virtual offer during covid which needs to be considered as part of dynamic offer
- Streamlining the service to be one 0-19 seamless pathways offer (not 0-5 and 5-19)
- Be more data driven in response to community and school data.

Health Trainers

The Council's Health Trainer service consists of a team of staff who deliver behaviour change interventions and support to health York residents live a healthier life. This includes:

- Smoking cessation, delivered to NCSCT accredited level 2 and with the support of pharmacotherapy (NRT supplied directly and Champix through pharmacies)
- Alcohol including the provision of brief advice and interventions (from Jan 21)
- Diet and weight loss advice and meal planning
- Physical activity interventions and goal setting
- Social isolation including signposting into services

During COVID most of the team have supported pandemic response e.g. community hubs, contact tracing while maintaining smoking cessation support; from January staff have been

deployed back into the service. Health Trainer support has shifted to entirely remote delivery, with AccuRx software used and postage of pharmacotherapy.

The team has also been responsible for the delivery of NHS Healthchecks. These were 'paused' nationally due to COVID guidance, and a new model is being developed with primary care.

Example of activity

	2017/18	**2018/19**	**2019/20**	**2020/21 Q1**	**2020/21 Q2**
Referrals to Stop Smoking services	325	331	390	91	88
Seen by Health Trainer	150	156	150	66	68
4 week Quit	52	43	54	32	33
	Jan 21	**Feb 21**	**Mar 21**		
Seen by Health Trainer (Alcohol)	0	0	1		
Seen by Health Trainer (Diet/weight)	1	10	2		
Seen by Health Trainer (Physical activity)	0	7	0		
Seen by Health Trainer (Social isolation)	1	0	0		

Key priorities / challenges

- Restoring level of Health Trainer activity (comms campaign launching in early summer 2021)
- Meeting national targets around smoking cessation
- Integration of Health Trainers with wider CYC and NHS prevention services eg. Diabetes Prevention Programme
- Procurement of NHS Healthchecks
- Developing a vaping cessation offer using e-cigarettes

Substance Misuse

The York drug and alcohol service is provided by Changing Lives and includes specialist treatment and recovery services for those with drug and alcohol dependency via referral from health professionals.

Example of activity

	Jul 18 - Jun 19 (did not represent up to Dec 19)	**Oct 18 -Sep 19** (did not represent up to Mar 20)	**Jan 19 -Dec 19** (did not represent up to June 20)	**Apr 19-Mar 20** (did not represent up to Sep 20)	**Jul 19 -Jun 20** (did not represent up to Dec 20)
Opiate users (18+)					
Clients in Treatment	504	505	508	488	484
% of all clients completing and not re-presenting	5.16%	6.34%	6.50%	5.33%	4.96%
Non-Opiate users (18+)					
Clients in Treatment	179	166	157	159	145
% of all clients completing and not re-presenting	31.84%	27.71%	29.30%	27.67%	28.97%
Alcohol (18+)					
Clients in Treatment	348	327	317	316	259
% of all clients completing and not re-presenting	31.03%	32.11%	31.86%	31.96%	29.34%

Key priorities / challenges
- Developing an alcohol prevention offer at Tier 2 level (current pilot being led in association with primary care) - Commissioning of newly-funded service intended to support the "universal" provision of specialist substance misuse and specific to the reduction in crime associated with Opiate use.

Sexual Health

The York sexual health service is provided by York and Scarborough Teaching Hospitals Trust as part of the community service Care Group.

Example of activity

	2020/21 Q1	**2020/21 Q2**	**2020/21 Q3**
Primary Care Total Long acting reversible contraception (LARC) procedures	139	678	781
Integrated Sexual Health Service			
Number of new (first ever) service users	33	358	269
Number of first attendances for new episode of care	103	1193	438
% of service users who have received results of STI tests within 10 working days.	100%	100%	100%
Number of 15-24 year old service users tested for chlamydia	19	130	270

Key priorities / challenges
- Embedding a new model of LARC provision in primary care - The introduction of Pre-exposure prophylaxis (PrEP) for HIV prevention

Key Public Health Outcomes

7. As well as the services described above, the public health directorate's work ranges across a large number of other projects and areas. Through direct funding services, leading partnerships, and through providing specialist advice and advocacy, the directorate aims to prioritise its work in areas which contribute to improving health, narrowing the gap in health outcomes, and creating the conditions for good health for its citizens.

8. Increasingly within changes to the health and care landscape this coming summer the Local Authority is being seen together with health partners as a key local driver for improving population health, with only

an estimated 15% of the determinants of ‘health’ attributable to ‘healthcare’.

9. The data presented below from the Public Health Outcomes Framework offers a summary of the ‘state of York’s health’. While the city’s residents benefit from general good health, not all outcomes are positive, and this good health is very unevenly spread.

Life expectancy and causes of death

Indicator	Age	Period	Count	Value (Local)	Value (Region)	Value (England)	Change from previous
1 Life expectancy at birth (male)	All ages	2016 - 18	n/a	80.1	78.7	79.6	↓
2 Life expectancy at birth (female)	All ages	2016 - 18	n/a	83.4	82.4	83.2	↓
3 Under 75 mortality rate from all causes	<75 yrs	2016 - 18	1656	321.1	363.2	330.5	↑
4 Mortality rate from all cardiovascular diseases	<75 yrs	2016 - 18	347	67.5	82.0	71.7	↑
5 Mortality rate from cancer	<75 yrs	2016 - 18	688	134.0	141.2	132.3	↑
6 Suicide rate	10+ yrs	2016 - 18	64	11.9	10.7	9.64	↓

Injuries and ill health

Indicator	Age	Period	Count	Value (Local)	Value (Region)	Value (England)	Change from previous
7 Killed and seriously injured (KSI) rate on England's roads	All ages	2016 - 18	172	27.5	49.1	42.6 ~	–
8 Emergency hospital admission rate for intentional self-harm	All ages	2018/19	455	189.9	205.8	193.4	↓
9 Emergency hospital admission rate for hip fractures	65+ yrs	2018/19	210	512.6	544.5	558.4	↓
10 Percentage of cancer diagnosed at early stage	All ages	2017	439	56.1	50.6	52.2	↑
11 Estimated diabetes diagnosis rate	17+ yrs	2018	n/a	71.3	81.9	78.0	↑
12 Estimated dementia diagnosis rate	65+ yrs	2019	1631	60.5 *	71.6 *	68.7 *	↓

Behavioural risk factors

Indicator	Age	Period	Count	Value (Local)	Value (Region)	Value (England)	Change from previous
13 Hospital admission rate for alcohol-specific conditions	<18 yrs	2016/17 - 18/19	30	27.3	32.2	31.6	↓
14 Hospital admission rate for alcohol-related conditions	All ages	2018/19	1410	712.5	729.0	663.7	↓
15 Smoking prevalence in adults	18+ yrs	2018	19994	11.5	16.7	14.4	↑
16 Percentage of physically active adults	19+ yrs	2017/18	n/a	76.4	64.0	66.3	↑
17 Percentage of adults classified as overweight or obese	18+ yrs	2017/18	n/a	54.4	64.1	62.0	↓

Inequalities

Indicator	Age	Period	Count	Value (Local)	Value (Region)	Value (England)	Change from previous
23 Deprivation score (IMD 2015)	All ages	2015	n/a	12.2	-	21.8	–
24 Smoking prevalence in adults in routine and manual occupations	18-64 yrs	2018	n/a	18.6	27.4	25.4	↓

Child health

Indicator	Age	Period	Count	Value (Local)	Value (Region)	Value (England)	Change from previous
18 Teenage conception rate	<18 yrs	2017	43	15.6	20.6	17.8	↑
19 Percentage of smoking during pregnancy	All ages	2018/19	198	11.6	14.4 ~	10.6	↑
20 Percentage of breastfeeding initiation	All ages	2016/17	1559	77.1	69.3	74.5	↑
21 Infant mortality rate	<1 yr	2016 - 18	26	4.64	4.03	3.93	↑
22 Year 6: Prevalence of obesity (including severe obesity)	10-11 yrs	2018/19	287	15.1	21.0	20.2	↓

Wider determinants of health

Indicator	Age	Period	Count	Value (Local)	Value (Region)	Value (England)	Change from previous
25 Percentage of children in low income families	<16 yrs	2016	3130	10.3	19.7	17.0	↑
26 Average GCSE attainment (average attainment 8 score)	15-16 yrs	2018/19	83063	51.3	45.7	46.9	↑
27 Percentage of people in employment	16-64 yrs	2018/19	106700	78.4	73.7	75.6	↑
28 Statutory homelessness rate - eligible homeless people not in priority need	Not applicable	2017/18	14	0.16	1.04	0.79	↓
29 Violent crime - hospital admission rate for violence (including sexual violence)	All ages	2016/17 - 18/19	180	26.1	54.3	44.9	↓

Living Safely with COVID – a strategy for sustainable exit from Pandemic

10. The core purpose of the statutory Director of Public Health is to be an independent advocate for the health of the local population and provide system leadership for its improvement and protection. As we move out of COVID restrictions, in accordance with the Government "Roadmap", increasingly the Public Health team are is expected to balance the need for interventions to protect residents and those working in or visiting York, whilst minimising adverse impacts on economic and social life and overall health and wellbeing.

11. We cannot afford to be cycling in and out of lockdowns; the social, physical, mental and economic costs are simply too high. Therefore our strategy for a sustainable exist must be based on good public health principles and evidence, building on what we have learnt over the past year working with partners both within and external to the council.

12. The core public health priorities for our York COVID-19 response as we move into the next phase of the Pandemic are to:

- Continue to work with members of the Outbreak Management Advisory Board, with teams across the council and with businesses, to build a consensus on what we are trying to achieve as we aim to keep York a safe place to be for people living, working or visiting the city.
- Ongoing monitoring and surveillance of cases of infection, clusters and outbreaks across York and targeted interventions to break the chain of onward transmission
- Develop a sustainable model of local testing and contact tracing and support for self-isolation which can remain in place for as long as it is needed

- Effective communication with residents, businesses and our partners on how to keep themselves and their loved ones, employees etc. safe
- Targeted work in specific settings to prevent and respond swiftly to outbreaks e.g. Care Homes, schools, colleges and universities, Askham Grange prison, workplaces etc. together with targeted support to vulnerable communities e.g. Asylum Seekers / Refugees, Gypsy/Travellers, Homeless etc.
- Continued support for the delivery of the Covid-19 Vaccination Programme
- Continued provision of specialist public health advice and support to support the safe return of “normality” across all sectors

Annex 2 - Northern Quarter Community Mental Health Project and Community Mental Health Transformation Update

June 2021

York Mental Health Partnership
‘Connecting our City’

Our vision for York is of a city where:

- We all feel valued by our community, connected to it, and can help shape it.

- We are enabled to help ourselves and others, build on our strengths, and can access support with confidence.

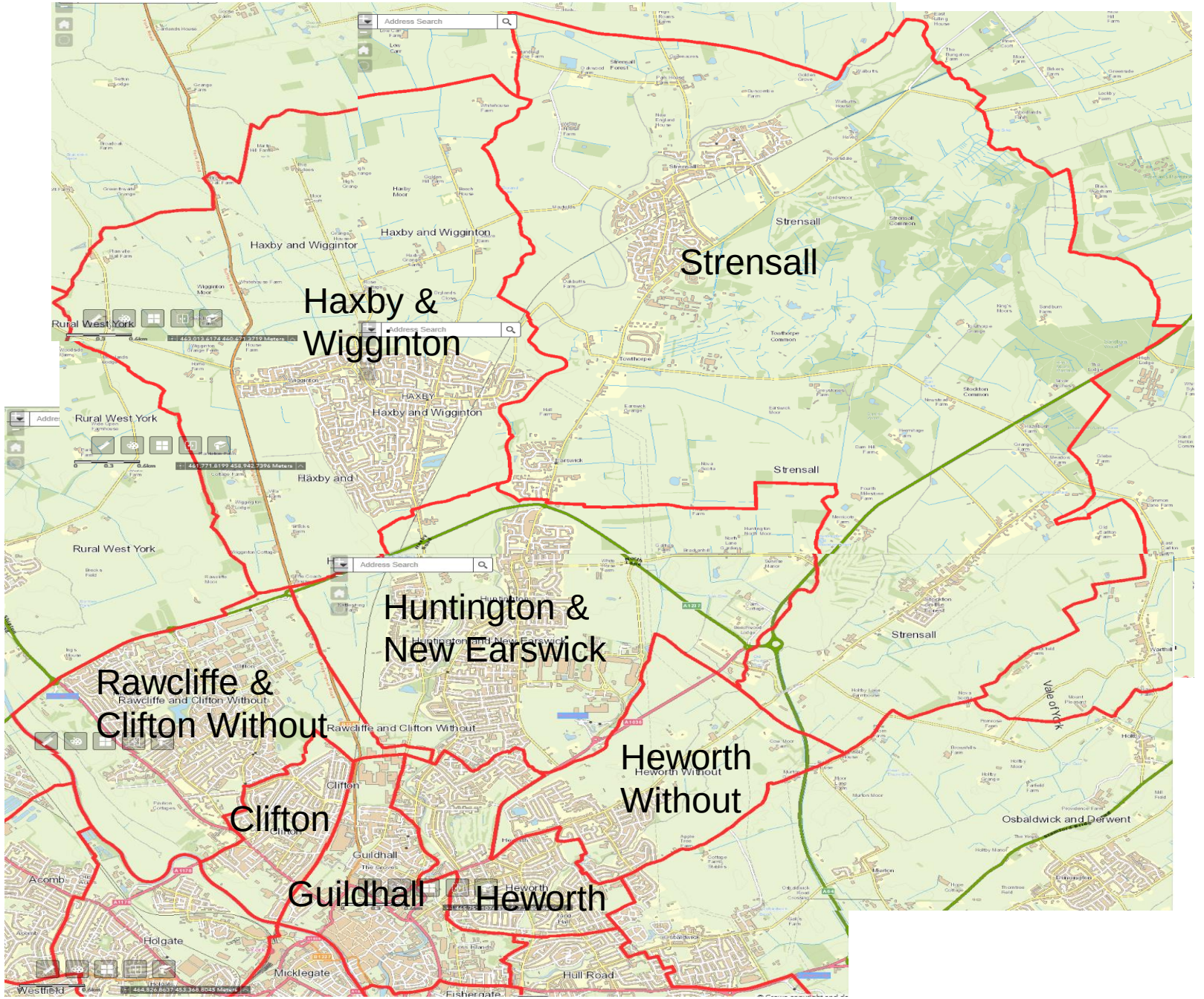
- We are proud to have a Mental Health Service that is built around our lives, listens to us, is flexible and responds to all our needs.

York Mental Health Partnership
Vision / Design Principles

When it is needed the support for people with mental ill health will be:

- Easy to access
- Warm and welcoming
- Built on freedom and trust
- Tailored to your individual needs and wishes
- Flexible and responsive
- Consistent and well co-ordinated

The Northern Quarter



Why the Northern Quarter?

- Rich in community assets – buildings, groups, people
- Converge and the Discovery Hub
- Local Area Co-ordination
- Multiple Complex Needs Network
- ‘People Helping People’ volunteering strategy
- Practitioners’ Network (Community Connector roles)
- Social Prescribing, Link Workers, and Ways to Wellbeing
- Talking Points

‘Connecting Our City’ - Northern Quarter Project (NQP)
A community approach to mental health & wellbeing
Key messages

- All-ages, whole life course approach
- A holistic approach – e.g. housing, environment, employment, relationships, hobbies/interests
- Mental health and wellbeing is everybody’s business
- Moving from a medical model to a social model - a focus on promoting wellbeing rather than diagnosing and treating illnesses
- It’s all about **building connections** – connecting people, groups, organisations, generations, projects & initiatives, etc
- Building on individuals’ and communities’ strengths…

NQP current work-streams

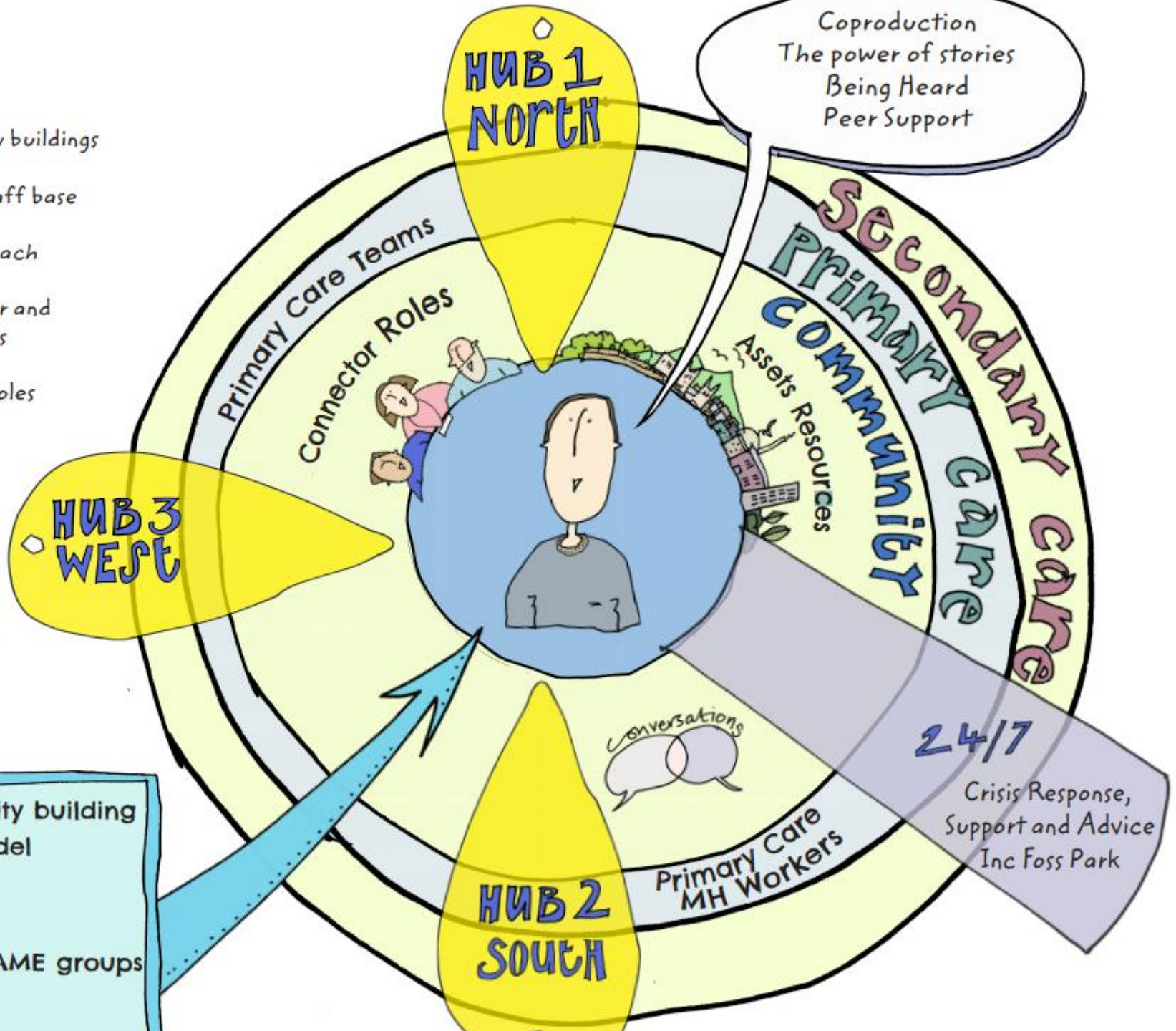
Work-stream
Coproduction (MH Partnership)
Community conversations
Whole system data collation & analysis
Developing an integrated, multi-disciplinary community MH hubs
Evaluation of NQP
‘People on the ground’ network
Peer Support/Peer Carer Support Projects
Pathway to Recovery Pilot
Supporting Physical Health
Autism and Mental Health

Community Mental Health Transformation Funding

- National 3 year funding
- Allocated at a Humber, Coast and Vale (HCV) level
- Priorities around new posts, investment in the VCSE
- Focus on personality disorder, eating disorder and MH rehab
- City of York allocated £441,972k in year 1
- York Mental Health Partnership to lead implementation of transformation
- Workshop planned for 8th July 2021

HUBS include:

- Based within community buildings
- Multi agency flexible staff base
- Talking point style outreach
- Specialist eating disorder and personality disorder roles
- Community connector roles
- Peer support
- MH social work
- CMHT roles
- MH rehab roles
- Physical health workers



Investment and Capacity building
VCS Alliance Model

Targeted investment to BAME groups

£ £ £

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Executive **24 June 2021**

Report of the Director of Housing, Economy and Regeneration
Portfolio of the Executive Member for Economy and Strategic Planning

Supporting the York Economy

Summary

1. Throughout the Covid-19 pandemic, City of York Council has had a clear focus on working closely with the business community, supporting small and micro businesses, and promoting our unique approach to economic development – "the York way".

2. In March 2020, the Council allocated £1.14m of its own funds to support micro businesses that were not eligible for the Government grant regimes that had been introduced. Grants of up to £1,000 were provided to 1,114 businesses, together with a year's free membership of the Federation of Small Businesses.

3. The discretionary funding committed by the Council recognised small, micro and one-person businesses, including the many self-employed people ineligible for Government support, as a foundation of our economy, and was able to provide immediate and critical support in the earliest days of the pandemic. These businesses were facing financial difficulties because of COVID-19 and needed to adapt to new trading arrangements.

4. An independent evaluation of this Micro Business Grant (MBG) scheme has now been completed (see Annexes A and B), and that report identifies a wide range of impacts on the York economy including:

    - 294 businesses that were at severe risk of closure were still trading a year later due to the grants

    - 635 businesses were helped to diversify or adapt their products and services through use of the grants

- Our focus on micro businesses excluded from mainstream support had a significant positive impact on the mental health and wellbeing of business owners

5. Working with our local business networks – the Federation of Small Businesses, the Chamber of Commerce, Institute of Directors, Indie York and York Business Improvement District – has been at the heart of our approach over the past year. All of the initiatives we have undertaken to help businesses through the pandemic, to support the reopening of the economy and to make temporary and longer term changes to the business environment have been co-designed with these networks. We are committed to continuing this approach.

6. Independent businesses, particularly those trading directly with the consumer, have a shared interest in promoting their trading locations to residents and visitors through Traders' Associations. While the best known of these in York is Bishy Road Traders, the model has really taken off in our city and is a key part of our approach. Six Traders Associations have been awarded Additional Restrictions Grant (ARG) funding to enable them to jointly promote their neighbourhoods (see Annex C).

7. As the city emerges from the pandemic, much attention is being given to our aspiration to "Build Back Better". This is exemplified by the York charity Good Business Foundation's Good Business Charter (see Annex D). It is proposed that City of York Council becomes a signatory to the Charter, and that York becomes the first Good Business Charter City, promoting the Charter as a business-led approach to responsible business practices.

8. Taken together, these three initiatives:

    - Focus on micro businesses – the foundation of our economy

    - Support for business-led collaboration through networks and Traders Associations and the events and festivals they promote

    - The Good Business Charter as a framework for Building Back Better demonstrates clearly the unique approach to economic development that York is following:

        - We value the contribution of businesses, whatever their size or sector.

- We support collaboration and networking, encouraging business communities to thrive.

- We celebrate the commitments that good businesses make to their staff, their customers, their suppliers and to society.

Recommendations

9. The Executive is asked to:

1) Note the significant economic impacts resulting from its decision in March 2020 to invest £1.14m in micro businesses

   Reason: To recognise the sizeable economic and social impact of the Council's micro business grant scheme on York's small business community and business owners, and better understand the challenges they face in adapting to, and recovering from, Covid-19

2) Endorse the continued focus on working with networks and Traders Associations to build a stronger business community

   Reason: To continue the Council's commitment to working with local businesses and build a stronger sense of community.

3) Note that the findings of the MBG evaluation and our work with networks and Traders Associations will inform plans to spend the outstanding allocation of Additional Restrictions Grant funding once trading restrictions are lifted, and instruct the Head of Economic Growth to bring proposals for the use of those funds back to Executive at the earliest opportunity.

   Reason: To support the further recovery of micro businesses and the York economy

4) Subject to the receipt of additional ARG funding from Government to allocate £100k of ARG funds to support the delivery of events and festivals across the city and delegate implementation of that fund to the Corporate Director of Place in consultation with the Executive Member for Economy & Strategic Planning.

Reason: To support economic recovery

5) Sign up to the Good Business Charter and commit York to becoming the first Good Business Charter City

Reason: To promote responsible business practices and provide a practical framework which enables York to Build Back Better.

Impacts of the Micro Business Grants scheme (MBG)

10. The COVID-19 global pandemic has had a significant and long-term impact on the business community.

11. At the onset of the pandemic in early 2020, Members set aside £1m of Council funding to offer immediate support of up to £1,000 to micro and small businesses in York. This included one-person businesses and self-employed people who did not qualify for Government support but were facing financial difficulties because of COVID-19 and/or had a need to adapt to new trading arrangements.

12. The Council's Micro Business Grant scheme was able to provide much needed funding to 1,114 small and micro businesses in York. For some this has been the only source of grant funding to which they have had access over the course of the last 15 months.

13. In February 2021, the Council procured consultants to undertake an evaluation of the MBG to enable the organisation to:
    - assess the impact of the funding for recipients
    - understand the experience of businesses in applying to fund to inform how the scheme could be improved, if repeated
    - identify what further support requirements small and micro businesses have in dealing with the economic impact of COVID-19 and aiding recovery efforts.

14. Following the completion of an open tender process, Blueberry Marketing Limited was selected to undertake the evaluation work. Their full report is provided at Annex A.

Survey Design

15. Research for the project was carried out by means of telephone interviews with MBG recipients, based on a series of questions agreed between the Economic Growth team and Blueberry Marketing. A total of 318 interviews were undertaken, with calls lasting on average between 30 – 40 minutes.

16. The questions put to participants were designed to draw out not only the economic impact of the funding, but also the human and social impacts, including how households and employees were supported and, indirectly, the mental health and wellbeing of individuals connected to those businesses

17. A conversational, information tone of questioning encouraged interviewees to speak openly about their experiences, purposely moving the emphasis of the evaluation away from pure data analysis to a more holistic assessment of the grant impact i.e. the impact on the individual. This allowed genuine conversations to take place, and the feedback received was overwhelmingly positive, open and very honest.

18. It is clear that, for many grant recipients, the funding helped to safeguard against both business and personal hardship, and in some cases meant the difference, literally and figuratively, between surviving or not.

19. Aside from the practical themes of business survival and investment, feedback from participants evidenced that this support from the Council was deeply personal and important:

    “It kept me alive and kept the business alive.”

    “I would've gone under if it wasn't for the grant.”

    “It kept me in business.”

    “I can't really explain how much of a difference it made. …it really lifted me up mentally to know that we had a bit of help with the car rental costs, the tax, feeding my children which is what every father

cares about more than anything. Thank you so much again it was greatly appreciated."

"It made such a difference getting the help from you, just at the very beginning, the fact of not knowing what you would be getting in the bank and the stress of that mentally, it really helped. It made me so relieved and I actually cried when the email came through."

"It was a massive emotional support to be perfectly honest as I had dropped to my knees at that point and I have put so much effort into this but I had got back to square one again. It was what I needed and it was a validation of me as a human at that point because there was no furlough or anything to help me so I want to say thank you to the system for that."

"I must truly extend my thanks to you as in 15 years of trading, we have never had any help at all and the microgrant was the first thing we have ever received, and it absolutely made our day and our year as it has set the ball rolling and we are moving forwards now in a way that I didn't think we could."

Key findings and potential follow up work

20. The Evaluation Report, attached at Annex A, provides a detailed independent assessment of the economic impact of the MBG scheme, as well as identifying the strengths and weaknesses of the grant process to inform future grant schemes. The work also identifies future business support needs and provides insights on internet and transport connectivity and their impact on York's business community.

21. Central to the feedback has been appreciation and positivity towards the Council for recognising that financial support was going to be essential, and acting very quickly to ensure that it reached those most in need to allow them to react to unprecedented circumstances.

22. The infographic at Annex B summarises the findings of the study.

23. Notable findings include:

    - 26.4% of respondents stated they were at risk of permanently ceasing to trade at some point in the last year but managed to

avoid this risk due to funding from the MBG. Extrapolating these figures across the 1,114 total grant recipients, it is estimated that the Council's MBG funding prevented 294 York businesses from ceasing to trade permanently, and over 500 families and employees from falling into personal and financial hardship.

- A diverse range of businesses qualified for support, and the three largest sectors receiving funding were construction (24.2%), personal services (22.4%), and creative and arts (17.6%). This is reflective of the three largest sectors within the York small and micro business community, although the overall range of businesses the Council was able to support was far broader, including, for example, market traders, the leisure industry, taxi drivers and travel and tourism firms.

- In terms of business size, 96% of grant recipients employed 1 to 5 people. This shows the importance of the hidden foundation economy to York, a factor often overlooked in favour of the big name businesses which are more familiar locally.

- 57% of business were able to adapt or diversify due to the support received.
    - Digitisation was the most common form of adaptation with 42.3% of respondents who had diversified or adapted falling into this category
    - 24.2% of businesses who had diversified or adapted developed new products or services
    - 18.7% changed business model and 18.1% accessed new markets
    - 5.2% of respondents invested in equipment, technology, products and materials as a result of the MBG.

24. Despite the small size of these businesses, they realised that flexing their existing business model was one of the best chances of surviving the new trading environment, and had the vision needed to expand into new markets, offer new products, and appeal to new customers, even with a relatively small sum of money. The pay-off for some has been beyond expectation, with businesses winning lucrative contracts, gaining international customers, entering a new

world of technology and shifting their whole business model to deal in the virtual, rather than the physical.

25. Businesses were asked what further support they required to help improve competitiveness, with access to finance coming in at the top of list. Other key areas raised were sales and marketing, mental health and wellbeing, support around starting, growing and managing a business, innovation and adapting your business, training, skills support and apprenticeships, and digital and ICT.

26. Grant recipients were also asked whether the quality of their internet connectivity had placed any limitations on their ability to do business over the last year, recognising that many businesses would have transitioned online as a result of the pandemic. 42.1% of respondents noted that their internet connectivity had placed limits on their ability to do business, highlighting this as an area for further exploration by the Council. This is despite York's reputation as a city with world class connectivity.

27. As part of the MBG application process, businesses were offered a year's free membership of the Federation of Small Businesses (FSB), a key partner organisation. Although not all of those who took up the membership offer took use of the available services, feedback on member benefits and organisational support was largely positive, including comments welcoming the provision of legal advice, networking opportunities, information sharing and access to reduced business insurance costs.

28. Practically, whilst there is scope to make minor revisions to the grant application process in order to make it more accessible and to address the 'timeout' settings in the page, 96% of applicants found applying for the MBG to be straightforward.

29. This valuable intelligence on business support needs will feed into the development of future support, including use of the remaining Additional Restrictions Grant (ARG) funds, the Business Support Voucher scheme already agreed as part of the Council's ARG allocation, and ongoing partnership working with business support providers and York's business membership organisations.

30. Additionally, our forthcoming engagement on the Council's new Economic Strategy will deepen our understanding of local

infrastructure constraints for both York's business community and residents.

Evaluation Conclusions

31. Based on the evidence provided by this evaluation, any previous misconceptions about the responsiveness, creativity and flexibility of foundation economy businesses – often written off as "lifestyle businesses" and therefore lacking in growth potential and not worthy of public-sector support - can be dispelled. We have found these businesses to be full of innovation, ready to adapt and develop their business models, and have shown that they are a foundation of the economy, providing crucial income and employment to thousands of households across York.

32. The notion that large amounts of funding must be provided to businesses in order to support innovation and adaptation, typically through grants of up to £20,000, is also demonstrated not to be the case, with these small enterprises showing that a little investment can go a long way.

33. Whilst there is no doubt that numerous ongoing challenges remain for businesses as they emerge from lockdown, it is clear that the Council's MBG scheme has had a significant impact on business confidence and resilience, and provided a lifeline to many at a critical time.

Communication

34. The findings from this study have been important, in some cases surprising, altering perceptions of how small and micro businesses function as part of the wider business ecosystem.

35. Work is now ongoing to disseminate the findings of the evaluation, including using the case studies as part of a much wider communications campaign to highlight the importance of the foundation economy and those business within it. This includes collaborating with external partners to share the study results through webinars, national news pieces, and a potential White Paper to challenge misconceptions around the role of small and micro businesses within the broader economic infrastructure.

36. The Council also has a continued role in ensuring ongoing engagement with the small business community, and in addition to follow up work as a result of this project, this will be a major element of the consultation work on the refreshed Economic Strategy.

Supporting Traders' Associations and Business Networks

37. Our commitment as a Council to work in collaboration with the city's business networks, large and small, has been discussed many times in reports to Executive. At the heart of this approach is a close partnership with Federation of Small Businesses, York & North Yorkshire Chamber of Commerce, the Institute of Directors, Indie York and the York BID.

38. In March 2021, Executive approved the allocation of £70k of Additional Restrictions Grant to support Trader-led initiatives. Following an open call for proposals, £30k of projects have now been agreed. These are listed at Annex C. The remaining funding will be offered through a second call for proposals launching in July, with a focus on activities which will support winter trading.

39. The objective is to provide Traders' Associations with resources which can drive greater footfall and spend in their local areas and strengthen community links. The principle of "Shop Local" will promote more use of local shops and services by York residents, keeping money circulating in the local economy and reducing the city's carbon footprint. It is vital that this funding supports activity across the whole city. We have been working closely with Traders' Associations in Acomb and Haxby to support their retail centres, and through Indie York who represent independent traders within the Ring Road.

40. Significant further funds remain in York's Additional Restrictions Grant allocation, but have yet to be received from Government. In the first instance, this money must be used to support businesses to survive lockdown and emerge into new trading conditions. The MBG evaluation has demonstrated the impact that relatively small amounts of funding can make on micro businesses, and also highlighted that such businesses are not used to getting support from the public purse.

41. As we have heard from businesses, there is a particular need to support digital transformation, the adoption of e-commerce and e-Point of Sale technology, as well as through practical adaptations

such as outside trading space, including bad-weather coverage. If grant criteria are left sufficiently broad, we have also seen that businesses will seek to innovate on their own terms and that such an approach is a good use of public funds.

42. With the economy under severe restrictions for more than 12 months, many of the regular events and festivals that help to animate the city and provide opportunities to businesses to engage with new audiences face significant challenges in returning to the city. This is a particular concern in the periods outside of the school holidays such as the lead up to Christmas and January and February 2022. The York Food and Drink Festival, Ice Trail, Yorvik Viking Festival, York Design Week, and numerous other such events are all in need of support as they seek to restart after the pandemic.

43. The normal approach of these festivals and events is to seek sponsorship and commercial support, which is currently impacted by depleted reserves in businesses, and there is a strong case to allocate some ARG funding to support such festivals and events. There is some urgency as events must begin to advertise and commit to expenditure several months in advance and cannot do so if their ability to operate is compromised by a lack of up front funding. It is in the best interests of the broader economy for the organisers to run these events.

44. It is therefore proposed to allocate £100k of the expected additional ARG funds to support business-led events and festivals to return to the city in a safe manner. These events and festivals should support open access for residents and visitors and provide opportunities for a range of new and existing businesses. It is not the intention to support exclusive events or those where only a fixed set of traders can get involved. The criteria will reflect these aspirations.

45. At the time of writing it is not clear when current trading restrictions will be lifted, with considerable concern over the rising numbers of cases arising from the Delta variant. In order to support reopening timely decisions will need to be made to allocate this ARG funding which must all be spent by the end of the current financial year. It is therefore proposed to delegate the detailed allocation to the Corporate Director for Place in consultation with the Executive Member for Economy and Strategic Planning. Detailed plans will be reported to Executive.

Good Business Charter

46. The Good Business Charter is one of many models in use which seek to encourage businesses to adopt a holistic approach to their social, environmental and economic impacts.

47. In York, we have already had experience with the One Planet York model, which initiated similar work but started from an environmental perspective. Research by Manchester Metropolitan University and JRF in advance of the development of the Greater Manchester Good Employment Charter identified 6 local initiatives in a similar vein, including the Scottish Business Pledge, Oldham Fair Employment Charter, Birmingham Business Charter for Social Responsibility and Croydon Good Employer Charter. Other similar models include Business in the Community, Blueprint for Better Business and various accreditation bodies such as B Corporation.

48. Such Charters are used for a range of purposes, from campaigning on issues such as fair pay and the environment, through to underpinning public procurement approaches in Birmingham. They are typically instigated by the public sector as an attempt to influence private sector behaviour and deliver outcomes for public good.

49. In terms of its relevance to York, the recent Council motion on Doughnut Economics has highlighted our ambitions with regard to carbon reduction and economic prosperity, recognising the need to find a “sweet spot” which enables successful, responsible businesses to thrive in York. A Charter approach, encouraging businesses to review their practices across a wide range of social and environmental indicators, would express our ambitions well. There have already been calls through Scrutiny for such an initiative to be part of our new inclusive Economic Strategy.

50. Good Business Charter (GBC), launched in February 2020 just prior to the Covid pandemic, represents a private-sector led approach to business charters. It seeks to be an affordable UK approach for businesses to demonstrate their commitment to ethical trading at all levels. GBC, and the Good Business Foundation which promotes the charter, is driven by Julian Richer, a York-based entrepreneur and business leader with a track record both of running an ethical

business (Richer Sounds) and in establishing charities which represent faith-based approaches to making a difference.

51. The Foundation has assembled an impressive group of Trustees including nominees from CBI and TUC, a chair with substantial media experience and the leaders of the Living Wage Foundation and the New Economics Foundation. More broadly, the Foundation is working with the Federation of Small Businesses on small business accreditation and its website features endorsements from the Royal Society of Arts among others.

52. In terms of businesses adopting GBC, the scheme launched with Richer Sounds, Brompton Bicycles, Deloittes, Capita and London City Airport as members, and has grown to have more than five hundred accredited members over its first year. In York, the University of York and Aviva are already members, and work is under way to expand local membership to include other education institutions, charities and businesses large and small.

53. The charter covers 10 components (also see Annex D):

- Real Living Wage
- Fairer Hours and Contracts
- Employee Well-being
- Employee representation
- Diversity and inclusion
- Environmental responsibility
- Pay fair tax
- Commitment to customers
- Ethical sourcing
- Fair payment to suppliers

54. All are approached from an ethical stand point, with the businesses signing up to the charter expected to meet some minimum standards (for example on paying the real living wage, committing to reducing environmental impact, not engaging in tax avoidance, signing up to the Prompt Payment Code).

55. These 10 components map strongly on to the Doughnut Economics model, highlighting the balance to be found between commercial and economic success, environmental impacts and social issues. As well as the clear commitments on environmental responsibility, paying fair tax and to ethical sourcing, the charter demands that business

commit to paying the real living wage, recognising the voice of employees, and valuing diversity and inclusion.

56. There is an annual cost for businesses and organisations to use the Charter. For public bodies such as the Council, this is £500 per annum. For businesses, the costs are related to the number of employees on the payroll, and have been designed to keep the costs low and enable businesses of all sizes to sign up. For sole traders up to businesses with 50 employees, the cost is £25 per year. For larger businesses, it is £1 per employee up to a maximum of £2500. In the first year of membership, there is no charge. The Charter seeks to be affordable and accessible to all who sign up to the standards it espouses.

57. Working with the Foundation, we are seeking to make York the first Good Business Charter City. This would involve the Council signing up to the Charter, together with at least two of a University, the local NHS Trust and a large local business. University of York and Aviva are already accredited members, and the York Teaching Hospital NHS Foundation Trust has been approached to explore their interest. The FSB are promoting the Charter, as are TUC, CBI and other business networks. Other cities are showing interest in being the first to be accredited, and there is an opportunity for us to be at the forefront of this growing movement.

58. In the medium and longer term, we would seek to include the Charter as part of our emerging Economic Strategy and 10 year plan, and there are opportunities to promote membership through the Business Leaders Group and the City Partnership Group.

Potential implications

59. For CYC to be accredited members, we would need to fill in an online form confirming that we meet the requirements of the Charter (see Annex C). An initial review suggests that none contain any areas that would be challenging for CYC – we are already a Living Wage Council, recognise diversity and employee representation, are committed to carbon-zero and operate fair procurement approaches. Just as with our existing Living Wage Employer accreditation, there is no requirement for Council suppliers or providers to adopt the Charter.

60. For York to become the first Good Business Charter City, there would be some additional time resource to commit in championing our

approach and promoting membership more broadly to the business community and other public bodies.

Council Plan

61. Our approach to economic development, as exemplified in the MBG scheme, our work with business networks and Traders Associations, and the Good Business Charter support the following elements of City of York's Council Plan 2019 - 2023:
    - Well paid jobs and an inclusive economy
    - Good health and wellbeing
    - An open and effective Council

Implications

62.

- Financial – In the first year, GBC accreditation is free, and in subsequent years, the fee would be £500 per annum.
- The Council has not yet received the additional allocation of ARG and expects to receive a further £1.4m on June 23rd 2021. The decision to allocate a further £100k to support events is therefore subject to receipt of the additional grant funding from Government.
- Human Resources (HR) – we already meet all the requirements of the Good Business Charter.
- Equalities – Promoting the Charter would support the broader adoption of positive approaches to supporting diversity in the workplace within other employers in the city and beyond.
- Legal - None
- Crime and Disorder - None
- Information Technology (IT) - None
- Property –None
- Other - None

Risk Management

63. There is a low risk that Government will not provide the funds which have been claimed from the additional ARG allocation. The recommendation is therefore that the allocation of £100k to the festivals and events fund is subject to the receipt of those funds which are expected on 23rd July 2021.

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None.

Annexes
Annex A – City of York Council Micro Business Grant Scheme Evaluation Report
Annex B – Infographic: Key findings of the MBG evaluation
Annex C – Traders' fund allocations
Annex D – Good Business Charter criteria for accreditation

List of Abbreviations Used in this Report

ARG – Additional Restrictions Grant
GBC – Good Business Charter
MBG - Micro Business Grant (scheme)
FSB – Federation of Small Businesses

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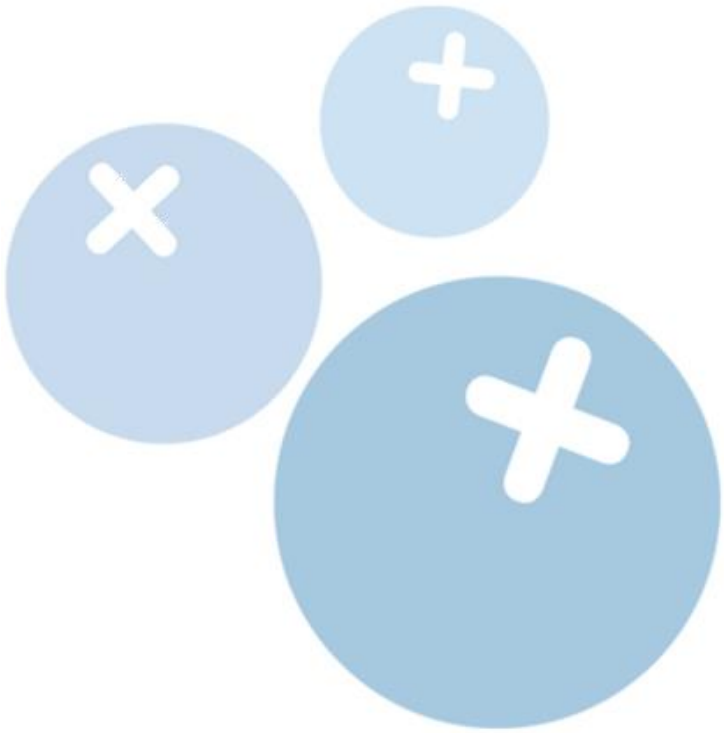
Blueberry Marketing Solutions

City of York Council
Micro Grants Scheme Evaluation
Campaign Summary

25 May 2021



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Document control:

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1.0 Executive Summary

In 2020, City of York Council set up a pioneering Micro Grant scheme. The objective of the grant funding was to support small and micro businesses through the economic disruption resulting from the COVID-19 pandemic after the announcement of a national lockdown on 23rd March. In total, 1,114 small and micro business received grants through this scheme.

To evaluate the impact of the Micro Grants on the recipient businesses, in February 2021 City of York Council commissioned Blueberry Marketing Solutions (Blueberry) to conduct a telephone research project to evaluate the programme. This document provides an overview of the research and the key findings, trends and themes identified.

In total, 318 responses were gathered, equivalent to 28.5% of all grant recipients. The survey structure was designed to provide quantitative data and more in-depth qualitative insights, including more detailed case studies to illustrate the impact of the grant and how it supported recipient businesses through the economic disruption they faced.

The evaluation research identified that the scheme had a number of interlinked economic, welfare and wellbeing benefits. Firstly, 26.4% of business had been at risk of permanently ceasing to trade over the last year and had avoided this outcome. Across all grant recipients, this equates to ~294 businesses which avoided this outcome. Of these 66.7% were flagged as referencing the grant contributing to business survival, demonstrating a tangible impact from the grant in avoiding some of the potential risks generated by the COVID-19 pandemic.

In addition, qualitative feedback from businesses demonstrated a wide diversity in the ways the grant was used to enable survival whilst also providing a platform for business innovation, adaption and growth. Our thematic analysis of these results demonstrates that in many cases the grant allowed recipients to invest in adapting or diversifying their businesses, ensuring they could continue trading through the pandemic period. In addition, the report highlights that many businesses identified innovative and creative avenues for generating revenue which could provide a platform for continued growth and innovation in the future. For example, 35.2% of respondents referenced the grant contributing to investment in equipment, technology or materials, 25.5% referenced the grant contributing to digitalisation of the business and 17.6% referencing the grant contributing to marketing investment. In some cases, businesses had highly positive stories to share of new client wins and continued growth throughout the past year.

In addition, the report highlights that the grant also had significant welfare and wellbeing impacts. 26.1% of respondents referenced the grant contributing to ongoing living costs. Given that 57% of the businesses provide the main household income and that 56% of the respondents reside in a household with three or more members, this demonstrates the widespread reach of the grant from a welfare perspective. Additionally, 10.4% of respondents referenced the positive wellbeing impact of the grant support.

This research therefore supports the conclusion that the Micro Grants scheme had a significant contribution to York's economy, and to the welfare and wellbeing of business owners and their dependents. This is reflected in the attitude and emotional response of the recipients, with 41.8% of respondents expressing a sense of gratitude towards City of York Council as a result of the grant support.

The research also contributes some useful findings on how small and micro businesses within the foundation economy have been impacted by the COVID-19 pandemic, and how they have adapted and diversified in response. In total, 57% of respondents had diversified or adapted due to the COVID-19 pandemic, with 42.3% of these respondents having digitalised some or all of their products or services. It also provides insights into the ongoing support requirements of the small and micro business ecosystem across the City of York which will aid decision making on future support targeted at these businesses.

2.0 Background to the project

In 2020, City of York Council set up a pioneering scheme to help Micro Businesses in York through the COVID-19 pandemic. With a total pot of approximately £1 million dedicated to helping these businesses, City of York Council were able to give over 1,000 businesses access to Micro Grants of up to £1,000 each. A key aim of the grant was to provide support to businesses which were not eligible for the grants and support packages introduced at a national level, thus supporting small and micro businesses, and those that were self-employed, within the 'foundation economy'.

In order to assess the impact of the grants, City of York Council commissioned Blueberry Marketing Solutions (Blueberry) to conduct a research exercise evaluating the impact of the grants, to ascertain the effects of the grants from an economic, community, wellbeing and welfare perspective and to inform future support strategies for businesses across York.

2.1 Project Objectives

The objectives of the campaign were multi-faceted, however the primary objective was to understand not just the economic impact of the grants, but also to uncover its wider impacts. Given what has been a turbulent year, with many self-employed and small business owners affected by COVID, the research also aimed to understand how the support has affected the community and recipients' well-being and welfare.

Given the size and profile of the businesses receiving the grant, it was important to adopt a holistic approach and assess the grants in light of both their social and economic benefits to provide a fair assessment of the impact of the scheme on micro businesses. The aim of the research was therefore to unpick the impacts of the grant both from an business and a personal standpoint, to understand how the grant affected the recipients as individuals as well as businesses.

In addition, the research set out to identify the strengths and weaknesses of the grant process in order to provide recommendations for streamlining and developing future support of this nature.

As well as the primary objectives outlined above, the research also aimed to achieve the following:

- To map out the interconnections York businesses have within the region – with each other, the public sector and industry bodies.
- To identify future support provision needs and the thematic areas where support is required.
- To provide insights on internet and transport connectivity and its impact on the business community.
- To generate potential opportunities for collating case studies of the grant scheme's impact.

2.2 Survey Design Considerations & Fieldwork

Given the objective of the project was to provide a holistic assessment of the impacts of the grant, it was crucial that this survey could elicit as much information as possible both in regard to the economic impact and the social impacts on business owners.

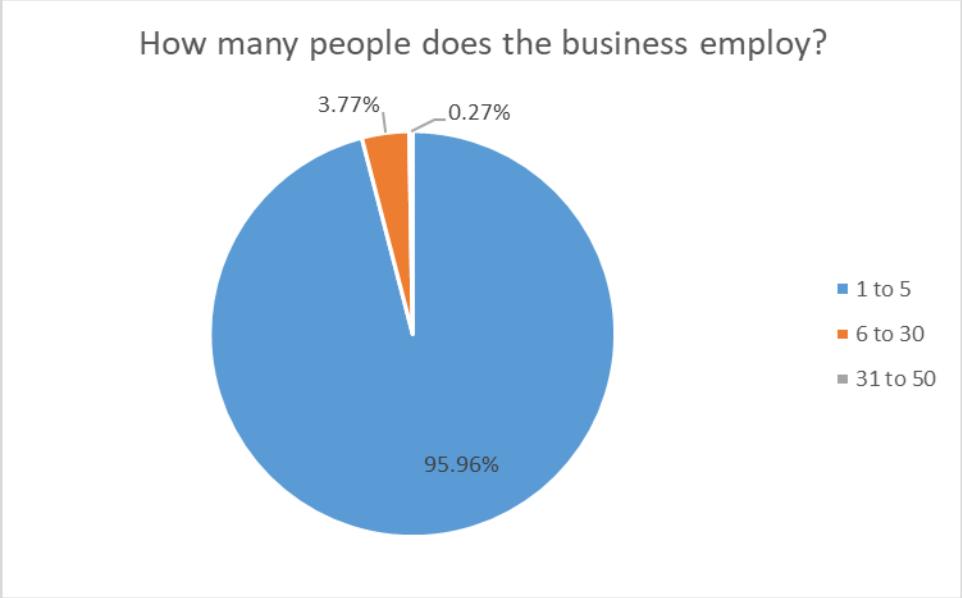
To provide survey data that could be used to inform future support and guidance, this research used a combination of quantitative and qualitative research methods to provide both statistical analysis on key themes and trends, whilst also providing qualitative information to provide deeper insights into the impact of the grant. Some open-ended questions were therefore incorporated into the survey to elicit more in-depth feedback and provide detailed insights into the personal and business impacts of the scheme, as well as providing case studies showcasing the impact of the grant where this was appropriate.

Following the project inception meeting, the survey question set was developed by Blueberry in consultation with City of York Council. A copy of the survey which formed the basis of this research is included in Appendix 1 of this document.

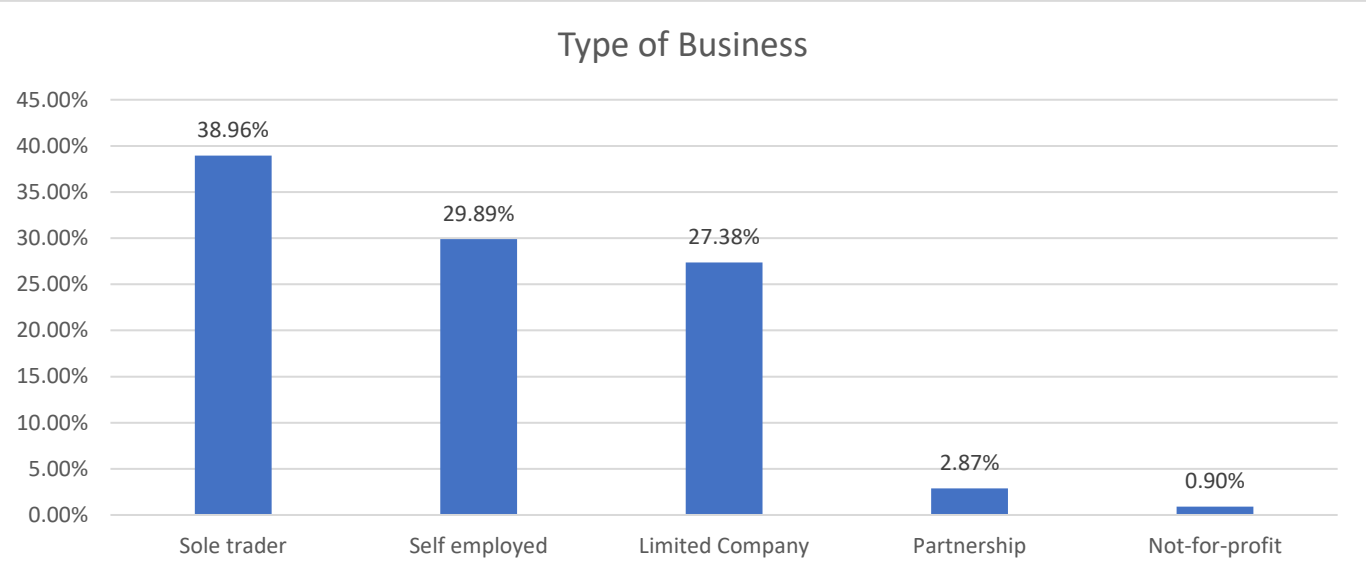
2.3 Overview of Grant Recipients

Blueberry were provided with details for all businesses who had received a grant, which totalled 1,114 businesses. Some data was gathered on the profile of the grant applicants as part of the online application process, which provides some initial insight into the profile of recipient businesses.

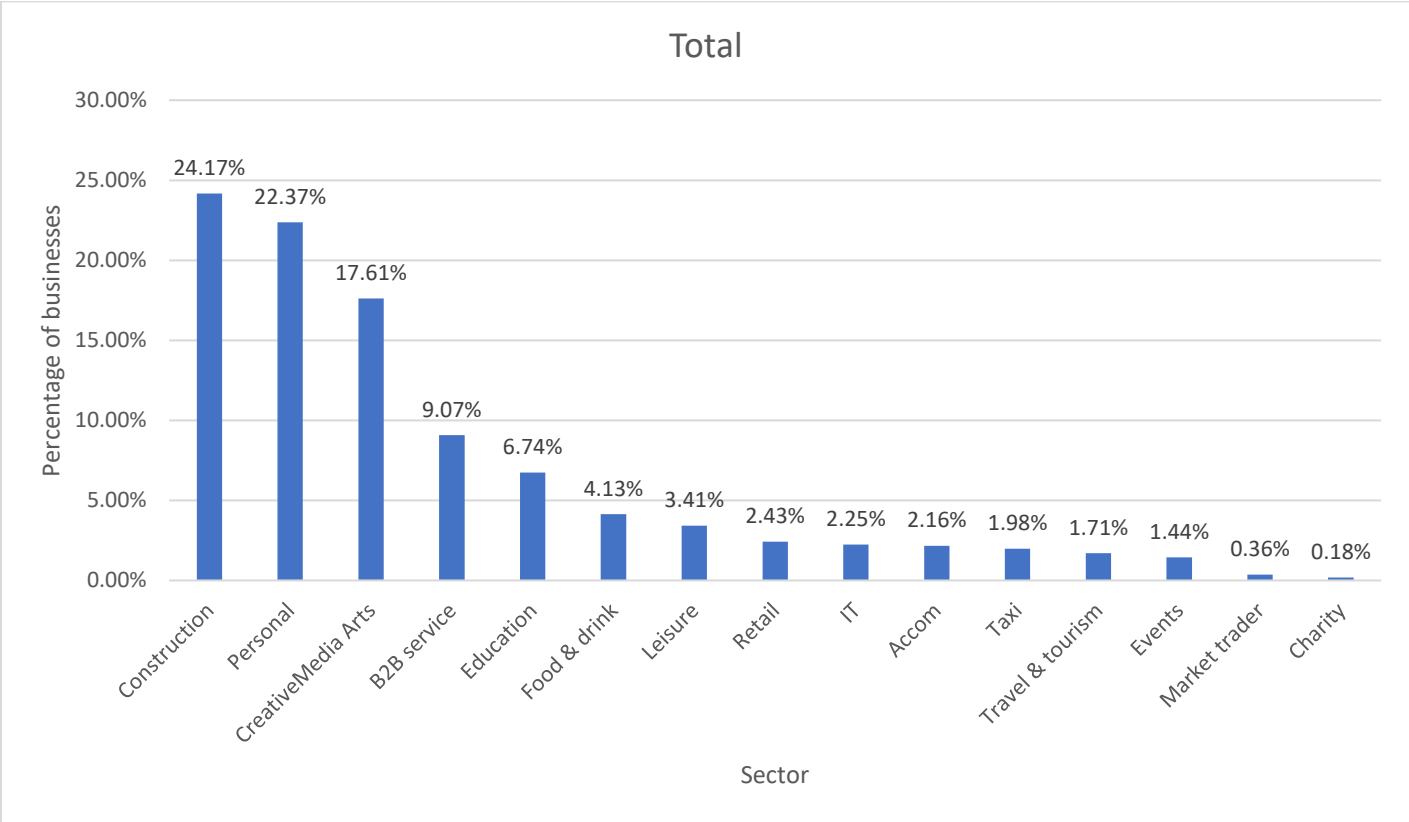
In terms of employee sizes, the recipients were heavily weighted towards micro-businesses (1-5 employee businesses make up 96.0% of the data).



In terms of the business type, a high proportion of businesses are sole traders (39.0%) or self-employed (29.9%) with only 27.4% being limited companies.



When applying for the grant, recipients self-reported their business activity within a free text field in the online form. This was aggregated into a number of top-level sector descriptions by the economic development team at City of York Council and these are summarised in the bar chart below. There was a cross sector mix of businesses, however 64.1% of grant recipients fall within three sectors: Construction (24.2%), Personal Services (22.4%) and Creative & Arts (17.6%).


Total
30.00%
25.00%
20.00%
15.00%
10.00%
5.00%
0.00%
Percentage of businesses
24.17%
22.37%
17.61%
9.07%
6.74%
4.13%
3.41%
2.43%
2.25%
2.16%
1.98%
1.71%
1.44%
0.36%
0.18%
Construction
Personal
CreativeMedia Arts
B2B service
Education
Food & drink
Leisure
Retail
IT
Accom
Taxi
Travel & tourism
Events
Market trader
Charity
Sector

3.0 Micro Grant Scheme Survey Results

This section summarises the quantitative and qualitative data gathered during the course of the survey, from across the 318 respondents. Further thematic analysis and discussion is provided in section 4.0.

3.1 Question One – Areas of support

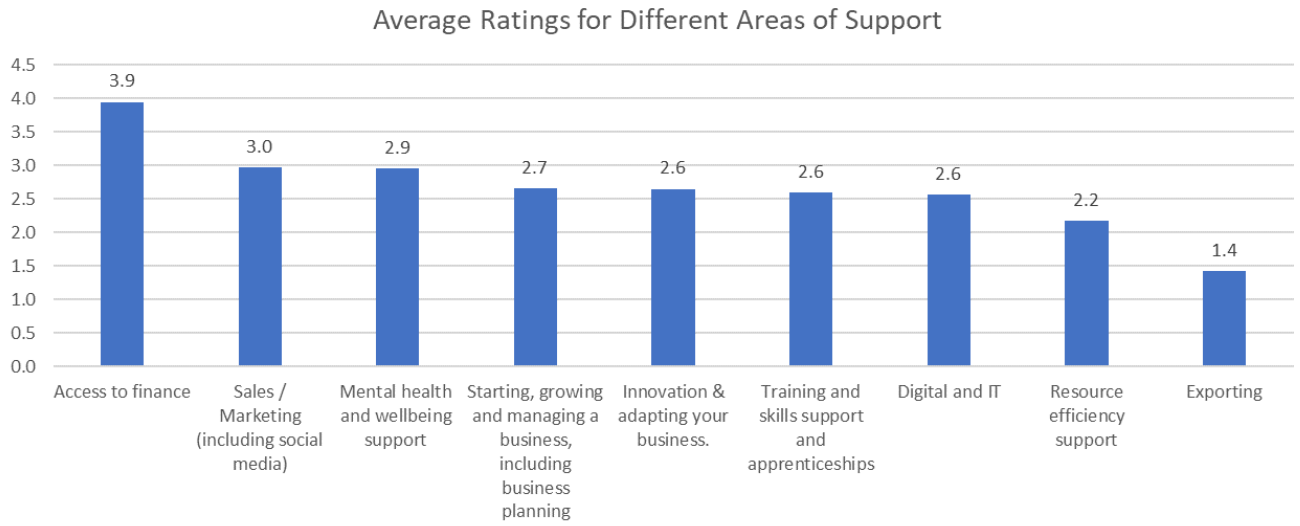
The aim of this question was to act as an easy lead into the feedback, providing a soft opening to the survey and opening up the respondent to further conversation. Although this question did not require any detailed feedback from the businesses, it allowed us to identify which areas of support were of greatest relevance, so that this can inform any future support packages.

Question Wording: *Firstly, we're looking at what type of support is of most value to businesses across things such as skills, business resilience, climate change, networking, grants, exporting etc and so how valuable would you say the following things would be to you as a business, to help improve competitiveness on a scale of 1-5, where 1 is not very valuable and 5 is very valuable?*

- *Sales / Marketing (including social media)*
- *Starting, growing and managing a business, including business planning*
- *Digital and IT*
- *Exporting/Expanding into new overseas markets*
- *Innovation & adapting your business*
- *Resource efficiency / carbon reduction support (reducing your environmental impact, for example, reducing your energy consumption)*
- *Training and skills support and apprenticeships*
- *Mental health and wellbeing support (for you and your employees)*
- *Access to finance*

This question provided a lead into the rest of the survey, and also provides quantitative data to allow future support to be developed and tailored according to the needs of the business community. However, some caution should be taken when interpreting these results as representative of the full business population given the data sampled was specifically focussed on grant recipients.

As shown below, the most popular area of support was access to finance, with mental health and wellbeing, training and sales and marketing also proving highly rated. This looks to mirror some of the key themes explored in section 4.0.



Access to finance was rated the most valuable area of support with an average rating of 3.9, followed by Sales & Marketing (3.0) and Mental Health & Wellbeing (2.9). Exporting & Resource Efficiency support were the lowest rated with 2.2 and 1.4 respectively. Due to the size and sector profile of the businesses, resource efficiency may have been less relevant to these businesses given they may typically have relatively low overheads and were not necessarily based within resource intensive sectors. In terms of exporting, as many of the businesses are in the construction or personal services businesses with local client bases, these businesses may have been less relevant from an export perspective. However, as some of these businesses have digitalised as outlined in section 4.0, it could be that they may start to explore more national and international markets.

Where additional qualitative feedback was provided in response to this question, this was noted by Blueberry and some examples of the support requirements flagged by businesses are provided below.

On the resource and efficiency side of things where possible I have tried to get LEDS and look more at that side of things. What I did try and do before this kicked off was we were taking on work experience students- a lot of my career until 5 years ago I was high up in hotel senior management and did a lot of work experience stuff with students then. We took on a lot of students before the pandemic- I enjoy doing it and it is really good for students to see the real working world. I used to deal with Trident- they used to be governing bodies for work placements. I think it is a good thing to offer to support the youth and good for business. We did take the bounce back loan which really helped as well so I'm always open to financial support that is available.

We were going to look at taking on apprentices, but it fell through because of covid. I have had interns before as well, but it would be nice to get support in that area moving forwards. We only found out about the microgrant through a bit of luck, I think the arts guild put the word out there. More information on what is available would be really helpful. Access to a grant writer would be a really helpful thing. The bar is very high for getting into the system and then they complain no one applies for the money!

I wasn't eligible for any funding or grants from the government and didn't know the council was offering anything, so I did a bit of research and came across it eventually. I have only been going a couple of years and there is nowhere that gives support, no one is willing to share information on how to set up a company. I learnt the hard way by using the wrong people, had an accountant that screwed me over and gave me bad advice and put me in a financially difficult situation. If there is somewhere or something you can set up that can offer help and advice in that area that would be fantastic. I am currently looking at taking on 2 subcontractors to work some jobs with me, but they are asking loads of questions as they are new to it. I am directing them to the government website but it is really confusing and unhelpful so support for people like that knowing how to set up tax codes and things like that would be good. Reducing efficiency- as a builder waste is the biggest thing for us. I have a works vehicle so I can't come to the York tip, you can get yearly vouchers, but they don't always work for example if I did a job for an old lady and I needed to get rid of her carpet, I would have to hire a skip. It would be useful for the council to help in this area, we could pay for a separate licence to be able to get rid of things like carpets and fridges properly without having to hire a skip and might help with reducing fly tipping. I can't take my van to the tip but if there could be some assistance with being able to properly dispose of smaller items that have come out of house builds, I think it would be well received. Training and skills support and apprenticeships - I'm trying to take on an apprentice now and the lady at York college is helping with that, she is amazing. But I don't have information on how to take on an apprentice and what do you need to set up, paperwork, pensions etc. My accountant is really helpful, but it would be good to have a central source maybe online which gives information on the correct process. Mental health support is really important- as an employer though how do you help? I did what I thought was best at the time, but it would be really useful to have some support for employers that want to know how to offer suitable mental health support to their staff. Access to finance- small bounce back loans or something similar would be useful. Smaller businesses don't need massive loans they just need a small amount of help that is on a manageable repayment plan.

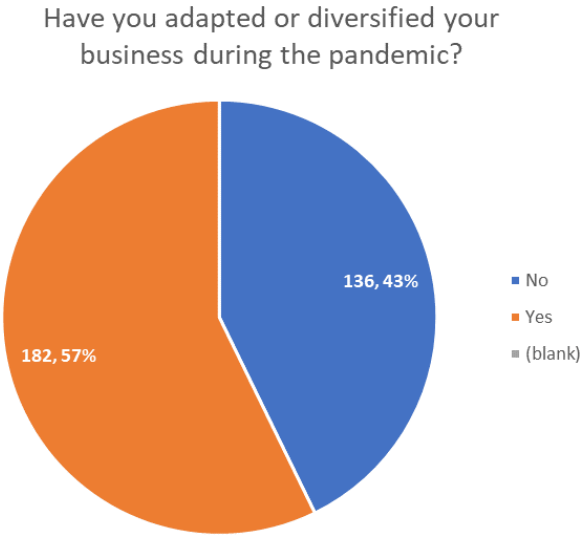
Voucher for Google Adwords would be a good idea. Help with exporting abroad would be really useful so maybe a link or an online resource with up to date information or some kind of point of contact that you can get advice from. Training and skills - would be really helpful you could have a system where people apply and they send you the course details they want to do, then you could subsidise it to help them expand and grow. Mental health- small businesses tend to be people who are self-employed and can feel quite isolated so a support network for those types of people would be a lovely idea. Maybe a resource with helplines in one place as when you aren't well, you feel like you can't reach out so making it easy for people to know where they can get help and speak to people. Maybe a business mentor scheme as well, someone with more experience could guide newer self-employed business owners which would support mental health as well.

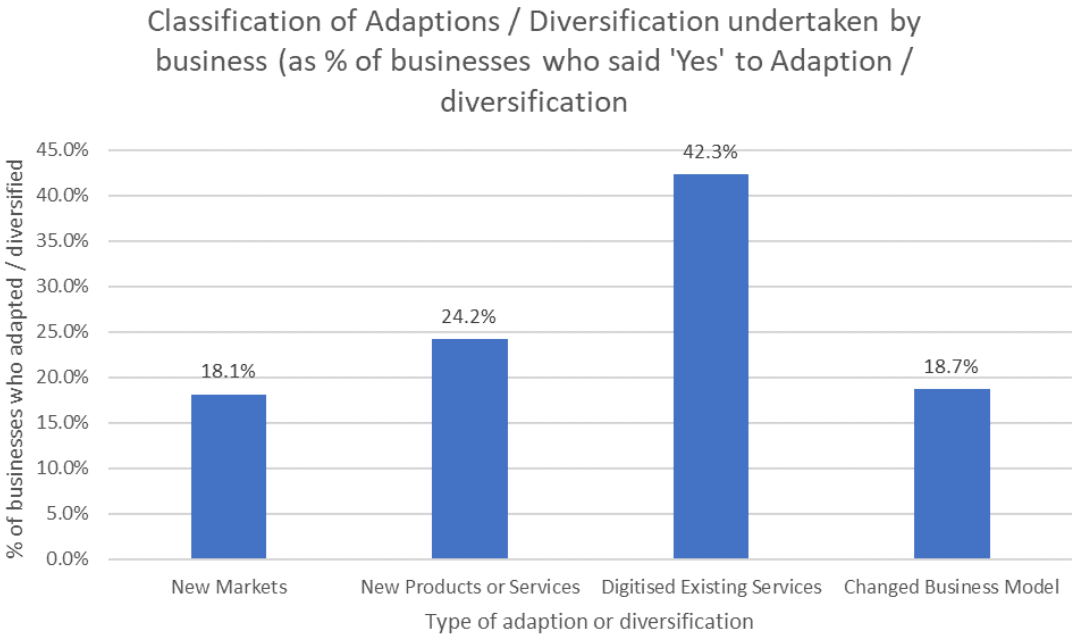
Sales/marketing and social media- this is a really important area now for businesses to gain knowledge and skills in, I do a lot of my work through LinkedIn so I would rate this highly definitely. Digital and IT- I would say that we have had to adapt to going online, there are opportunities for people using Teams and Zoom, and things like that which a lot of people struggled getting to grips with, and support moving forwards in that area would be of some benefit. When you go into the digital world there is a lot needed behind the scenes to manage teams and culture, it links into the digital side from a management level. Very easy for the culture of the company to change and loose the essence of what it is when people aren't working face to face every day. I am very passionate about education- not just for younger people and 16-18 year olds but also you can give higher level apprenticeships to older workers and longer term staff. It will help with succession planning for their own businesses- developing their workforce. People have misconceptions about apprenticeships, but I think they are great, you can do level 5 and level 7 in things like Leadership, I have worked with York college in the past on this area to promote it. Access to finance wise, it is important for people to know where the money is. I have been doing some work for the Voluntary Community Sector and my colleague was amazed by what is out there, but it is sad that people just don't know where to find it. Procurement isn't on the list, but I have done work with businesses doing tenders or training them to do tenders so that shows them how the be sustainable to search for funds and grants for themselves moving forwards. My success is that my client doesn't need me anymore, whilst I have been helping them, I have upskilled them along the way whether it's about managing change or doing a tender, it is always about 'you can now do it yourself' so you don't need me again. It is harder getting work that way, but it is my values. SMEs can't afford long term consultancy and I truly believe in knowledge sharing and knowledge transfer. I was a secondary school teacher and I think you have a different outlook on life and how you go about it. This is why sometimes I cringe when people say I'm a trainer- and they can't really say what they have got skills wise or how they work, I have years of experience in all types of training, but I am more concerned about sharing that knowledge to help businesses become sustainable and successful by themselves.

3.2 Question Two - Adaptation and Diversification

Question Wording: *Have you adapted or diversified your business during the pandemic? And if so how? So for example, started deliveries, going online etc – anything which involves changing the way you work or what you offer your customers.*

This question was designed to uncover valuable insights as to whether the businesses had adapted and diversified during the COVID-19 pandemic. From the businesses spoken to, it was encouraging to note that the majority of businesses had in fact been able to adapt or diversify during the pandemic, with 57.0% of businesses answering 'yes' to this question. Although respondents were not specifically prompted on the impact of the grant at this stage in the survey, a number also referenced the impact of the grant in enabling diversification.





Based on the qualitative information provided by the respondent at this stage, four flags were used to classify the response where specific forms of diversification were referenced on the call. A response could be classified under none, one or multiple flags. From these flags, the most common form of adaption was digitalisation of existing services, with 42.3% of respondents who had diversified or adapted falling into this category. From the qualitative insights gathered across the course of the project, it became clear that the adoption of digital technology and diversifying into new digital revenue streams was a recurring theme. The social distancing measures in place, and business restrictions resulting from national lockdowns, were cited as a key factor by many of the respondents in driving digital adoption and new ways of working. In addition, diversification and adaption was not limited by sector, with case studies of diversification within sectors where this may not typically be anticipated. For example, in the personal services, hair & beauty and tourism sectors, we witnessed a number of stories of adaption and diversification.

Included below are some example responses to this question. In cases of digitalisation, some respondents discussed this from a functional perspective, for example, switching to remote delivery purely to allow them to continue servicing existing clients. However, in some other instances, respondents discussed how digitalisation has allowed them to reach a wider audience, and in two instances specific client wins were also referenced. While at this stage we did not prompt respondents regarding the grant, in some instances the respondent mentioned the importance of the grant in facilitating adaption, diversification and digitalisation.

Last year when covid kicked off, I was on for the busiest year ever and in 3 days I lost all work. I got no government support whatsoever- I didn't qualify as hadn't been self-employed long enough. Your grant was the only support I got. I diversified and have now set up a home studio to enable me to do distance training and coaching for the motor industry. I have got equipment to do podcasts. I have got equipment that means I can do the training from home if I can't actually be there. I have more recently won a contract with Porsche GB to deliver a new program with them, the start has been delayed due to Covid unfortunately, but it should hopefully be up and running by May which will be brilliant.

I had to take everything online - whereas I would've done a facial in my therapy room, **I invited individuals and groups to do a facial online and sent out products and did online sessions. It has changed the way I do business.**

To be honest that's why the grants were so useful for us, we diversified into video work. We offered some video already and we got into it a few years back **but to be competitive in the market we now needed gear to support 4k** - stock photography and stock videos sell worldwide, there is a market for video but we moved into video stock provision, **it's early days but we are ramping it up in terms of output now.**

Yes, I have completely adapted my business which was hair and makeup for mostly brides and **have now turned towards a new business of organic skincare products.**

It has been a major thing of mine- I pivoted my business as they say because I had a standard video production company before and when the pandemic started, and lockdown came about all my business disappeared. I then started looking around at my resources and what I could be doing with the downtime and I had been involved with the University of York and XR Stories looking at things with 360 videos. I had all the equipment and the skillset for it, everyone was in lockdown and companies were unable to reach their audiences, **so I started creating virtual experiences for companies. I still offer the standard video production, but my new niche is definitely in 360 virtual experiences and it has been going very well. I just completed a project for Jorvik Viking centre** which has gone down really well and was used at the virtual Viking festival they held in Feb.

I'm glad you've phoned as you've been quite anonymous and I've wanted to praise you as a council and thank you, you were very helpful throughout, the application process was very rigorous but just right and very fair. As a council you've done fantastic, I can't praise you enough. I run a sports recruitment business and people haven't been hiring, the recruitment industry has really suffered. I've changed my business model, I was a traditional recruiter earning on percentage, but now I'm more working within a business, in other sectors (other than sport which is where I usually work) and looking more at local opportunities. **Your grants have enabled me to have the confidence and the money to adapt the business to move on and diversify.**

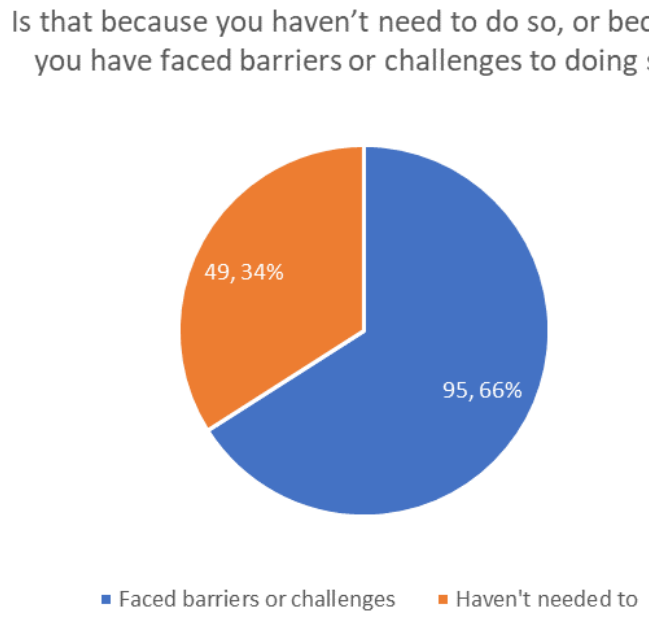
We do personalised tours of the wall and ghost walks […] Diversification wise- **we are working on self-guided tours you can take yourself around using a smart phone.** Also doing games for kids as well so they can walk around York with parents and choose their own adventure. **I think going down the digital route is definitely more relevant moving forwards.** We used the grant towards that- you need to get people in to do the tech side of things and what we realised, even with Covid coming to a stop, we know in York that tourism isn't going to bounce straight back so focusing on people who already live here. We are trying to change the target audience from just outside tourists and make the locals aware of our existence.

3.3 Question Three – Businesses not Adapting / Diversifying

Question Wording: *And is that because you haven't needed to do so, or because you have faced barriers or challenges to doing so?*

For those businesses that had not adapted or diversified, this question was designed to further probe the reasons behind this. The aim was to differentiate between those businesses that had not needed to adapt or diversify throughout the pandemic period from those businesses that had wished to do so but which were not in a position to do so. From this question, 66% of respondents stated they had not diversified or adapted due to barriers they faced in doing so, rather than because they didn't need to do so.

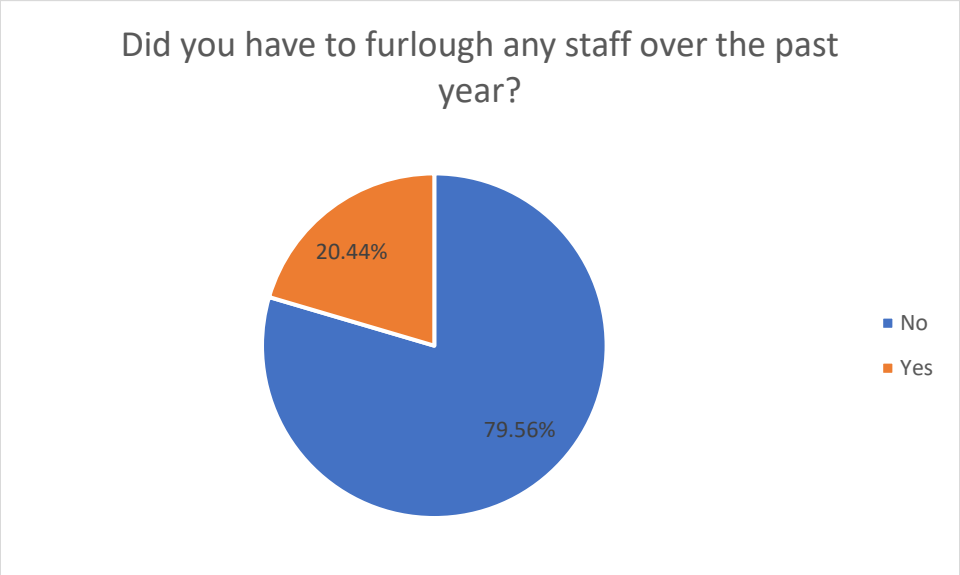
From the qualitative feedback gathered at this stage, a key barrier referenced by a number of respondents was a lack of diversification opportunities within their area of business, although in some instances this could perhaps point to underlying skills barriers in identifying relevant opportunities.



3.4 Question Four – Furlough

Question Wording: *Can I just ask, did you have to furlough any staff over the past year?*

To ascertain how businesses were surviving during COVID, respondents were asked whether or not they had staff on furlough to help with wage costs. As shown in the pie chart below, 79.6% of businesses did not have to furlough any staff. This is in line with expectation given the profile of the grant recipients outlined in section 2.3, with 95.9% falling into the '1-5 employees' bracket.

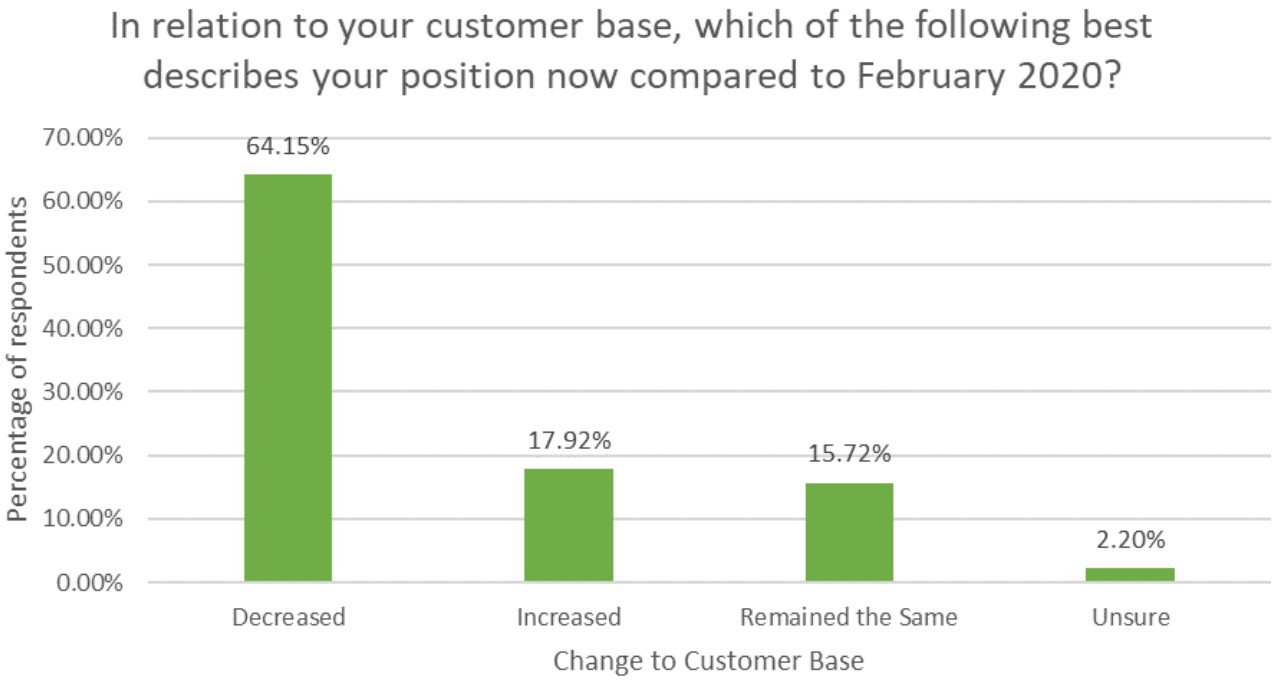


3.5 Question Five – Business Customer base

Question Wording: *In relation to your customer base, which of the following best describes your position now compared to February 2020?*

To assess the impacts of COVID-19 on the client base of the grant recipients, we asked respondents the size of their customer base and how this had changed over the course of the past year, comparing their customer base at the time of completing the survey to the number of customers they had in February 2020. Of the respondents, 64.2% noted that their customer base had decreased, with a further 15.7% noting no change. However, 17.9% of businesses noted an increase in customer base, which could be down to businesses adapting and offering new services as a result of COVID.

For this question, we included both quantitative insights as well as qualitative, as by speaking to businesses it was clear that there were some very varied business trajectories over the period, which reflects the unpredictable nature of the market and business landscape. For example, even where overall customer spending has remained constant, most businesses have noticed changes in spending patterns and types of spend.



Decreased Customer Base

Our main clients were for business meetings, airport runs, business people going out to events, sporting events. We also do artist travel for a lot of festivals and concerts and gigs but everything has come to a standstill so the business has literally dropped off a cliff.

Revenue at the height of the pandemic went from 250 active subscribers to 500 as local florists closed down and more people were at home and wanted flowers. Profitability halved though due to the increase in refunds and redeliveries we had to do, as well as the increased cost of flowers due to Brexit and resending things out and now everyone is penny pinching. We have now had a lot of cancellations over the last 6 months as people are really feeling it.

Increased Customer Base

It has increased and I had a lot of potential work and a few jobs lined up last Feb but they all disappeared overnight. Since November 2020 just before the second lockdown, I was starting to get enquiries which was unusual for me as I have only been in business for just under 5 years and it has been difficult building it up but this new niche and direction means I am getting quality enquiries through which are resulting in more work.

Only from the point of view that people are looking to make do and mend and that fits our business model as we are able to do that. A lot of companies in this industry are 1 dimensional - the ones focused on selling 1 product have gone bust whereas if a customer has 5 different niggles, we can sort all of them. I feel we have got more opportunities because our competitors have struggled and we fit in with what people are looking at now which is not spending 75k on a new play area, they want to adapt and fix up what they have.

Remained the Same

It has been quieter during some periods, but I think it is busier with bigger jobs. People have got excess cash from not going on holiday, so they are wanting to do bigger home improvement jobs. Smaller stuff not so much though, maybe only 1 or 2 a month or something. It has probably evened itself out.

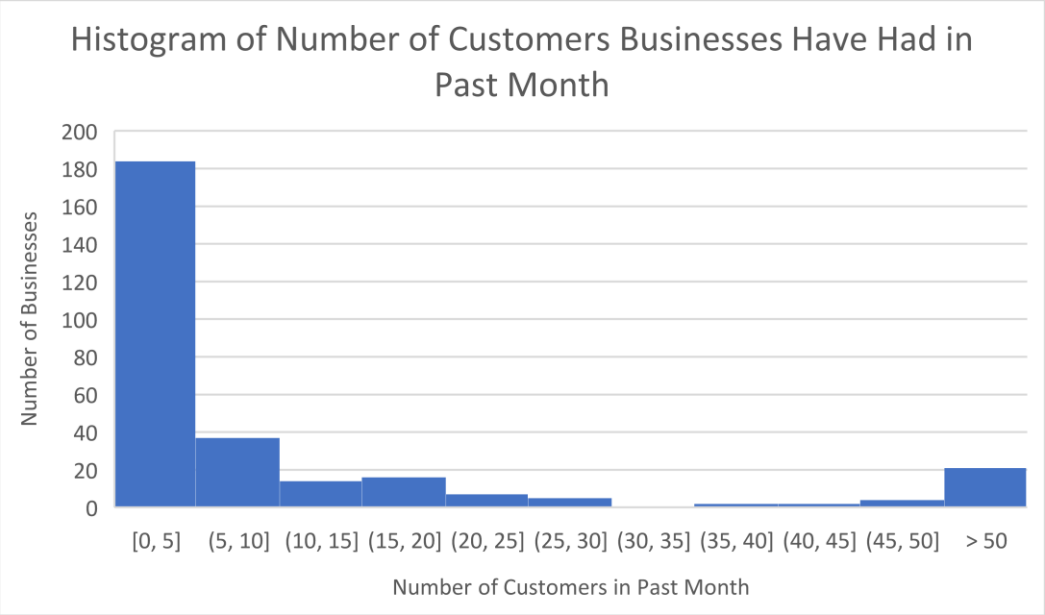
I have been lucky, I support the construction industry in planning a lot of the work that they do so with construction continuing to trade, it has meant that work has carried on. In some respects, it has slowed but perversely it has given me more work as I have had to relook at all the plans as we assumed we would have 20 people on site and because of covid there can now only be a third of that, so I've had to reassess plans and go back to old plans to make amendments. So, a lot of the same customers but the work has slightly changed.

3.6 Question Six – Estimated customers

Question Wording: *Roughly speaking, can you provide an estimate of the number of customers you've had in the past month?*

As well as looking at the overall trend in customer base, this project aimed to uncover how many customers the respondents had in the month prior to participating in the survey. Interestingly, 27.0% stated they had zero customers within this timeframe. This is noteworthy as it demonstrates the challenges of the COVID-19 pandemic were still current for a significant number of businesses. This should be taken into consideration when planning current and future business support provision and grant funding schemes.

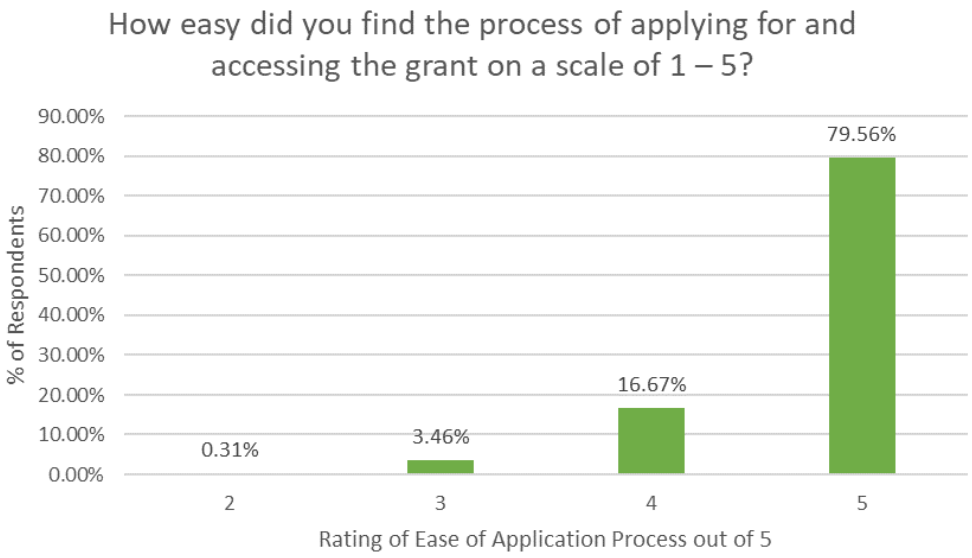
The histogram below provides a summary of the responses, excluding those businesses that were unsure or could not provide a figure. For those businesses that provided an approximate range, we have used the mid-point of that range in the below histogram. As shown below, 180 businesses reported having between 0-5 customers, with only 20 businesses having over 50.



3.7 Question Seven – Grant Application Process

Question Wording: *In relation to the COVID-19 micro-grant you received specifically – how easy did you find the process of applying for and accessing the grant on a scale of 1 – 5 where 1 is very difficult and 5 is very straightforward and simple.*

A key objective of the research exercise was to gather feedback on the grant application process to help inform the development of future grant provision. In the first question, we got respondents to rate the ease of the application process on a scale of 1-5, where 1 is very difficult and 5 was very easy and straightforward. Of the respondents, 96.2% rated the process as 4 or 5 and only one respondent (0.3%) rated the process as less than 3 out of 5.



3.8 Question Eight – Changes to process

Question Wording: *What would you suggest in terms of any changes to the process if you were to apply again?*

Following on from the quantitative rating of the application process the survey also asked respondents to share any suggestions for improving the process in future. In line with the quantitative findings, a significant proportion of the respondents did not feel any changes were necessary.

However, two individuals suggested the process could have been more accessible for those with dyslexia, suggesting more consideration may be required for future application processes to ensure accessibility. A number of respondents also referenced issues with the page timeout when completing the form, which is a further design consideration for online application processes in future.

Additionally, some respondent feedback included providing contact details for an individual at City of York Council for any questions or queries, or for on-going updates on the status of their grant application.

York were fantastic- it wasn't too complicated and it was actioned really quickly as well. We also applied for a tech grant from Leeds as well, we have had to innovate substantially on the website and the way we are doing things but that has been a complete nightmare, for the £1000 we got out of it, it probably wasn't worth it as we applied in Sept and they agreed to it end of Feb. That was Leeds City Region and we won't apply for anything now.

I thought it was a really good form, I thought it would take forever when I initially sat down as I have filled in some previous government stuff in an old job, and it was really time consuming but this was exceptionally easy. I was frustrated when I had sent it to friends and colleagues and they said they didn't do it as they thought it would be tough, but it really wasn't at all, thank you for making it so accessible.

Really straightforward. I wasn't a technical person but I found it easy. What I particularly liked was that it didn't ask a million questions. Sometimes you question whether you are going to get it as this has happened on funding bids in the past that ask for so much detail and you just feel that you are wasting your time as you probably won't get it anyway.

It was very easy and straightforward because I had applied for the business bounce back loan and you had to jump through hoops [when applying for that] and that was [only] a loan, but even so you had to provide every single thing. Because I was new to being self-employed, I couldn't give them some of the things they needed. Luckily, they allowed me a really small amount. I will have to give it back though from next business year, but you can't live on fresh air.

For me it was very hard because I am dyslexic but my wife did it ok I think.

It was fairly easy and straight forwards, but the ten minute time frame was panicky, and we wanted to get it right - I don't understand why there is only ten minutes when its important information.

3.9 Question Nine - How exactly did you use the grant?

Question Wording: *How exactly did you use the grant?*

To ascertain the direct impacts of the grant both economically and socially, the survey asked businesses how they used the grant. In section 4.0, we explore these themes in more depth, and have included a full thematic analysis of responses. To facilitate a thematic analysis, once all responses had been collated, Blueberry identified common themes from the collated narratives. These identified themes were then used to tag the responses according to the themes which were referenced in each response. Each response was flagged under at least one theme, although multiple flags could be included for a response. To note, this data processing was conducted after completion of fieldwork by Blueberry, so these themes were not provided to the respondent at the time of the call.

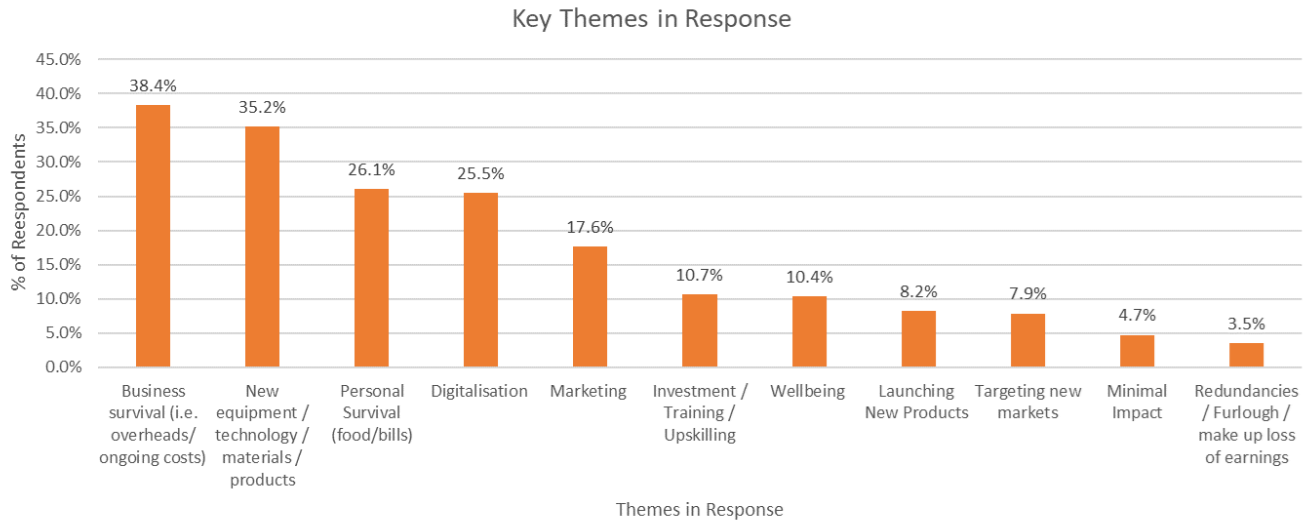
Overall, 38.4% of the respondents referenced the grant contributing towards business survival and 26.1% referenced the grant contributing to personal survival. However, 35.2% referenced the grant contributing to new equipment, technology, materials and products and 25.5% referenced the grant contributing towards digitalisation. These results demonstrate that the economic impact of the grant is complex and multi-levelled, contributing both to immediate costs and overheads – and thereby business survival – whilst at the same time supporting investment in future business growth, adaptation and innovation.

In addition, many of these themes intersect. For example, we grouped the themes into investment and growth-related grant spending (everything from investment, marketing, launching new products and services and training)

and survival linked grant impacts. In total, 55.3% respondents referenced grant spending relating to personal survival, business survival or both. However, of these, 33.0% also referenced one of more themes relating to business growth and investment. This demonstrates that even in instances where the grant was required for immediate business or personal costs, there has still been some investment in the medium to long term future of the business.

One key takeaway from the qualitative feedback is that that even in instances where the grant money itself may have gone on covering immediate costs, this may still have provided a springboard for the business to ultimately invest in the future of their business. Therefore, it is important to consider the grant impact broadly – not only what the money went on to support directly but how this may have indirectly contributed to business growth.

These themes are explored further in section 4.0.



3.10 Question Ten – Impacts

Question Wording: *What differences has the grant made to you and your business?*

In order to assess the success of the Micro Grant scheme, we assessed the impact of the grant on each business. In order to do this, we grouped the responses based on themes indicated by the respondent across their response. These themes are explored in more depth in section 4.0.

3.11 Question Eleven – Economic Impacts

Question Wording: *Did any of these outcomes happen over the last year?*

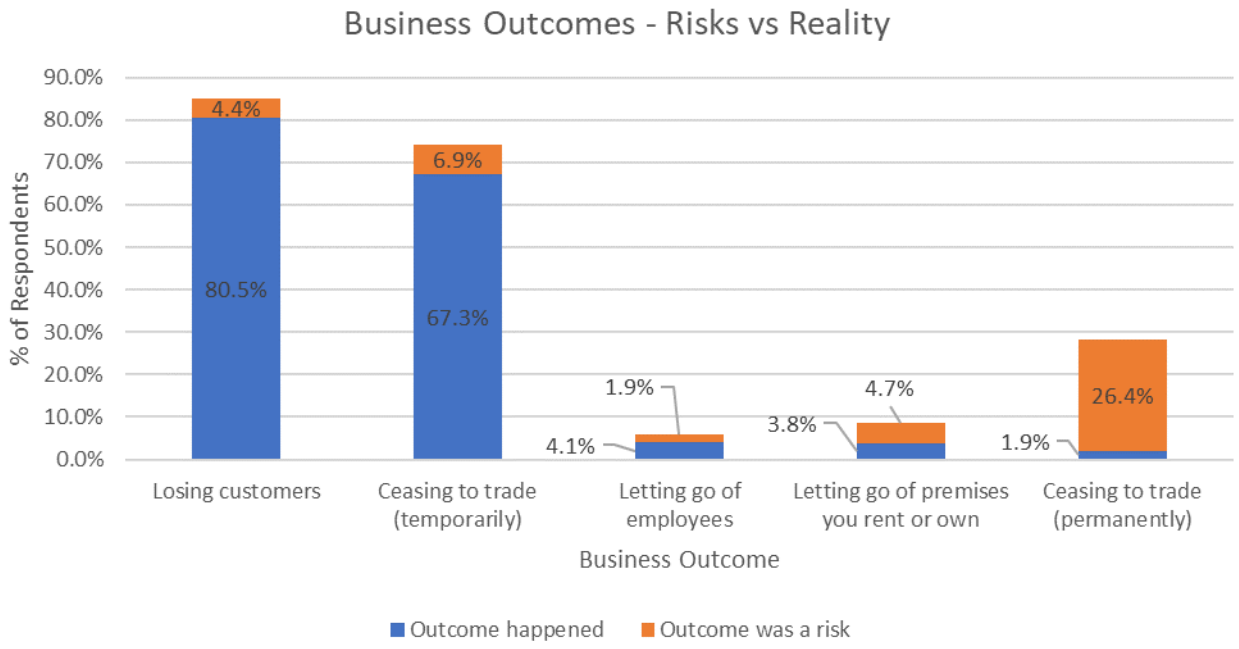
In order to assess the economic impacts of the grants, we asked each business whether they had experienced the following outcomes over the last year:

- Ceasing to trade (temporarily)
- Ceasing to trade (permanently)
- Letting go of premises you rent or own
- Letting go of employees
- Losing customers

The below bar chart summarises the percentage of respondents experiencing one of the above outcomes, compared to the percentage of respondents who were at risk of the outcome, but ultimately managed to avoid it. The majority of businesses were unable to avoid the short-term impacts such as ceasing to trade temporarily and losing customers. However, the majority of businesses were able to avoid the longer-term impact of permanently ceasing to trade. When asked, 26.4% of respondents stated they were at risk of permanently ceasing to trade at some point in the last year but managed to avoid this risk. Whilst the risk of closing was very real to almost a quarter of businesses, only six (1.89%) of the respondents had permanently ceased trading. Extrapolating this across the 1,114 total grant recipients this equates to ~294 businesses who were at risk of permanently ceasing to trade but avoided this outcome.

Comparing the response to this question to the thematic analysis conducted, of the 84 businesses that were classified as at risk of ceasing to trade, 66.7% were flagged as referencing the grant contributing to business survival. This evidence supports the conclusion that the grant played a significant role in safeguarding these businesses and avoiding some of the business risk which resulted from the pandemic.

Letting go of employees and losing premises were relatively minor risks, primarily due to the profile of business receiving grant funding.



3.12 Question Twelve – Wider Support

Question Wording: *Are you aware of or do you engage with any of the following?*

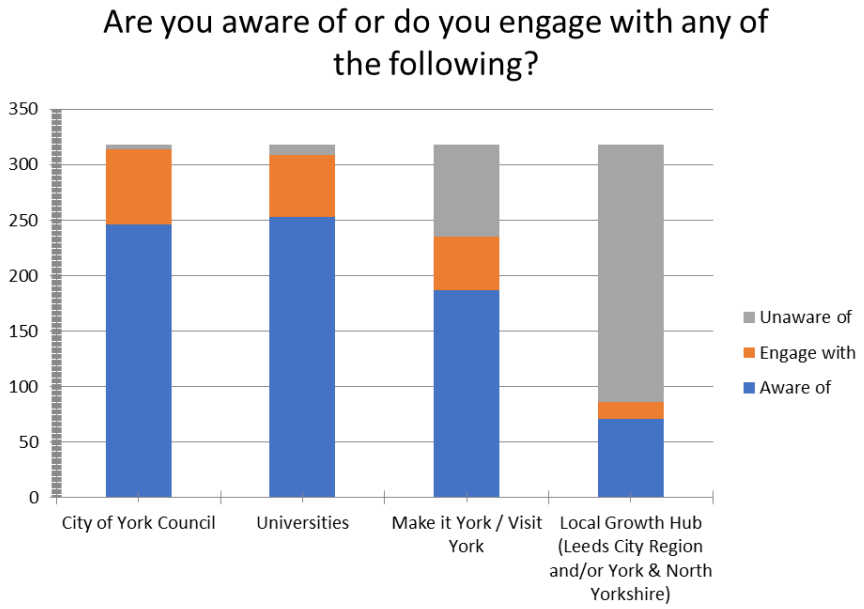
- *York Chamber of Commerce*
- *Local Growth Hub (Leeds City Region and/or York & North Yorkshire)*
- *Federation of Small Businesses*
- *Institute of Directors*
- *Trade Associations*
- *City of York Council*
- *Universities*
- *Make it York*
- *Other business networks*

IF YES TO ENGAGE WITH FSB – "Have you found the FSB membership useful?

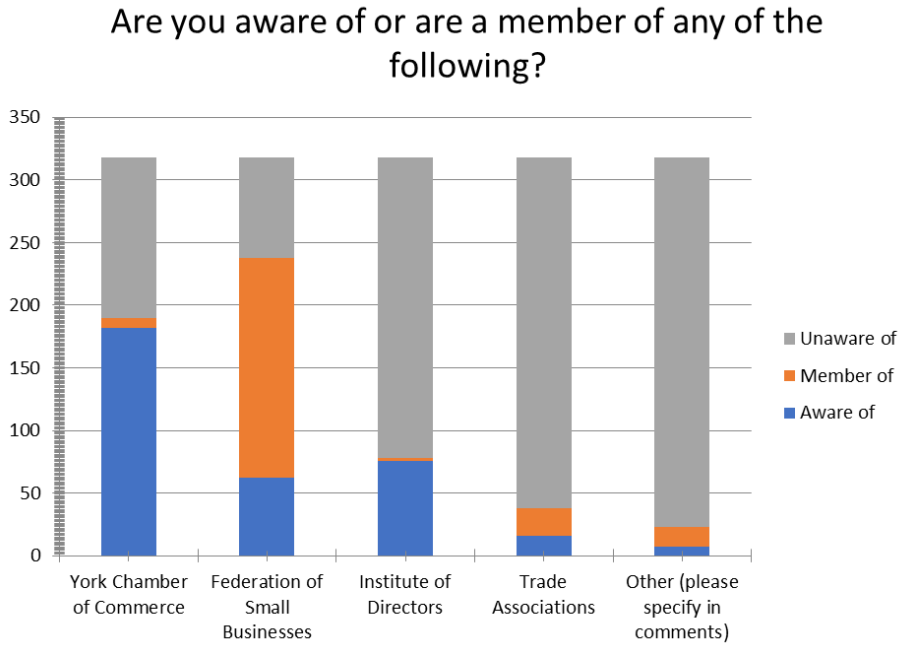
Would you be interested in more information on membership of the FSB or local Chamber of Commerce going forwards?

As well as looking at the impacts the grants had on businesses, there were additional questions in the survey to identify future support needs as well as to understand how well networked the grant recipients were with other local organisations, public sector bodies and business networks. These questions provide valuable insights into the connections within the business ecosystem and how these can be nurtured and supported in future.

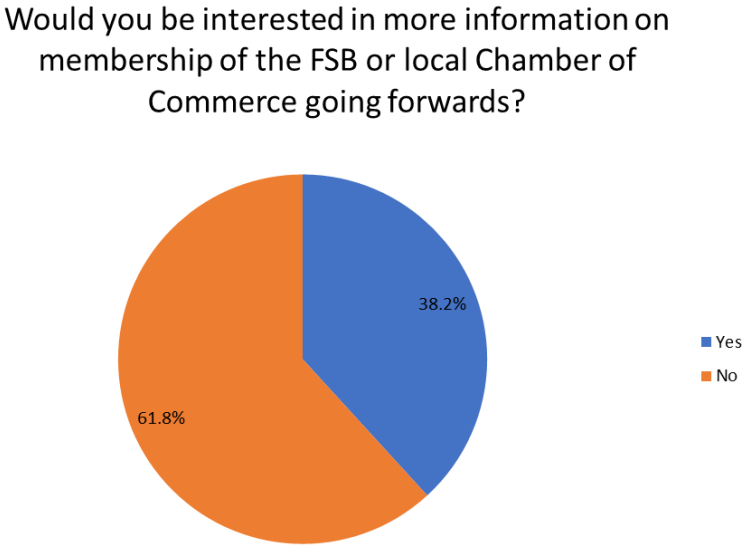
We also gathered feedback on the Federation of Small Businesses (FSB) membership which was available to grant recipients.



As demonstrated in the above bar chart, awareness of City of York Council, Make it York / Visit York and Universities was high, although the number of businesses engaging with these bodies was significantly lower. In addition, a relatively low number of businesses were aware of, or engaged with, the local Growth Hubs. This may partially be because of the profile of businesses receiving this grant, given that historically they may have fallen outside the eligibility for Growth Hub support.



The survey also gathered feedback on the membership organisations businesses were members of. Compared to the other membership organisations, a significant proportion of respondents stated they were aware of, or a member of, the FSB. This may suggest that the FSB membership offered with the grant has been successful in raising the profile of the FSB amongst grant recipients.



For those respondents that stated they were a member of the FSB, the survey went on to ask whether the membership was useful and to gather qualitative feedback on the membership. There was some positive feedback on the member benefits, although some businesses were unsure, or were yet to use many of the membership features. Therefore, we would suggest better promotion around the uses of the membership to increase uptake of the scheme.

Not particularly, I find it is quite a political lobbying group and you get bombarded with emails so I found it more of a hindrance than a help.

Yes I have in various ways. Had it for years. My wife had membership for the shop. Used the legal team in the past and you get shop insurance on discounted rates. It is really good and have I have recommended it to a lot of companies. Their legal assistance is second to none if you get caught up in anything with small print which is easily done!

I like it for the opportunity to network but I'm not a great networker- in my line of work it is quite difficult, a lot of it comes from referrals. It is nice to have it but if you aren't using it, it can be quite an expense.

Yes it is nice to get emails from them and they gave me a call recently to check in and see how I was getting on so I think it is good.

Yes, they've been great at giving information and make us aware of available opportunities. Helped us with marketing and promotion and helped us get free promotion with the Daily Mail and other papers.

I have found odd things quite useful as it can be relevant to your particular business at certain times, but I have listened to some of the podcasts and read all the emails they send, not everything is relevant, but it is a good thing to be a part of, I think.

I have been a member for 35 years, but you have to be a member to have a voice, at the same time and all due respect, they don't shout loud enough.

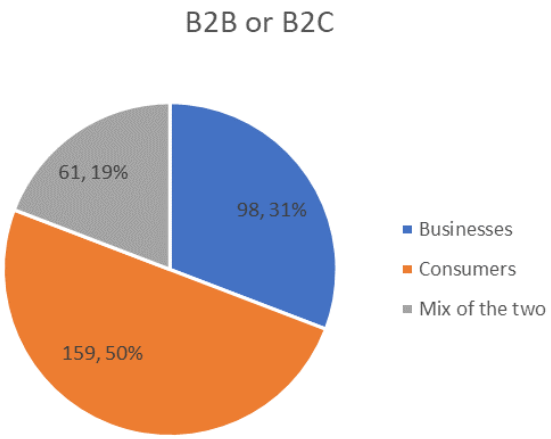
It would've been more useful if I had been trading, I want to carry on but the stuff I would've used has been a bit irrelevant really. I would definitely consider it moving forwards as I see that it would be useful and my plan isn't to try and stay stagnant, I want to grow the business and I think the help from the FSB will be very important when I get to that stage.

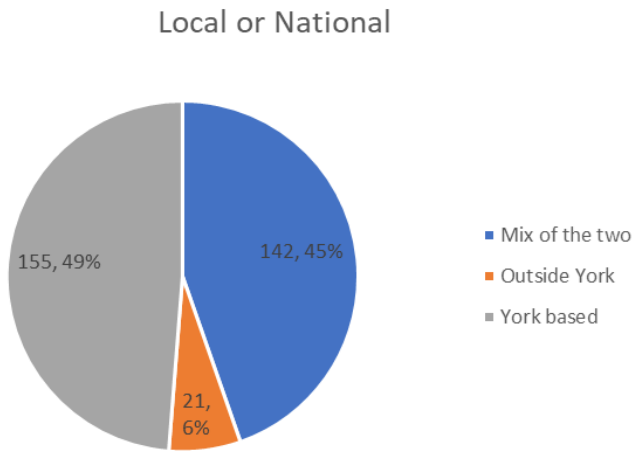
3.13 Question Thirteen – Customer Make-Up

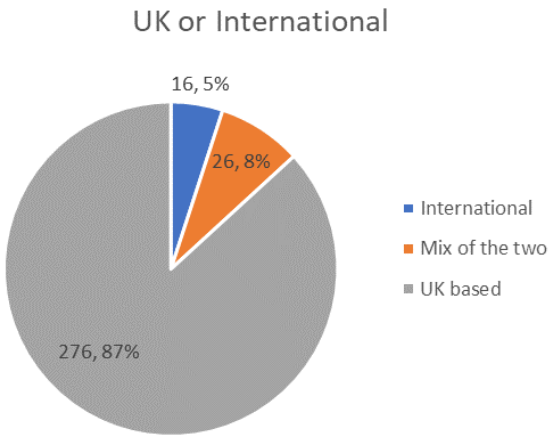
Question Wording: *Just to help us understand more about your business and the type of customers you work with, can you just let me know:*

- *Are your customers mostly businesses, mostly consumers or a mix of the two?*
- *Are your customers mostly York based, mostly outside of York or a mix of the two?*
- *Are your customers mostly UK based, mostly international or a mix of the two?*

This question was designed to understand the profile of businesses in the city received the Micro Grant, and their supply chains. Whilst many businesses that received the grant are small in size, together they make up part of the 'foundation economy', and this question therefore aimed to uncover the interconnections between businesses in the city and thus the wider impact on the overall business ecosystem as a result of the grant. 93.4% of respondents have a customer base which is fully or partly York-based, and 69% of the respondents trade business to consumer either in part or full.







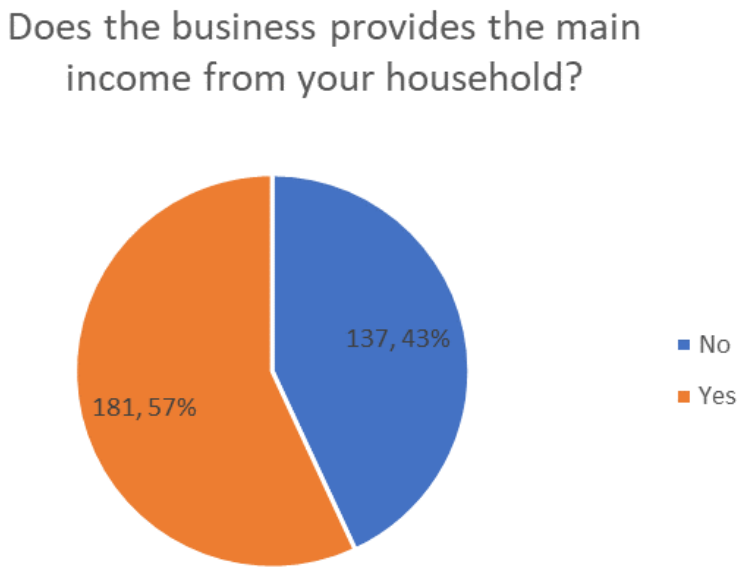
3.14 Question Fourteen – Main Household Income & Size of Household

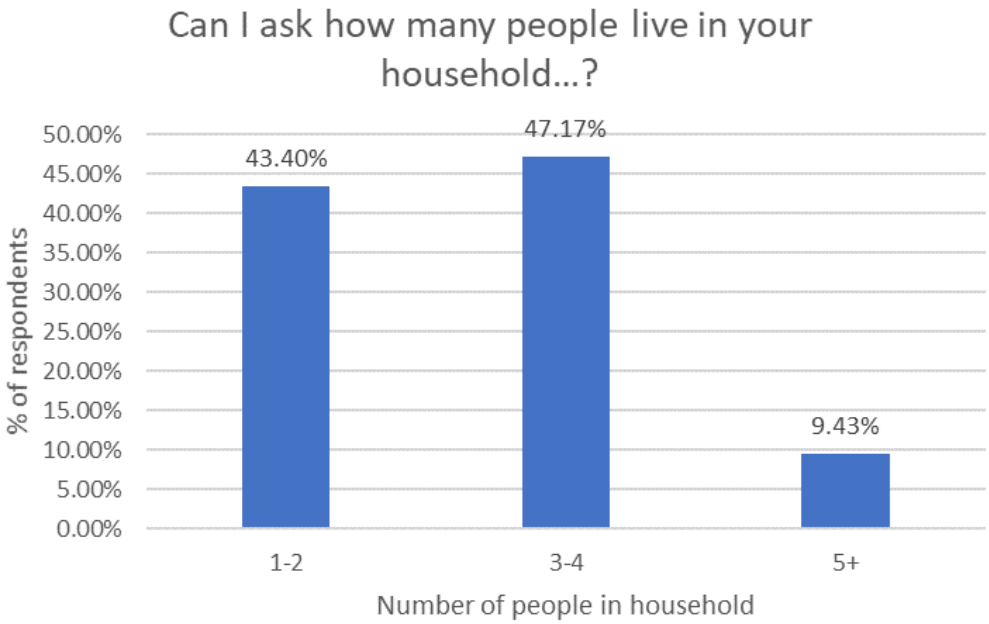
***Question Wording**: Finally, can I ask how many people live in your household…?*

- *1-2*
- *3-4*
- *4+*

And does the business provide the main income from your household?

This question aimed to understand the wider social impacts of the grant, by gathering insights into the role of the businesses in providing household earnings and the number of individuals residing within the household. This provides insights into the reach and social policy implications of the Micro Grants. For 57% of these businesses the business provided the main income for the household. In addition, 56.6% of these businesses had 3+ members within the household. Given the number of individuals stating they were self-employed (see 2.4) many of these individuals may have otherwise been solely reliant on welfare support, for example, through Universal Credit. The welfare impacts are discussed further in the thematic analysis section of this document.

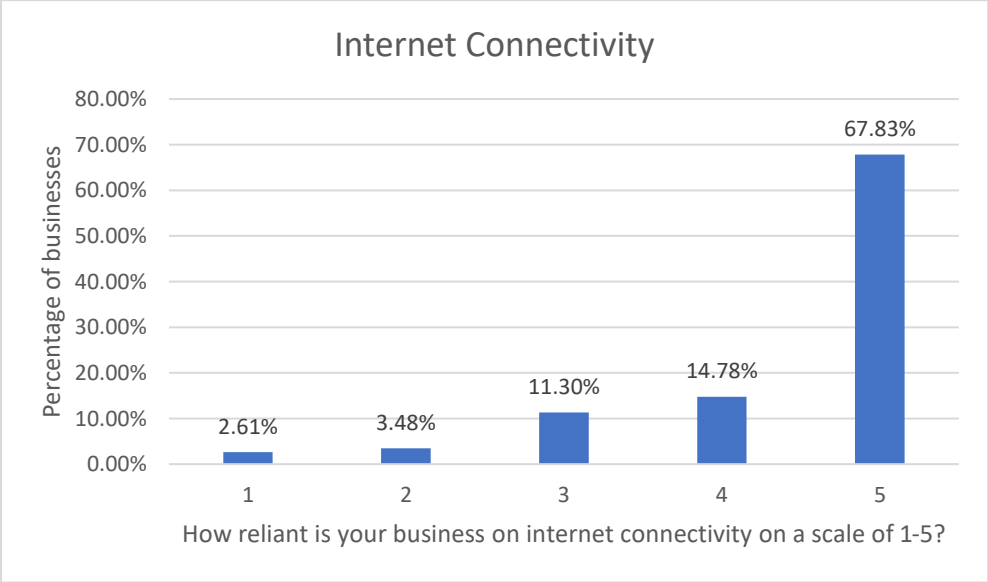




3.15 Question Fifteen – Internet Connectivity

Question Wording: *How reliant is your business on internet connectivity, on a scale of 1 – 5 whereby 1 is not at all and 5 is totally reliant?*

As well as understand the impact of the micro grants scheme on businesses, we also looked to gather insights that would be useful for City of York Council in terms of shaping future policy requirements.

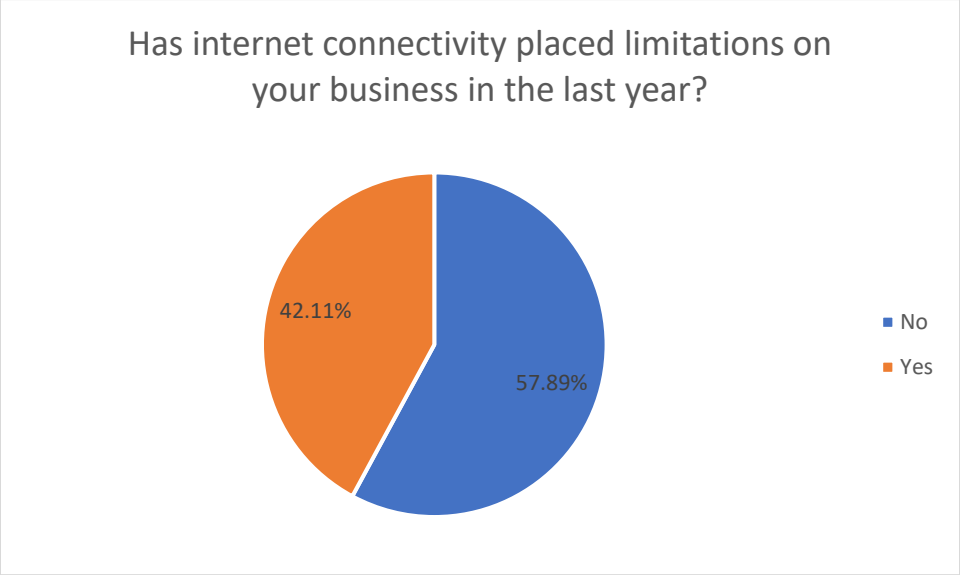


As shown in the graph above, the majority of businesses (67.8%) rated internet connectivity as very important, with a further 14.7% rating it as important. This therefore interlinks with our findings that many businesses were looking at digitalisation and improving their online presence.

3.16 Question Sixteen – Internet Connectivity Limitations

Question Wording: *Has the quality of your internet connectivity placed any limitations on you as a business, particularly in the last year?*

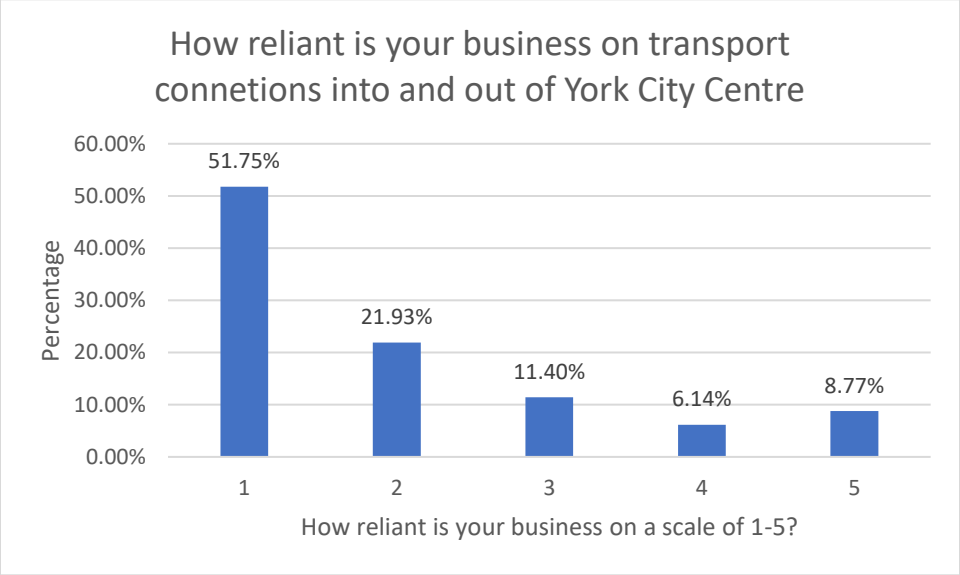
With many businesses transitioning online in the current climate, we looked to understand if any businesses were being held back by their internet connectivity. Interestingly, 42.1% of businesses noted that their internet connectivity had placed limits on their business, therefore we would suggest that these businesses are targeted with any digital support or grants to ensure their businesses can continue to thrive.



3.17 Question Seventeen – Reliance on Transport Connections

Question Wording: *How reliant is your business on transport connections into and out of York city centre, on a scale of 1 – 5 whereby 1 is not at all and 5 is totally reliant?*

For this question we looked to understand how reliant businesses were on transport connections into and out of York city centre, or whether businesses were relying less on public transport following COVID.



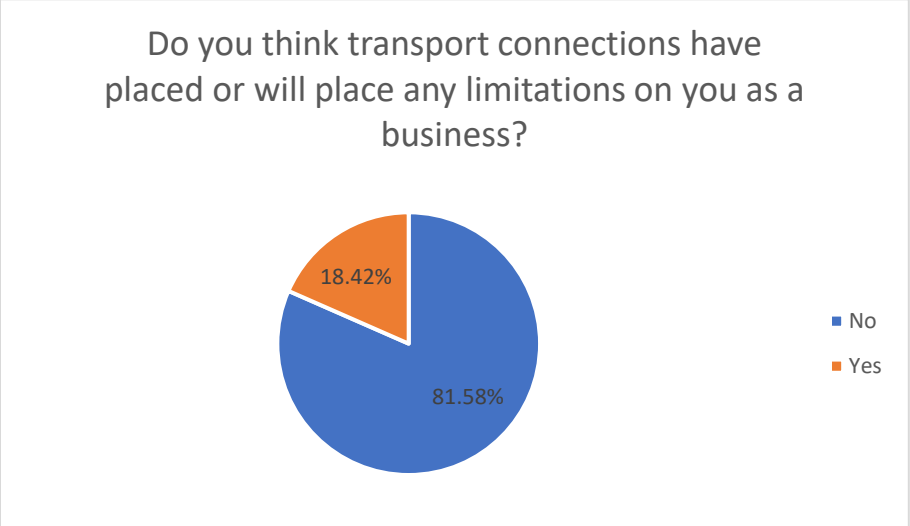
As shown in the table above, despite many businesses being in the personal services and construction industries, the majority of businesses (51.8%) do not rely on transport links into and out of York city centre.

3.18 Question Eighteen – Public Transport Limitations

Question Wording: *Do you think transport connections have placed, or will place, any limitations on you as a business, especially thinking prior to lockdown or looking forward to once things reopen again?*

Following on from the above, we looked to understand whether businesses thought that transport connections will place limitations onto the business. This ranged from factors such as the reliability of public transport, to cycling infrastructure, to parking costs and availability.

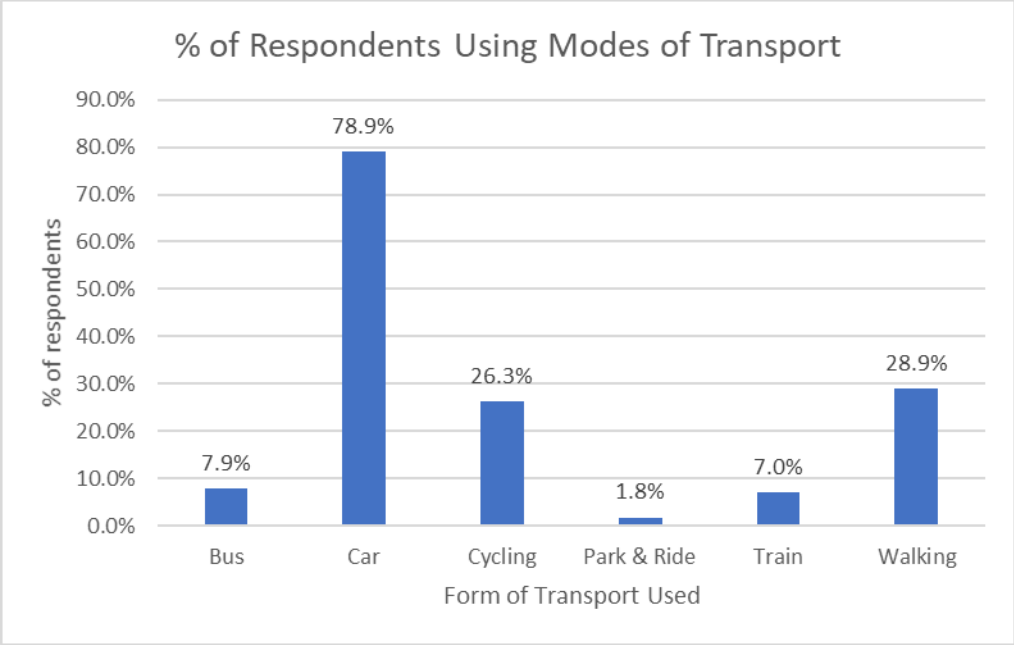
Consistent with the above question, the majority of businesses (81.6%) did not believe that transport connections would place any limitations on the business. This is encouraging to note that many businesses were not facing this as a barrier. However, we would suggest for those that answered 'yes' that further research is done to understand what limitations there were, and how City of York Council could help ensure transport is not a limiting factor for business growth.



3.19 Question Nineteen – Preferred Mode of Transport

Question Wording: *Can I confirm what forms of transport you would normally use?*

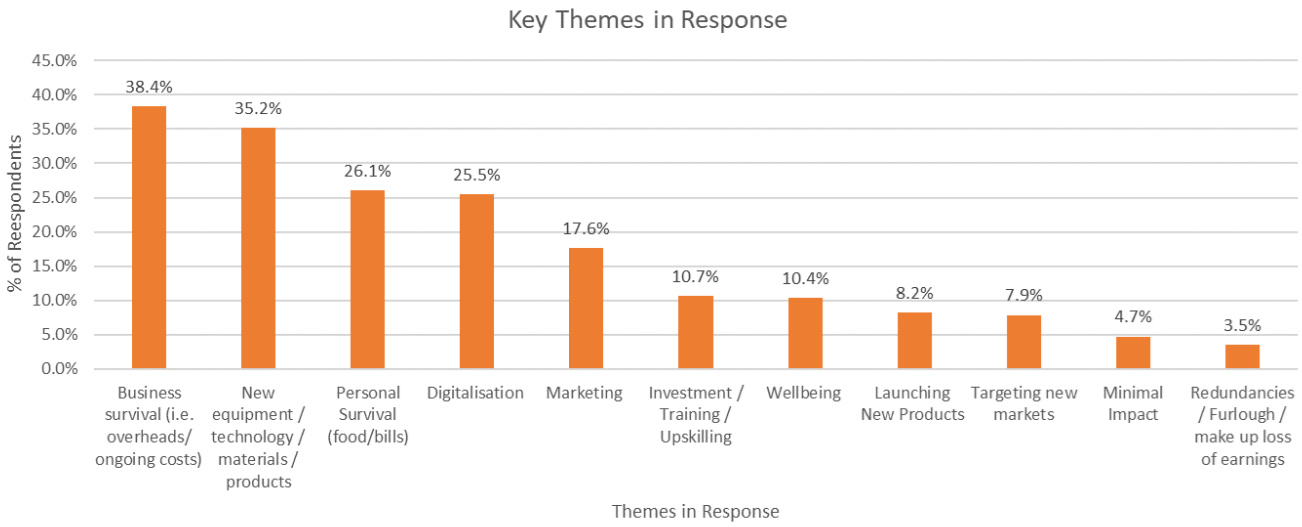
On the theme of public transport, we also looked to understand businesses' preferred mode of transport. We asked businesses to select up to two modes of transport. As shown below, 78.9% of respondents answering this question travel by car, while 28.9% walk and 26.3% cycle. The number of respondents using train, buses or the Park & Ride is relatively low, at 7.0%, 7.9% and 1.8% respectively.



4.0 Discussion and Thematic Analysis

In order to see thematic trends, we grouped the responses based on the themes indicated by the respondent, with a particular focus on their response to questions regarding the grant, although we also took into consideration relevant information across the response as a whole. Each response has been grouped into at least one key theme, but where relevant the response may have been grouped in multiple categories. For example, if a business referenced paying outstanding bills with the grant as well as investing in marketing, this would have been categorised under 'Business Survival' and 'Marketing'.

As discussed in section 3.0, there is a considerable degree of intersection between the different themes. These results demonstrate that the economic impact of the grant is complex and multi-levelled, contributing both to immediate costs and overheads – and thereby business survival – whilst at the same time supporting investment in future business growth, adaptation and innovation. In this section, some of the specific stories are provided to give a flavour of the themes, and also to demonstrate how they inter-relate.



4.1 Survival – Business & Personal

Where the respondent referenced covering immediate costs – such as business rent, bills, on-going costs and overheads or outstanding invoices – these were flagged as relating to on-going business survival. In some instances, the feedback may have been less specific. For example, some individuals stated they spent the money on keeping the business afloat but may not have specified exactly where the money was spent. Where the individual referenced living costs – such as food, household bills and rent or mortgage payments – these were categorised as spending the money on personal survival. Both of these categorisations do encompass a relatively broad range of individual circumstances, as illustrated by some of the example comments below.

Where businesses referenced using the grants for personal and business survival, it is important to recognise that for many of these smaller businesses, business survival and personal survival are entwined. For example, one recipient mentioned that "It kept me alive and kept the business alive".

Whilst some businesses did not use the grants for personal survival, many used the grants to tide them over until they were able to receive regular income again. Many recognised that despite the grants being relatively small in size compared to other funding streams, they were invaluable in ensuring they could keep their business afloat in the short term by increasing cashflow.

Of the businesses that took part in the survey 133 of the 318 responses (41.8%) included some references to gratitude, sometimes expressing that they felt they had been otherwise overlooked or forgotten by the national support packages in place.

The below comments provide an illustration of the range of different circumstances tagged under business survival, personal survival or both.

It helped pay some bills and living costs at the time as I couldn't get anything from anywhere else. Insurances and licenses, internet and phone bills, IT software, bookkeeping software etc. It made such a huge difference - I would've gone under if it wasn't for the grant. I didn't get anything from the government as I don't have business premises. I couldn't get through to my bank for 35 days either so that was a long time before I got a loan repayment holiday and there was a point where I genuinely thought that was it. Then because I am a private ltd company and I pay myself a directors wage, I couldn't get furlough until Mid-May and now I get about £500 a month from it though as I pay myself only around £9000 a year then take dividends so people like myself have been left in a whole world of trouble. I will add though that City of York Council and the grants I have received from you have been so helpful and I am truly grateful.

Just to help survive, paying for my vehicle, insurance and things like that. **It kept me alive and kept the business alive.**

I had expenses, rent, some of it just to pay bills and **put food on the table**, paid accountant and paid my bills […] **it kept me in business**.

I used it for living costs as it went really quiet and **I needed to pay my bills.** It did make a difference as the Builders yards still wanted their money for materials even though we weren't getting any work or any income, so **it allowed me to pay some bills and then pay off a few merchants which meant I could continue buying materials there when there was work to do.**

For living costs to plug the gap when jobs were postponed. It really made more of a difference to me and my family as it meant we were supported when the work slowed up, especially as my wife wasn't working because she was pregnant so **I'm very grateful for your support as I didn't qualify for anything else from the government.**

I can't really explain how much of a difference it made. I got an email from the council beginning of last month saying they were going to give me £800 which was amazing, I couldn't believe it. The guys who are sitting in the office and working to support small business they don't get any thanks and I want to say thank you so much to them, they are brilliant. I mean, the mental impact it can have on you being skint can be horrendous, even more so for people who have had a business for years and have all of a sudden lost everything with their businesses, it must be dreadful for them. I know from my perspective though, it really lifted me up mentally to know that we had a bit of help with the car rental costs, the tax, feeding my children which is what every father cares about more than anything. Thank you so much again it was greatly appreciated.

The microgrant did help, it kept me going for one more month but that doesn't help the long term. It is annoying that I can't get any support from York council as I don't do 75% of my trade in York or have business premises in York but as a consultancy working from home, I don't need to pay business rates which is more sensible in the long run and yet I am getting penalised for it. I've written to our local MP and got no joy and I have written to the PM and the Chancellor but also not received a response. The aviation industry is going to be so slow to come back and I am running out of funds so I might have to retire and then live off the state and a pension- that doesn't feel right though when I have worked hard for this business and it is successful, it's just a tough patch. Can the business development team at the council or the grants department do anything to help the directors that have fallen through the nets? I took out a bounce back loan but have to repay it from June, but the issue is will I have a business in June? If not, the loan won't get repaid at all and it is a waste of government money. I can’t get business here in the UK- post Brexit the UK aviation industry has separated from the European aviation industry and people don't want to train for UK licences anymore as it doesn't cover them for Europe now. Supporting my business in the short term would mean that when I can start trading again in Spain, it would all be Euro money coming into the UK which we need, but it won't be any more if I can't get help now and that won't help the economy at all. We should be classed as self-employed, and we could get the same SEIS as them. I don't see any logic in it at all if I'm honest, but I know I am not alone in this situation, there are millions of us that have always paid taxes and contributed to the economy that are now getting nothing back from Rishi and the government.

NB – following this call, this business was referred across to City of York Council for further support through the Additional Restrictions Grant

4.2 Investment

Of the businesses we spoke to, 35.2% were tagged as having referenced investment in equipment, technology, products and materials. This theme was also closely correlated with other themes such as launching new products and services or digitalisation where businesses had made investments to support these activities. For example, some businesses were using the grant funding to introduce new products, services, or even launch an entirely new business. Ultimately, this means over a third of businesses used the grant either in part or in full to support them in investing in the medium- or longer-term future of the business, as opposed to using it to cover immediate outgoings alone.

I used it **to buy good recording equipment, so I had a proper home studio** set up in order to be able to do my teaching online and to make good quality recordings. I would've previously gone to a studio, so it meant I wasn't held up or derailed in my timescales and production of work.

We had a packing station for 2 people, and we needed to go up to 4 so **extra racking and warehouse packing stations and equipment.** We also **invested in a new printer** that allowed us **to produce shipping labels quicker** as well. Also had some software developed as well to help us automate a few things **so it was split amongst these things in the main.**

Used the grant **to support the technical development of the app to do digital tours for tourists and locals themselves.** Feel the council could work harder in bringing small businesses together to help them support each other. We want to help local restaurants and cafes. One thing we have latched onto is when people come to York, they go to Starbucks or Caffe Nero instead of the independents. Through the app we want to support the more local businesses and link up with them so the app can show people where they are and maybe they can offer a little discount or something to encourage people to go in there. The small cafes and restaurants are the key area. We have engaged with some of them already and they are totally on board with it if and when we can get it going. In lockdown because the tour side of things is dead, I have also been setting up a separate business of a website for Vegans - the idea behind this being that if you are an annoying vegan like myself, there is always a problem trying to find food. The biggest thing for restaurants is trying to make people aware they do a vegan option. We have said to restaurants we will list all their vegan dishes so people can go on, choose what they want, and it will show them where you can get it. […] That is in development and hoping to get that off the ground by May/June when things are more open again.

We have done ok. I do intergenerational projects between residents of care homes and young people doing creative projects. We have managed to keep it going through various means and I used the grant to run sessions in other care homes that I haven't already worked with and did it for free for them which was fantastic as it allowed me to build some great new relationships. I am currently running another project that is being funded by the council and we have created resources for care homes based on local life stories and episodes that can be accessed digitally. Also running a project from national lottery funding working with local coordinators to help with people in the community who often fall through the cracks - it is an art project they get stuff delivered to the door and then we collect it again after 2 weeks and share it out to schools and make cards that they can then share with family or friends. I have also made an online gallery as well […] Without a doubt the grant was really well spent in my eyes because a lot of the stuff we did was singing- people could look from windows or be in the courtyard at the care home and it really had an amazing reaction from so many people. I am absolutely loving it and I have been speaking to Mind and the social prescribers and I am getting people referred to Community Smiles on an informal basis at the moment but there is talk of making it more official. Mind have put out for partnerships for year 5 of their growth plan and I have got through to the second stage of that. I proposed a project with involved 2 sets of art packs and they came back and asked if I could double it.

4.3 Digitalisation

One theme that came up frequently when speaking to businesses was digitalisation, with 25.5% of businesses tagged as referencing digitalisation of services or adoption of new technology. Given that the pandemic meant that face-to-face contact was limited, many businesses had to adapt and transition to online channels to either reach their market or for service delivery. In some cases, this has enabled the business to continue trading at a time when they would otherwise not have done so, therefore the grant was invaluable in helping businesses continue to trade in difficult times, increasing the resilience of businesses in York.

Given the potential opportunities for digitalisation from micro businesses, we would suggest that this general appetite can be leveraged by City of York Council when developing future programmes and support packages, aimed at helping small businesses get and stay online.

To buy equipment and software to help take my education service online. It helped so much, **I feel like I've gone further and done more in a way I hadn't anticipated.** I've moved into things like music production with the aim of producing learning videos.

I am a musician and a music teacher and so I used it to change all of my face-to-face teaching online. Included a bit of training and some technical stuff as well, upgrade wise. It enabled me to work online […] I have managed though and **the microgrant made it possible for me to do my online teaching** and working with a lot of children across different programs so thank you for that.

It paid for online packages like Zoom, paid for website hosting, things I wanted to make sure I continued with. These things gave me the facilities I needed to start delivering the workshops. **It allowed me to diversify the business and adapt to be able to keep going through the pandemic.**

It saved me. I only set up my business full time in March 2019. So up until now I haven't had any money apart from Universal Credit. What I have done recently, I had my business valued so I could apply for the business grant and hoping to get some more help soon. **When you gave me the money it was a lifeline because it enabled me to buy samples and products and set up a franking machine so I could send post out to be able to do the live online workshops and therapy sessions**. When I applied for it, I thought no one would give me this. The joy I felt when I found out I could have it was honestly amazing. My business has been shut 8/12 months and the beauty business, even when I opened a bit in summer and December, the business in my room is 40% less than it was before covid and I'm not sure it will ever come back. My therapy room has been shut for so long people have learnt to do things themselves- plus the fact I would get people getting nails done for nights out and holidays and that isn't going to be happening any time soon. Being able to start and develop the online side of things has absolutely changed the business and my life and I am definitely going to continue the online side of things and grow it as much as possible because realistically, the market is national now, so the possibilities are endless.

It helped massively thank you. Very grateful for it. At the time, I had actually been made redundant from another job and only had a part time job on the side, so it was tough at one point, so it really helped me stay afloat with self-employment and **gave me a boost to put more time and energy into getting the online side of things going.**

4.4 Marketing Investment

Similar to digitalisation in some respects, 17.6% of businesses spoken to referenced spending on marketing. One noteworthy theme is the transformational impact of investment in marketing – for example, transitioning to a more digital marketing strategy, overcoming marketing skills gaps and increasing the pace of digital adoption. Some respondents saw marketing spend as a necessity to adjust to new ways of working and an increased reliance on online trade, to ensure they can continue to reach their customers and encourage their customers to continue or resume spending. On the other hand, others viewed this as an opportunity to grow into new markets and attempt new ways of reaching their target audiences. Interestingly, the marketing investment links with business survival in some instances, with many businesses referencing that without the additional funding to focus on their marketing strategy, their business may have closed.

In addition to this, some businesses have managed to achieve a return on their investment and positive business growth as a result of their marketing investment.

It has been put to good use in the business. I spent some time updating my website and changing that so it has helped relaunch and rebrand the business. I am also getting some paid for support with my social media content planning as that is an area I am very weak in […] **I certainly wouldn't have been able to afford to do the rebranding, website refreshing and social media side of things without the support and without being able to do that, I think I would've had to close it down.**

I have set up marketing automation so it keeps in touch with the customer on a regular basis- might not be to do with plumbing, it could be to do with planting flowers but just keeps me in their mindset. Automatic emails for boiler service reminders- people love that. I have had to put a lot of effort and time into it- I was a massive technophobe before hand and my social media was all over the place. To keep me current on social media, I now pay a guy to do it- I send him content of photos and videos so people get the impression they know me before I get to the property **[…] all this was down to getting the initial grant from yourselves and I am so grateful because if things keep going like this, I will continue to grow.**

I mainly used it for repositioning my marketing. I set up a new website and paid £500 towards a marketing company to get out and contact people for me about my new offering and help me rebrand. The rest went on social media - Google ads and things like that and LinkedIn. **It made a really big difference to the business as I may have gone in this direction but a lot slower, but we have had to take the plunge with new technologies a bit quicker because of Covid and the grant has allowed me to change my business** to benefit from this change in attitude and the need that is now there for more technological ways for companies to reach their audiences.

That was the only grant we got because it is a new start up business **so we are having a website made and it has given us the means to be able to do that and reach an audience we previously couldn't tap into.** The pandemic has been bad, but a lot of good things can come out of it, like my business- I am able to set a business up and do more advertising and it has pushed me in that direction I probably previously would've avoided and given me the opportunity to do more. My other business - we got the rates grant with; we have put a mezzanine floor in so we can grow our business. In normal times we wouldn't have been able to do it. There are downsides and it has been really tough in so many ways, but you have to think positively.

It made a massive difference. The company I am using for the social media support are sending something out every week, it has been really interesting to see how much traction I am getting there. **I certainly wouldn't have been able to afford to do the rebranding, website refreshing and social media side of things without the support and without being able to do that, I think I would've had to close it down.** I almost feel like I am having to start a business from new again it feels such a strange position to be in, similar to when I first launched. I think I would've had to wrap the business up and look for a job if I hadn't had been able to make those changes. Any sort of support the council are giving out especially with digital marketing and sales generation side of things would be brilliant to have to help me move forwards.

I am one of the tiny businesses that fell through the cracks overnight and I lost all my clients for 6 months. For me personally, it was devastating not being able to access any funding. Fortunately I have survived, the microgrant wasn't a lot but it was a lifesaver in the fact it helped me put into place marketing support to help raise my profile which I couldn't have afforded any other way. I tried for one of the other ones but for whatever reason I didn't get it. It is gut wrenching really as so many people in different sectors have been able to access a lot of things, I haven't had anything but I feel fortunate that I have survived whilst at the same time I feel very disappointed that I missed out through no fault of my own.

4.5 Training & Upskilling

Of those who answered the survey, 10.7% referenced spending on training and upskilling. It was interesting to note that training and upskilling also overlapped with diversification and business growth in some instances. In these instances, it was often the case that whilst the respondent had ideas for self-development and business diversification, they needed to invest in training to achieve this, and the grant support was therefore beneficial in helping businesses upskill, invest in their business and as a consequence offer a wider range of services.

It partly went towards some training I did. I am interested in puppetry - The little Angel Theatre in London who are one of the best in Puppetry were doing training on Zoom **so I was able to pay for that and learn a new skill** which I have been incorporating into my shows and also been teaching children how to make **puppets giving me another source of paid work** which is great.

Doing an online marketing course. I found it on Facebook and the guy that runs it was an electrician. **I invested in that and it has changed my business.**

I also did a course on the software I use as well […] I had wanted to do the course to get a better understanding of the software I use for a while but finances wouldn't allow it so **that was great for my self-development.**

Without the grant we wouldn't have applied to the British Franchise membership as financially we wouldn't have been able to spare that money under these circumstances. Being a member now means we can add that to our portfolio and in this industry it's a stamp of quality assurance which in the long run when we start to see an economic bounce back, will help us secure some new clients.

Massive. Honestly it was incredibly helpful, it came at a bleak time when everything was drying up. At that time, we weren't eligible for any other funding, our banking facilities got removed overnight, we had a working capital fund and it was knocked out overnight, spent most of our money abroad on a trade mission in Myanmar and when we returned our banking facility got took out and it was a scary time. We took out some loans and loan repayments are starting now - we would like and appreciate more help if its available. In terms of rent we are based in the business centre at Hiscox so we have a free base - 40 small companies - can work remotely for now.

4.6 New products and Services

As well as training and upskilling, 8.2% of businesses referenced using the grant to help the business cover some of the immediate costs involved in developing new products. For example, this could be costs such as plastic bottles, packaging and banners to name a few examples referenced in the calls.

Quite significantly, one of the responses highlighted an interesting parallel between well-being and the economic climate. They explained that the grant enabled the business to reinvent themselves while fitting around their own health and well-being needs.

Pre-pandemic I was doing alterations and repairs. Because of my health and taking anti-depressants before the national lockdown, I stopped taking appointments and it limited what I can do work wise. **So what I have done instead, including using the council grant, I have moved onto online selling and making bespoke bench cushions. […]** I have done the bespoke cushion and bench cushion side of things before locally but now it is online. Despite last year being horrendous, my business is now growing in a way that it wouldn't had I continued doing the old type of work. It turned into a great opportunity as I had wanted to do it for a while but there needed to be a break in the other work coming in which wouldn't work financially for me, so I was never able to try it. Now I have the machine, I can be far more creative as I wanted to do for ages, but it was just a chunk of money that I didn't have, so getting the grant really allowed me to take the leap into the new area which has been amazing.

For a while I have been trying to launch a business and I didn't have the time or the amount of funds I needed to launch it. **Can't really do hair and makeup right now so launched an organic skincare range. So, the grant went towards the ingredients and the bottles and packaging I needed.** I was getting it from Italy originally however with covid and Brexit issues, I turned it into a positive and I actually managed to find better options from the UK so that reduced both cost and carbon footprint which I was really happy about!

We got new banners, new signs, **we started getting the new chutneys made and we wanted to expand because we believe in this business, so the grant went into that.**

The grant let me launch another side to the business. We are videographers, and **we launched art workshops for kids which is called Art Savvy**, this has been extremely helpful in allowing us to continue as a business and wouldn't have been possible without the grant.

4.7 New Markets

Of the businesses we spoke to, 7.9% referenced reaching new markets as a business. What we have found was that there was a significant overlap between those that referenced reaching new markets, digitalisation and marketing, with many using the grant funding to increase their online presence and online marketing strategies. Due to the pandemic, there was a widespread recognition that many businesses needed to increase their online presence to stay afloat, so some businesses were grateful to receive a grant to enable them to improve or create a website with reduced footfall. For example, one business noted that the grant went towards setting up an online store to reach new customers, which would not be possible without the funding. Another interesting example was for a construction company. In this instance, the grant went on materials for converting a work van, but this has since enabled the business to explore a new service offering and reach a new market which they anticipate will be lucrative.

To push advertising through a new website and **reach a wider audience**. I got my initial grant and that was good then I got an email to say I was entitled to a top up which was amazing which shows the council are behind people in the city. […] That was the only grant we got because it is a new start up business, **so we are having a website made and it has given us the means to be able to do that and reach an audience we previously couldn't tap into.**

It took the pressure off, seeing the bank account dropping and dropping with no incomings, it really mentally made a difference as well as to keeping the business in a state that we can continue staying open and building our client base which seems to be growing all the time which is great.

4.8 Minimal Impact

In some instances, the respondent stated that the grant itself did have minimal impact on their business, due to the size of the grant available in comparison with their business costs. However, only 4.7% of businesses noted the grant funding as having minimal or no impact on their business. In these instances, it was generally where the business had substantial running costs or overheads even when not actively trading. Businesses of 6+ accounted for 26.7% of these respondents compared to 4.0% of all grant recipients, which reflects this being primarily due to the relative size and cost base of the business. Even in these instances, in some cases there was still a sense of gratitude for the support, even if the value wasn't enough to make a significant difference to their business. Only in one case was strongly negative feedback received. In this instance, the respondent felt the council had not gone as far as they could have done to support small businesses through the pandemic.

It didn't make a difference to us surviving and not surviving but added value and made the process of working from home smoother and for that I am very grateful.

The running costs never went - we still had to pay vehicle and van insurance. **I wouldn't say it made much of a difference** but I am still grateful it is just that the business running costs are high so although it helped, **there was still so much to pay for when there was no income.**

It paid off an invoice. **Barely touched the sides for ongoing costs really. The issue is when you have put into the system you should be able to get something out of it.**

It made no difference at all. The £10,000 initial grant was denied to me as I was stuck in a long lease and then I needed rate relief but I was told the rateable value of the building is £19,000 per year when the limit is £15k per year so I couldn't have the grant. It was largely unused with 1 person in it, used to be 20 but I had to let them go. I asked for valuation officer to come out and they refused. I had to get a bounce back loan which I have to pay back. I'm now totally on my own and City of York Council did everything they can to not help me. Went to Ryedale council and they gave me a £3000 grant and they came out to see me. **City of York Council did nothing and that's why I moved out of York. The government have totally failed businesses like mine and I think I am likely to have to go into administration any time now so thanks for nothing City of York Council.**

4.9 Welfare & Wellbeing Impact

As explained earlier in this report, the aim of this research was not solely to look at the economic impact of the grant on local businesses. Whilst important, for some of the smaller businesses, they sit at the intersection of social and economic policy. For example, many of the businesses were self-employed individuals who would otherwise be reliant on Universal Credit, so this grant money was crucial to keep these individuals in work, by ensuring or increasing their chances of business survival. Of the respondents to our survey, 26.1% referenced using the grant money for personal survival, and 56.9% of respondents stated the business provided the main household income. Therefore, whilst this was a business grant, it demonstrates the personal impact of the additional support for small businesses, as many of these individuals would have faced significant hardships if they had not received the grant.

I wasn't entitled to any of the government support because I started trading in 2019 so the grant really did help me. Had a bit of universal credit as well but that isn't a lot at all especially when there are ongoing monthly costs to pay for, so I am really grateful for the help with the microgrant.

Anything is a help so thank you. I didn't qualify for anything, spoke to my MP and the bank and neither could help. My problem was I run a not for profit, and I don't have a tax bill, so I am not eligible for any support. I put on a production and I always paid for it as my husband died, then the ticket sales would've paid the money back. Production was all set for 24th March, and I had spent 10k of my own money with 14k worth of ticket sales that I had to refund and lose all the money I had put into it which had wiped out my bank account. Not for profits, the third sector and charity organisations have been forgotten about by the government and belittled like we are not important to society- if you don't make thousands then you don't deserve help is very much how it feels to me. **We create these shows, and they have a lot of volunteers, it is a community project a lot of the time and gives a lot of people a lot of work and meaning.**

I didn't qualify for universal credit due to my husband having an income. He had got £16k from one job that he had been doing over 3 months but he had labourers to pay for and materials so when it boiled down to it, it wasn't that much to keep for himself as wages. **In the end, I stopped filling in my universal Credit journal as I got so disheartened by it filling in the money section of how much we had and knowing that I wouldn't qualify for anything.** […] **It made such a difference getting the help from you, just at the very beginning, the fact of not knowing what you would be getting in the bank and the stress of that mentally, it really helped. It made me so relieved and I actually cried when the email came through.**

Used it to continue to give my young apprentices wages whilst we couldn't work at the start as one of them didn't qualify for furlough and the other was only 17 so hadn't made any tax contributions […] **it helped make sure I could look out for the lads so for that I'm grateful.**

In addition to this, 10.4% of businesses also noted that due to the grant funding taking off some immediate strain, it made a really positive impact on the recipient's mental health and wellbeing. Whilst the grant had the primary aim of keeping businesses afloat in difficult times, the impact that the grants had on mental health should also be noted. Given many of these businesses were small businesses, their survival was heavily intertwined with the mental health of the business owners. Whilst for some recipients the grants positively impacted their mental health as a result of being able to support the business and their dependants, many other businesses also noted that the grant funding boosted their confidence, reduced stress and allowed them to focus on developing their business without unduly worrying about their finances.

It was a **massive emotional support** to be perfectly honest as I had dropped to my knees at that point and I have put so much effort into this but I had got back to square one again. It was what I needed and it was a validation of me as a **human at that point because there was no furlough or anything to help me so I want to say thank you to the system for that.**

Psychologically it helped you keep going, maintaining some kind of business and it helps you make better business decisions as **if you are struggling for cash, you are going to make bad decisions** and you will be in a negative business mindset.

The mental impact it can have on you being skint can be horrendous, even more so for people who have had a business for years and have all of a sudden lost everything with their businesses, it must be dreadful for them. I know from my perspective though, **it really lifted me up mentally to know that we had a bit of help** with the car rental costs, the tax, feeding my children, which is what every father cares about more than anything.

Even though I have been in business for a long time, my husband has been ill for 5 years and he passed away this year, so things have only been ticking along during that time. When he died, I didn't take a salary, I had been putting all the money into the business so when the government did their self-employed scheme, I didn't qualify as I didn't make a profit and made a loss for 2 of the past 3 years so I wasn't eligible. **Rather than fold the business which I didn't want to do, I wanted something for me to be able to carry on with after he died** […] I was ploughing every bit of money into the business to get the website going**. You have kept me in business really -** I am lucky I don't have a mortgage but if I did, I think I would've had to fold the business.

I don't think I would've coped without it. I have an ok home computer but this one is a super fast laptop and I teach on Zoom so need to share screens and things like that. **I know it sounds melodramatic but having something that worked has helped my mental health through the entire pandemic** as I would've been really frustrated not being able to work at all or not having the right technology to run my lessons and it is easy to get into a negative attitude when things are tough.

I think this is just the start for us, we were mentioned in the Guardian and also to do with a book that was re-released as there was a new production made of it at the theatre. I have also found the confidence to place a half page ad, every 3 months in a magazine called Mslexia which is based out of Newcastle, they are four women writers promoting women writers and that is where this mid - level author that we are now working with saw us! **Everything is interlinked but I must truly extend my thanks to you as in 15 years of trading, we have never had any help at all and the microgrant was the first thing we have ever received, and it absolutely made our day and our year** as it has set the ball rolling and we are moving forwards now in a way that I didn't think we could.

4.10 Thematic Analysis Conclusions

4.10.1 Economic Impact Conclusions

This research aimed to better understand the economic impact of the Micro Grant scheme on the recipient businesses, both in terms of avoiding immediate term downside economic risks – such as business closure or insolvency – and in terms of driving longer term economic growth by supporting business growth, investment and innovation.

In terms of avoiding some of the immediate risks associated with the COVID-19 pandemic, this research demonstrates that a significant minority of the grant recipients were at risk of permanent business closure at some point over the past year, with over a quarter of respondents (26.4%) stating this was the case. In addition, out of the respondents, only six businesses had ceased to trade permanently, equivalent to 1.9% of respondents. Extrapolating these figures across the 1,114 grant recipient would equate to 21 business overall ceasing to trade, compared to 294 'at risk' businesses avoiding this outcome. In addition, 66.7% of those 'at risk' businesses which avoided permanent business closure referenced putting some or all of the grant towards business survival – for example, covering some of their on-going overheads and bills. From an economic perspective therefore, the grant has played a significant role in avoiding some of the financial fallout from the COVID-19 pandemic.

In addition, the responses show that a significant proportion of the grant funding contributed not only to immediate survival, but to investment in the business, and thereby in the medium to longer growth prospects. This took many forms, from investment in technology, materials or resources, digitalisation, new product and service launches, and investment in training and marketing. For example, 25.5% of grant recipients referenced the grant contributing to digitalisation as a business – extrapolating this across the 1,114 grant recipients suggests 284 businesses were supported in digitalising all or part of their services with assistance from the grant. Similarly, extrapolating the 35.2% who invested in new technology, equipment or materials, suggests 392 recipients in total put some or all of the grant funding towards supporting this kind of investment, and extrapolating the 17.6%

which invested in marketing suggests a total of 196 businesses did so. (However, it should be noted that because these flags are not mutually exclusive some businesses could be counted more than once if they were tagged within both themes).

As discussed, it is worth noting that survival and investment for future growth should not be considered mutually exclusive and some respondents were tagged under both themes. This has implications for how best to monitor future grant schemes given the grant may have indirectly contributed to business investment by reducing some of the immediate pressures of paying on-going costs and overheads. It also demonstrates that even businesses that may have considered themselves 'at risk' at the start of the pandemic have been able to invest in growth and future development.

These findings support the conclusion that the Council's Micro Grant has played a significant role in avoiding some of the economic damage witnessed both locally and nationally as a result of the pandemic, as well as supporting businesses in investing in their on-going growth and development.

However, the research also highlights that for many businesses the challenges of the pandemic are still live, and this has implications for how City of York Council continues to support and nurture the business ecosystem. For example, 27.0% of the respondents stated they had had zero customers in the month prior to completing the survey, suggesting a significant level of dormancy and suppressed economic activity. In addition, from the qualitative feedback provided by businesses, it is possible that some businesses that have invested in growth and digitalisation will need further assistance to embed change in their business and leverage this investment to drive future growth.

4.10.2 Welfare Impact Conclusions

As discussed previously, the majority of grant recipients were either self-employed or sole traders. In essence, this meant that for many of the recipients the distinction between their business and personal finances is more blurred. This is evidenced by the proportion of respondents who also referenced part or all of the grant payment contributing towards their personal expenditure – for example, food, bills or housing – with over a quarter of respondents (26.1%) flagged as referencing personal survival in their response. This includes some specific cases where individuals have also discussed this in the context of their Universal Credit entitlement, particularly where they were ineligible for support.

Given that 57% of the businesses provide the main household income and that 56% of the respondents reside in a household with three or more members, this also demonstrates the reach of the grant support from a welfare perspective.

A qualitative finding from the research was that the business and personal outcomes were often closely interlinked. This is potentially indicative of the profile of businesses receiving the grant, and reinforces the view that grants targeted at these types of businesses have social policy benefits beyond the immediate economic impact. One respondent summed this up by stating: "It kept me alive and kept the business alive."

4.10.3 Wellbeing Impact Conclusions

As identified in section 4.9, there were additional well-being impacts from the Micro Grant programme. 10.4% of survey respondents referenced well-being, and in particular, the well-being impact of receiving the grant. This is also reflected in the support priorities flagged by respondents, with mental health and well-being support achieving an average rating of 2.9, the third highest rating. Additionally, the emotional response evoked by the grant demonstrates the positive well-being impact, with 41.8% of respondents expressing some sense of gratitude towards the Council in their response.

The importance of this well-being impact should not be overlooked and should be considered a further benefit of this type of grant scheme, particularly where recipients are small and micro businesses. The well-being benefit of the grant scheme may also contribute to the overall economic impact, by supporting and nurturing a resilient business community. For example, as one of the respondents stated (see comment on page 48):

> ***Psychologically it helped you keep going****, maintaining some kind of business and it helps you make better business decisions as* ***if you are struggling for cash, you are going to make bad decisions*** *and you will be in a negative business mindset.*

5.0 Conclusion

The Micro Grant scheme had a significant economic impact in terms of both the immediate survival of businesses and ongoing growth and innovation and goes beyond that of traditional business support. For many businesses, the grant acted as a vital 'lifeline', with many businesses at risk of permanently ceasing to trade managing to avoid this outcome. By easing some of the financial pressure on businesses such as the immediate overhead costs, this enabled them to ultimately focus on making the right business decisions for survival and then growth. What was also encouraging from this research was that despite the difficult economic climate a significant number of businesses were able to invest in their future as a business – whether in the form of technology, equipment, marketing or training.

Not only this, but of the businesses that did choose to reinvest in the business, many looked to increase their digital adoption and reach new markets. For example, a number of businesses chose to put the money towards a new website in order to attract and reach new customers. Some went even further and set up online shops in order to increase their revenue, so in these instances the grants had a positive effect on both the economy but also the confidence of many business owners.

As a result of the pandemic, many business owners reported an impact on their mental health. This was mostly due to the fact they were the sole earner with dependents and their business having taken a hit causing stress and anxiety, or the business owner's confidence had been knocked due to a significant loss of revenue. In both of these instances, we found that the grants had a positive effect on the mental health and wellbeing of businesses. In many cases, knowing that the immediate costs were taken care of was a benefit in itself.

Whilst some businesses noted that, due to having little to no income and high overheads, the grant was not enough to keep them out of danger, overall, the feedback on the grant and the grant application process has been highly positive, the grants being successful in helping businesses avoid some of the risks associated with the COVID-19 pandemic.

The data gathered provides an invaluable evidence base in shaping the support available around the needs and priorities of the business community. In addition to the information gathered on the impact of the grant, we also gathered insights into the types of support businesses would find most valuable. This can also inform the development of further support which mirrors the requirements of local businesses, ensuring this is designed around their needs and targeted towards the local community.

6.0 Appendix – Survey Questions

Hi, it's XXX from City of York Council.

Hope you're well - it was just a really quick one.

I don't know if you remember but back in (refer back to date) you received a Covid-19 micro grant from us at the Council and we're simply looking to understand from you, in what has been a very different year with things like COVID and now the EU Exit, **what sort of funding, support and free advice would benefit businesses like yourself moving forwards – as well as get a feel for how the grant has helped to support you and your business and what we could perhaps do better** should more funding / grants become available?

We're really keen to do our bit for the York business community and so I just had a few quick questions to get some feedback if I could run through those quickly with you now?

IF NEEDED – all answers are anonymised – we're keen to speak to businesses that we have supported to gather their feedback and understand what is important to different types of businesses.

Beginning of question set – asked in very much a conversational manner:

Q1

Firstly, we're looking at what type of support is of most value to businesses across things such as skills, business resilience, climate change, networking, grants, exporting etc and so how valuable would you say the following things would be to you as a business, to help improve competitiveness on a scale of 1-5, where 1 is not very valuable and 5 is very valuable?

- Sales / Marketing (including social media)
- Starting, growing and managing a business, including business planning
- Digital and IT
- Exporting/Expanding into new overseas markets
- Innovation & adapting your business.
- Resource efficiency / carbon reduction support (reducing your environmental impact, for example, reducing your energy consumption)
- Training and skills support and apprenticeships
- Mental health and wellbeing (for you and your employees)
- Access to finance

Q2 – Have you adapted or diversified your business during the pandemic? And if so how? So for example, started deliveries, going online etc – anything which involves changing the way you work or what you offer your customers.

YES / NO

Free text box to understand how and / or why?

Response flags for the interviewer (multi-select):

New Markets / New Products or Services / Digitised Existing Services / Reduced Service Offering / Changed Business Model

Q3 – If No: And is that because you haven't need to do so, or because you have faced barriers or challenges to doing so?

Haven't needed to / Faced barriers or challenges

Free text box to understand how and / or why?

Q4 – Can I just ask, did you have to furlough any staff over the past year?

Yes / No / Will be doing.

Free text box to note any additional feedback.

Q5 – In relation to your customer base, which of the following best describes your position now compared to February 2020?

Increased / Decreased / Remained the Same / Unsure

Free text box to note any additional feedback.

Q5b – Roughly speaking, can you provide an estimate of the number of customers you've had in the past month?

Free text box

Q6 – In relation to the COVID-19 micro-grant you received specifically – how easy did you find the process of applying for and accessing the grant on a scale of 1 – 5 whereby 1 is very difficult and 5 is very straightforward and simple.

Grade accordingly on scale of 1 – 5

AND include a free text box to capture why?

Q7 – What would you suggest in terms of any changes to the process if you were to apply again? *(free to prompt here to help open the contact up for example could communication have been better, support with the application forms themselves, was the timing clear in relation to when you would received the actual grant etc?)*

Free text box

Q8 – How exactly did you use the grant? *(free to prompt here for example, new kit, pay wages, stay afloat, pay bills etc)*

IF NEEDED: Just to reassure you this is anonymised and is just to help us evaluate the grant programme, so it doesn't matter if it didn't go towards what you initially intended when you applied.

Free text box

Q9 – What differences has the grant made to you and your business? *(free to prompt here and explain both in personal and professional terms)*

Free text box

Q10 – Did any of these outcomes happen over the last year?

Yes / No

- Ceasing to trade (temporarily)
- Ceasing to trade (permanently)
- Letting go of premises you rent or own
- Letting go of employees.
- Losing customers

For those that didn't happen in the past year:

- Were any of these a risk at any point in the past year?
- Finally, are any of these still a potential risk to your business?

Free text box *(If No to all of the above – probe for any positive news stories in terms of business growth survival, innovation etc. If any of these were a risk but were avoided – how have they managed to avoid these negative outcomes to date and what contributed to this)*

Q11 - Are you aware of or do you engage with any of the following? Classify each according to 'aware of' and 'engage with' so that we can understand awareness, but also whether any of these businesses are members already or not of some of the wider support groups / networks available in the region.

- York Chamber of Commerce *(aware of – YES / NO, engage with – YES / NO)*
- Local Growth Hub (Leeds City Region and/or York & North Yorkshire)
- Federation of Small Businesses
- Institute of Directors
- Trade Associations
- City of York Council
- Universities

- Make it York
- Other business networks – please specify

IF YES TO ENGAGE WITH FSB – "Have you found the FSB membership useful?

Free text box

Would you be interested in more information on membership of the FSB or local Chamber of Commerce going forwards?

Yes / No

Q12 – Just to help us understand more about your business and the type of customers you work with, can you just let me know:

- Are your customers mostly businesses, mostly consumers or a mix of the two?
- Are your customers mostly York based, mostly outside of York or a mix of the two?
- Are your customers mostly UK based, mostly international or a mix of the two?

Q13 - Are you open to us contacting you in the future in relation to any advances and funded programmes should they become available? We can't guarantee anything at the current time but we can keep you in the loop in future. What would be the best email address for you?

Q14 – Finally, can I ask how many people live in your household…? *If asked – explain this is just for the purpose of understanding the role small businesses like yours play in the local York economy.*

- 1-2
- 3-4
- 4+

Q15 – Thanks so much for all this information, it's been really valuable in building up a picture of the impact of COVID and how your business has got through the past year. Would you like to remain anonymous or are you happy for your business to be used as a case study in future?

Anonymous / Case Study

Finally, I did have a couple of other questions that would be really helpful to help the Council more generally with planning services such as transport and internet connectivity, if you can spare a couple more minutes?

If no – thank them for the feedback so far.

Q16 – How reliant is your business on internet connectivity, on a scale of 1 – 5 whereby 1 is not at all and 5 is totally reliant?

1 – 5

Q17 – Has the quality of your internet connectivity placed any limitations on you as a business, particularly in the last year?

Yes / No

Text box for further comments

Q18 – How reliant is your business on transport connections into and out of York city centre, on a scale of 1 – 5 whereby 1 is not at all and 5 is totally reliant?

1 – 5

Q19 – Do you think transport connections have placed, or will place, any limitations on you as a business, especially thinking prior to lockdown or looking forward to once things reopen again? *E.g. reliability of public transport, infrastructure for cycling, walking or driving, costs involved in parking, car parking availability etc*

Yes / No

Text box for further comments

Q20 – Can I confirm what forms of transport you would normally use?

Walking / Cycling / Bus / Park & Ride / Train / Car

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Micro Grant Impact

CITY OF YORK COUNCIL

1,114 small & micro businesses received the City of York Micro Grant.

As part of the evaluation, we did follow up interviews with **29%** of the grant recipients.

35.2% of respondents referenced the grant contributing to investment in equipment, technology or materials.

25.5% referenced the grant contributing to digitalisation of the business

17.6% referencing the grant contributing to marketing investment.

57% of the businesses provide the main household income

294 of businesses had been at risk of permanently ceasing to trade over the last year and avoided this outcome.

10.4% of respondents referenced the wellbeing impact of the grant support.

57% of respondents had diversified or adapted due to the COVID-19 pandemic

42.3% of these respondents having digitalised some or all of their products or services.

Annex C: ARG Traders' Fund allocation

Background

A paper entitled *City of York Council Recovery and Renewal Strategy* was taken by Executive in March 2021. Annex 1 set aside £200k of contingency funding from the Additional Restrictions Grant (ARG) to support the re-opening of the City Centre. From that overall value, it was resolved that a sum of £80k be used for Trader initiatives to fund the delivery of the principles for managing city and secondary centre spaces.

Traders' Associations were invited to bring forward ideas, projects and initiatives to support business reopening after the current COVID lockdown. Example initiatives suggested were around publicity, marketing and promotion, COVID safe behaviour, events and training/support for staff.

Successful projects

Ten projects totalling £27,410 have been approved under delegated authority by the Director of Housing Economy and Regeneration as follows:

Organisation	Project	Project value
Indie York (1)	Create a promotional video for Indie York, commissioned from an independent operator in the City. This will promote Indie York and its 200+ member businesses through a paid social media campaign, with a budget of £5 per day for 90 days	**£2,945**
Indie York (2)	Create a further 12 x shorter (30 second) "Meet The Member" videos which can be similarly be used on the Indie York website, and on social media for organic engagement.	**£1,695**
Goodramgate Traders' Association	Commission 3,000 'Heritage Trail maps, including photography and graphic design, plus leaflet, dispensers of the Goodramgate area. Designed to be family friendly, this is a free physical map to share the 'secrets, history and magic of the area.	**£4,560**
Micklegate Business Initiative (1)	The Micklegate Mingle – to close the street at Christmas time and divert traffic for an evening, buy in a Father Christmas experience for children, including gifts, and stage live music. The local traders set up stalls, or stay open later, and give the local community some family friendly fun. This	**£4,500**

	sum will cover closure costs with traffic management and licenses.	
Micklegate Business Initiative (2)	Micklegate Soapbox Run - Although the event will not go ahead in 2021, some items such as websites, accounting, social media and storage of infrastructure for the race must be kept going.	**£2,500**
York Retail Forum (1)	Retail investment drive for the City Centre – set up a project to pair/ match expanding retailers with empty shops in the City. Create a list of all vacant shops and restaurants within the City Centre. YRF will work with agents to build this list, and contact out to those not actively marketing property. They plan to employ a freelance placemaker to help chase agents and the requirements list contacts	**£3,660**
York Retail Forum (2)	Communication and promotions support for the 300+ York Retail Forum members, for whom membership is free. Includes Zoom annual subscriptions, website hosting and marketing, pop up banners and marketing, database creation and independent business support.	**£2,270**
Shambles Area Trading Association	Snow in Shambles. The funding for this project is normally raised through business sponsorship, but this has been affected by the pandemic. This event was previously seen by over 870,000 people on Facebook, and also entertains many local families. The money is needed to test and prepare the snow machines, and to purchase enough snow fluid to last through the Christmas period.	**£1,800**
York Market Traders' Forum	The objective is to answer the many questions asked about the Shambles Market on a daily basis using the distinct voice of the traders via video, website and social media content. The project is set out as follows: - Identify five of the most searched for online queries about the Shambles Market. - Commission a videographer to record video answers from the Traders' website; designer to design website. - Commission an editor to produce videos for these answers in the Market setting with the Market's people.	**£3,480**

	- Produce one long form video, 5 x short form videos and 5 x 30 second TikTok style videos. - Place online on YouTube, our Market Traders' website and Facebook to allow people to search the answers and promote the Market at the same time.	
	TOTAL AMOUNT APPROVED	**£27,410**

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Annex C: Good Business Charter requirements

Real Living Wage

The GBC requires all employers to pay directly employed staff and regularly contracted staff the real living wage as set out by the Living Wage Foundation and for those with over 50 employees, commit to becoming an accredited Living Wage Employer within a mutually agreed time frame.

Fairer Hours and Contracts

The GBC requires a fair approach to zero hours contracts, including fair shift scheduling and cancellation policy, and proper consideration given to contracts with guaranteed hours.

Employee Well-being

The GBC requires clear, fair and transparent policies that support and encourage employee well-being and ban unreasonable penalties for legitimate sickness.

Employee representation

The GBC requires all employers to engage with worker representatives and to ensure there is a voice that represents employees around the boardroom table.

Diversity and inclusion

The GBC requires businesses to evidence how they monitor the diversity of their workforce and their commitment to close the gender, disability and ethnicity pay gaps.

Environmental responsibility

The GBC requires businesses to commit to an environmental policy to demonstrate they are committed to reducing their environmental impact and continually improving their environmental performance.

Pay fair tax

The GBC requires businesses to commit to paying their taxes, not engage in tax avoidance and commit to be transparent in their relationship with HMRC.

Commitment to customers

The GBC requires businesses to publish their commitment to their customers on their website. Businesses will be expected to gather and monitor customer feedback and report the results to their board.

Ethical sourcing

The GBC requires businesses to commit to the standards set out in the Ethical Trading Initiative Base Code for sourcing through a process of continuous due diligence.

Fair payment to suppliers

The GBC requires businesses to sign the government's Prompt Payment Code.

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Executive **24 June 2021**

Report of the Director of Environment, Transport and Planning
Portfolio of the Executive Member for Environment and Climate Change

Recycling Collection Options and Waste Consultations

Summary

1. The Council is part way through replacing its waste and recycling vehicles. They are now ten years old and well beyond their economic life expectancy. The vehicle reliability is now affecting the performance of the service and the vehicles urgently need replacing.

2. The vehicles that collect black bin waste have already been replaced. In order to replace the recycling vehicles the collection methodology needs to be determined as changes could affect the type of vehicle ordered. The current collection methodology with separate boxes requires a more expensive vehicle as it has a separate compartments; one for glass, one for plastics and one for tins. However, this collection methodology has evolved as some of the materials can now be separated at Harewood Whin following our use of new technology and only paper/card needs to be kept separate.

3. The Executive has previously committed to a review of recycling to help drive up recycling rates. This would determine the collection methodology and define the type of vehicle.

4. The Executive Member for Environment and Climate Change considered options and scope for a review which was referred for discussion at Economy and Place Policy and Scrutiny Committee. As a result of these meetings a city wide consultation has taken place across the city on recycling.

5. The Government's Resources and Waste Strategy published in 2019 proposed wide ranging and ambitious reforms but still contain significant uncertainty as to the extent of the changes and the likely timescale.

6. However, just after the Council consultation in April 2021, the Government published a second round of consultations. Crucially the consultation on the "Consistency of Recycling Collections for Householders and Businesses" was launched on the 7th of May just as the Council consultation was about to close. This indicates the mandating certain recycling streams and frequencies.

7. In addition there are a number of significant overlaps between the earlier consultations and the "Consistency of Collections" and it is disappointing that these consultations were not released together.

8. The Environment Bill is now at the Lords and further details were released on the 12th May 2021. This makes clear the Government's intentions to mandate weekly food collections and introduce other significant changes to waste collection from 2024 onwards. Until the secondary legislation is passed there will remain a significant amount of uncertainty over what Councils will need to do and by when.

9. Executive are therefore asked to consider the consultation responses from residents across the city and confirm this should inform the Council response to Government consultation on consistency of collections.

10. Based upon the consultation responses and the impending changes from Government, Executive are therefore being advised not to make changes to the frequency of collections or the containers for recycling, but other changes can be made to increase recycling, make it more efficient for both economic and environmental reasons and prepare the city for future changes once the Governments position becomes clear.

Recommendations

11. The Executive is recommended to:

    1. Thank those (7,205) residents who have taken time to complete the Council consultation on recycling which is one of the best responses ever. To welcome the Government's own intentions to increase recycling by funding Local Authorities to provide additional services. **Reason:** To provide greater clarity on efforts to increase recycling across the country.

    2. Delegate to the Director of Environment, Transport and Planning in consultation with the Executive Member for Environment and Climate Change a response to the Government's consultation on recycling

collections based upon the resident response to the Council's consultation by the 4th of July closing date.
Reason: To ensure that the Council response to the Government Consultation reflects the views of residents

3. To not proceed with the implementation of the three weekly recycling collections.
   Reason: Results from the resident focus groups showed that three weekly collection was incredibly difficult to communicate and would therefore be a risk to success. The uncertainty of the forthcoming Environment Bill, which may mandate fortnightly collections, means any fundamental change is likely to result in a second change to collection methodology in the next few years and result in potential abortive costs.

4. Extend the garden waste season by one month to run each year from beginning of March to end of November starting in March 2022 (the current service runs from the beginning of April to end of November)
   Reason: Whilst there was some support for a year round green waste service this was not conclusive, previous customer requests have shown a demand for an earlier start to the season. This will ensure that residents have a service that meets their need and extends the collection season as this was a theme in the Council's consultation.

5. In light of vehicle replacement to review if the current collection routes for recycling, refuse and garden waste are as efficient as possible. If this results in a significant change to bring a report to the Executive Member.
   Reason: To ensure the service provides an efficient and effective service.

6. To begin to implement the bags to bins policy (wheeled bins rather than black bags) and bring this to future decision sessions of the Executive Member for Environment and Climate Change. To also review the opportunities to extend these properties to a green waste collection.
   Reason: this will help prepare the city for any future changes.

7. The collection teams have been sorting dry recycling for the last year into two streams. The Council will now formally adopt this and launch a communications campaign to all householders that glass, cans and plastics can now be placed in the same box or boxes (2 boxes per household), but paper and card must be kept separate. **Reason** – So

that we only require residents to source separate their recycling to the level that we required.

8. Note that these recommendations and the previous approvals of a budget for waste vehicle replacement and the Executive's adoption of the Future Fleet Management Policy will allow officers to procure a fleet of twin stream recycling vehicles.
   Reason: The recycling vehicle fleet is beyond its economical and serviceable life.

Background

12. Executive have approved £6.6 million to replace the Council's ageing fleet of refuse and recycling collection vehicles and also to provide the infrastructure to enable electric vehicles to be charged at the Hazel Court depot.

13. Following consultation with front-line staff, the first phase of the project was to purchase (i) two fully electric 26 tonne rear steer narrow chassis vehicles with a single cell (i.e. body) and (ii) ten low emission diesel 26 tonne rear steer narrow chassis vehicles with a single cell (i.e. body). The two electric vehicles and ten low emission diesel vehicles became operational in March 2021. The service is still assessing the performance of the electric fleet in an operational sense in meeting service delivery requirements (these vehicles operate predominantly in the Clean Air Zone in the city centre). The second phase of the vehicle procurement programme is to replace the recycling fleet which is beyond its serviceable and economic life.

14. As committed to in the October 2019 Executive a review of recycling was required to take place before the recycling vehicles could be ordered. Waste reduction plays a key part in our Climate Emergency response through the creation of a circular economy that eliminates waste and minimises the continued use of resources. Direct CO2 emissions from waste collection and reprocessing are relatively small on a city level, they have decreased from 2.6% of the cities emissions with the opening of Allerton Park it is now less than 0.2%. We still need to reduce the use of new resources by re-use, repair and recycling i.e. by closing the circle we can continue to minimise our environmental impact.

15. This paper sets out the various options that have been considered for the future design of the recycling service, which once agreed, will provide the basis for the vehicle type to be procured.

16. As part of the Council's Waste and Recycling Fleet replacement programme, 2 electric vehicles have been purchased which primarily operate on the commercial rounds within the city centre and the Clean Air Zone. This is a pilot to understand emerging technology and whether it meets our needs. They need to prove themselves over the lifecycle of the vehicle i.e. 7 years. The remainder of the fleet will be clean diesel vehicles in accordance with the Fleet Replacement Policy approved in March 2020 by Executive, which said fleet under 3.5 tonnes would be electric. HGV's normally have a pay back of between 7 and 9 years so these new vehicles purchased now would be ready for replacement in 2030 at the latest, which matches the Council's ambition to be carbon neutral by 2030 and would allow a review of the best environmental vehicle at that point in time.

17. A report was presented to the Executive Member for Environment and Climate Change decision session on 3rd March 2021. The report outlined the scope for a review of the recycling collections for residents and sought approval for the development of a series of different recycling collection methodologies and to approve a criteria for assessing the different options, including the frequency of collections.

18. Following the Executive Member decision session, a report on recycling was taken to Economy and Place Scrutiny on 25th March 2021. The paper set out a number of options in relation to recycling collections and sought views on the proposals. The three options were:-

    - Option A - retain the current kerbside recycling service but develop an education and encouragement campaign to increase recycling rates

    - Option B – increase capacity and the ease of recycling with a view to increasing recycling rates. This is achieved by moving to a 3 weekly recycling service collecting a stream each week and operating garden waste all year round

    - Option C – increase capacity and collect additional recycling at the kerbside (e.g. batteries etc.) with a view to increasing recycling rates

19. Having considered the discussion at the Economy and Place Scrutiny Committee it was clear that Option A did not have sufficient ambition and that Option C was not supported and that monthly collections are not acceptable.

20. Option B was favoured although whether a year round green waste service is needed by residents was debated. The other issue was the

challenge that a single solution will not work for all residents and the need to understand resident's views. Details of Option B can be seen in Annex 4.

21. At the meeting on the 3 March the Executive Member decided to delegate the decision on whether to consult the public on a preferred option to the Assistant Director of Transport, Highways and Environment in consultation with the Executive Member for Environment and Climate Change. A consultation on the preferred methodology was launched which sought the views of the public on the recycling proposals (a 3 weekly collection service with paper / card collected one week, glass tins and plastics collected the following week and garden waste collected in the third week). The consultation launched on 2nd April and closed on 11th May 2021. The consultation was available on the Council's website (www.york.gov.uk/consultations) and paper copies were available at all libraries and explore centres.

Council Recycling Consultation Results

22. The Council undertook a consultation with residents on the preferred method of recycling collections (the 'three weekly model'). A total of 7,205 responses to the survey have been received. The very high number of responses received provide a very reliable and robust set of results on which to make decisions.

23. The headline results from the survey are as follows:

Key points are:-

- 90% would recycle more at the kerbside if they could
- 69% would prefer changing to 180 litre bin for glass, tins and plastics
- 62% of people want an all year round garden collection
- In terms of containers – 47% say they do not have enough containers to recycle and 45% say about right amount of containers
- 63% would be able to recycle more if we provide larger containers

Other results

- 99% of people recycle through the kerbside scheme
- 54% recycle as the Council provides a kerbside service
- 82% are clear on what can be recycled
- 83% use kerbside garden waste service
- 34% home compost already
- 64% would use a food waste container
- Overall 50% of people are satisfied with the current recycling service and 32% are dissatisfied. 18% of respondents were neither satisfied nor dissatisfied

The full breakdown of the consultation results are included in Annex 1.

24. Following the consultation, a programme of focus groups was set up to further expand on some of the points of the consultation including a specific focus group on solutions for terraced streets etc. The focus groups ran between 21st and 30th April 2021; the results of which are included at Annex 2.

Government's Waste and Resources Strategy, Latest Consultation and Environment Bill

Waste and Resources Strategy

25. Previously, the Government consulted and produced its Resources and Waste Strategy. There were three main elements amongst the proposals and a commitment to undertake detailed consultation right across the waste industry and beyond.

26. The three main elements were

- consistency of collection (garden waste and a separate collection of food waste).
- a deposit return scheme

- extended producer responsibilities which is more focussed on the producers of packaging material.

27. The proposals were wide ranging and ambitious. Waste collection and disposal is a finely balanced model that needs to consider the cost and environmental impact of collecting the waste along with the cost of disposal. It is for this reason that authorities have developed models that reflect their geography, housing profile that drive the cost of collection and then consider the available routes for disposal which often require investment of many millions. It is a significant step for a government to mandate a collection methodology to local authorities.

Latest Government Consultations

28. Following on from the Government's commitment in the Resources and Waste Strategy, on the 24th March 2021, the Government published its second round of consultations on extended producer responsibility and the deposit return scheme.

Consistency of Collection Consultation (Households and Businesses)

29. On the 7th May the Government launched a further consultation on having consistent recycling collections to improve the quality and quantity of municipal waste that is recycled in England, with a view to achieving a recycling rate of 65% by 2035. It directly impacts local authorities and is structured around three main themes:-
    - Collection of the same 'core set' of dry recyclable materials from all households in England
    - The offer of a separate weekly food waste collection from households
    - The offer of separate (minimum fortnightly) collection of green waste from households (possibly free)

30. The consultation suggests that the following materials may be included as the 'core set' of recyclables which are collected from all households:-
    - Glass bottles and containers (e.g. drink bottles, condiment jars etc.)
    - Paper and card (e.g. newspapers, cardboard packaging, writing paper etc.)
    - Plastic bottles (e.g. drinks bottles, shampoo and cleaning products, detergent, HDPE milk containers etc.)
    - Plastic pots, tubs and trays

- Steel and aluminium cans and tins (e.g. drinks cans, aerosols, foil etc.)
- Food and drink cartons (e.g. tetrapak)
- Plastic films (e.g. bread bags, carrier bags, packaging film etc.).

The suggestion is that all these elements be accepted from 2023 onwards with an exception being made for plastic film materials of 2026/27 (due to the need for further technological development in the waste treatment industry).

31. The consultation also proposes that provisions are made in the Environment Bill to require all waste collection authorities in England to arrange for the collection of food waste, separately and at least on a weekly basis. The proposals are for authorities to collect food waste and have collections in place by 2024/25 at the latest. There is recognition that some local authorities with long term residual waste disposal contracts (e.g. some energy from waste or mechanical biological treatments) may require slightly longer to introduce collections with contractual arrangements needing to be agreed. Therefore, they are proposing that a date be set between 2024/25 and 2030/31. The proposal also outlines that any authority who collect food and garden waste together be set a similar timeframe for moving to food waste collections only.

32. The consultation also proposes that all waste collection authorities arrange a separate collection of garden waste. As there were a lot of comments from local authorities who currently charge for garden waste collections after the first round of consultations, the proposal is for a limited free collection service with local authorities retaining the provision to charge beyond this (e.g. by increasing the frequency of collections or increasing capacity). There are also some alternatives which DEFRA are seeking views on namely increasing home composting, clear communications to non-participating households and a reference to further guidance on reasonable charges.

33. In addition to the proposals outlined above, DEFRA plan to publish statutory guidance alongside the publishing of the secondary legislation that will enact consistent collections. DEFRA intend to consider the following areas in statutory guidance:-
    - Conditions where an exception to the condition that recyclable waste in each recyclable stream must be collected separately may apply and where, as a consequence, two or more recyclable waste streams may be collected together

- Compliance and enforcement
- Minimum service standards for the collection of residual waste from households
- Minimum service standards for the separate collection of food and garden waste from households
- Minimum service standards for the separate collection of dry recyclable materials from households and non-domestic premises and premises producing commercial and industrial waste.

34. The consultation advocates that businesses and non-domestic premises should also arrange for the collection of glass, metal, plastic, paper and card and food waste for recycling or composting. The consultation seeks views on the timescales to implement these changes and outlines that large businesses will be expected to make the changes first and that there may be some exemptions for small and 'micro' firms.

35. DEFRA have re-iterated their commitment in the Waste and Resources Strategy 2019 to fund the net additional cost to local authorities of the new statutory duties placed upon them. DEFRA have stated they will fund net additional capital costs (e.g. containers, vehicles) and transitional costs such as communications and re-routing vehicles to implement the new consistent collection methods.

36. In terms of timeframes across the Extended Producer Responsibility (EPR), Deposit Return Scheme (DRS) and Consistent Collection consultations, the following table highlights the Government's proposed implementation schedule:-

Scheme	2021	2022	2023	2024	2025	2026	2030
DRS		Scottish DRS to be introduced	***				##
EPR	Structure for modulated fees to be decided		Mandatory take back of disposable cups is introduced ***		Recyclability labels become mandatory		##
Consistent collections			***	43% of LA's have transitioned to consistent collections within one year of policy being implemented		All businesses have transitioned to consistent collections by 2026	100% of LA's have transitioned to consistent collections by 2030 ##

*** - All three collection and packaging reforms are implemented

- The Government has committed to no food waste entering landfill by 2030

Environment Bill

37. On the 12th May a version of the Environment Bill was produced which has now progressed to the Lords. This made clear the Governments intentions to make a radical change to recycling https://bills.parliament.uk/bills/2593

Impacts of the Consultation and Environment Bill

38. It is important to recognise that the "Extended Producer Responsibility", "Deposit Return Scheme" have only recently closed. The "Consistent Collections Consultation" is still in progress. The new Environment Bill means there is now certainty that the Government intend to mandate a change in collections nationally. Whilst officers cannot guarantee which elements will eventually be implemented by the Government in secondary legislation, it is clear that the Government are committed to introducing weekly food waste collections nationally and this is referenced in the Environment Bill.

Options

39. The consultation undertaken by the Council has shown interest from residents in how they can help the Council increase the levels of recycling. It is impossible to give certainty what the Government will mandate local authorities to do. Therefore several options have been developed:

40. **Option One** – Recognising the response from residents and include these within the response to the Governments Consultation.

41. **Option Two** - Based upon the CYC consultation, progress proposals for a 3 weekly recycling collection methodology as per Annex 4.

42. **Option Three – ** Acknowledge the responses from the public to the Council recycling consultation. Due to the uncertainty of the forthcoming Environment Bill and Government consultations do not make any change to recycling.

43. **Option Four –** Acknowledge the responses from the public to the CYC recycling consultation. Due to the uncertainty of the forthcoming Environment Bill and Government consultations do not implement the three weekly recycling methodology. To make changes which will increase recycling rates, improve efficiency, and prepare the city for future change:

    - Extend the garden waste season to run each year from early March starting in March 2022. This will ensure that residents have a service that is more 'fit for purpose' and extends the collection season
    - Bring a report to the Executive Member for Environment and Climate Change on optimising collection rounds for recycling, refuse and garden waste to ensure that they are efficient and effective and improve the resilience of the service
    - Bring a report to the Executive Member for Environment and Climate Change on implementing the bags to bins programme to seek to convert approximately 6,200 households currently on a bag collection to a wheeled bin service and explore opportunities to provide them with a green bin service.
    - Include an exploration of other options for those properties that cannot be transferred to a wheeled bin service.
    - Communicate to all householders to outline that glass, cans and plastics can be placed in the same box as this is how the waste has been sorted during the Covid pandemic and our waste contractor has the facility to separate out the materials for onward processing and recycling.

Analysis

44. York is in a fantastic position to respond to the government consultation on recycling having had over 7,000 responses to a consultation on how recycling services could be changed to improve recycling.

45. Whilst the proposal that were consulted upon (contained with Annex 4) have been designed to increase recycling within the city of York, they have been done so within the constraints of the Council's budget and the current recycling processing capacity.

46. The Government continue to indicate that they will fund Councils if they mandate free green waste collection and free food waste collections or indeed other changes.

47. A change to waste and recycling day collections is a major communication and consultation exercise. This is even more complex if the way waste is presented by residents needs to change.

48. Given the latest round of Government consultations and the current version of the Environment Bill, the Council should not make changes to the current recycling frequency, this is supported by the resident's views from the consultation.

49. However, there are changes that can be made which will improve recycling rates and make the Council more efficient whilst we await the final outcomes of the Government consultations and any law changes.

50. The proposal for a year round garden waste collection did have some support but was not conclusive, therefore adding an extra month giving residents two extra free collections of their first green bin will be welcomed by many.

51. Ensuring that the collection rounds are as efficient as possible allowing the service to accommodate the growth in the city's number of properties. This will not only save money but ensure the environmental impact of collecting waste and recycling is minimised.

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52. Making any change to waste collection is currently most challenging for those properties that remain on a bag service. The principle of this review will be the presumption that properties will move to a bin where it is technically possible. This will be delivered through a process involving Ward Councillors, Officers and the Executive Member in consultation with residents drawing on case studies where this change has already happened. The review will also look at opportunities to move those properties that don't have a green waste collection to receive a green bin service. These changes would be predominantly in the following wards (Micklegate, Guildhall, Clifton, Holgate and Heworth). The decision on the change from bags to bins will be made by the Executive Member for Environment and Climate Change at Decision Sessions.

53. There are three different types of recycling collection for dry recyclables.

    - Single single-stream recycling otherwise known as commingled, is the system in which all paper, plastic, metals, etc. are mixed into a single stream. This is then sifted and separated at a recycling facility.
    - Twin stream recycling is where the recycling is sorted into two paper/cardboard and metals/glass/plastic. The metals, glass and

plastics are then sifted and sorted at a recycling facility. This results in a higher monetary value for the collected items once collected than it does for a single stream or comingled collection.

- Source Separated recycling is where the residents sorts their recycled goods before collection normally into three categories Paper/Card, Plastic/Tins and Glass, the plastic and tins are separated at a recycling facility.

54. The majority of York has historically been on a source separated collection with three boxes provided, the vehicles that collect this waste have three compartments. However, a small number of the tightest terraced streets have been on a comingled collection because the vehicle with three compartments cannot get access to the streets because they are too narrow. The environmental benefit of collecting the recycling from these narrow streets as source separated does not outweigh the environmental impact of having to send three vehicles, therefore there is a planned level of comingling. There is a small amount of unplanned comingling that occurs in other streets if one of the specialist multi compartment vehicles is not available and we are required to use a spare vehicle that does not have the separate compartments.

55. During the COVID crisis last year staff absences in our waste crews increased. Despite drafting in bus drivers and other HGV drivers from other companies, our services were stretched and it affected the first couple of collections of green waste. By working with our supply chain we realised that we could return to normality by utilising the equipment already in our supply chain that sorts the metals and plastic to also separate the glass. We have therefore been collecting the plastic, tins and glass together, but keeping paper and card separate. In effect a twin stream recycling model. As part of the process the law requires a log of what is collected and how it is sorted, which is clear audit trail that the paper and card is being kept separated.

56. We have communicated this to residents through social media and released a video showing the new sorting process taking place.

57. That has been a useful exercise as it has been a pilot and has shown that by adding the glass to the sorting process the quality and value of the product is not affected and the end recycling routes are the same.

58. The reason for these suggested changes are to ensure that all collection rounds are efficient and effective and that we make service

improvements, some of which were requested by residents through the recent CYC consultations on recycling.

59. Working with the marketing and communications team, a marketing and engagement plan will be developed, which demonstrates a range of communications channels and prototypes (The comms plan examples are contained in Annex 3). This will help residents understand the decision made by Executive and how they will be affected.

60. Therefore Option 1 and 4 are recommended.

Financial Implications

61. There are potentially significant financial implications arising from the Environment Bill relating to Waste and Recycling.

62. In relation to changes to the types of material that require collecting and recycling there will be “new burdens” funding provided to Councils to cover the additional costs that they will face.

63. In relation to the extended producer responsibility scheme for packaging producers will be required to pay Councils for the cost of dealing with packaging in the domestic waste stream.

64. There is currently no detail as to how much funding will be available to CYC and therefore there is significant uncertainty as to whether any changes required to waste collection and processing will be able to be delivered within the current budget and future funding levels. The Government’s intentions show initial funding to Councils can be expected within 2023/24 financial year.

65. The extension of the garden waste collection service into March can be accommodated within current budgets as they are undertaken by staff and vehicles which are available year round.

66. There was £100k saving agreed as part of the 2021/22 budget with the intention of increasing recycling and the report highlights some options as to how changes to recycling can lead to savings. This can be achieved by reducing garden waste in the grey bin waste stream, review of rounds and reducing the amounts of waste fully comingled. This level of saving will need to be monitored as the year progresses but may need mitigating from not committing to all the £500k growth agreed at the same budget in this financial year.

67. The recommendations of purchasing replacement recycling vehicles can be contained within £6.6m waste fleet replacement budget agreed in 2020/21 budget.

68. The Council has signed a 25 year contract with North Yorkshire County Council (NYCC) for the provision of Long Term Waste Management Facility whereby grey bin waste is take to Allerton Park for processing. The contract continues to 2043. The contract has requirements to provide minimum level of tonnages and therefore any changes to the waste stream will need to take into account the Council's contractual obligations. This will include considering options along with NYCC.

69. There are three types of recycling

    - Single single-stream recycling otherwise known as comingled, is the system in which all paper, plastic, metals, etc. are mixed into a single stream. This is then sifted and separated at a recycling facility.
    - Twin stream recycling is where the resident sorts their recycled goods before collection into two paper/cardboard and metals/glass/plastic. The metals, glass and plastics are then sifted and sorted at a recycling facility. This results in a higher monetary value for the collected items once collected than it does for a single stream collection.
    - Source Separated recycling is where the residents sorts their recycled goods before collection normally into three categories Paper/Card, Plastic/Tins and Glass.

70. In terms of the financial impact of each model it can be summarised as follows

    The gate fee which reflects the cost of sorting the materials once they arrive
    - Comingled = £77.
    - Twin Stream = £0
    - Source Separated = £0

    The quality of the recycling is reflected in the rebate, the value of the materials collected. The pilot of collecting as a Twin Stream rather than as source separated has shown a minimal impact. Yorwaste have reported a reduction of around £6 per tonne for the twin stream glass.

We collect circa 250 tonnes of glass a month so the impact of a Twin Stream collection on the rebate is circa £1500 per month, which is not significant and can be contained within the current budget.

But this needs to be offset against the other advantages of a twin stream collection methodology.

Human Resources (HR): Changes to collection methodology will not impact on the resourcing requirements for the service.

Equalities: Whilst the changes to recycling are designed to increase recycling residents who continue to present waste as they always have will continue to get a service. Therefore no changes to equalities have been identified.

Legal: Under section 45A(3) of the Environmental Protection Act 1990 (as amended) ("EPA") the Council is required to collect "at least two types of recyclable waste together or individually separated from the rest of the household waste." Recyclable waste is defined in section 45A(6) as "household waste which is capable of being recycled or composted".

The Consistency in recycling collections in England: The Government have outlined that they will mandate the collection of a core set of materials and the government will seek to amend legislation to require all English local authorities to collect food waste and at least the following dry materials from 2023:

- glass bottles and containers – including drinks bottles, condiment bottles, jars
- paper and card – including newspaper, cardboard packaging, writing paper
- plastic bottles – including clear drinks containers, HDPE (milk containers), detergent, shampoo and cleaning products
- plastic pots tubs and trays
- steel and aluminium tins and cans

Additionally, the consultation proposes that the collection of separate food waste be mandated so that every local authority provides householders with a separate food waste collection. Government's preference is that this should be a separate weekly collection of food waste and not mixed with garden waste. However, it is clear that further consideration is needed with respect to local circumstances. We will

work with LAs and others to consider how best to deliver this requirement to take account of local circumstances."

The consultation shows that a number of changes are proposed with an implementation date on 2023/24. The Council's current recycling collection methodology meets the Council's duty as set out in the EPA and the options outlined within this report seek to build on that methodology and incorporate the outcome of Central Government's proposals in respect of consistency in recycling collections once they are known.

Risk Management

67. The development of options and any change to service will need to be considered carefully. Should Members be minded to change waste recycling collection methodology, it will need to be managed as a project with a communications and engagement plan to ensure all residents understand the change and the rationale for the change.

68. Members are also reminded that the delivery timeframe on new waste and recycling vehicles is approximately 26 to 30 weeks from order through to delivery and this will need to be incorporated into any decision.

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Report Approved [X] **Date** 11 June 2021

Neil Ferris
Corporate Director of Place

Report Approved [X] **Date** 11 June 2021

Specialist Implications Officer(s) List information for all

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Wards Affected: **All** [X]

For further information please contact the author of the report

Background Papers:
Waste Collection Methodology – Executive 24 October 2019
Capital Budget 2020/21 to 2024/25 – Executive 13 Feb 2020/Full Council 27 Feb 2020
Future Fleet Management Policy - Executive 19 March 2020
Waste Report Update as requested by Executive October 2019 – Executive Member for Environment and Climate Change 3 March 2021
Recycling Waste – Economy and Place Policy and Scrutiny Committee 25 March 2021
Link to Environment Bill - https://bills.parliament.uk/bills/2593
Link to Government's consultation - https://consult.defra.gov.uk/waste-and-recycling/consistency-in-household-and-business-recycling/

Annexes
Annex 1 – Consultation results
Annex 2 – Focus group results
Annex 3 – Forward communications plan

Annex 4 – Graphics which explained proposal

List of Abbreviations Used in this Report

DEFRA – Department Environment, Food and Rural Affairs
EPR – Extended Producer Responsibility
DRS – Deposit Return Scheme

City of York Council

Recycling Changes Survey - May 2021

City of York Council is exploring options on how it can collect recycling in a way that minimises impact on the environment, improves the service on offer for residents and maximises opportunities to recycle.

As part of a public consultation on changes to the kerbside recycling service a survey was conducted to hear residents' views on current waste collections and what the council can do to help people recycle more.

Produced by the Business Intelligence Hub

Recycling Changes

Introduction

The Recycling Changes survey ran from 30 March to 11 May 2021 and was available to complete online or by collecting a paper copy from local libraries. A total of 6819 people participated (6802 online and 17 by paper).

Report Notes

- For each question graphs are included on the general overall response along with comparisons between age groups and wards. The survey received at least 100 responses from each ward.
- Most survey questions gave respondents an opportunity to provide an 'Other' or further comment. These comments have been categorised into common themes and the percentage of responses per theme are also presented. Some comments mentioned more than one theme.
- Several open letters and emails were received in addition to the survey responses these have been summarised at the end of the report.
- This report and all associated raw data from the survey will be made available in machine-readable format through the Council's open data platform at www.yorkopendata.org. This will include a redacted list of comments , letters and emails received.

Supporting Data Sets

The latest version of the York profile can be found at the address below and used to compare the demographics of survey respondents to the overall York population. https://www.york.gov.uk/WardProfiles

Further waste and recycling related performance data (and approximately 1,000 further datasets) are available at York Open Data.

Recycling Changes

Contents

Question	Page
Q2. Is recycling important to you?	4 - 5
Q3. If yes, please explain why? (select all that apply)	6 - 9
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Q7. Is the only reason you recycle because the council provides a kerbside service?	19 - 21
Q8. Are you clear on what you can/can't recycle currently at the kerbside?	22 - 24
Q9. Do you recycle the following items at the kerbside collections? (select all that apply)	25 - 28
Q10. Do you feel the current supply of recycling containers is enough for the amount of recycling waste you have?	29 - 31
Q11. If you could recycle more of your waste at the kerbside, would you?	32 - 34
Q12. If we provided you with more or larger recycling containers would this enable you to do more recycling?	35 -37
Q13. Does improving the environment play a part in why you recycle?	38 - 40
Q14. Do you home compost?	41 - 43
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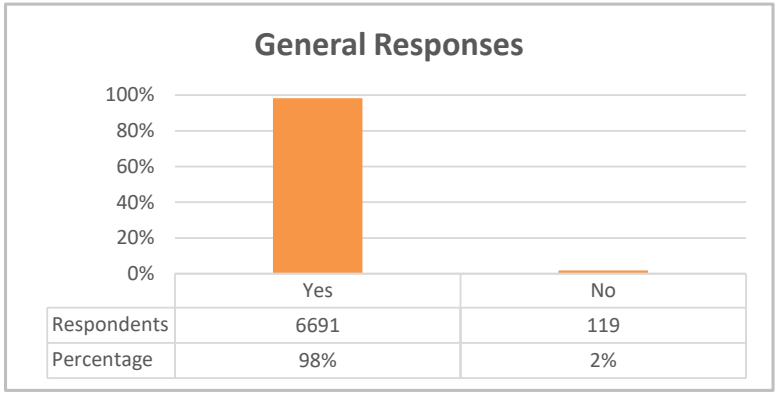
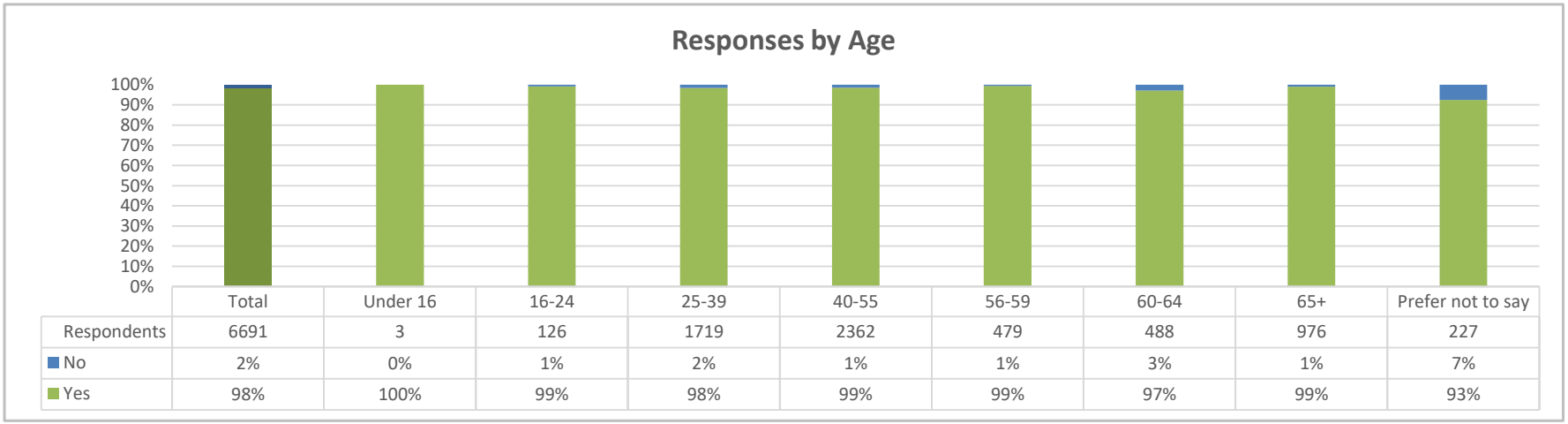
Recycling Changes

Question 2: Is recycling important to you?



	Yes	No
Respondents	6691	119
Percentage	98%	2%



	Total	Under 16	16-24	25-39	40-55	56-59	60-64	65+	Prefer not to say
Respondents	6691	3	126	1719	2362	479	488	976	227
No	2%	0%	1%	2%	1%	1%	3%	1%	7%
Yes	98%	100%	99%	98%	99%	99%	97%	99%	93%

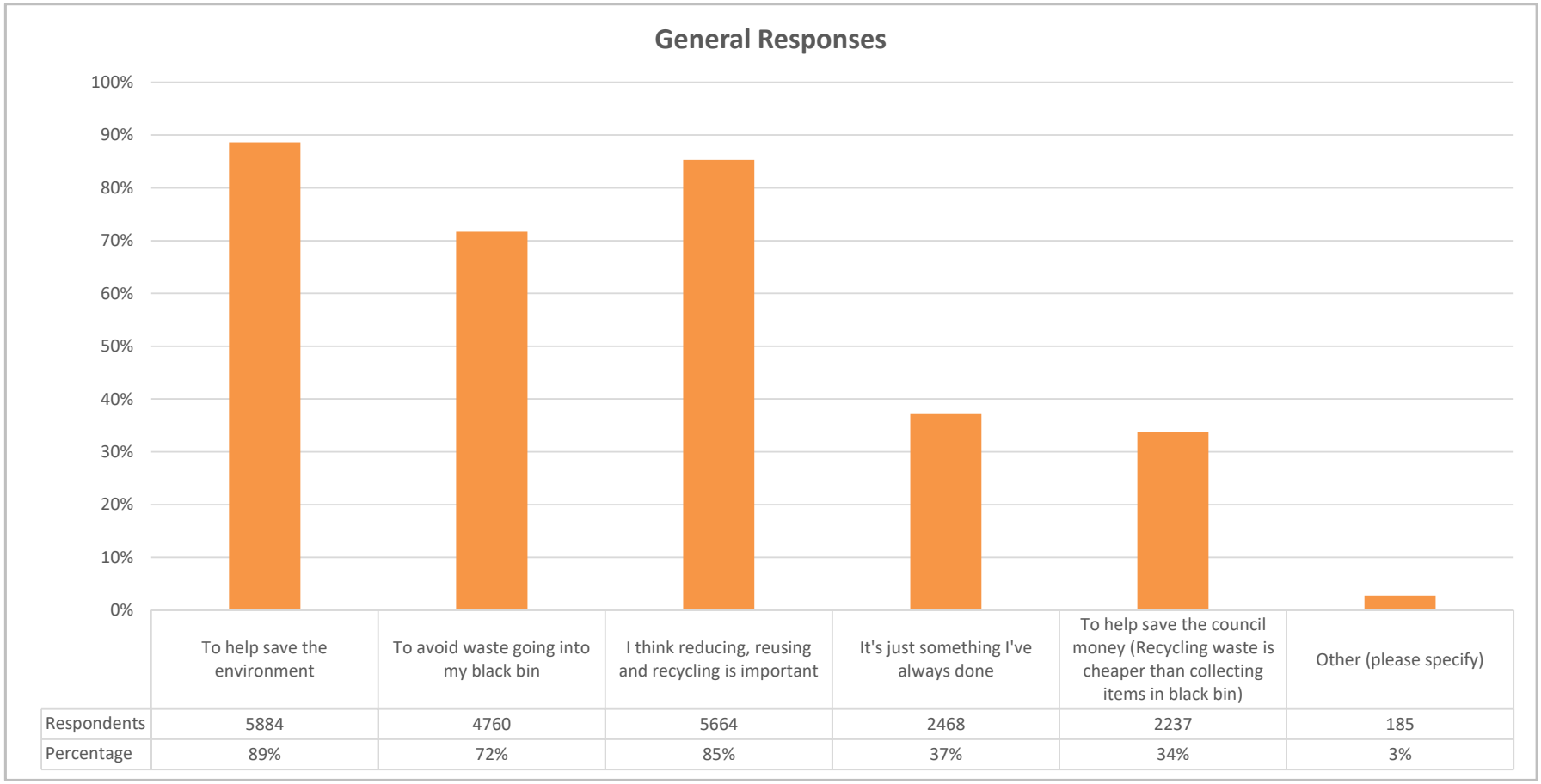
Recycling Changes

Question 2: Is recycling important to you?

Responses by Ward (n.b. graph scale begins at 90%)

Recycling Changes

Question 3: If recycling is important to you, please explain why? (Please select all that apply)



	To help save the environment	To avoid waste going into my black bin	I think reducing, reusing and recycling is important	It's just something I've always done	To help save the council money (Recycling waste is cheaper than collecting items in black bin)	Other (please specify)
Respondents	5884	4760	5664	2468	2237	185
Percentage	89%	72%	85%	37%	34%	3%

Recycling Changes

Question 3: If recycling is important to you, please explain why? (Please select all that apply)

Responses by age

Age Group	Respondents	To help save the environment	To avoid waste going into my black bin	Reducing, reusing & recycling is important	It's just something I've always done	To help save the council money	Other (please specify)
Under 16	3	67%	67%	67%	33%	0%	0%
16-24	126	94%	56%	85%	48%	17%	2%
25-39	1691	92%	75%	85%	32%	21%	2%
40-55	2329	89%	74%	87%	34%	32%	3%
56-59	476	90%	70%	84%	43%	42%	3%
60-64	474	88%	67%	87%	43%	47%	4%
65+	968	83%	70%	85%	47%	53%	4%
Prefer not to say	212	81%	66%	83%	42%	32%	3%
All Respondents	**6640**	**89%**	**72%**	**85%**	**37%**	**34%**	**3%**

10% Above Average Responses | 10% Below Average Responses

Recycling Changes

Question 3: If recycling is important to you, please explain why? (Please select all that apply)

Responses by ward (All were within 10% above/below average range)

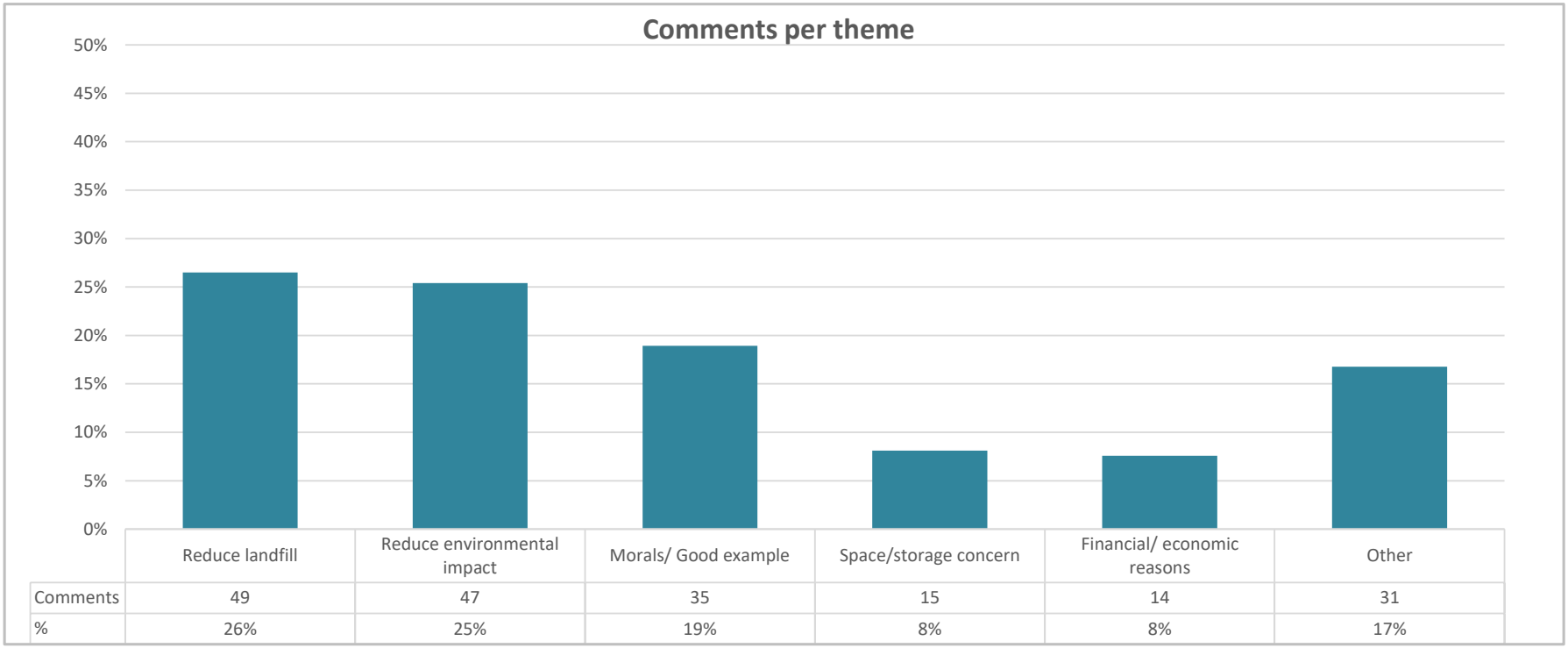
Ward	Respondents	To help save the environment	To avoid waste going into my black bin	Reducing, reusing & recycling is important	It's just something I've always done	To help save the council money	Other (please specify)
Acomb	257	90%	78%	87%	37%	35%	3%
Bishopthorpe	159	87%	77%	87%	38%	42%	4%
Clifton	271	92%	70%	89%	37%	28%	2%
Copmanthorpe	165	87%	74%	88%	35%	39%	3%
Dringhouses & Woodthorpe	531	88%	71%	84%	39%	36%	3%
Fishergate	174	90%	64%	91%	35%	36%	3%
Fulford & Heslington	140	92%	74%	89%	41%	43%	2%
Guildhall	151	91%	70%	89%	40%	29%	1%
Haxby & Wigginton	421	86%	73%	85%	43%	39%	5%
Heworth	334	91%	72%	89%	43%	31%	2%
Heworth Without	156	93%	74%	83%	33%	36%	4%
Holgate	415	92%	73%	88%	36%	33%	3%
Hull Road	165	84%	76%	83%	36%	35%	2%
Huntington & New Earswick	401	88%	73%	84%	41%	34%	2%
Micklegate	319	93%	72%	91%	34%	37%	3%
Osbaldwick & Derwent	279	89%	71%	89%	38%	35%	4%
Rawcliffe & Clifton Without	451	87%	72%	84%	33%	28%	2%
Rural West York	277	88%	70%	87%	37%	42%	2%
Strensall	315	88%	75%	82%	40%	37%	3%
Westfield	432	88%	72%	80%	35%	25%	3%
Wheldrake	172	85%	67%	87%	31%	31%	6%
All Respondents	**6640**	**89%**	**72%**	**85%**	**37%**	**34%**	**3%**

Recycling Changes

Question 3: If recycling is important to you, please explain why? (Please select all that apply)

Comments: Other (please specify)

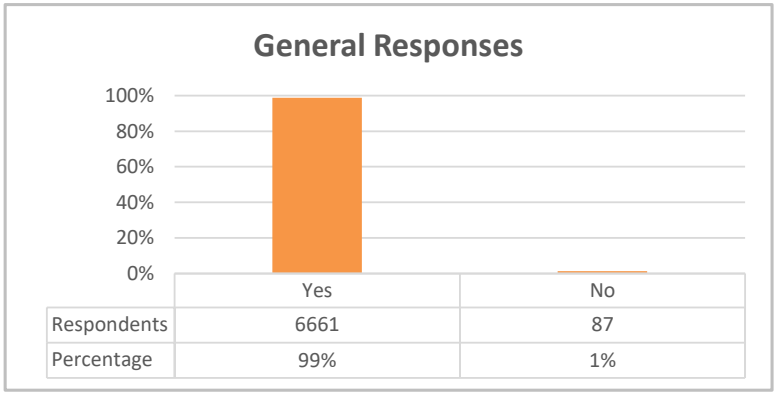
- 186 respondents left a comment which were categorised into common themes.
- The 'Space/storage concern' theme did not directly relate to the question but was frequently mentioned.



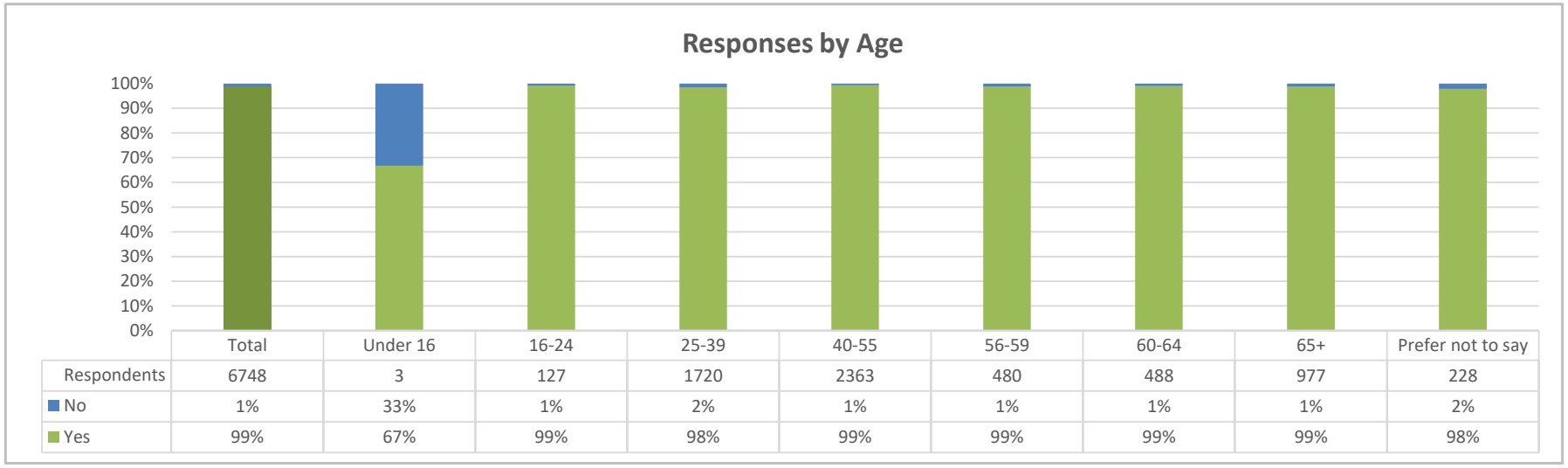
	Reduce landfill	Reduce environmental impact	Morals/ Good example	Space/storage concern	Financial/ economic reasons	Other
Comments	49	47	35	15	14	31
%	26%	25%	19%	8%	8%	17%

Recycling Changes

Question 4: Do you recycle your waste through the council's kerbside collections?



	Yes	No
Respondents	6661	87
Percentage	99%	1%

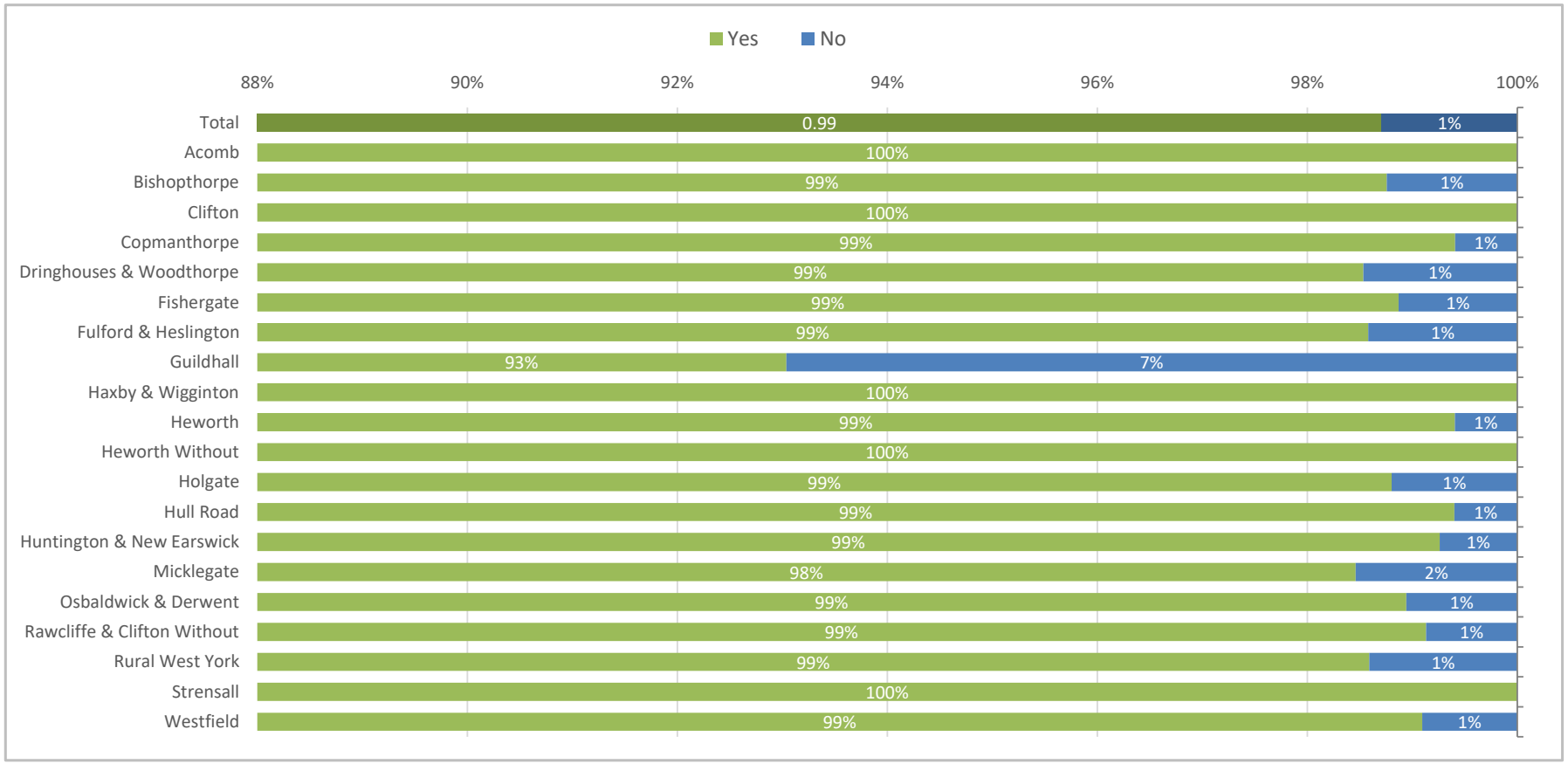


	Total	Under 16	16-24	25-39	40-55	56-59	60-64	65+	Prefer not to say
Respondents	6748	3	127	1720	2363	480	488	977	228
No	1%	33%	1%	2%	1%	1%	1%	1%	2%
Yes	99%	67%	99%	98%	99%	99%	99%	99%	98%

Recycling Changes

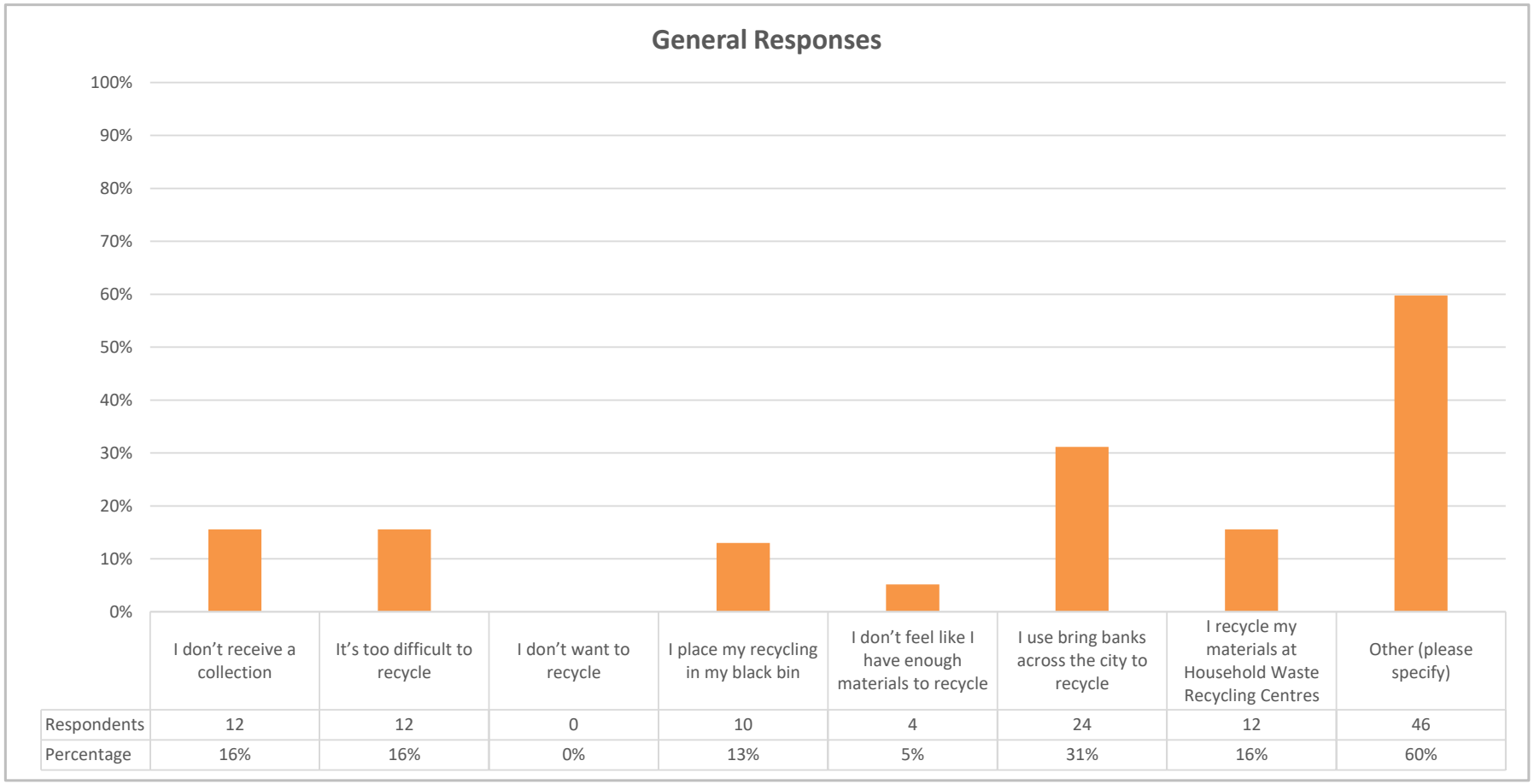
Question 4: Do you recycle your waste through the council's kerbside collections?

Responses by Ward (n.b. graph scale begins at 88%)



Recycling Changes

Question 5: Please could you explain why you dont use the kerbside recycling collections? (Please select all that apply)



	I don't receive a collection	It's too difficult to recycle	I don't want to recycle	I place my recycling in my black bin	I don't feel like I have enough materials to recycle	I use bring banks across the city to recycle	I recycle my materials at Household Waste Recycling Centres	Other (please specify)
Respondents	12	12	0	10	4	24	12	46
Percentage	16%	16%	0%	13%	5%	31%	16%	60%

Recycling Changes

Question 5: Please could you explain why you dont use the kerbside recycling collections? (Please select all that apply)

Responses by age

Age Group	Respondents	I don't receive a collection	Its too difficult to recycle	I don't want to recycle	I place my recycling in my black bin	I don't feel like I have enough materials	I use bring banks across the city	Use Recycling Centres	Other (please specify)
Under 16	1	0%	0%	0%	100%	0%	0%	0%	0%
16-24	1	0%	0%	0%	0%	0%	100%	0%	100%
25-39	26	19%	27%	0%	12%	8%	23%	15%	69%
40-55	16	13%	6%	0%	6%	0%	25%	19%	63%
56-59	6	17%	17%	0%	0%	0%	50%	17%	50%
60-64	5	20%	0%	0%	40%	20%	20%	20%	0%
65+	13	15%	15%	0%	8%	0%	31%	15%	77%
Prefer not to say	5	0%	20%	0%	40%	20%	60%	20%	40%
All Respondents	**77**	**16%**	**16%**	**0%**	**13%**	**5%**	**31%**	**16%**	**60%**

10% Above Average Responses | 10% Below Average Responses

Recycling Changes

Question 5: Please could you explain why you dont use the kerbside recycling collections? (Please select all that apply)

Responses by ward (Blue = 10% Above Average / Yellow = 10% Below Average)

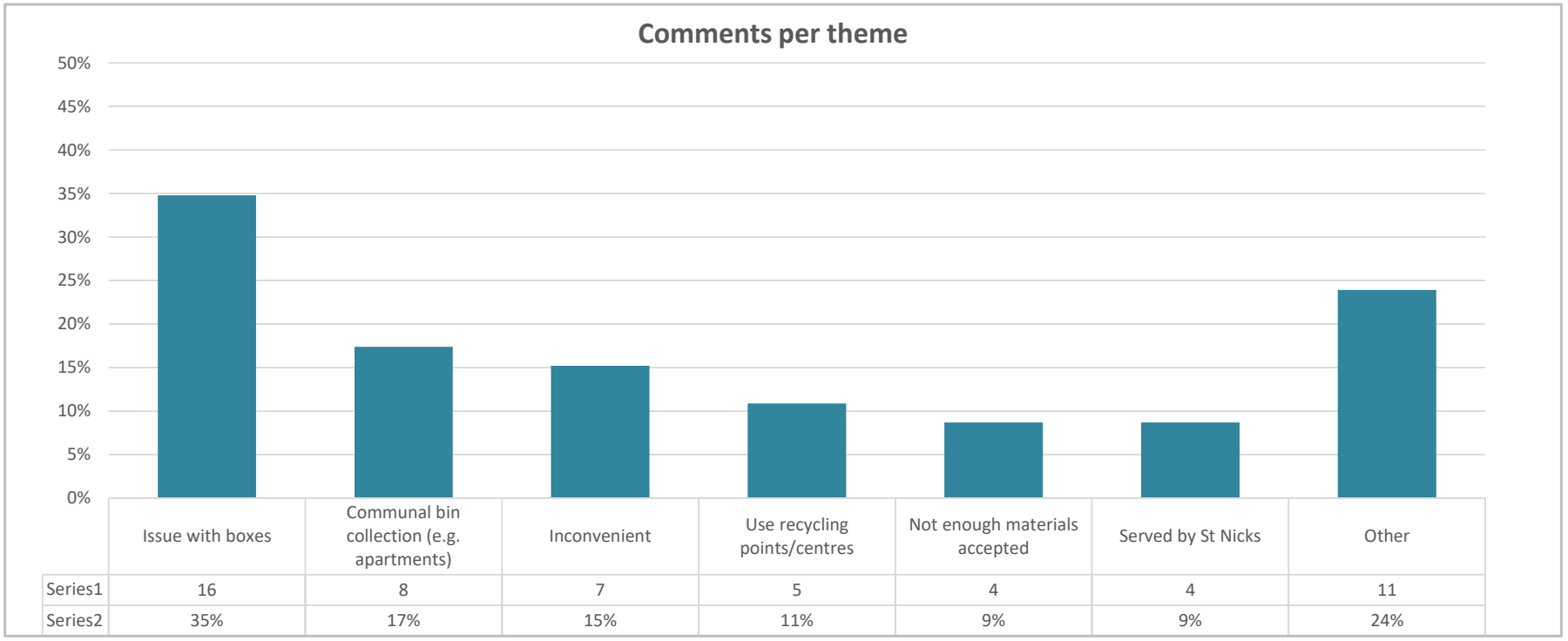
Ward	Respondents	I don't receive a collection	Its too difficult to recycle	I don't want to recycle	I place my recycling in my black bin	I don't feel like I have enough materials	I use bring banks across the city	Use Recycling Centres	Other (please specify)
Acomb	1	0%	0%	0%	0%	0%	0%	0%	100%
Bishopthorpe	2	0%	0%	0%	0%	0%	0%	0%	100%
Clifton	5	20%	0%	0%	0%	0%	0%	0%	60%
Copmanthorpe	1	0%	0%	0%	0%	0%	0%	0%	0%
Dringhouses & Woodthorpe	8	0%	0%	0%	13%	0%	0%	0%	88%
Fishergate	2	50%	0%	0%	0%	0%	0%	0%	0%
Fulford & Heslington	2	0%	0%	0%	50%	0%	0%	0%	50%
Guildhall	11	27%	0%	0%	9%	0%	0%	0%	73%
Haxby & Wigginton	1	0%	0%	0%	0%	0%	0%	0%	100%
Heworth	2	0%	0%	0%	50%	0%	0%	0%	50%
Heworth Without	0	-	-	-	-	-	-	-	-
Holgate	5	20%	0%	0%	0%	0%	0%	0%	60%
Hull Road	1	100%	0%	0%	0%	0%	0%	0%	0%
Huntington & New Earswick	3	0%	0%	0%	0%	0%	0%	0%	100%
Micklegate	5	0%	0%	0%	0%	0%	0%	0%	100%
Osbaldwick & Derwent	3	0%	0%	0%	33%	0%	0%	0%	33%
Rawcliffe & Clifton Without	4	25%	0%	0%	0%	0%	0%	0%	50%
Rural West York	4	50%	0%	0%	0%	0%	0%	0%	25%
Strensall	0	-	-	-	-	-	-	-	-
Westfield	4	0%	0%	0%	50%	0%	0%	0%	25%
Wheldrake	1	100%	0%	0%	0%	0%	0%	0%	100%
All Respondents	**77**	**16%**	**16%**	**0%**	**13%**	**5%**	**31%**	**16%**	**60%**

Recycling Changes

Question 5: Please could you explain why you dont use the kerbside recycling collections? (Please select all that apply)

Comments: Other (please specify)

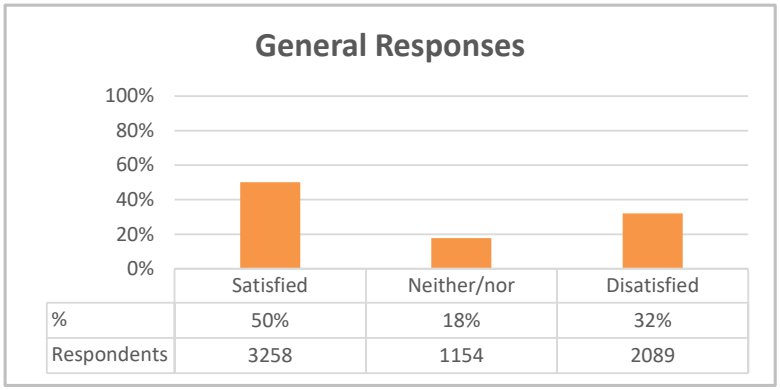
- 46 respondents left a comment which were categorised into common themes.
- 'Issue with boxes' comments largely related to boxes being messy. Flimsy, heavy or storage issues were also mentioned.
- 'Other' comments included the service being confusing.



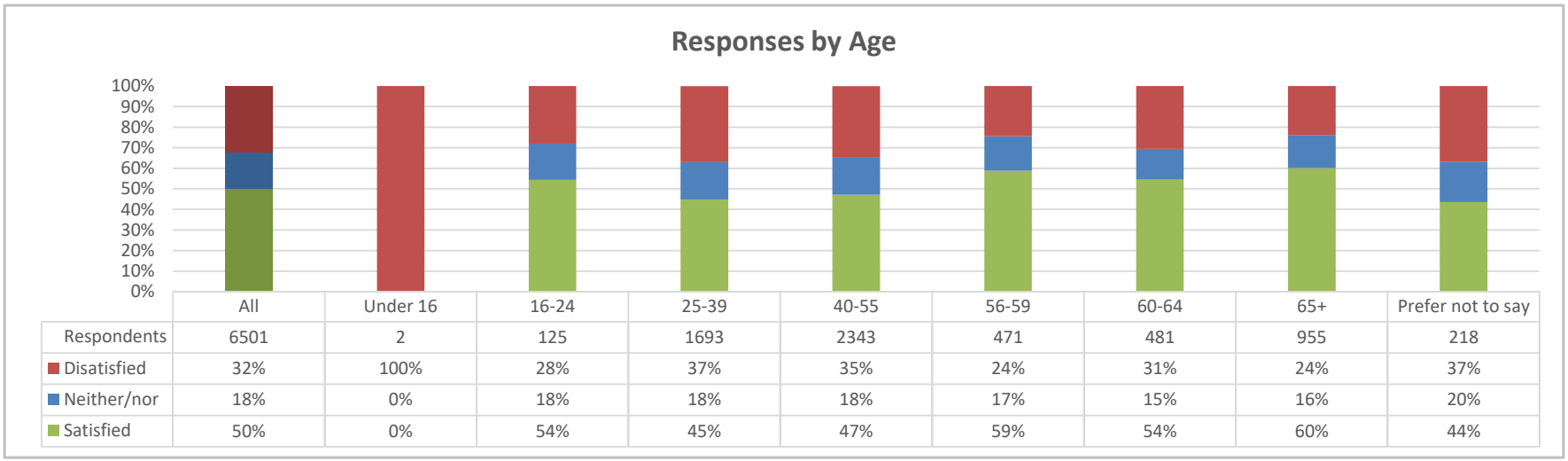
	Issue with boxes	Communal bin collection (e.g. apartments)	Inconvenient	Use recycling points/centres	Not enough materials accepted	Served by St Nicks	Other
Series1	16	8	7	5	4	4	11
Series2	35%	17%	15%	11%	9%	9%	24%

Recycling Changes

Question 6: Overall how satisfied are you with your current kerbside recycling collections?



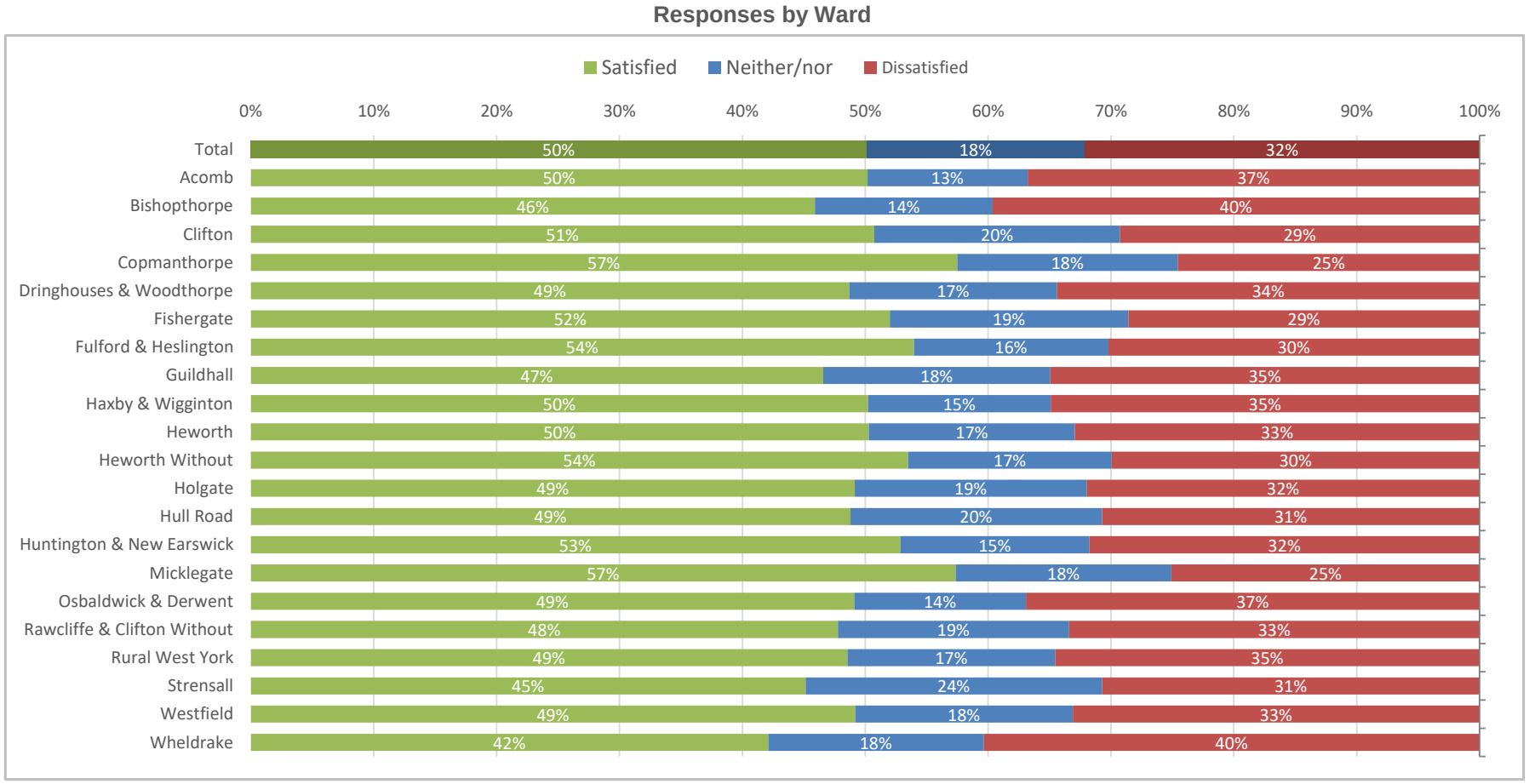
	Satisfied	Neither/nor	Disatisfied
%	50%	18%	32%
Respondents	3258	1154	2089



	All	Under 16	16-24	25-39	40-55	56-59	60-64	65+	Prefer not to say
Respondents	6501	2	125	1693	2343	471	481	955	218
Disatisfied	32%	100%	28%	37%	35%	24%	31%	24%	37%
Neither/nor	18%	0%	18%	18%	18%	17%	15%	16%	20%
Satisfied	50%	0%	54%	45%	47%	59%	54%	60%	44%

Recycling Changes

Question 6: Overall how satisfied are you with your current kerbside recycling collections?

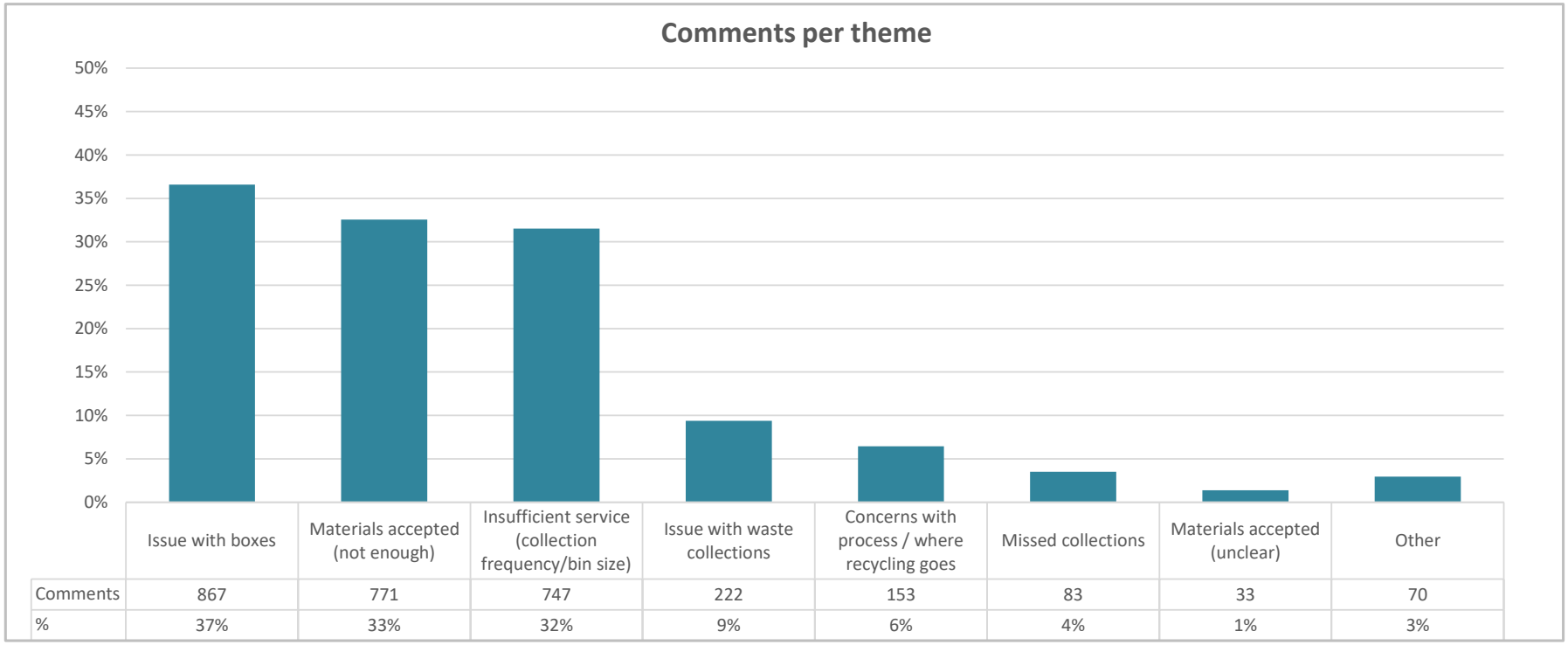


Recycling Changes

Question 6: Overall how satisfied are you with your current kerbside recycling collections?

Comments: If you selected disagree please tell us why

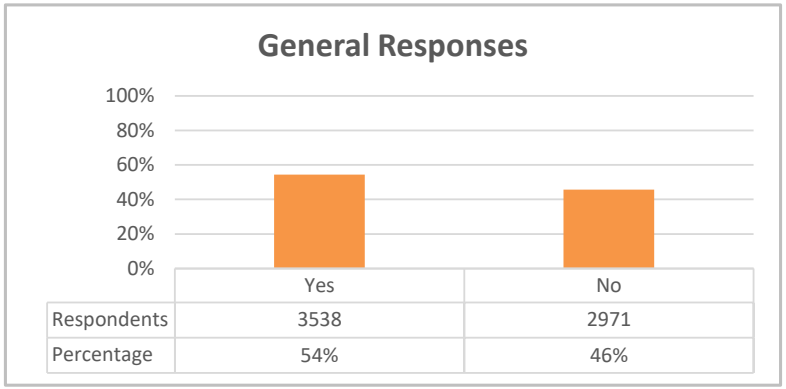
- 2369 respondents left a comment which were categorised into common themes.
- 'Issue with boxes' comments related to boxes being messy, flimsy, heavy or storage issues.
- 'Issue with waste collections' related to mess left behind, damage to boxes, partially emptied bins and poor customer service.
- 'Other' comments related to a range of areas including the schedule being complicated.



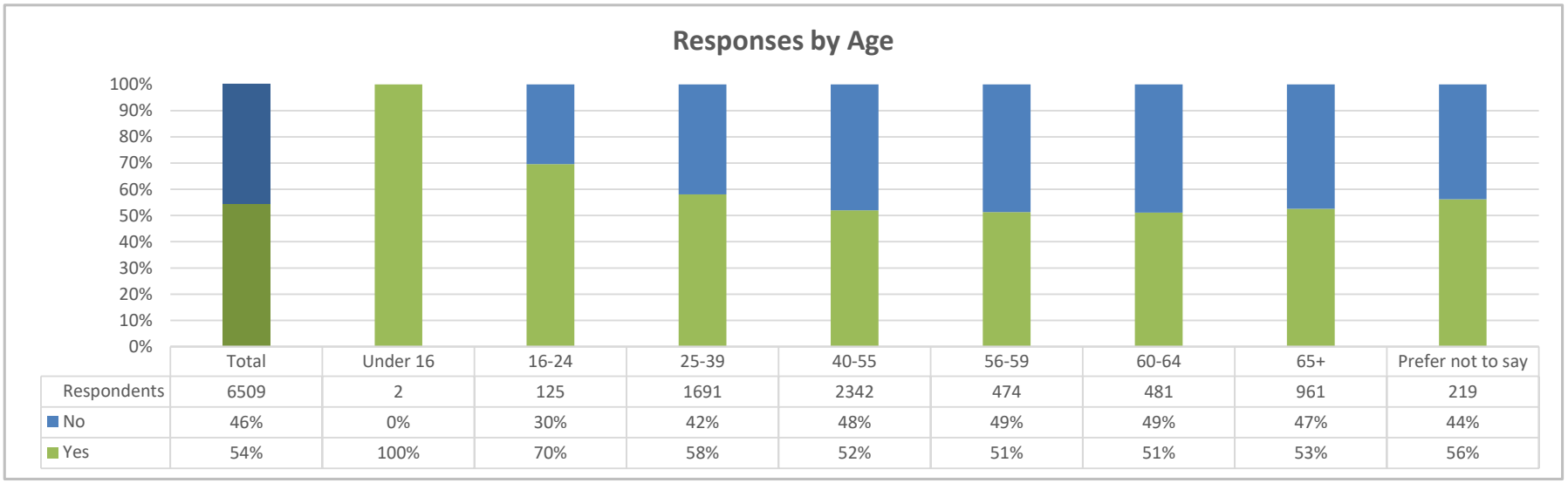
	Issue with boxes	Materials accepted (not enough)	Insufficient service (collection frequency/bin size)	Issue with waste collections	Concerns with process / where recycling goes	Missed collections	Materials accepted (unclear)	Other
Comments	867	771	747	222	153	83	33	70
%	37%	33%	32%	9%	6%	4%	1%	3%

Recycling Changes

Question 7: Is the only reason you recycle because the council provides a kerbside service?



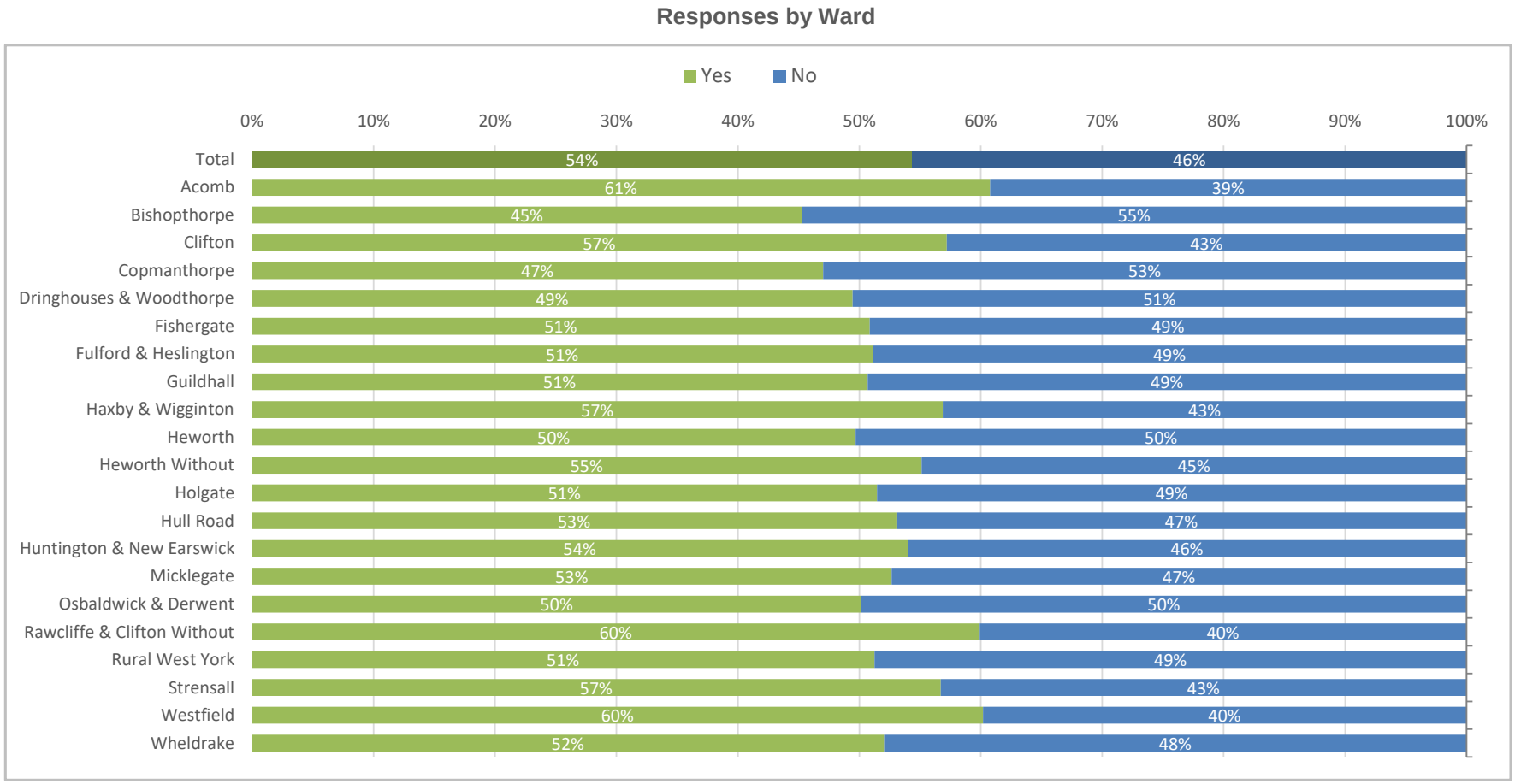
	Yes	No
Respondents	3538	2971
Percentage	54%	46%



	Total	Under 16	16-24	25-39	40-55	56-59	60-64	65+	Prefer not to say
Respondents	6509	2	125	1691	2342	474	481	961	219
No	46%	0%	30%	42%	48%	49%	49%	47%	44%
Yes	54%	100%	70%	58%	52%	51%	51%	53%	56%

Recycling Changes

Question 7: Is the only reason you recycle because the council provides a kerbside service?

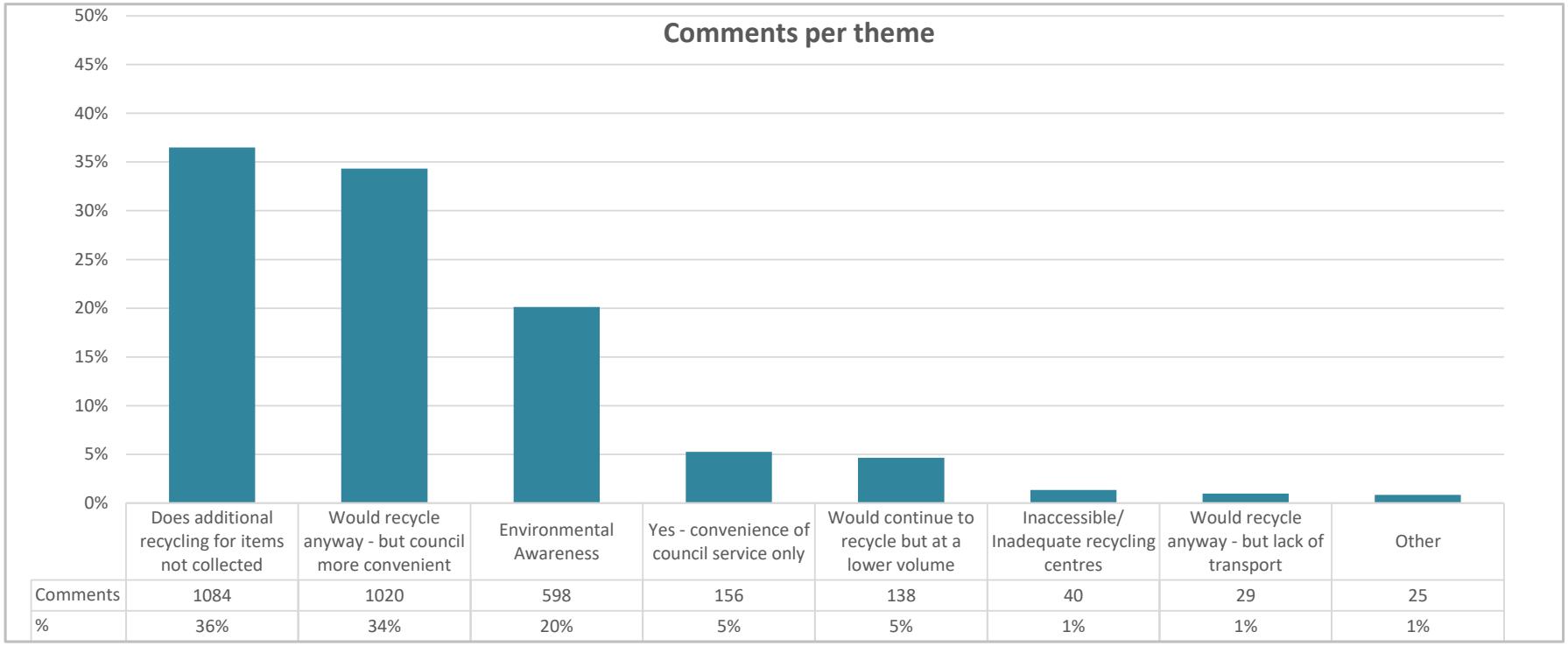


Recycling Changes

Question 7: Is the only reason you recycle because the council provides a kerbside service?

Comments: If no please comment

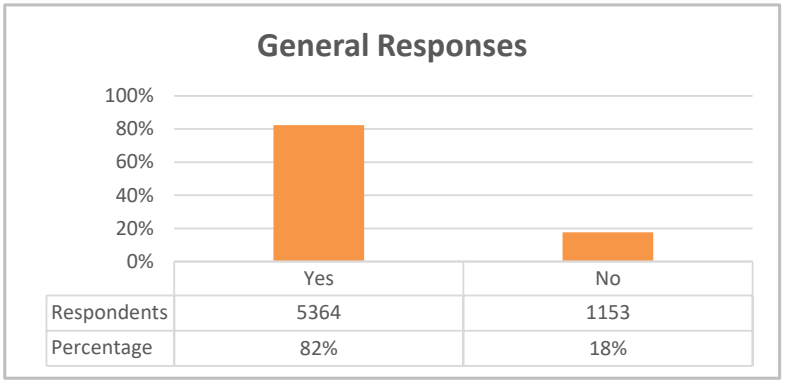
- 2971 respondents left a comment which were categorised into common themes.
- 'Other' comments were varied and included needing to recycle due to black bins not being large enough for all household waste.



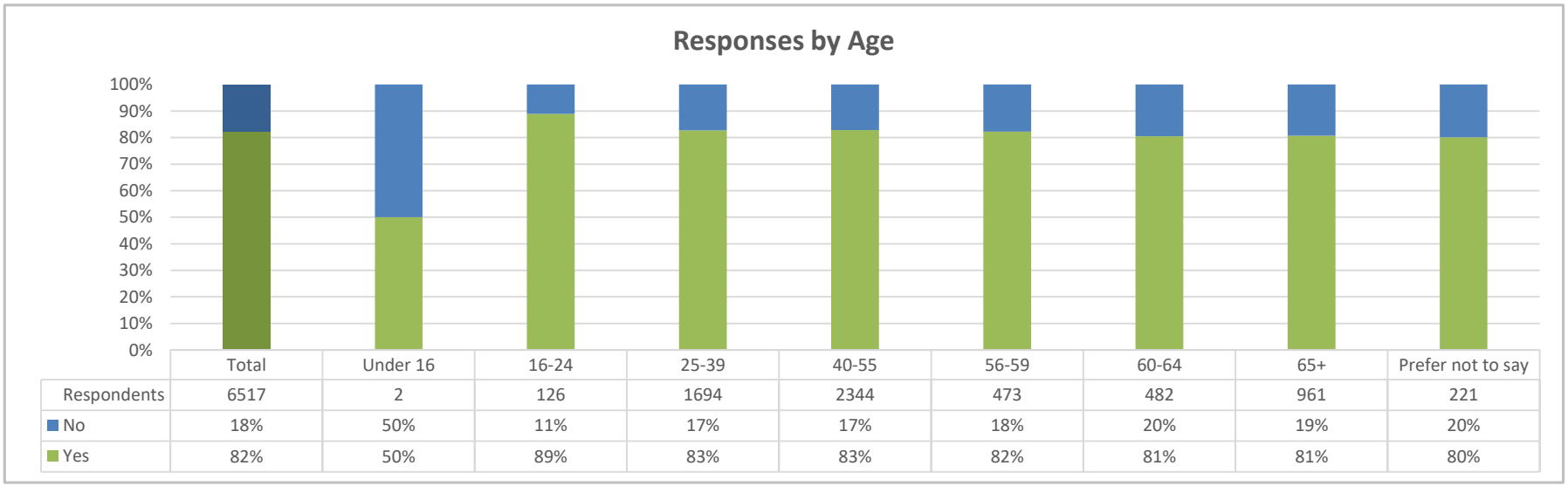
	Does additional recycling for items not collected	Would recycle anyway - but council more convenient	Environmental Awareness	Yes - convenience of council service only	Would continue to recycle but at a lower volume	Inaccessible/ Inadequate recycling centres	Would recycle anyway - but lack of transport	Other
Comments	1084	1020	598	156	138	40	29	25
%	36%	34%	20%	5%	5%	1%	1%	1%

Recycling Changes

Question 8: Are you clear on what you can/can't recycle currently at the kerbside?



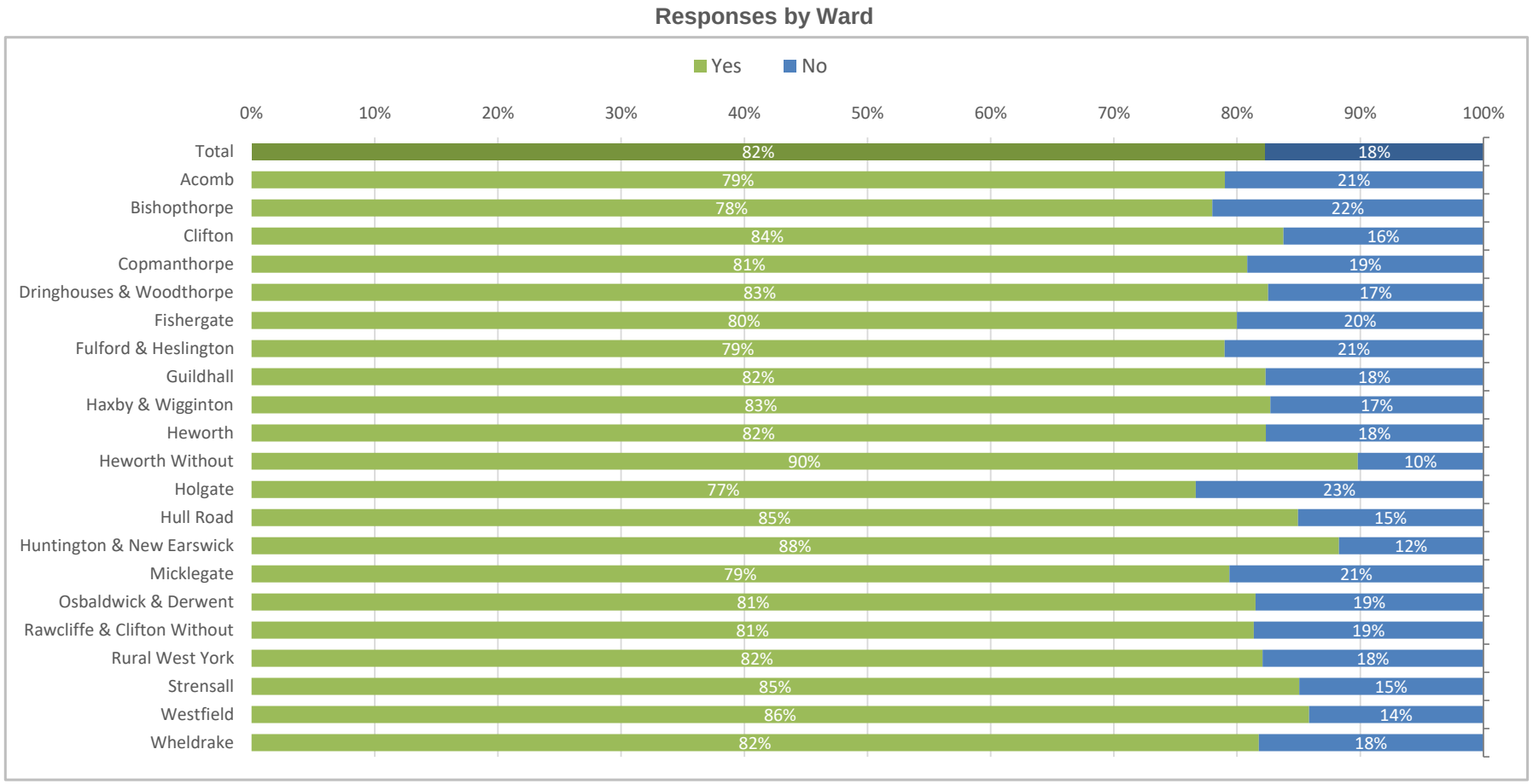
	Yes	No
Respondents	5364	1153
Percentage	82%	18%



	Total	Under 16	16-24	25-39	40-55	56-59	60-64	65+	Prefer not to say
Respondents	6517	2	126	1694	2344	473	482	961	221
No	18%	50%	11%	17%	17%	18%	20%	19%	20%
Yes	82%	50%	89%	83%	83%	82%	81%	81%	80%

Recycling Changes

Question 8: Are you clear on what you can/can't recycle currently at the kerbside?

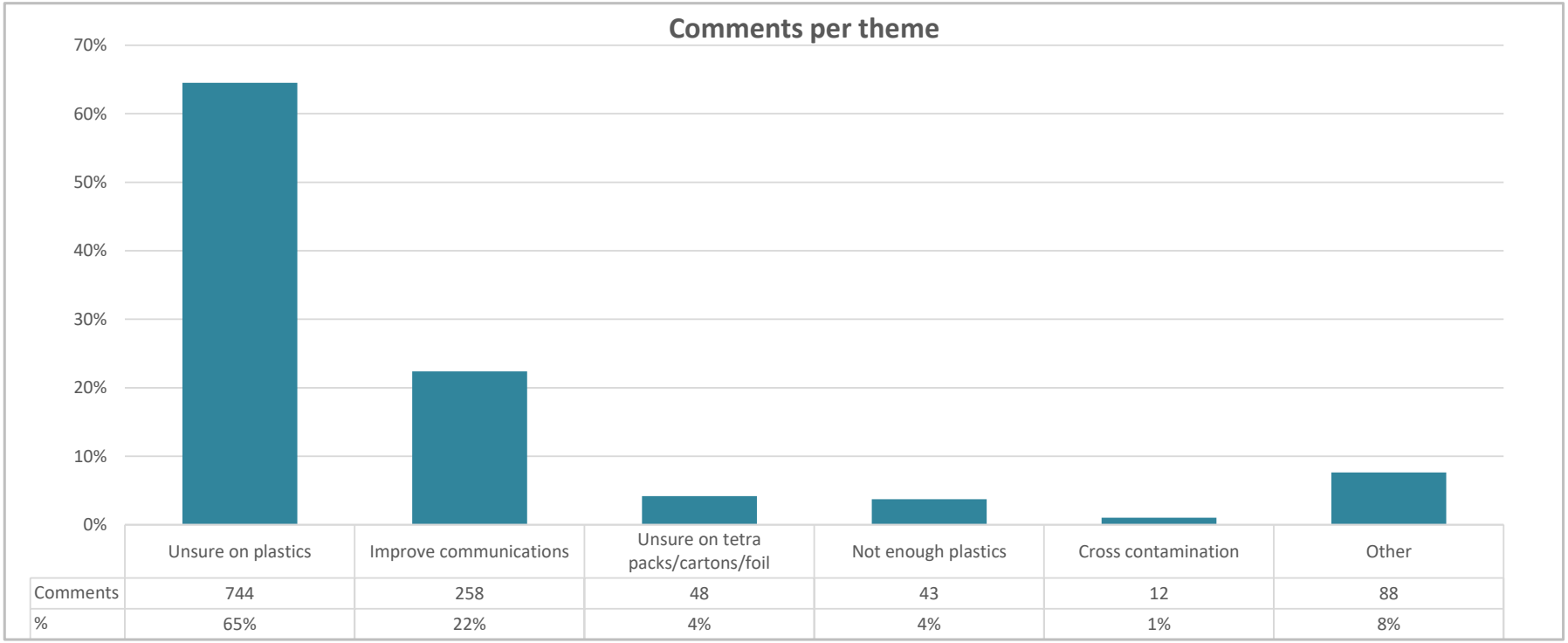


Recycling Changes

Question 8: Are you clear on what you can/can't recycle currently at the kerbside?

Comments: If no please comment

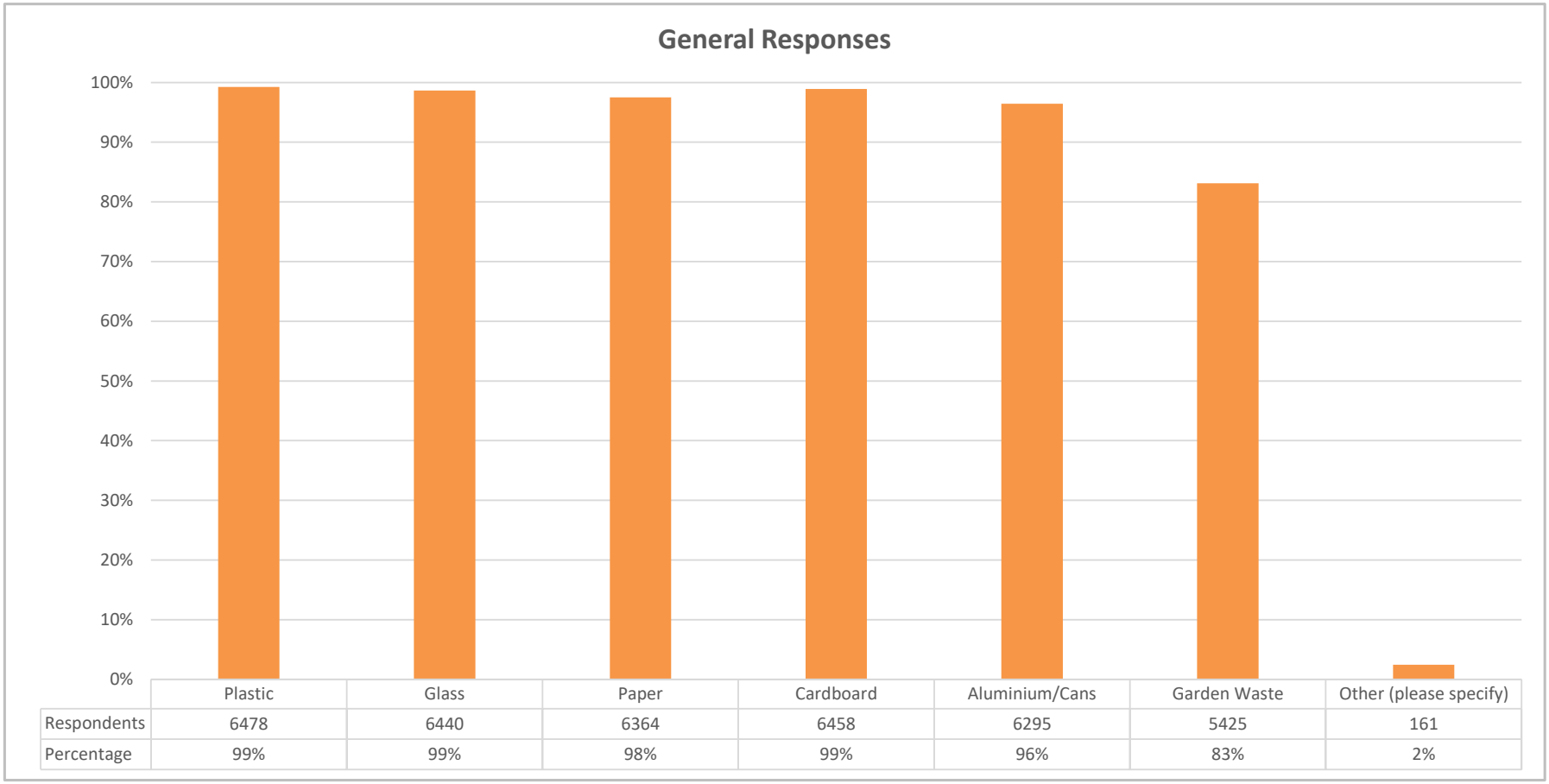
- 1153 respondents left a comment which were categorised into common themes.
- 'Improve communications' comments related to requests for stickers, leaflets, displays and improved information available
- 'Other' comments were varied and included needing a national standard and improved information on packaging.



	Unsure on plastics	Improve communications	Unsure on tetra packs/cartons/foil	Not enough plastics	Cross contamination	Other
Comments	744	258	48	43	12	88
%	65%	22%	4%	4%	1%	8%

Recycling Changes

Question 9: Do you recycle the following items at the kerbside collections? (Please select all that apply)



	Plastic	Glass	Paper	Cardboard	Aluminium/Cans	Garden Waste	Other (please specify)
Respondents	6478	6440	6364	6458	6295	5425	161
Percentage	99%	99%	98%	99%	96%	83%	2%

Recycling Changes

Question 9: Do you recycle the following items at the kerbside collections? (Please select all that apply)

Responses by age

Age Group	Respondents	Plastic	Glass	Paper	Cardboard	Aluminium / Cans	Garden Waste	Other (please specify)
Under 16	2	100%	100%	100%	100%	100%	100%	0%
16-24	126	100%	98%	92%	98%	99%	49%	0%
25-39	1694	100%	99%	97%	99%	98%	76%	2%
40-55	2346	99%	99%	98%	99%	97%	86%	2%
56-59	473	99%	99%	96%	98%	96%	84%	3%
60-64	483	99%	99%	98%	99%	96%	89%	4%
65+	965	98%	99%	98%	99%	94%	89%	4%
Prefer not to say	222	99%	98%	98%	98%	95%	86%	5%
All Respondents	**6527**	**99%**	**99%**	**98%**	**99%**	**96%**	**83%**	**2%**

10% Above Average Responses | 10% Below Average Responses

Recycling Changes

Question 9: Do you recycle the following items at the kerbside collections? (Please select all that apply)

Responses by ward (Blue = 10% Above Average / Yellow = 10% Below Average)

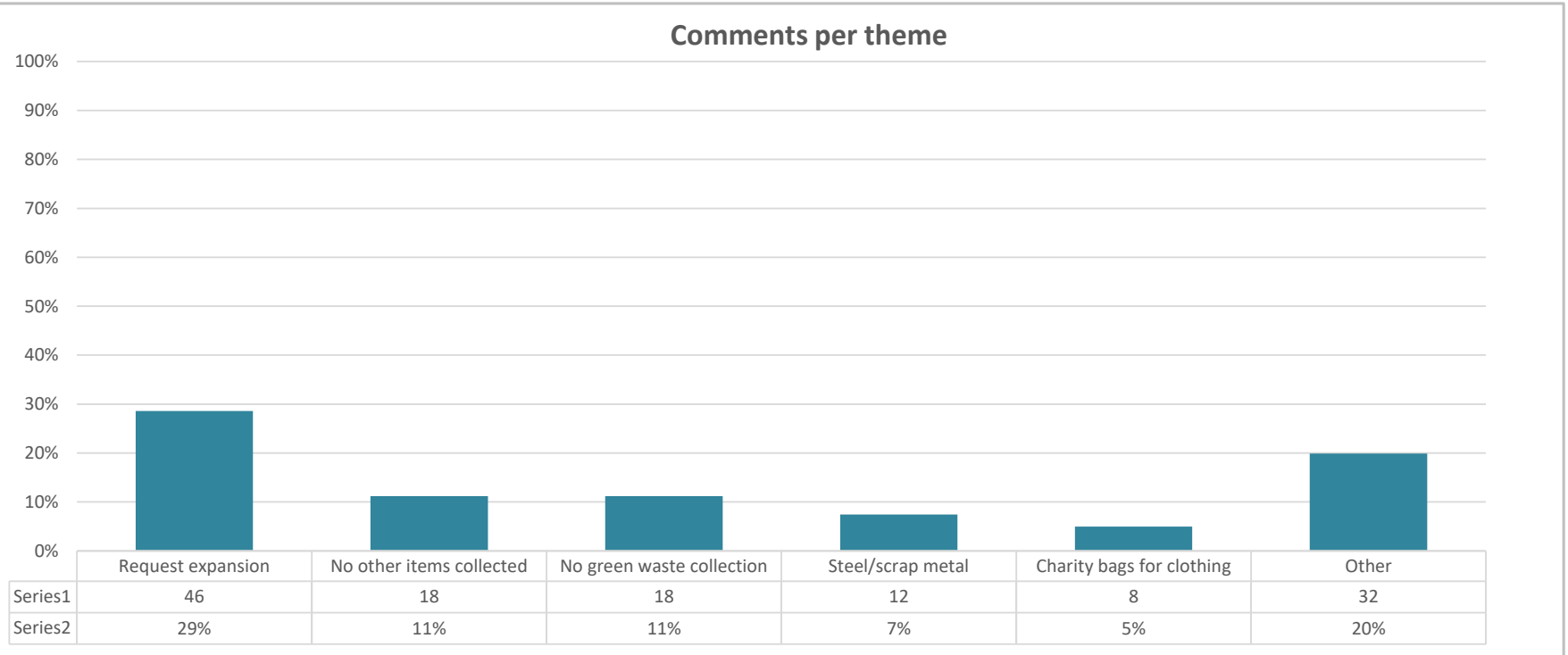
Ward	Respondents	Plastic	Glass	Paper	Cardboard	Aluminium / Cans	Garden Waste	Other (please specify)
Acomb	262	100%	100%	98%	100%	98%	94%	2%
Bishopthorpe	159	99%	100%	96%	99%	96%	96%	3%
Clifton	271	99%	98%	96%	98%	94%	59%	5%
Copmanthorpe	168	99%	99%	98%	100%	96%	96%	1%
Dringhouses & Woodthorpe	538	99%	99%	97%	99%	96%	94%	3%
Fishergate	175	100%	100%	99%	99%	97%	58%	2%
Fulford & Heslington	139	100%	100%	100%	99%	97%	94%	3%
Guildhall	147	98%	97%	97%	100%	95%	24%	5%
Haxby & Wigginton	429	99%	100%	99%	100%	97%	96%	3%
Heworth	334	100%	99%	98%	99%	97%	82%	3%
Heworth Without	157	100%	99%	99%	99%	94%	98%	0%
Holgate	412	99%	98%	98%	100%	98%	63%	3%
Hull Road	166	99%	98%	98%	98%	96%	89%	2%
Huntington & New Earswick	403	100%	99%	98%	99%	96%	93%	3%
Micklegate	320	99%	98%	100%	99%	98%	24%	5%
Osbaldwick & Derwent	281	99%	100%	97%	100%	98%	95%	2%
Rawcliffe & Clifton Without	456	99%	99%	97%	99%	97%	94%	2%
Rural West York	280	99%	100%	98%	99%	96%	99%	2%
Strensall	321	99%	98%	97%	99%	97%	96%	2%
Westfield	438	99%	98%	97%	99%	97%	86%	2%
Wheldrake	171	99%	95%	94%	99%	98%	98%	1%
All Respondents	**6527**	**99%**	**99%**	**98%**	**99%**	**96%**	**83%**	**2%**

Recycling Changes

Question 9: Do you recycle the following items at the kerbside collections? (Please select all that apply)

Comments: Other (please specify)

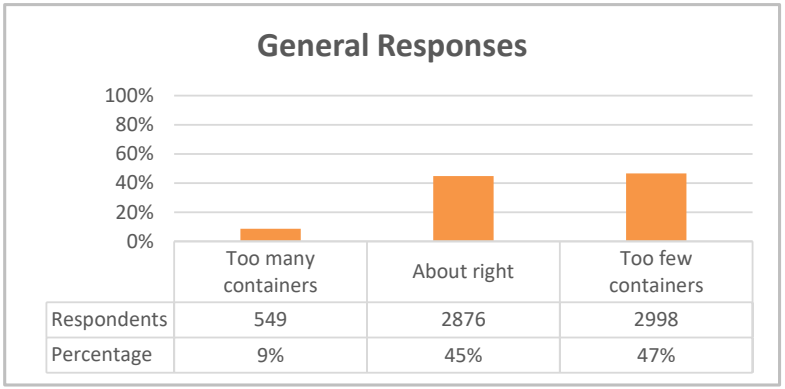
- 161 respondents left a comment which were categorised into common themes.
- 'No green waste collection' comments related to wanting to recycle green waste but not having a collection.
- Items mentioned in the 'Request expansion' theme included foil, batteries more plastics and textiles.
- 'Other' comments were varied and included home composting and doing additional recycling at supermarkets and recycling centres.



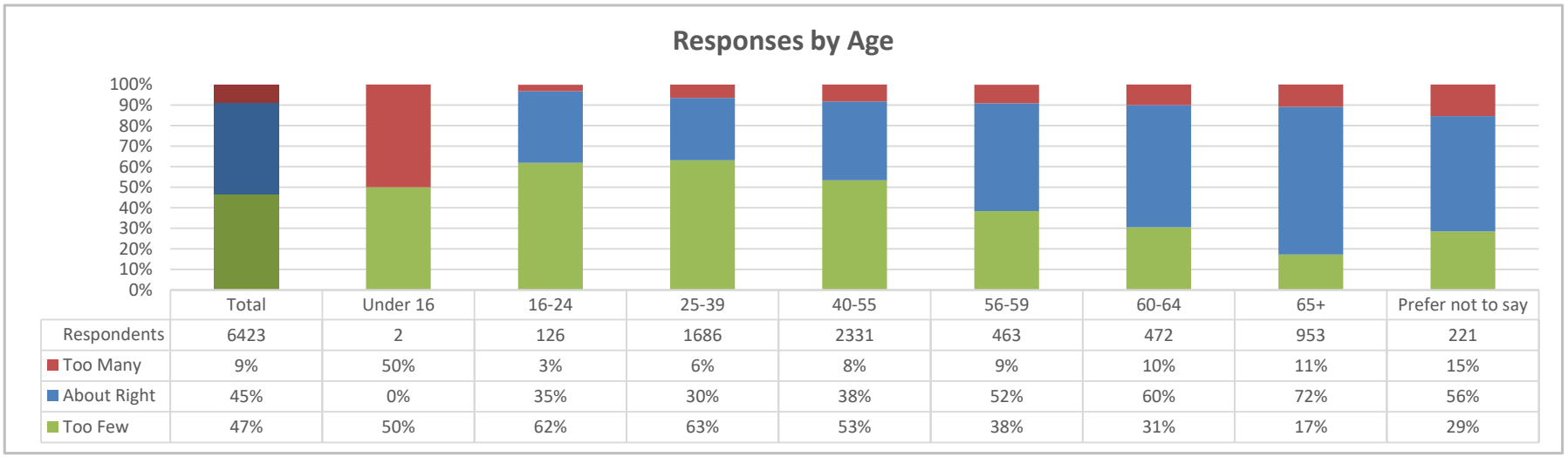
	Request expansion	No other items collected	No green waste collection	Steel/scrap metal	Charity bags for clothing	Other
Series1	46	18	18	12	8	32
Series2	29%	11%	11%	7%	5%	20%

Recycling Changes

Question 10: Do you feel the current supply of recycling containers is enough for the amount of recycling waste you have?



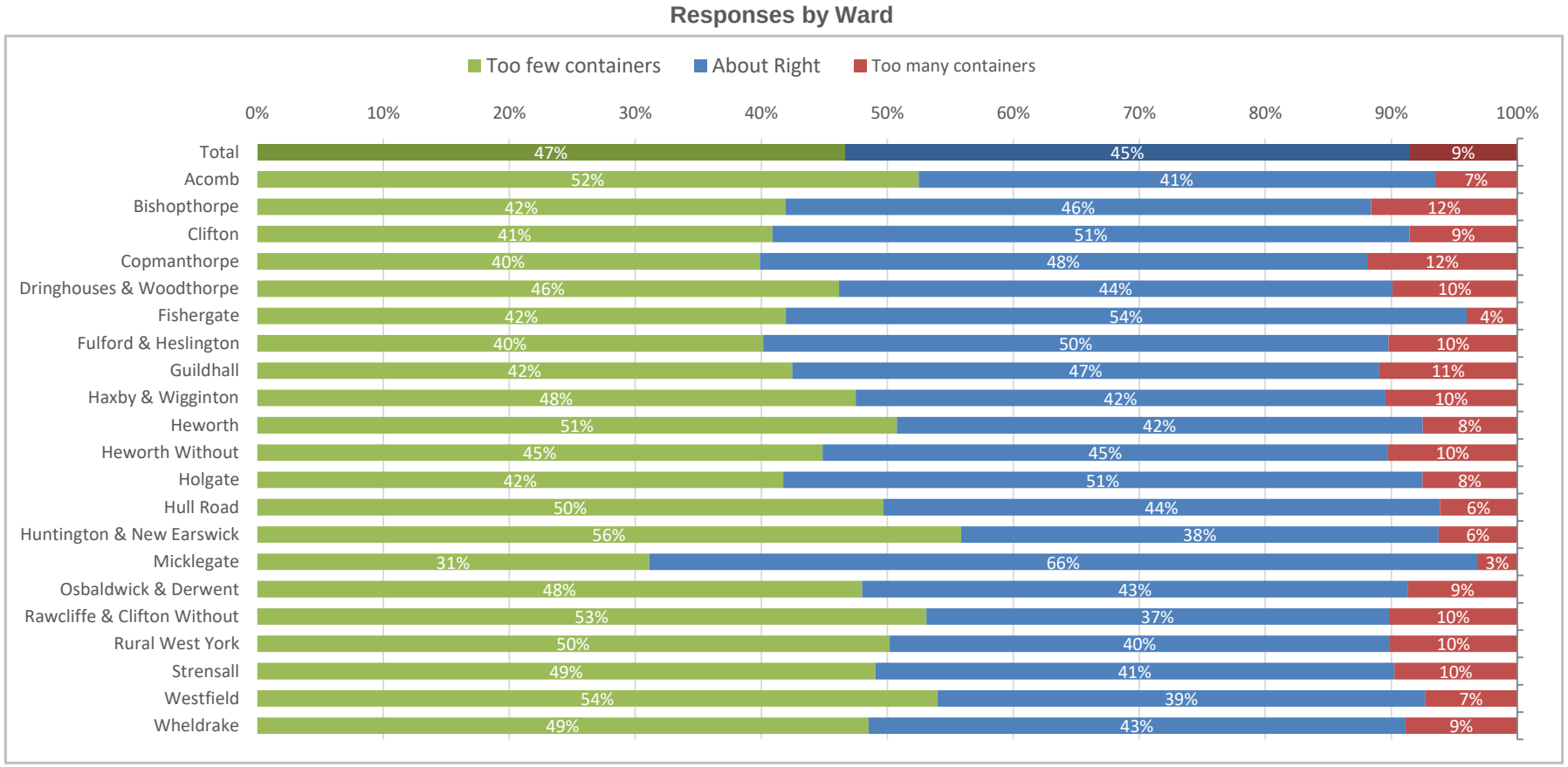
	Too many containers	About right	Too few containers
Respondents	549	2876	2998
Percentage	9%	45%	47%



	Total	Under 16	16-24	25-39	40-55	56-59	60-64	65+	Prefer not to say
Respondents	6423	2	126	1686	2331	463	472	953	221
Too Many	9%	50%	3%	6%	8%	9%	10%	11%	15%
About Right	45%	0%	35%	30%	38%	52%	60%	72%	56%
Too Few	47%	50%	62%	63%	53%	38%	31%	17%	29%

Recycling Changes

Question 10: Do you feel the current supply of recycling containers is enough for the amount of recycling waste you have?

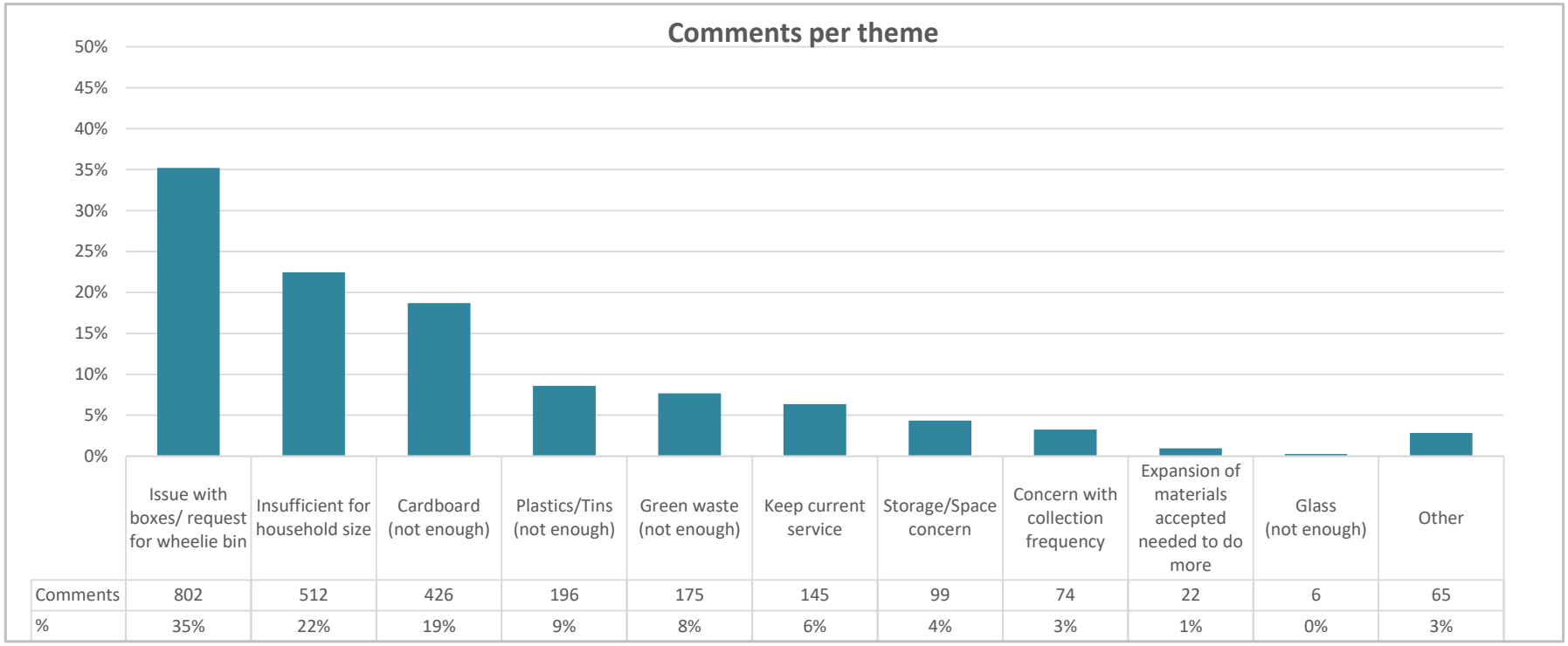


Recycling Changes

Question 10: Do you feel the current supply of recycling containers is enough for the amount of recycling waste you have?

Comments

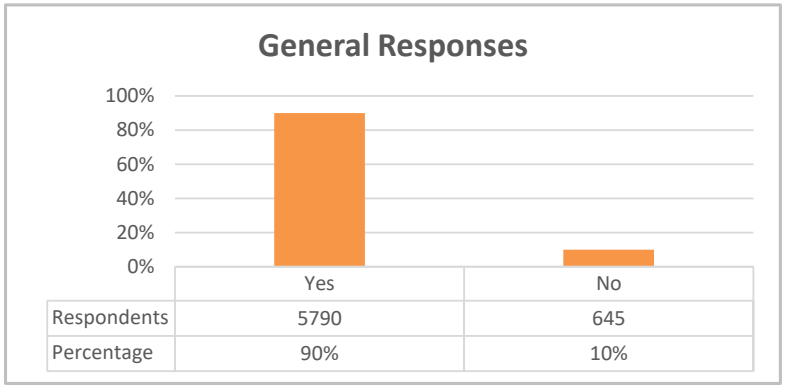
- 2279 respondents gave a comment which were categorised into common themes.
- 'Other' comments covered a range of topics including clarity of materials accepted.



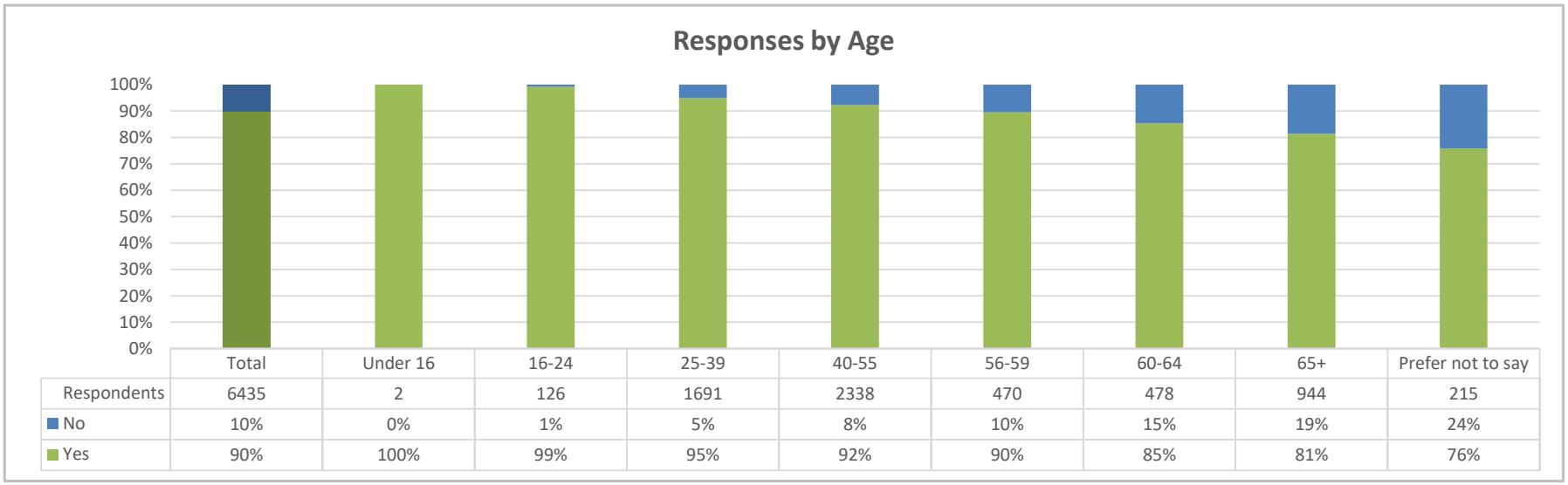
	Issue with boxes/ request for wheelie bin	Insufficient for household size	Cardboard (not enough)	Plastics/Tins (not enough)	Green waste (not enough)	Keep current service	Storage/Space concern	Concern with collection frequency	Expansion of materials accepted needed to do more	Glass (not enough)	Other
Comments	802	512	426	196	175	145	99	74	22	6	65
%	35%	22%	19%	9%	8%	6%	4%	3%	1%	0%	3%

Recycling Changes

Question 11: If you could recycle more of your waste at the kerbside, would you?



	Yes	No
Respondents	5790	645
Percentage	90%	10%

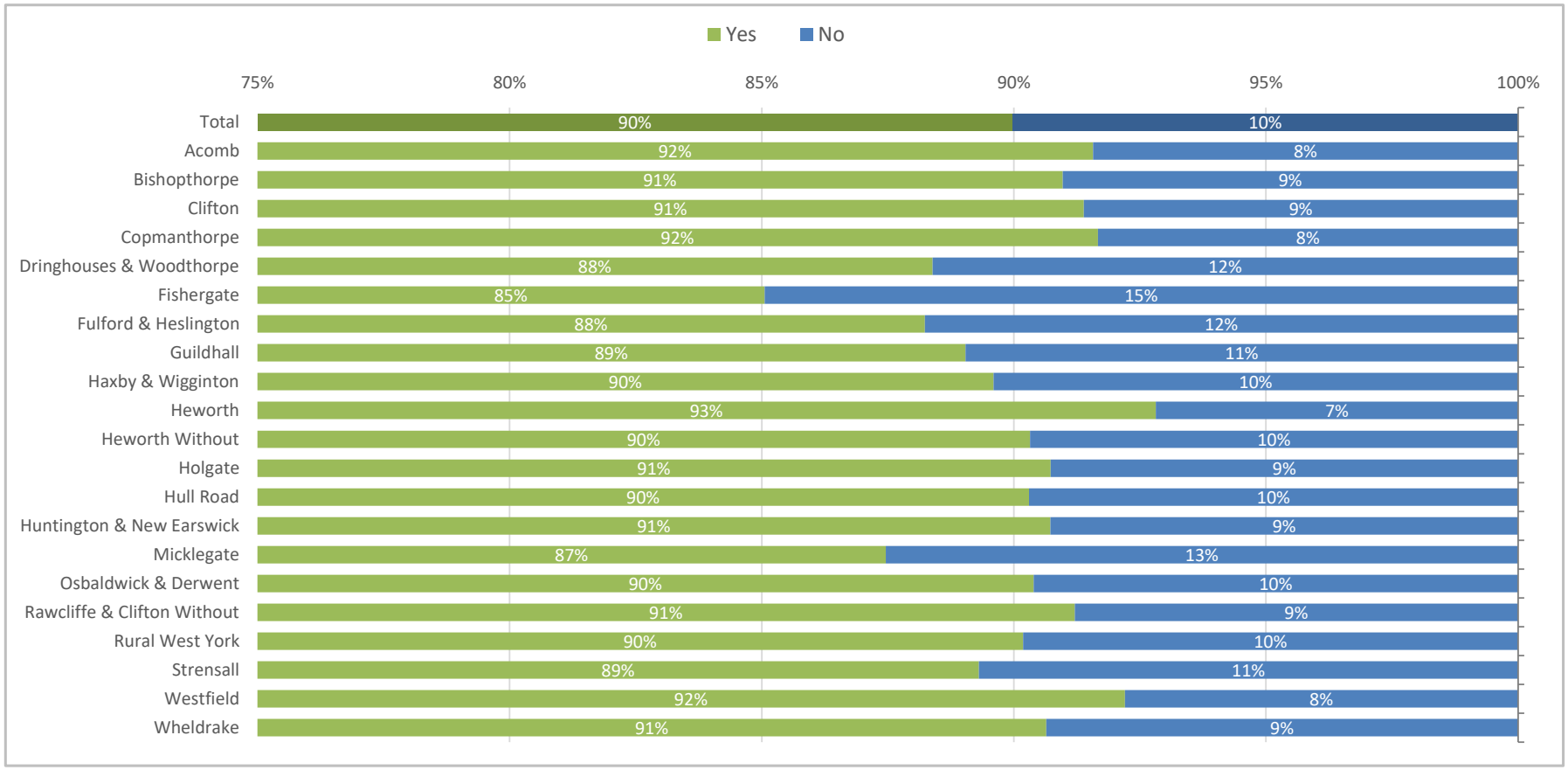


	Total	Under 16	16-24	25-39	40-55	56-59	60-64	65+	Prefer not to say
Respondents	6435	2	126	1691	2338	470	478	944	215
No	10%	0%	1%	5%	8%	10%	15%	19%	24%
Yes	90%	100%	99%	95%	92%	90%	85%	81%	76%

Recycling Changes

Question 11: If you could recycle more of your waste at the kerbside, would you?

Responses by Ward (n.b. graph scale begins at 75%)

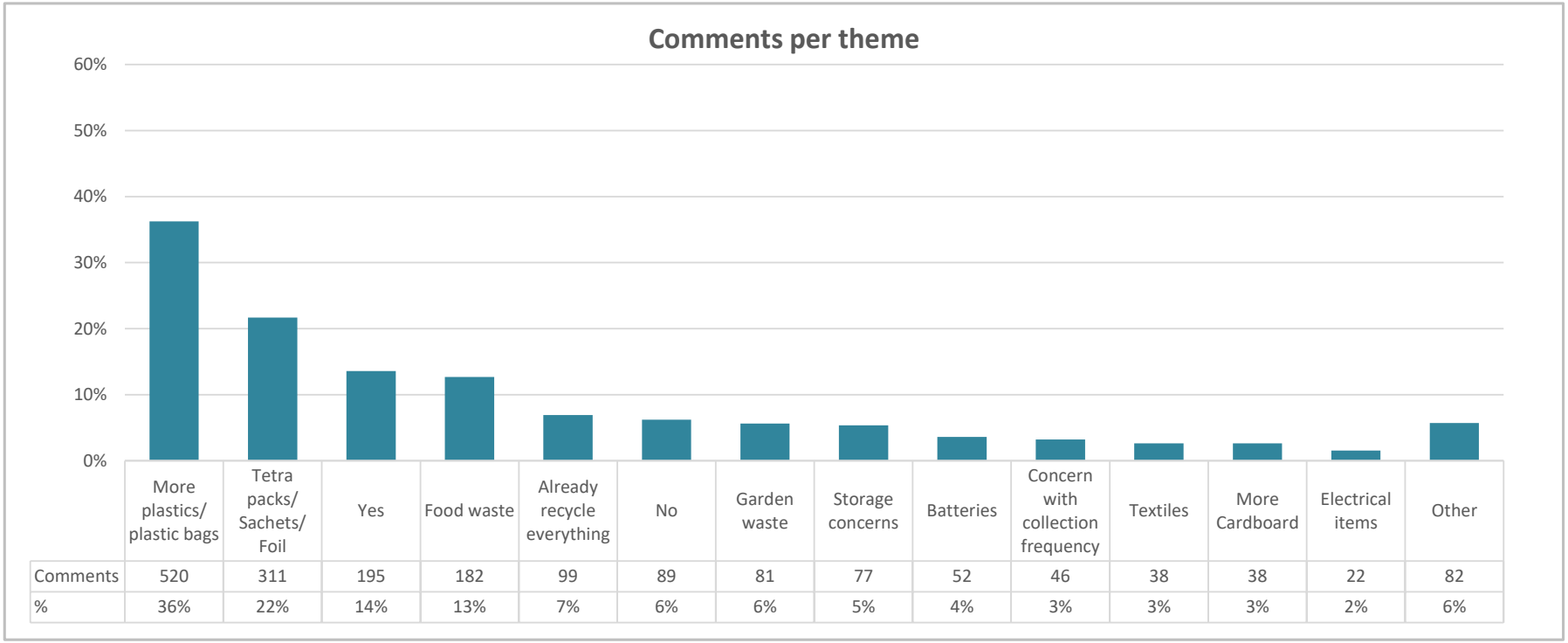


Recycling Changes

Question 11: If you could recycle more of your waste at the kerbside, would you?

Comments

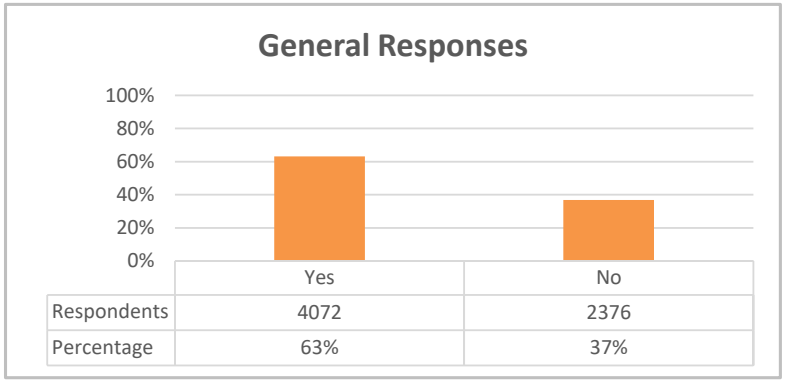
- 1435 respondents gave a comment which were categorised into common themes.
- Categories labelled 'Yes' and 'No' gave general positive or negative sentiments without specific examples.



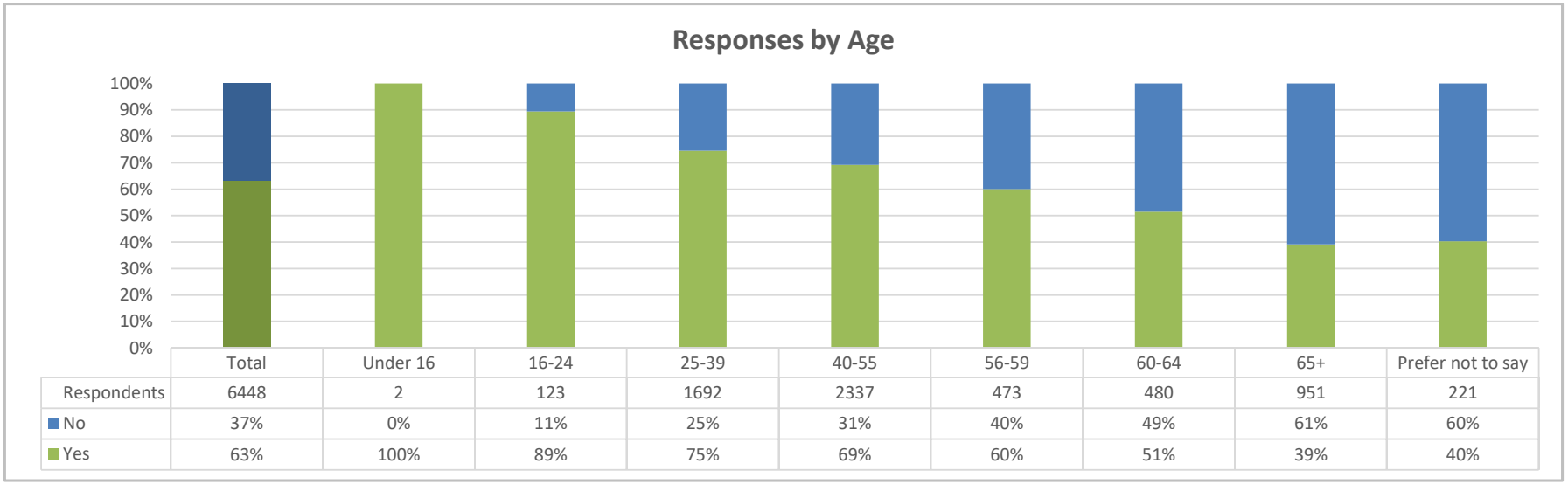
	More plastics/ plastic bags	Tetra packs/ Sachets/ Foil	Yes	Food waste	Already recycle everything	No	Garden waste	Storage concerns	Batteries	Concern with collection frequency	Textiles	More Cardboard	Electrical items	Other
Comments	520	311	195	182	99	89	81	77	52	46	38	38	22	82
%	36%	22%	14%	13%	7%	6%	6%	5%	4%	3%	3%	3%	2%	6%

Recycling Changes

Question 12: If we provided you with more or larger recycling containers would this enable you to do more recycling?



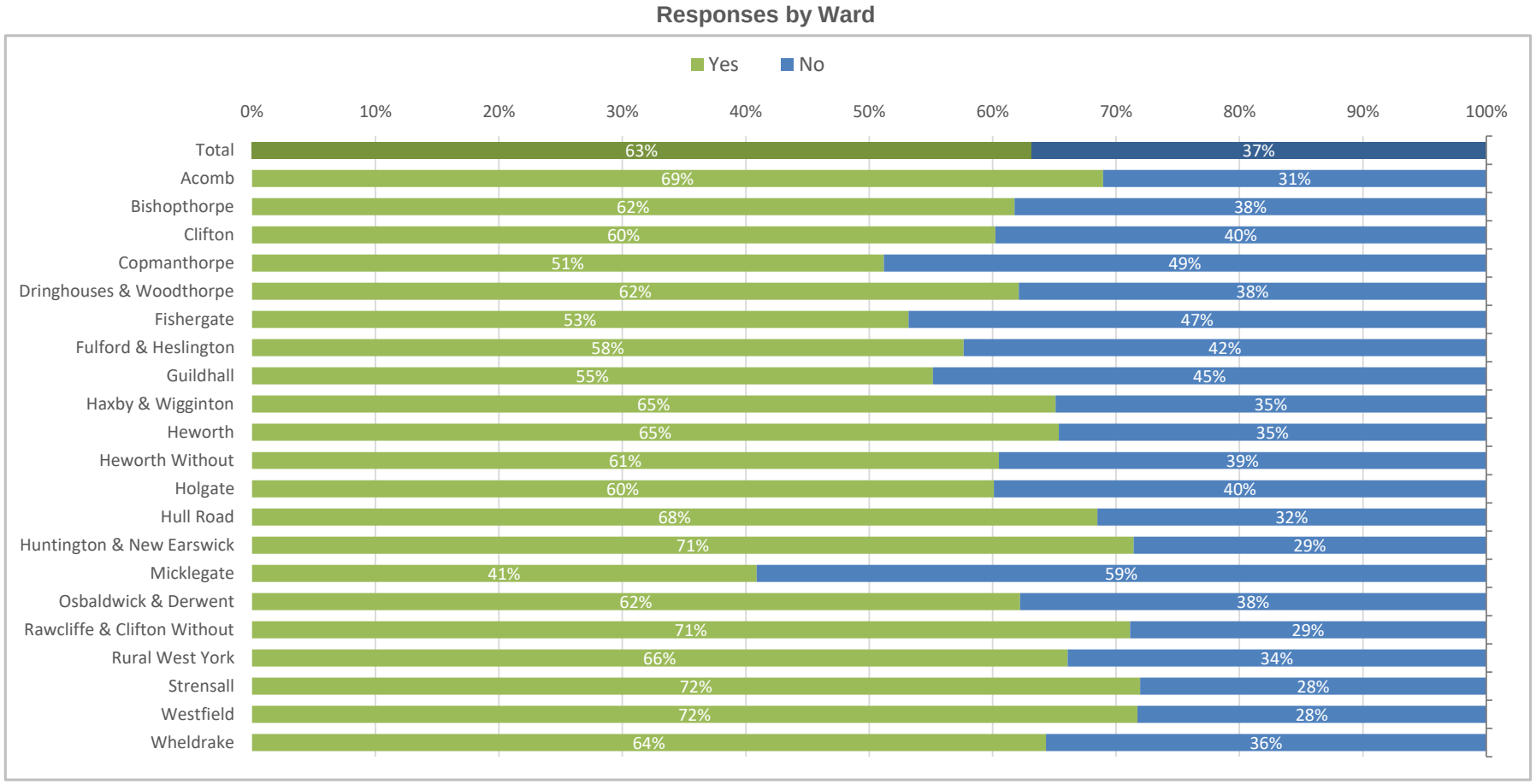
	Yes	No
Respondents	4072	2376
Percentage	63%	37%



	Total	Under 16	16-24	25-39	40-55	56-59	60-64	65+	Prefer not to say
Respondents	6448	2	123	1692	2337	473	480	951	221
No	37%	0%	11%	25%	31%	40%	49%	61%	60%
Yes	63%	100%	89%	75%	69%	60%	51%	39%	40%

Recycling Changes

Question 12: If we provided you with more or larger recycling containers would this enable you to do more recycling?

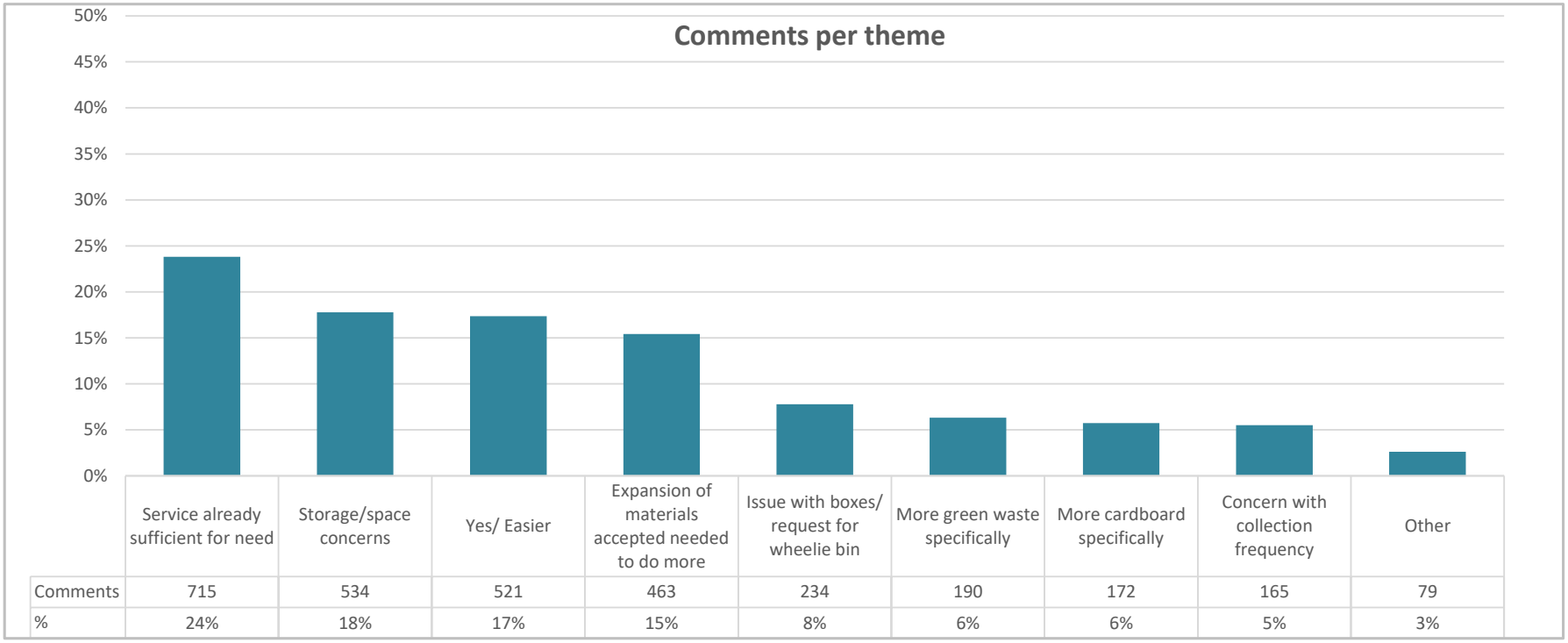


Recycling Changes

Question 12: If we provided you with more or larger recycling containers would this enable you to do more recycling?

Comments: Please explain your answer choice

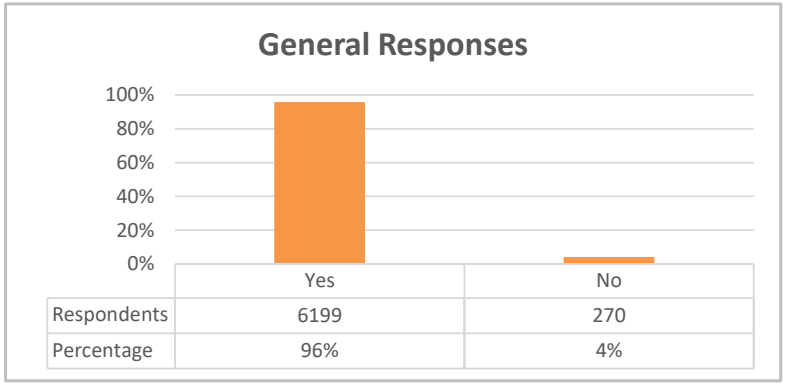
- 3002 respondents gave a comment which were categorised into common themes.
- 'Other' comments included changing focus to creating less waste, cost of changing the service and bins being heavy to manoeuvre along with other areas.



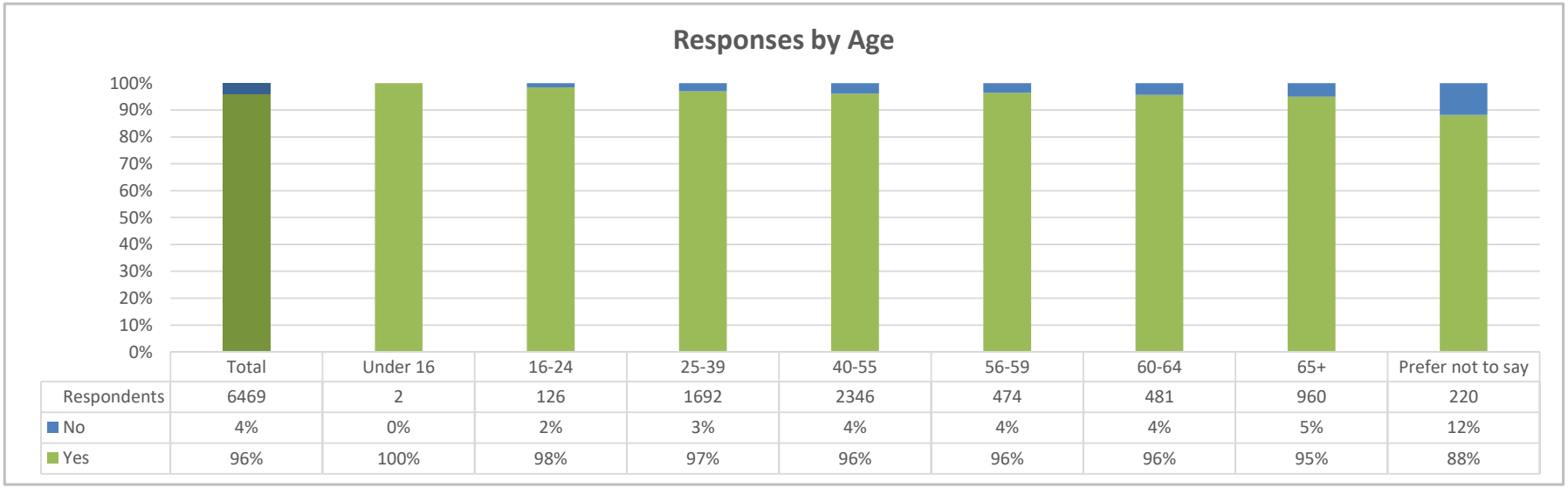
	Service already sufficient for need	Storage/space concerns	Yes/ Easier	Expansion of materials accepted needed to do more	Issue with boxes/ request for wheelie bin	More green waste specifically	More cardboard specifically	Concern with collection frequency	Other
Comments	715	534	521	463	234	190	172	165	79
%	24%	18%	17%	15%	8%	6%	6%	5%	3%

Recycling Changes

Question 13: Does improving the environment play a part in why you recycle?



	Yes	No
Respondents	6199	270
Percentage	96%	4%

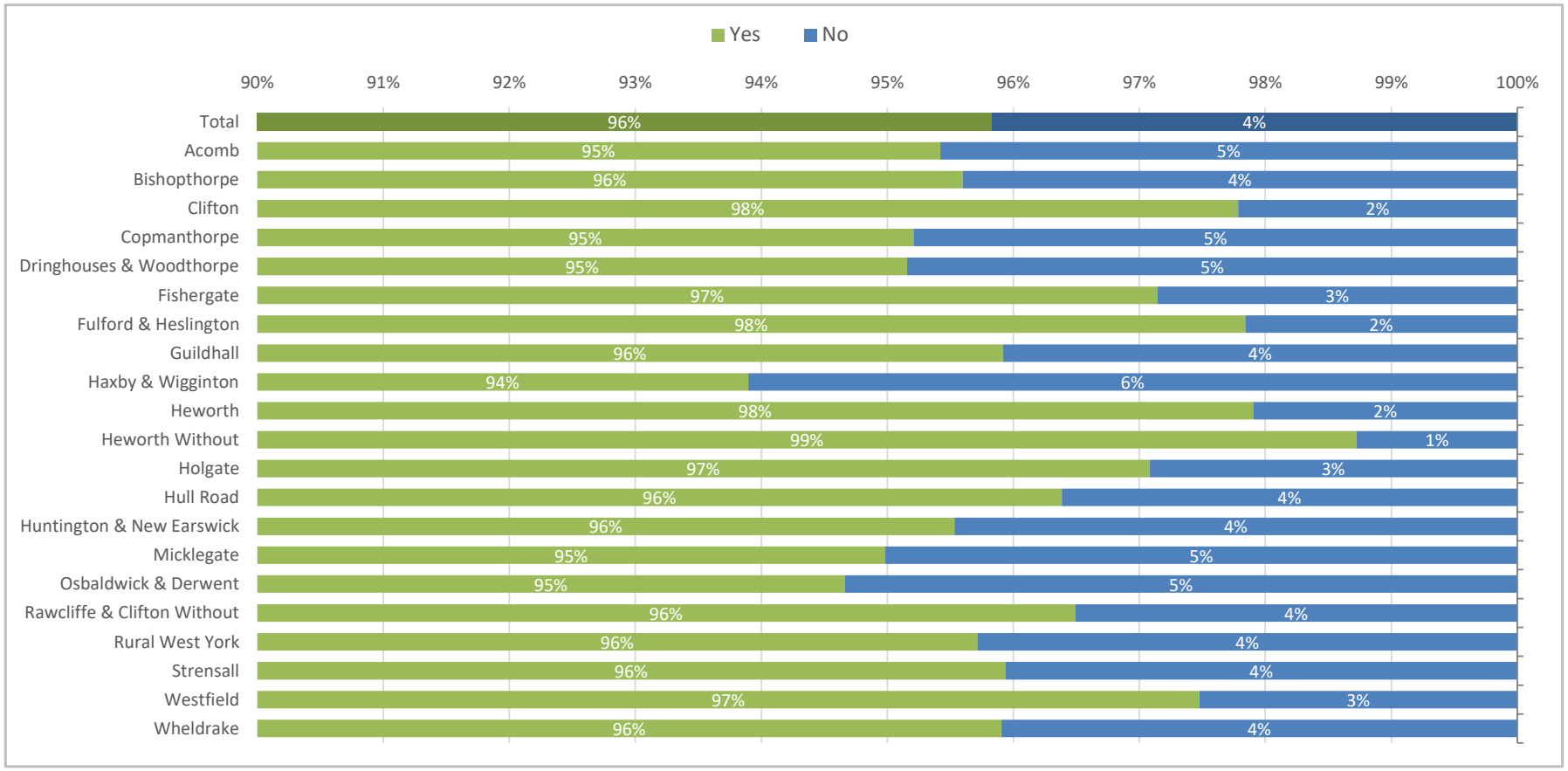


	Total	Under 16	16-24	25-39	40-55	56-59	60-64	65+	Prefer not to say
Respondents	6469	2	126	1692	2346	474	481	960	220
No	4%	0%	2%	3%	4%	4%	4%	5%	12%
Yes	96%	100%	98%	97%	96%	96%	96%	95%	88%

Recycling Changes

Question 13: Does improving the environment play a part in why you recycle?

Responses by Ward (n.b. graph scale begins at 91%)

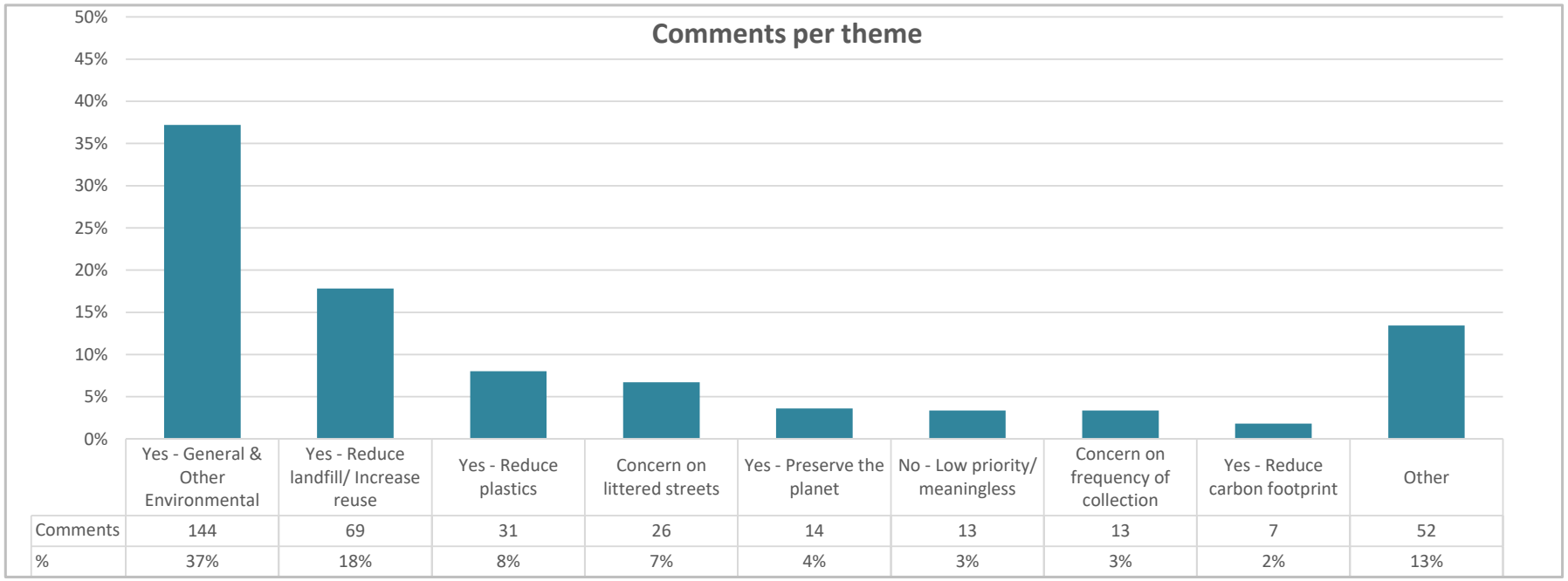


Recycling Changes

Question 13: Does improving the environment play a part in why you recycle?

Comments

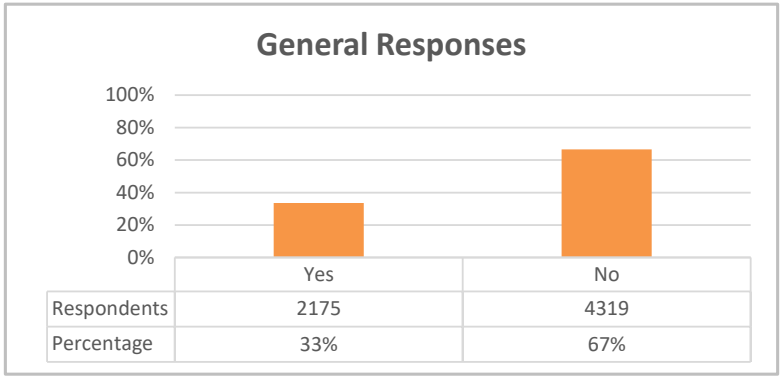
- 387 respondents gave a comment which were categorised into common themes.
- A number of comments did not relate directly to the question but have been included below for reference. Where specific environmental reasons were recurring these where allocated to their own theme.
- 'Yes - Generally and Other Environmental' comments were those which stated it was the main reason they recycled and included a range of reasons such as protecting wildlife.
- 'Other' comments covered a range of areas such as supermarkets taking more responsibility and improving access to recycling centres to reduce fly tipping.



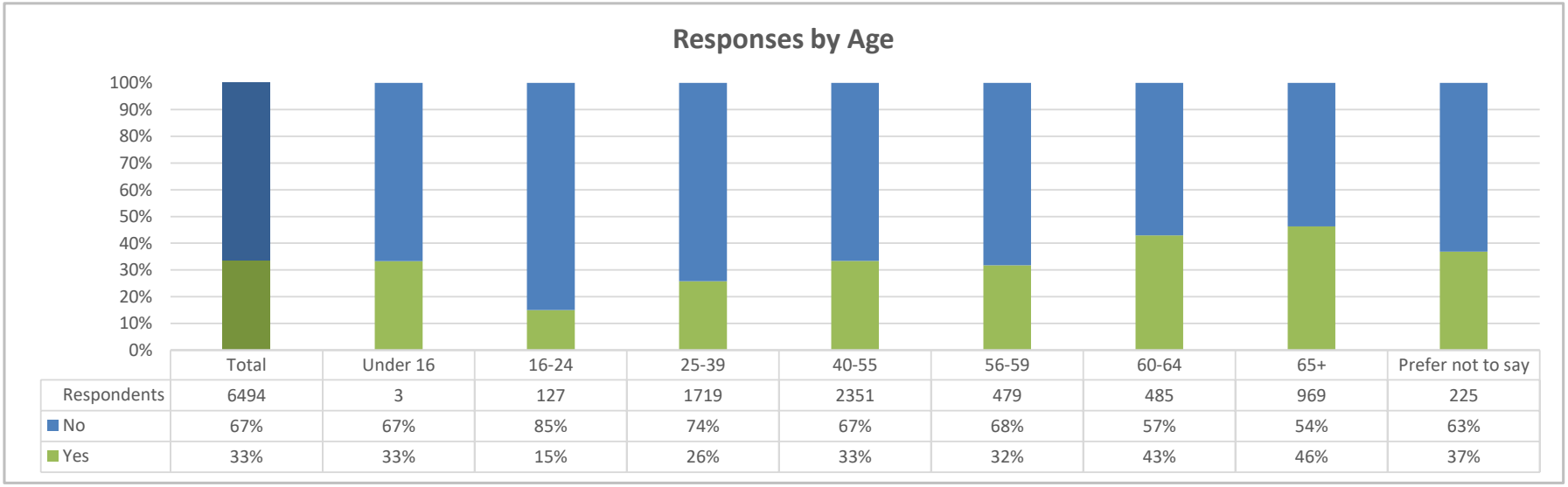
	Yes - General & Other Environmental	Yes - Reduce landfill/ Increase reuse	Yes - Reduce plastics	Concern on littered streets	Yes - Preserve the planet	No - Low priority/ meaningless	Concern on frequency of collection	Yes - Reduce carbon footprint	Other
Comments	144	69	31	26	14	13	13	7	52
%	37%	18%	8%	7%	4%	3%	3%	2%	13%

Recycling Changes

Question 14: Do you home compost?



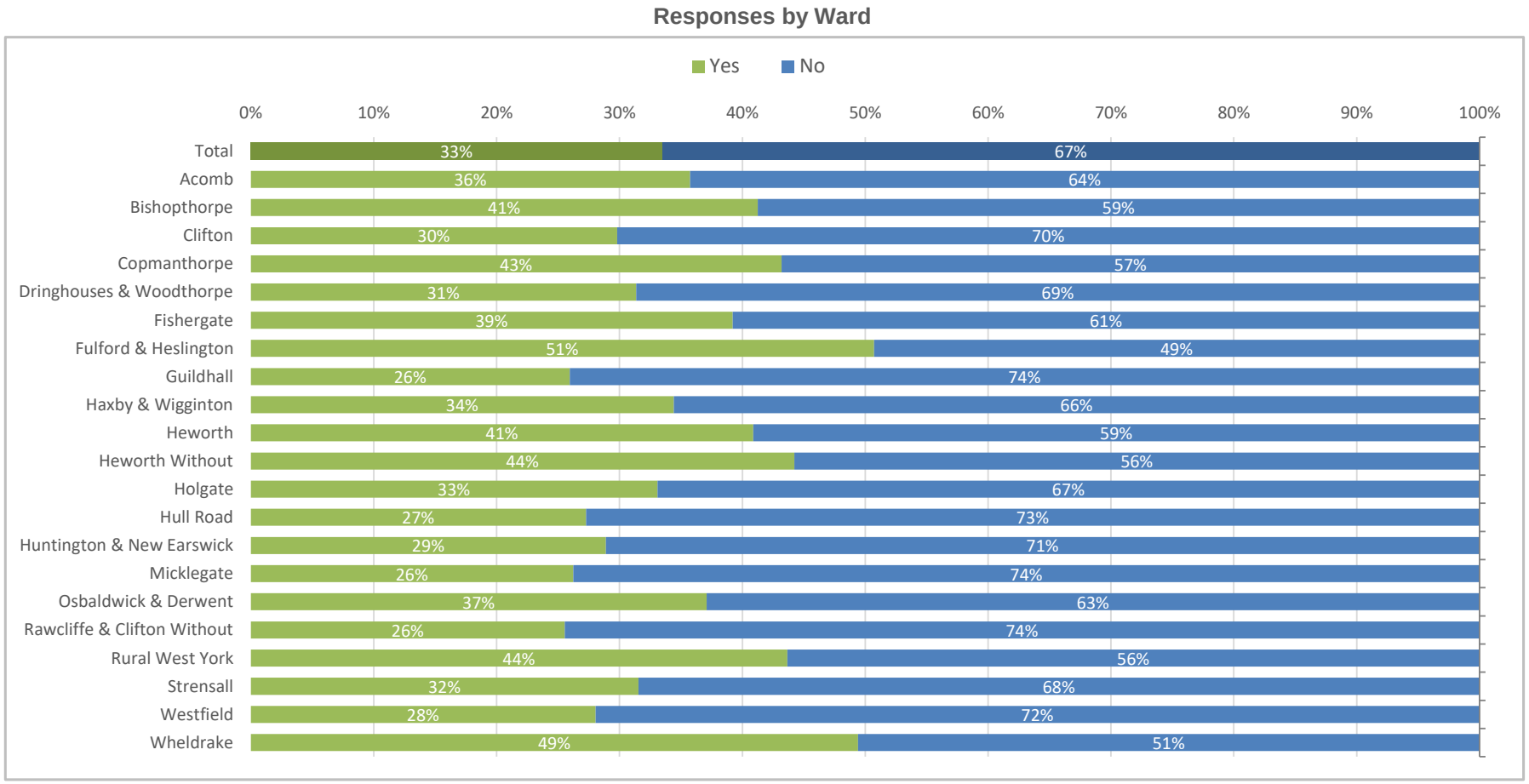
	Yes	No
Respondents	2175	4319
Percentage	33%	67%



	Total	Under 16	16-24	25-39	40-55	56-59	60-64	65+	Prefer not to say
Respondents	6494	3	127	1719	2351	479	485	969	225
No	67%	67%	85%	74%	67%	68%	57%	54%	63%
Yes	33%	33%	15%	26%	33%	32%	43%	46%	37%

Recycling Changes

Question 14: Do you home compost?

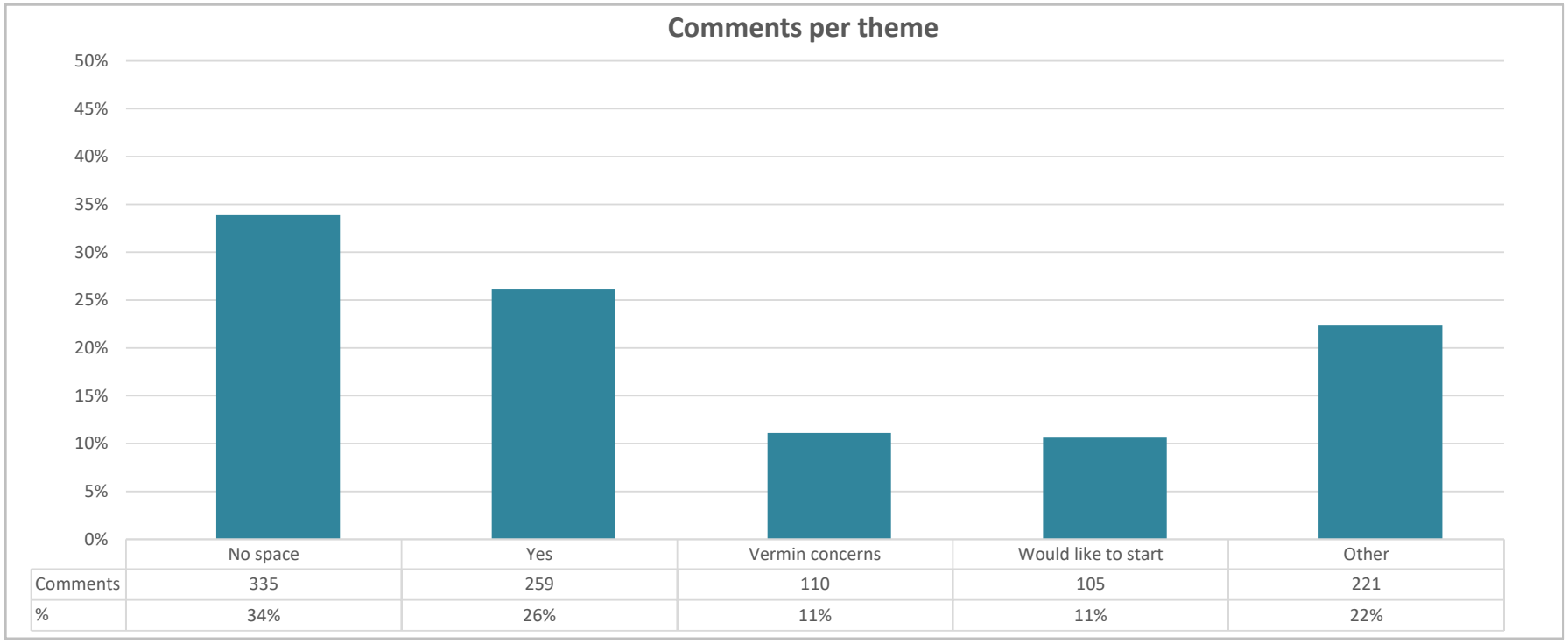


Recycling Changes

Question 14: Do you home compost?

Comments

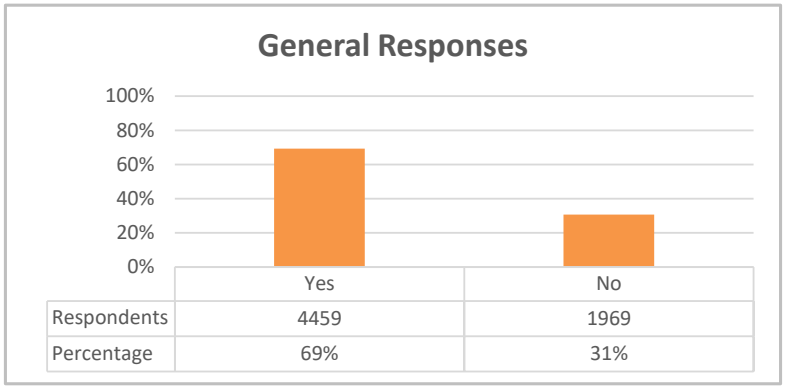
- 989 respondents gave a comment which were categorised into common themes.
- 'Yes' comments related to home or communal composting, allotments and wormeries.
- 'Other' comments included not knowing how to home compost or having been unsuccessful in the past, not having a need to and not having time along with other areas.



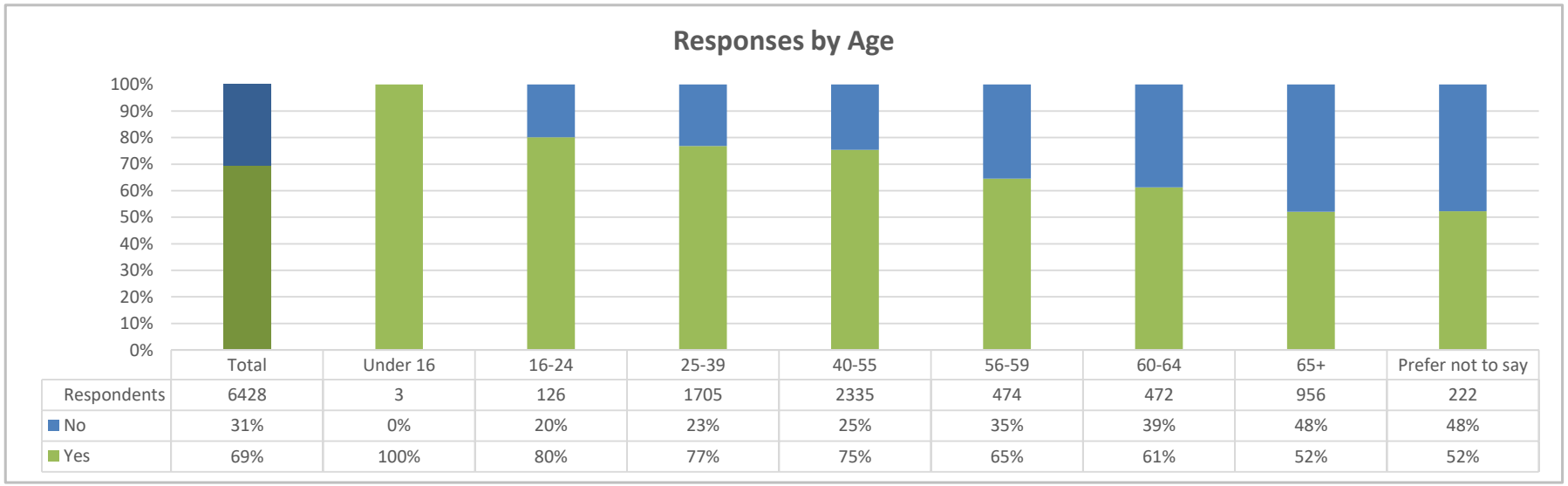
	No space	Yes	Vermin concerns	Would like to start	Other
Comments	335	259	110	105	221
%	34%	26%	11%	11%	22%

Recycling Changes

Question 15: If we changed the plastic, tin and glass box containers to a standard 180L wheelie bin (like your black bin), would you prefer this or not?



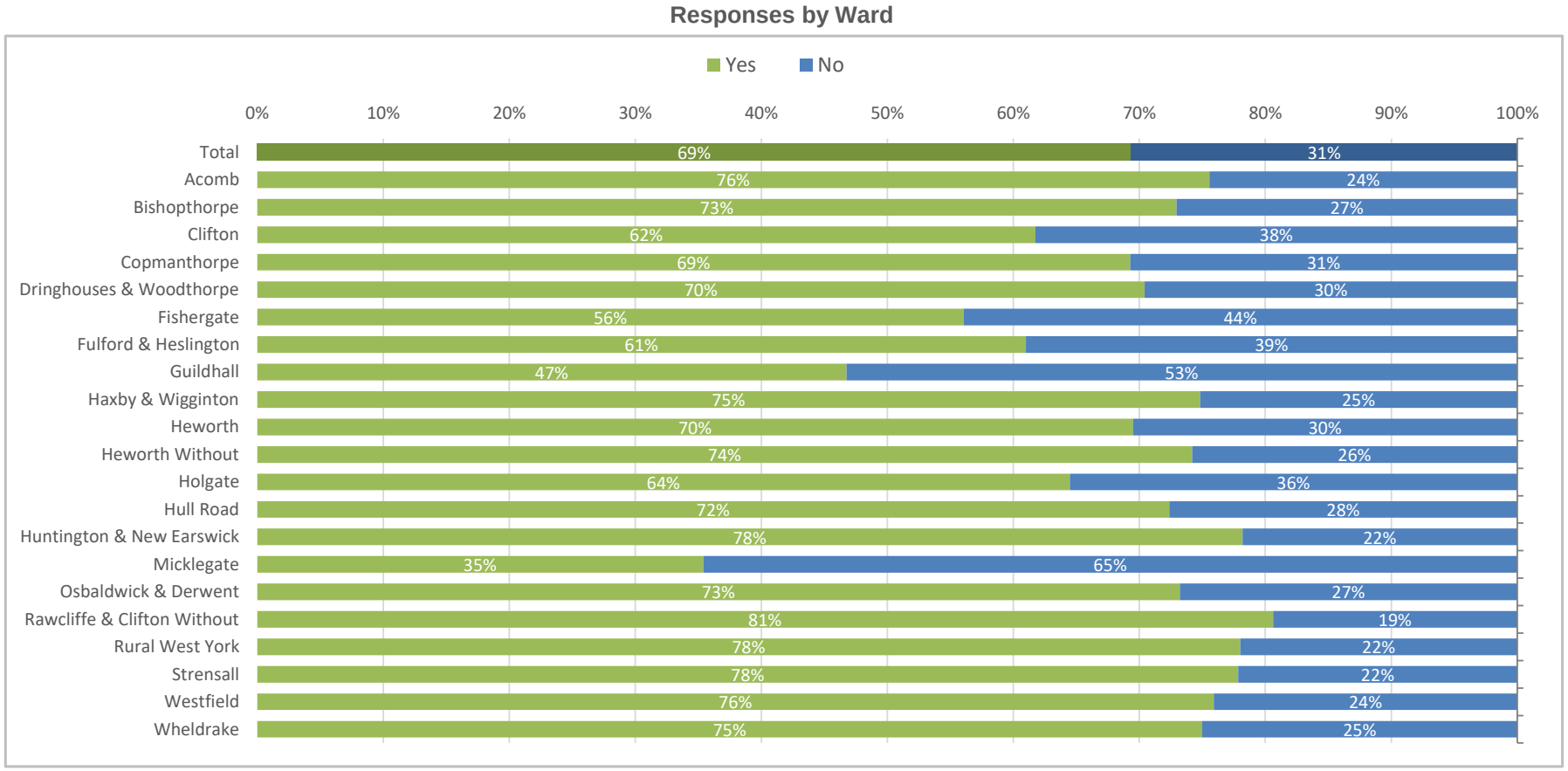
	Yes	No
Respondents	4459	1969
Percentage	69%	31%



	Total	Under 16	16-24	25-39	40-55	56-59	60-64	65+	Prefer not to say
Respondents	6428	3	126	1705	2335	474	472	956	222
No	31%	0%	20%	23%	25%	35%	39%	48%	48%
Yes	69%	100%	80%	77%	75%	65%	61%	52%	52%

Recycling Changes

Question 15: If we changed the plastic, tin and glass box containers to a standard 180L wheelie bin (like your black bin), would you prefer this or not?

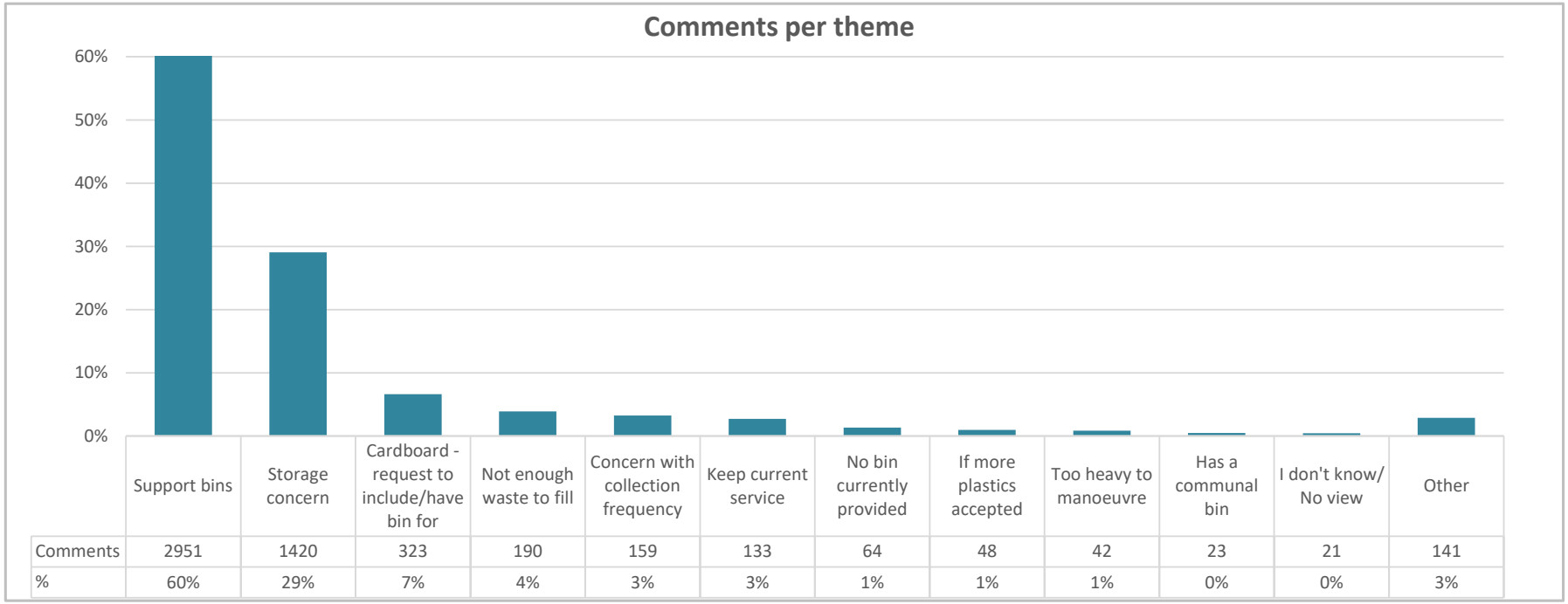


Recycling Changes

Question 15: If we changed the plastic, tin and glass box containers to a standard 180L wheelie bin (like your black bin), would you prefer this or not?

Comments: Please explain your answer choice

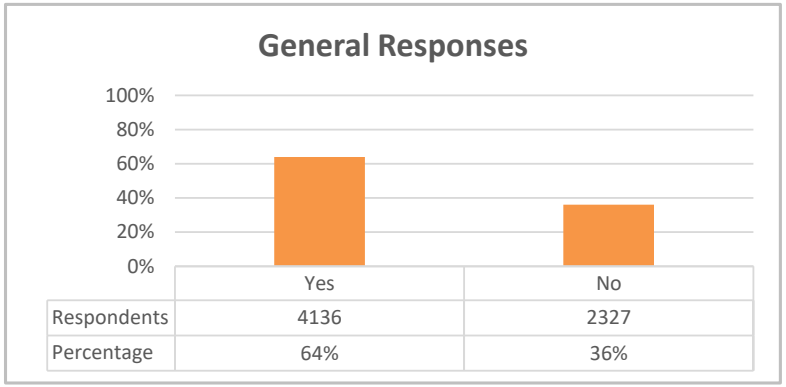
- 4885 respondents gave a comment which were categorised into common themes.
- Those in support of bins gave a range of reasons including; easier to move, bigger, less mess, less separating of materials, more convenient and a dislike of the current boxes.
- Other comments included cost and concerns on commingling materials to be later sorted.



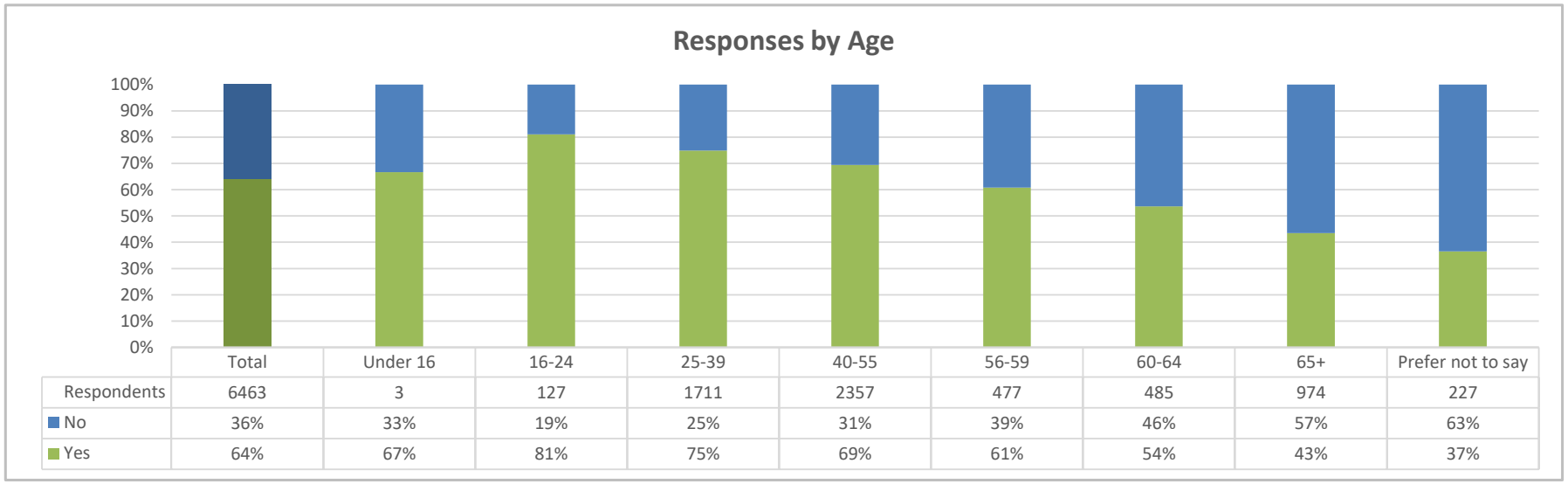
	Support bins	Storage concern	Cardboard - request to include/have bin for	Not enough waste to fill	Concern with collection frequency	Keep current service	No bin currently provided	If more plastics accepted	Too heavy to manoeuvre	Has a communal bin	I don't know/ No view	Other
Comments	2951	1420	323	190	159	133	64	48	42	23	21	141
%	60%	29%	7%	4%	3%	3%	1%	1%	1%	0%	0%	3%

Recycling Changes

Question 16: If we gave you a separate food waste container would you use it if we collected if every week?



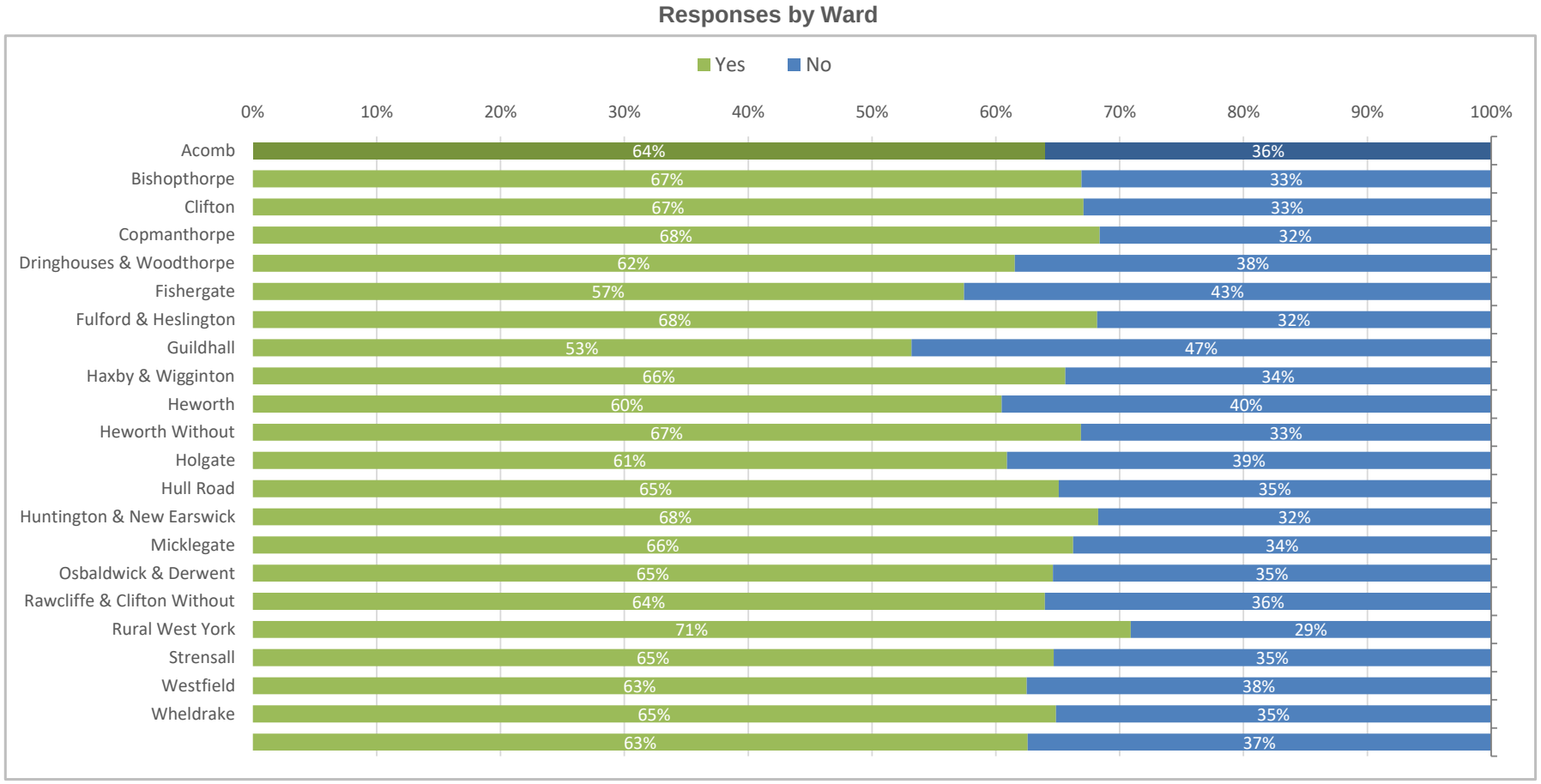
	Yes	No
Respondents	4136	2327
Percentage	64%	36%



	Total	Under 16	16-24	25-39	40-55	56-59	60-64	65+	Prefer not to say
Respondents	6463	3	127	1711	2357	477	485	974	227
No	36%	33%	19%	25%	31%	39%	46%	57%	63%
Yes	64%	67%	81%	75%	69%	61%	54%	43%	37%

Recycling Changes

Question 16: If we gave you a separate food waste container would you use it if we collected if every week?

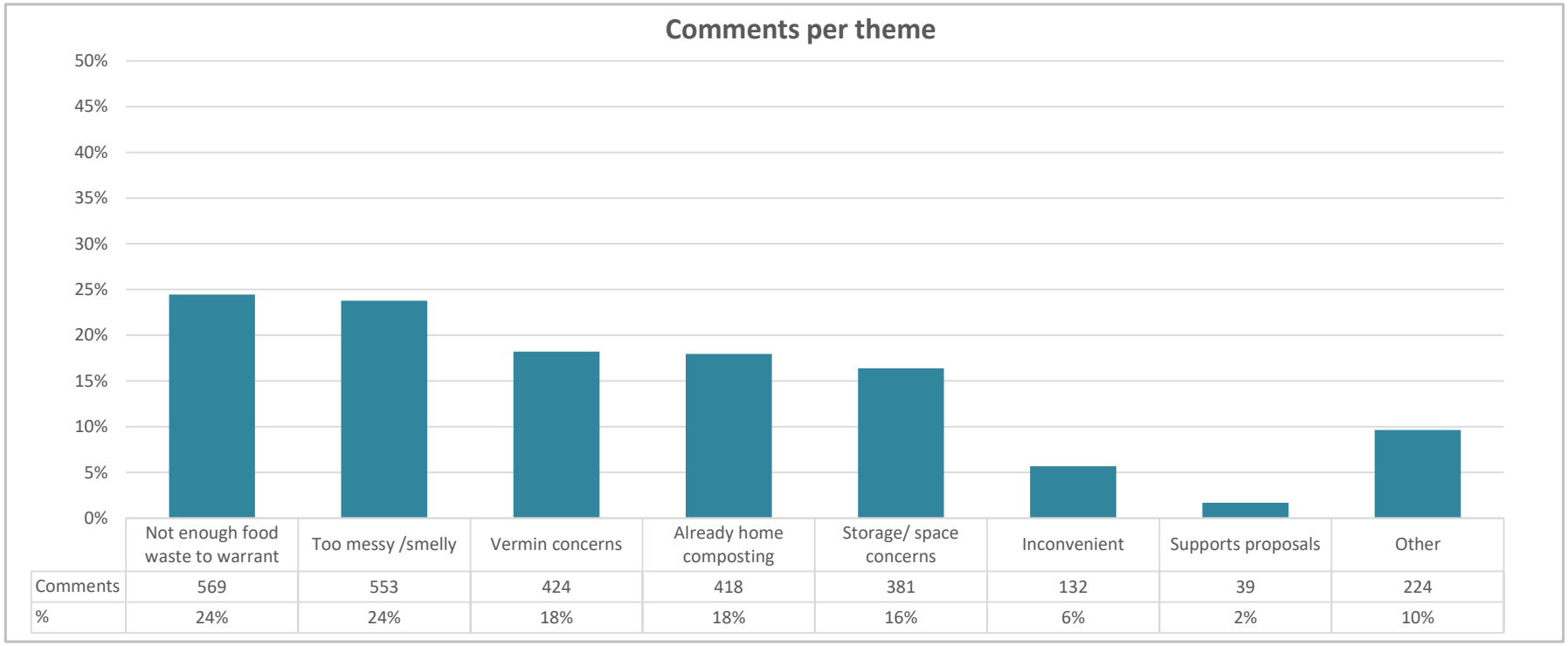


Recycling Changes

Question 16: If we gave you a separate food waste container would you use it if we collected if every week?

Comments: Please explain your answer choice

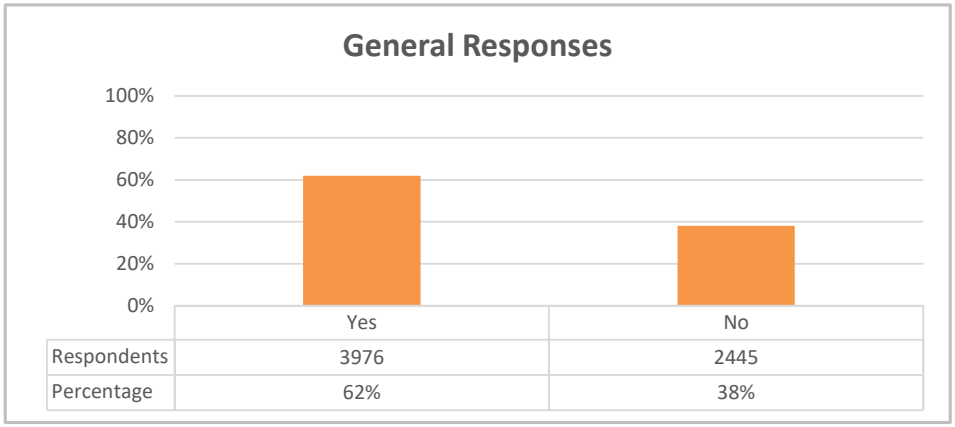
- 2327 respondents left a comment to explain why they would not want to use this service.
- 'Other' comments related to a variety of reasons including being unsure, needing further information and not seeing a need for the service.



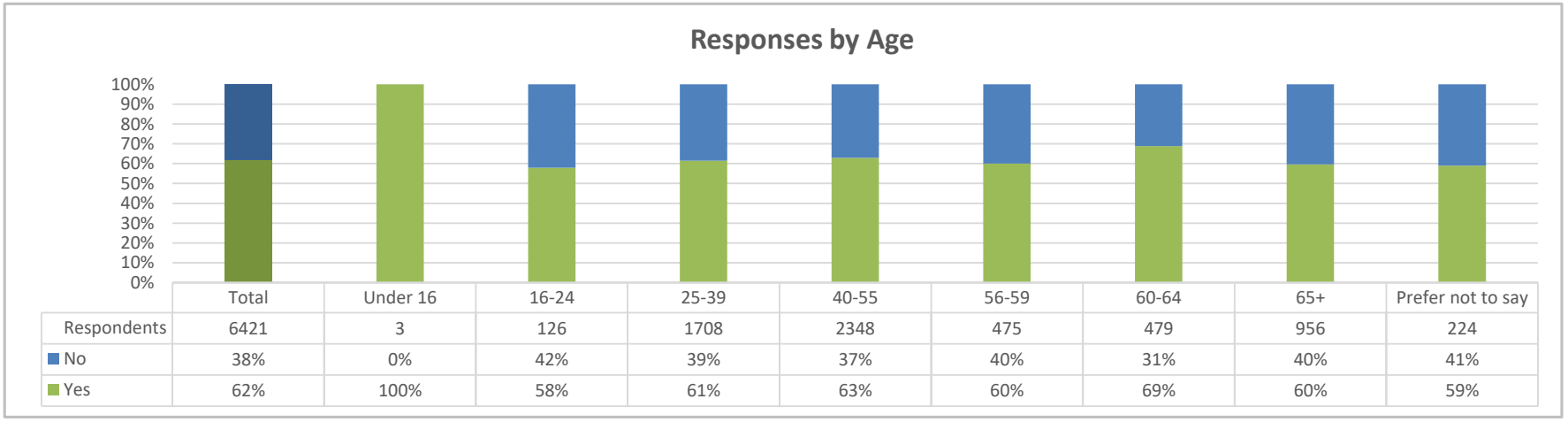
	Not enough food waste to warrant	Too messy /smelly	Vermin concerns	Already home composting	Storage/ space concerns	Inconvenient	Supports proposals	Other
Comments	569	553	424	418	381	132	39	224
%	24%	24%	18%	18%	16%	6%	2%	10%

Recycling Changes

Question 17: Would you like garden waste collection all year round?



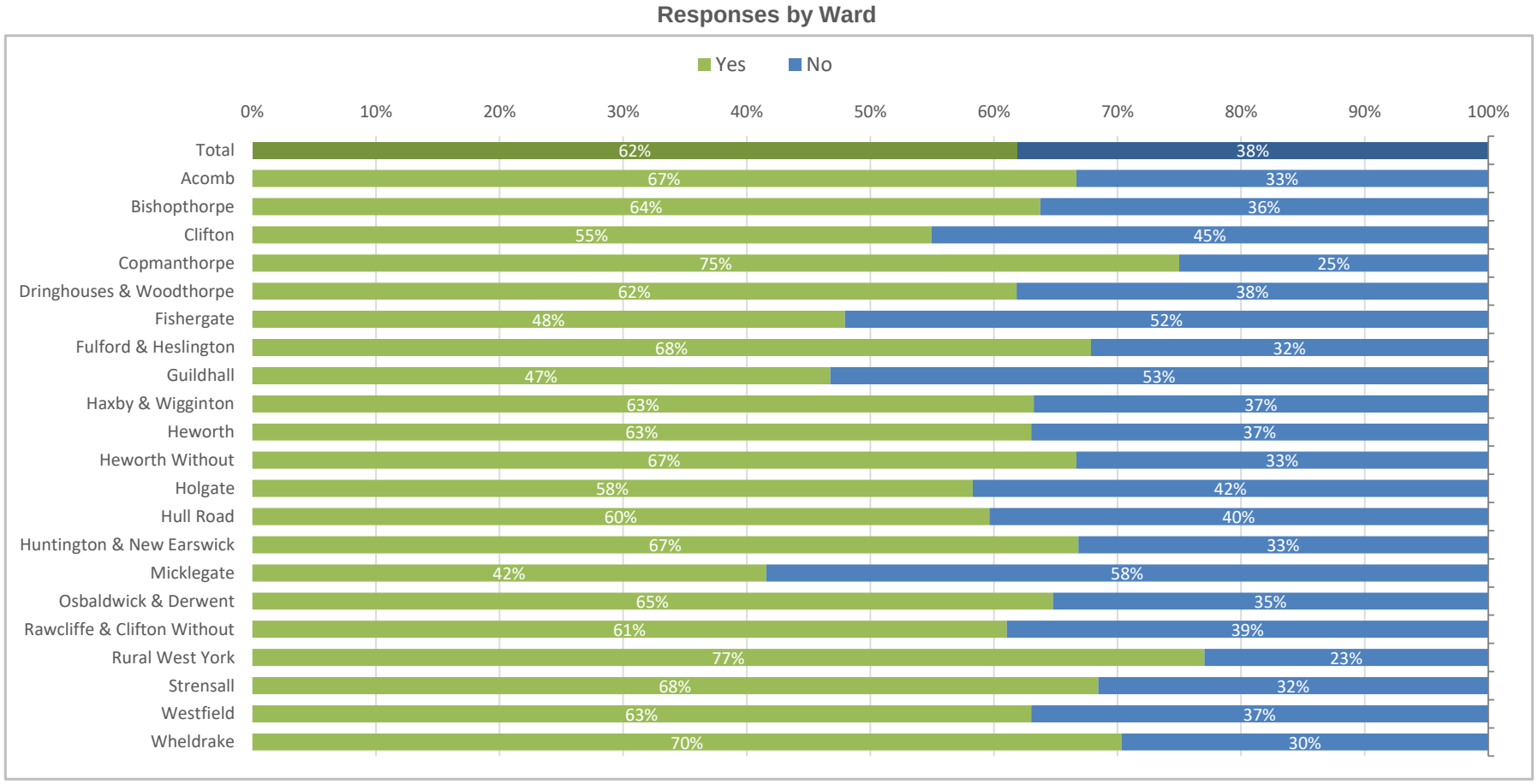
	Yes	No
Respondents	3976	2445
Percentage	62%	38%



	Total	Under 16	16-24	25-39	40-55	56-59	60-64	65+	Prefer not to say
Respondents	6421	3	126	1708	2348	475	479	956	224
No	38%	0%	42%	39%	37%	40%	31%	40%	41%
Yes	62%	100%	58%	61%	63%	60%	69%	60%	59%

Recycling Changes

Question 17: Would you like garden waste collection all year round?



Summary of open letters and emails

The council receieved around 20 open letters and emails with regards to the proposed changes. The feedback from these will be considered alongside the results from the survey and other elements of the consultation.

The feedback through this method covered a range of areas. Topics which came up more than once were:

Theme	Comments
Concern with collection fequency	6
Survey feedback	5
Space/storage concern	5
All year garden waste collections not needed	3
Issue with boxes/request bin	2
Concern with bins being heavy to manoeuvre	2
Support change	2

Other comments included wheelie bins making the area look less attractive, the cost of the changes, cross contamination of materials and the process being confusing.

Recycling Changes - About You

Age

Answer Choices	Responses	% of Responses
Under 16	3	0.05%
16-24	127	2%
25-39	1720	27%
40-55	2363	37%
56-59	480	8%
60-64	488	8%
65+	977	15%
Prefer not to say	228	4%
Total Respondents	**6386**	

Gender

Answer Choices	Responses	% of Responses
Male	2125	33%
Female	3850	60%
Non-binary/Gender Variant	12	0.19%
Prefer not to say	380	6%
Total Respondents	**6367**	

Transgender or Trans

Answer Choices	Responses	% of Responses
Yes	19	0.31%
No	5746	92%
Prefer not to say	454	7%
Total Respondents	**6219**	

Sexual Orientation

Answer Choices	Responses	% of Responses
Heterosexual/straight	4885	79%
Gay woman/lesbian	60	1%
Gay man	93	2%
Bisexual	113	2%
Prefer not to say	1026	17%
Total Respondents	**6177**	

Carer

Answer Choices	Responses	% of Responses
Yes	574	9%
No	5217	84%
Prefer not to say	442	7%
Total Respondents	**6233**	

The latest version of the York profile which details resident demographics can be found at the link below and used to compare survey respondents to the overall York population.

https://www.york.gov.uk/WardProfiles

Recycling Changes - About You

Disability

Answer Choices	Responses	% of Responses
Yes	540	9%
No	5443	86%
Prefer not to say	362	6%
Total Respondents	**6345**	

Disabilty

Answer Choices	Responses	% of Responses
Physical impairment	227	39.82%
Sensory impairment	68	11.93%
Mental health condition	149	26.14%
Learning disability	36	6.32%
Long standing illness	346	60.70%
Total Respondents	**570**	

Religion

Answer Choices	Responses	% of Responses
Buddhist	20	0.34%
Christian	2567	43.30%
Hindu	4	0.07%
Jewish	7	0.12%
Muslim	10	0.17%
Sikh	2	0.03%
No religion	3043	51.33%
Other	275	4.64%
Total Respondents	**5928**	

Ethnic group

Groups	Responses	% of Responses
White	5788	91.15%
Mixed	42	0.66%
Asian	42	0.66%
Black	4	0.06%
Other ethnic background	9	0.14%
Prefer not to say	465	7.32%
Total Respondents	**6350**	

The latest version of the York profile which details resident demographics can be found at the link below and used to compare survey respondents to the overall York population.

https://www.york.gov.uk/WardProfiles

Ward

Groups	Responses	% Responses
Acomb	263	4%
Bishopthorpe	161	3%
Clifton	275	5%
Copmanthorpe	169	3%
Dringhouses & Woodthorpe	546	9%
Fishergate	177	3%
Fulford & Heslington	141	2%
Guildhall	158	3%
Haxby & Wigginton	430	7%
Heworth	336	6%
Heworth Without	157	3%
Holgate	418	7%
Hull Road	167	3%
Huntington & New Earswick	406	7%
Micklegate	325	5%
Osbaldwick & Derwent	284	5%
Rawcliffe & Clifton Without	460	8%
Rural West York	284	5%
Strensall	321	5%
Westfield	442	7%
Wheldrake	172	3%
Total Respondents	**6092**	

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City of York Council

Changes to Recycling Service 2021/22

Focus Group Research

April 2021

Report prepared by:

Pickersgill Consultancy and Planning Ltd (PCP)

Woodlands
Church Lane
Welburn
York
YO60 7EG

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1. Introduction

City of York Council (CYC) is considering making changes to its kerbside recycling service.

Pickersgill Consultancy & Planning Ltd (PCP), a Yok-based independent market research agency, was commissioned to conduct focus group research to understand the barriers which exist towards recycling, to obtain feedback on the proposals being considered by CYC and to inform and shape both the message and the channel.

2. Background

It is proposed that there will be three stages of this project which will involve PCP. This report refers to the findings from the phase 2 consultation.

The phase 2 consultation started on 30 March 2021. During this period CYC ran a quantitative online survey of residents which was promoted through their social media channels. This achieved an exceptionally large response with nearly 6,000 residents completing the survey. The results from this quantitative piece were used to shape the set of focus groups amongst York residents which were conducted by PCP.

PCP will potentially also be involved in phases 3 and 5 of the project. If commissioned, they will involve the following:

- **Phase 3 Warm Up Communications** (Around July 2021) City wide or targeted surveys amongst residents.

- **Phase 5 Implementation Period** (Around March 2022) Door-to-door surveys amongst residents living in areas struggling to meet CYC's recycling targets.

3. Aims and Objectives

The objectives for the focus groups undertaken during phase 2 of the project were:

- To understand local residents' overall views regarding the importance of recycling within their household.
- To gain insight into residents' current recycling behaviour including ease of use and any barriers preventing greater use of CYC's kerbside recycling services.
- To further understand attitudes towards, and current satisfaction levels with, CYC's current kerbside recycling services.
- To highlight any desired need for change amongst residents and any suggestions for improvement, including in particular ideas which could increase the amount recycled.
- To gain insight into residents' views of the recycling proposals developed by CYC.
- To evaluate residents' reactions to specific elements of the proposed changes including:
    - The 3 week collection cycle
    - Offering the garden waste service all year round
    - A larger sized garden waste bin
    - The switch of plastic, tins and glass box containers to the standard 180L bin
    - The additional box for paper and card
    - Assessing whether there is a need for an increase or reduction in the number of containers provided for kerbside recycling
- To establish whether there would be willingness amongst residents in the future to use a separate food waste container.
- To understand if there is anything else which is not currently proposed which residents would like to see offered as part of the package of changes to the service.
- To obtain an overall view regarding the value of the proposed changes and their impact on residents.

4. Methodology

Six focus groups were conducted between Tuesday 20th and Thursday 29th April. In ideal circumstances, the groups would have been convened on a face-to-face basis but due to Covid restrictions the groups were conducted using Zoom.

The discussions lasted approximately 1.5 hours each. Five of the groups were moderated by Peter Pickersgill, PCP's Managing Director, one by Debbie Wynn, a Senior Research Executive.

The original plan had been to conduct five focus groups but a few respondents were unable to attend as a result of technical difficulties on the night so a sixth group was added to make up the numbers.

Six respondents were recruited for each of the first five groups. In normal circumstances, six is believed to be the maximum number which can usefully contribute to a discussion via Zoom. However, seven respondents were recruited for the final group in the hope that at least six would attend on the night.

One group was held specifically for people living in terrace properties or around the Leeman Road area as it was felt that availability of space and recycling needs were likely to be slightly different for these groups. The other four groups originally planned were recruited to provide two discussions with each of two sectors of the York population. The results of CYC's online survey suggest that these two sectors are of approximately equal size. Two of these groups were held with residents believing recycling to be important and who were satisfied with CYC's recycling service, two who did not feel recycling was important and / or were not satisfied with CYC's recycling service (they were either dissatisfied or 'neither satisfied nor dissatisfied'). In practice, the great majority of respondents felt recycling was important, so the main segmentation was based on level of satisfaction with CYC's service. It should be noted that some respondents expressed different views on satisfaction in the focus group discussions compared with their statement on recruitment.

The sixth group was recruited essentially to provide replacements for the types of respondent who had been recruited for one of the earlier groups but had been unable to attend.

Invitations to attend were extended to any adult member of the household involved in their disposal of waste. In practice, more women than men attended the discussions, reflecting presumably their perceived greater involvement in their household's recycling activities. Respondents were drawn from all over York and were spread across different age groups.

The table below shows the timing and attendance for each of the groups:

Date	Composition of Group	Numbers attending	Gender
Tuesday 20th April, 8pm	Those who felt that recycling was important to their household and who were also satisfied with CYC's current kerbside recycling collections. Non-terrace properties.	6	5 Female 1 Male
Thursday 22nd April, 8pm	Those who did not feel recycling was important and/or who were not satisfied with CYC's current kerbside recycling collections. Non-terrace properties.	5	3 Females 2 Males
Friday 23rd April (1), 6pm	Those who felt that recycling was important to their household and who were also satisfied with CYC's current kerbside recycling collections. Non-terrace properties.	4	3 Females 1 Male
Friday 23rd April (2), 8pm	Those who did not feel recycling was important and/or who were not satisfied with CYC's current kerbside recycling collections. Non-terrace properties.	5	5 Females
Wednesday 28th April, 6pm	Group comprising residents from within the Leeman Road area and residents living in terrace properties.	4	3 Females 1 Male
Thursday 29th April, 8pm	Additional group to fulfil numbers. 6 from non-terrace properties, 1 from a terraced property in the Leeman Road area.	7	5 Females 2 Males

Respondents from the terraced properties were drawn from postcodes YO23 1AZ, YO1 9QQ, YO26 4YP, YO10 4BE and YO10 4DF

The discussion guide used can be found in Appendix One. The presentation material which was shown to respondents outlining the changes can be found in Appendix Two.

5. Executive Summary

The key findings from the research were as follows:

- Environmental concern and an understanding of the importance of recycling were high amongst respondents. While the majority agreed that it was important to encourage recycling, some respondents pointed out that the general public should also be encouraged not to use or to reuse whenever possible.

- The majority of respondents actively chose to recycle as much as they could at the kerbside and believed that their neighbours also did the same. However, there were barriers which prevented them from recycling as much as they would like.

- Most respondents supplemented their kerbside recycling with trips to recycling centres. They used these centres for overflow recycling and also for items not permitted in household recycling.

- Key barriers preventing some respondents from recycling more at the kerbside were a lack of understanding of exactly which items can and cannot be recycled there, inadequate capacity in the containers provided at present and a desire to broaden the range of items which can be submitted.

- CYC was felt to provide inadequate information on what can and cannot be submitted at the kerbside for recycling. Confusion over what can be submitted was most marked for plastic items, yoghurt pots and margarine tubs.

- The desire for a greater range of recyclable items to be able to be submitted for kerbside recycling increased when some respondents pointed out that other local authorities do currently collect more types.

- Current capacity of the containers was most likely to be seen as inadequate by respondents with children or teenagers living at home. The capacity of the boxes, and in particular the box for paper and card, was particularly likely to be seen as inadequate. To overcome this problem some respondents had purchased extra boxes; other respondents were unaware that they could do this.

- The boxes were criticised also for the litter which can be created when items blow out on to the street. The lids and nets for the boxes were rarely seen these days and were generally felt to be quite ineffective in any case.

- The majority of respondents were satisfied with the current two weekly collection schedule. In an ideal world most would prefer a weekly collection but it was accepted that this option was probably not realistic.

- Despite the above criticisms, most respondents were satisfied overall with CYC's current kerbside recycling service. No strong feelings emerged that the service required a review.

- Some respondents were frustrated that the effort they put into separating their glass from plastics and tins appeared to be wasted when they saw all these items thrown into the same area on the truck.

- Reaction to the proposed changes to the kerbside recycling service largely depended on whether the current containers were felt to provide sufficient capacity. Those respondents feeling their containers do not provide sufficient capacity felt that the proposals offered a modest improvement and would lead to an increase in the amount they would recycle. To some of these respondents, however, the increase in capacity did not go far enough.

  Those who felt their containers offered adequate capacity were generally disappointed with the proposed changes and saw little that would be of benefit to them. However, there is no reason to suppose that they would reduce the amount they recycled, so overall the changes can be expected to increase the amount of recycling carried out by residents as a whole.

- Even after careful explanation, some respondents clearly struggled to understand that the increase in container size would outweigh the reduced frequency of collection. Without the opportunity to explain this point personally to residents as in the focus groups, CYC's task in communicating that there would be a net increase in capacity is likely to be extremely demanding.

- Respondents in the focus groups expressed a different view from those completing the online survey with regards to all year around garden waste collections. The focus group respondents rejected the idea of all year round collection almost unanimously. It was felt that it could even be wasteful in the winter months if very few bins were presented for collection at this time.

  A start of the service in March and a continuation until the end of November would be likely to satisfy most residents. Some respondents were adamant that their garden waste collection currently terminates at the end of October.

- Only a small number of respondents felt the need for a larger garden waste bin. There were some concerns regarding the weight and manoeuvrability of a larger bin when full.

- A switch to placing glass, plastics and tins into a 180L bin was received favourably by the majority of respondents. It was seen to help to increase capacity, to save the time spent separating items, and to be more secure. However, the relatively small net increase in weekly capacity for these items was viewed with concern by some respondents.

- The majority of respondents (including those living in terraced properties), felt that they would should be able to accommodate all the new bins, if in some cases with some difficulty.

- Those living in terraced properties generally expressed similar views to other respondents. However, they were very clear that they would not react favourably towards shared facilities, especially if this meant that there would be potential for them to come into contact with rubbish from other households.

- All respondents would have liked the new proposals to incorporate a plan to recycle a wider range of items at the kerbside. The most mentioned items were tetra paks, batteries, yoghurt pots and margarine tubs.

- The majority of respondents would be willing, with some initial reservations, to try separating their food waste. Collection of food waste at least weekly was felt to be essential.

- In summary, therefore, the proposed changes would seem likely to result in a net increase in the amount of kerbside recycling. Given that they would also produce cost savings to CYC, there would seem to be no reason not to proceed with them, if no other options are under consideration. If some of the improvements suggested by respondents could be introduced as well, the net effect would be likely to be even more positive.

  However, some respondents remained unclear why a two weekly cycle of collections similar to the current arrangements could not be maintained, especially in view of the cost savings associated with the new fleet of vehicles. The task of communicating to residents that the extra capacity more than outweighs the change to a three weekly collection frequency should not be underestimated.

6. Suggested Actions

- More information should be communicated to respondents as to which items can and cannot be placed in the containers for kerbside recycling. Respondent suggestions included a small leaflet to pin on the fridge at home or a sticker to be placed on boxes/bins.

- A review of the boxes would be useful to see whether a better lid could be developed to stop rubbish blowing away or the paper and cardboard becoming wet and soggy. A permanently attached lid would be the ideal solution.

- Greater awareness should be sought that it is possible to have an extra box or bin for an additional charge (assuming that his would still be possible under the new proposals). That would allow those who feel the scheme does not meet their current capacity needs to be able to take steps to overcome the problem.

- A text message service informing residents of which items are to be collected in the current week (as operated by some other local authorities) would be well received.

- The possibility of accepting a greater range of items at the kerbside (again a service offered by some local authorities) should be explored further.

- Other information should be sought on the amount of garden waste produced in the winter months. This would confirm or refute the findings from the focus groups of an apparent lack of need of an all year round kerbside collection.

- It is very important that the net increase in weekly capacity, despite the reduced frequency of collections, is clearly communicated to residents.

7. Detailed Findings

7.1 Environmental Concern

The environment overall was regarded as a matter of high concern for the majority of respondents. Most felt that the importance of protecting the environment for future generations was self-evident.

"For me it is the number one concern apart from Covid. The environment has got to be number 1 or number 2 because we are all going to feel the effects for generations to come." ***Group 6***

"It makes me think about future generations. We may ruin it for them, for my daughter and grandkids and so on. The more that we can do to help now, the better place it will be for them in the future." ***Group 6***

"I think any help towards the environment is better than no help, so even if one person does it out of ten that in itself is better than nobody doing it so I do think it is important that it is done**." *Group 1***

"I think it is really important, you only have to look at the sea and the wildlife that get plastic stuck around their beaks and it's killing a lot of animals and should we wish to keep these animals around then there's got to be some changes on how we reuse and recycle materials and, with that being said, we can only do it if we all pull together." ***Group 1***

"We live on a planet with limited resources and we are using resources at a rate that is faster than they can be produced so at some point they are going to run out." ***Group 6***

7.2 Importance of Recycling

In line with respondents' concern over environmental matters, recycling was also regarded as an issue of high importance. As was also evidenced in the CYC online survey the majority of respondents felt it was important that the general population should be able to recycle as much as they possibly can. As well as concern for the environment respondents also expressed a desire for their household waste not to end up in a landfill.

"I believe recycling would save energy as well because if you make products from raw materials, it is much, much more energy use, so if I recycle one can of beans, I can watch TV for three hours more, I know this for sure, so it's more energy. I think it should be a cultural thing, you should feel it, you can't put it in the waste bin because you should feel I just have to not, you know, it should be inside you. It should be in your nature, you should feel it." ***Group 3***

"There's me and my daughter here and we recycle everything as much as we can. It's extremely important, yeah. My daughter is at that age, she's a student, and they're bang up to date with the environment and trying to help and do everything like that, so she was the one that actually taught me more about it. It's educational for us both to understand it and where we can go." ***Group 4***

"I think that we should recycle as much as we can really and I don't think there is *[too much of]* a big hoo-ha about it. I think it's good to recycle. I think because of the environment and so on it is best to not waste because there is a lot of waste and litter." ***Group 3***

"Well plastic, it takes millions of years to degrade and has an insanely long after-life, which means the more it just gets chucked in landfill it's just going to keep piling up, it's not like biodegradable, well some plastics they have managed to make them biodegradable, but on a large-scale plastics are just going to ruin the environment. If plastic is just chucked in landfill it's going to be there forever." ***Group 2***

Although almost all respondents did feel that recycling was important, some stressed the greater importance of not using items in the first place, or of re-using them once they had been used. It was felt the re-use of items consumes less energy and fewer resources than the overall recycling process and there should be more emphasis on this point.

"I must say that I think that reusing things is more important than recycling them. Recycling uses energy and if you can reuse things that is even better. So I sometimes have a problem with this encouragement to make individuals recycle as if that is the answer when actually, if there was more recycling, for example a milk bottle that gets washed out and refilled again uses far less energy than smashing up the glass and recycling it." ***Group 6***

"It does make better sense to reuse something and then if you can't do that then you have got that other option of recycling. I agree you should try to reuse it if you can." ***Group 6***

"I do think it is important to recycle as much as you possibly can but I think it's maybe not quite as important as to have us not use certain things in the first place, so reducing use of plastic, especially single use plastic in all sorts of shapes and whatever it comes in, and also not using as much energy in all sorts of different ways, like your fossil fuels. That would be at the top of my list of things, we have to just stop using stuff and reduce that massively, but if we do use stuff and we can recycle it then that's brilliant." ***Group 5***

"Yeah, absolutely, I think the first thing we can do is use less in the first place, but most of us find it really, really hard to use less and buy less plastic and packaging and everything, so the next best thing is to recycle and there's no excuse for not recycling." ***Group 2***

7.3 Current Behaviour towards Recycling

The current behaviour of respondents reflected their belief in the importance of recycling, with the great majority of respondents choosing to actively recycle at the kerbside. Most respondents were happy to spend the time organising their household recycling. It was generally regarded as a task which created little inconvenience and at the same time was felt to contribute towards a very worthy cause.

"It just sometimes feels so much easier just to shove it all in the bin but, I have to say, in our house we're fairly dedicated recyclers, I mean we use the kerbside recycling as best we can which is paper and card, plastic and glass and all that, so we're fairly rigorous about that." ***Group 2***

"I don't mind particularly sorting it. It means it fits into the small boxes we have if it is sorted." ***Group 5***

"I don't mind sorting it and my children are all trained up as well to know what goes where." ***Group 6***

"I am happy to recycle. It's one of those tiny little things which we can all do which will make a difference. If the whole country recycled it would make a huge difference." ***Group 6***

Most respondents stated that they use other recycling options, not just the kerbside recycling service. The Hazel Court site was frequently mentioned as somewhere residents visited in order to dispose of either an overflow of recycling or, more often, to take items which it is not possible to recycle at the kerbside, such as Tetra Paks.

"I mean we use the kerbside recycling as best we can, but in addition to that we also try to keep other things which can be recycled in other places so things like the yoghurt pots which can't go in the kerbside recycling, plastic bags which you have to take somewhere in particular, we even take Pringles packs and crisp packets to the local shop down on Bishy Road which is where St Nick's collects them from, so we are fairly dedicated. We try to recycle as much as we can, even my teenagers get hassled into doing it!" ***Group 2***

"I don't have a car so I can't really take big things far but we do have a car park around the corner, so if I have got an excess of bottles like at Christmas, for example, we'll take a bag over there. I also take batteries to the local Sainsbury's because they usually have a bin for putting batteries in." ***Group 4***

"Yes I use James Street for example – the big centre there. I find it quite exciting there! It is good that they are there. I take electrics, batteries, cardboard, wood, Christmas trees and things like that." ***Group 6***

Respondents agreed that the more they are able to recycle at the kerbside the better. A few respondents, particularly those without access to a car, were unable or unwilling to spare the time to travel across town to a recycling bank.

"For me personally the problem is transportation, I don't drive, so it's getting to the major supermarkets that have the recycling centres." ***Group 5***

"The problem is I don't drive and so I can't carry all my recycling on the bus and I don't really want to pay for a taxi." ***Group 6***

"Do you want my actual honest opinion? I can't be arsed dragging it all up to the top of the road. I'm busy through the day, I'm trying to parent and run a house and go to work, I just can't be arsed!" ***Group 5***

One group also commented that they were concerned that driving across town in a car would cause pollution and was counteracting the act of recycling**.**

"I mean I take my Babybel wrapper across town to be recycled but if I go in the car then is it really that good for the environment? I could cycle but then the time and the effort that takes to be honest I can't be bothered. " ***Group 4***

"That's the only thing, I work as a driver so if I can call at Hazel Court as part of my work that's fine but I get that it's not great to be using separate trips and causing more pollution." ***Group 4***

7.4 Behaviour of Neighbours

The majority of respondents noted that their neighbours also actively recycle as many items as they can at the kerbside. This was important as it led to a community feeling that everyone is contributing and avoids any feeling that there is no point in behaving responsibly if their neighbours are not doing the same.

"From what I've seen when walking to college, everyone pretty much in my area seems to do quite well, there always seems to be a similar amount of waste in those recycling bins pretty much along every door, so it's quite good from what I've seen in this area." ***Group 2***

"Most of my neighbours are quite on top of it with recycling but there are a few that don't do any and it can be frustrating. It's frustrating for anyone in general who is recycling and then you look across the way and people are just throwing everything away, but you can only do what you can do, you can't change other people, you can't control what other people do." ***Group 5***

"To be honest I think my neighbours do pretty well because sometimes when the truck is coming down, I remember 'oh I need to put mine out' or when I see theirs outside, something like that. For me, I would rate them on a high scale compared to my own commitment so they are doing far better than me, yeah." ***Group 2***

"I feel like my neighbours are great and I am sneakily hoping sometimes that they don't fill their tub so I can put my extra things in theirs but then I find that theirs are also full!" ***Group 6***

7.5 Current Barriers preventing additional Kerbside Recycling

There are a number of barriers which are preventing some York residents from recycling as much as they would like to currently. The key barriers identified were a lack of detailed understanding of what can and cannot be recycled at the kerbside, lack of adequate capacity in the boxes and bins to meet their recycling needs and what was seen as too limited a range of items accepted by CYC for recycling.

7.5.1 Understanding of Items which can and cannot be Recycled

Almost all respondents felt they lacked detailed understanding of which items can and cannot be placed within the kerbside recycling boxes. This was particularly the case for plastic items and groups spent some time debating points such as whether yoghurt pots and margarine tubs can be placed in the kerbside recycling. The effect is that some respondents placed items in the box without knowing for certain whether they were recyclable whilst others 'erred on the side of caution' and did not place items which could be recycled; they therefore ended up not recycling as much as they could have done. The focus group findings in this respect differed from the CYC online survey where around 80% said they did understand what can and cannot be recycled at the kerbside. This difference is likely to reflect the ability of the focus groups to probe more deeply into levels of understanding and for respondents to engage in conversation regarding the matter with each other. The online survey could have established simply that respondents knew that paper, card, glass, plastics and tins can be recycled without understanding the specific items which can and cannot be accepted.

"No, I have no idea, I just chuck it in and guess." ***Group 5***

"Like I say, I get confused on what I can and can't so I just sling it all in and have done. If it's wrong then it's wrong, but at least I'm trying, I just think it could be made a bit easier." ***Group 5***

"I just don't think it's explained well enough, there's nowhere you can actually…well there might be but I'm not aware of anywhere that I could either Google or look up in the local newspaper, where it has a list of things that you can and can't recycle. It might help younger children to understand as well because obviously we've got to set a good example to the younger ones in our family to maybe make it more fun for them to want to recycle and so that they have a better understanding as well." ***Group 1***

"I'm probably like a 7 out of 10 or something on the recycling scale. It's more like when I look at packaging and I can't see if it's recyclable so I'm like oh well I'll just chuck it in the bin. I think some packaging is really hard to tell and some of it says 'check your local…' and I don't even know how to do that but I try my best and I do recycle things a lot, much better over the years, I think. I still don't understand come of the symbols and stuff, like shampoo bottles, can you recycle them, I don't even know? I look at it and I don't even know if I can recycle it." ***Group 2***

"I agree, there's so many different types of plastic that you get your food in, you've got your yoghurt pots or packs that your meat or your sausages come in, and you just don't know. Like xxx said, are you really going to spend all that time trying to work out which one you can and you can't? You just do what's easiest and quickest, most of us do most of the time, I think. If you have a plastic pot, you put it in the plastic box and hope it works!*"* ***Group 5***

"They send out timetables telling you when the recycling is, at least they do in my area, so one week it's bins, one week it's recycling. I think if they are giving that out then they might as well put something on that's a bit of a guideline that says which plastics can and can't be recycled and all that kind of stuff, it wouldn't be that much more effort." ***Group 2***

An important concern for some respondents was the effect that putting incorrect items into their kerbside recycling may have on the whole process. Some had, for example, heard horror stories that a whole truck of recycling may have to be thrown away if it is contaminated by incorrect items. Respondents agreed it would be very useful for them to know and understand the impact it does have if they submit items which are unsuitable for recycling; in addition, they would welcome feedback if they are submitting items incorrectly.

"If there is something constantly being put into the rubbish that shouldn't be recycled, perhaps the people dealing with it at the other end need to tell the people that are putting it in the rubbish." ***Group 3***

"Someone told me and I can't believe it to be actually true, but she said that a whole lorry of recycling can be completely ruined by just one wrong item. I would hate to ruin it for a whole van by putting yoghurt pots in and that would be awful!" ***Group 6***

"I definitely worry about putting things in the bins that can't be recycled and that might cause problems. I used to put everything in– I had no idea you couldn't put yoghurt pots in until someone at work told me." ***Group 6***

The uncertainty over what can and cannot be recycled at the kerbside reflected criticism of lack of guidance from CYC on this point. Some respondents thought they may be able to find information on the website but felt that was quite an effort, especially if they were not able to find the right page. They would therefore prefer a hard copy information leaflet or a sticker to put on the bin or box.

"Does it say on the calendar? I think the list of things is on the calendar, I'm not sure." ***Group 4***

"I think I would just prefer a letter, you know, once a year that you can just pin on your fridge of what you can and you can't." ***Group 1***

"I just have a suggestion. If there could be some labels on the recycling bins, if it could be pictures probably, it could help. Sometimes you forget, you're like 'oh should I recycle this or should I not' and if I can see the pictures clear well then even a child could do it!" ***Group 3***

"Maybe if there was some kind of like a poster on your recycling bins saying what should go in and what shouldn't, that might be a lot better?" ***Group 1***

"I think you can find the information when you look hard for it but I don't think York Council are terribly good at telling us what we can and can't recycle." ***Group 2***

"Yeah, I think it needs to be on the side of the bin, especially for plastics I think it goes by like numbers or something, so if it were just on the bin, I'd know I could recycle what number and you probably use the same things generally most weeks so you'd get to know what can go in and what can't go in but because I don't really know with plastic, I just shove it all in really. If it said on the side of the box "yeah you can do 1, 2, 3, 4" I wouldn't mind looking and getting used to what I can put in but it is too complicated without having to research it yourself." ***Group 1***

Although the boxes have generic explanations of what to place in them, for example 'plastic' no respondents knew of any form of detailed explanation currently shown on the bins or boxes

7.5.2 Satisfaction with Current Capacity of Boxes and Bins

The majority of respondents felt the capacity of their boxes and bins met their current requirements. However, a barrier for a minority of respondents was lack of capacity, meaning they were often not able to fit all the items they would like to recycle into them. This was particular the case for households with children or teenagers present.

The CYC online survey showed a slightly higher proportion of respondents (around half) claiming that they had too few containers.

"I think I do as much as I can, sometimes I think there's not enough room for the amount of recycling that we actually produce and that can get a bit frustrating. We've had to fashion our own [containers] to add and luckily, they do take extra ones but it does get quite messy and especially if it's windy, it flies around." ***Group 3***

"Yeah, I agree, I obviously recycle as much as I can but it gets to the point where there's no more room and it's like where do you put it and you end up putting it in bags and they won't take the bags so you just end up with excess recycling and unfortunately it ends up going in the [general household waste] bin as you've nowhere else to put it." ***Group 3***

Perhaps as a direct consequence of the increase in home deliveries and use of companies like Amazon over the past year paper and card were seen as the items where there was the most need for an increase in recycling capacity. A large majority of respondents stated that they regularly have more than will fit into their paper and card box and also that they often struggled to fit larger pieces of card in the box.

"I agree with the paper waste, especially in recent years because everyone's doing online deliveries at the moment, especially during the pandemic, so you just get a load of waste. Our waste box is usually half full with Amazon packaging so it does get a bit of a problem sometimes." ***Group 3***

"It's a good service but either [collect] more frequently or bigger tubs to be able to put it in, cardboard especially as it's our biggest one." ***Group 3***

As indicated above, some respondents had taken steps to increase their household capacity by placing their own additional boxes and bags out with the recycling; others had invested in additional boxes or bins from the Council. Some respondents claimed their collectors took extra unofficial bags and boxes whereas others stated they had tried this without success.

"I've got loads of recycle bins because you should get more free from the Council so I just phoned up and asked for more and they just gave me more free, so I've got like eight recycle boxes!" ***Group 1***

"Yeah, we always fill our boxes, our main issue is that we have too much recycling for a fortnightly collection, it's always really, really full and we've got four boxes. We also have an overflow box that's not an official box that they empty as well." ***Group 4***

"I have got three extra boxes from the Council because the number they give you is just not enough for my family. With the children we have a lot to recycle." ***Group 5***

"We've got a very large corner garden so we have invested in two garden wheelie bins. You can just get another from the council." ***Group 6***

"The thing is, at the moment, the instruction from the York Council is that if you have too much to fit in your black recycling bin, you can put it out to be collected, for example, paper and card. My son does one of the Local Link rounds and sometimes we have extra Local Links that don't get delivered as he always gets too many, so we have a wedge of magazines and they won't fit in the recycling bin, but the instructions are that you put them in a container next to the recycling bin and they will be taken." ***Group 2***

One group suggested a possible 'mix and match' type approach for container sizes depending on the needs of specific households.

"It depends on the household doesn't it, some people know that they're going to get through 40 three litre bottles of Coca-Cola and some people are going to get through one small milk carton. [It would be good to be able to choose] if you want a box or a huge bin, as long as the frequency is appropriate." ***Group 5***

"I think that would be quite a good idea to be honest. You could specify what size and then you're not left with a great big wheelie bin if you only want one small box, and you're not left with two small boxes if you want a big wheelie bin, so I think it might be quite a good option." ***Group 5***

"Well, we currently have the two sizes available, don't we, we have the boxes and we have the green bin, which is coming under recycling, I assume, for garden waste. If we could use a green bin size or a box size maybe that would work for different households?" ***Group 5***

7.5.3 Range of Items Recycled

Another barrier preventing many respondents from recycling all they would like at the kerbside is that certain items are not accepted by CYC. Batteries, yoghurt containers, margarine packs, carrier bags and tetra paks were all mentioned frequently in this respect.

> "Well, I think the Council does the minimum that they should be doing. They provide a kerbside recycling service and that's about the best thing I can say about it really. I think that they could go, and they should go, a lot further. We should be able to recycle more variety of things at the kerbside in order to encourage more people to do it, it's as simple as that really." ***Group 2***

> "Well, I'd go for a few more options as well, I keep going back to my tetra paks because that's one thing that bugs me, and maybe plastic bags. If we could recycle both of those that would definitely increase my recycling in our house." ***Group 5***

> "Tetra paks are a big one – I really wish they could be recycled at the kerbside." ***Group 2***

> "I would really like to see more types of plastic being able to be recycled. I think if I am right you can only do the ones with the number 1 on them and I know that other counties you can do far more than that. I don't know why we can't in York and I would also really like to see Tetra Paks recycled if we could." ***Group 6***

Some respondents who had experience of living in other parts of the country felt the York service was less satisfactory than that of other local authorities in a number of respects.

"I remember going on a home exchange holiday in October half-term down to Frome in Somerset and I know that they are a very forward-thinking Council and they recycle all sorts of stuff. I just looked on their Council website and their recycling service is fantastic. For a start, you can put all food waste into a bin and that gets collected which is great isn't it, that's a massive amount of stuff that just goes into people's bins. You can recycle your tetra paks at the kerbside and that is a massive plus I think. They advertise that you can put aerosols in there and you can recycle batteries at the kerbside and small electrical appliances like no longer working kettles and irons at the kerbside. I mean that's pretty good!" ***Group 2***

"In Sheffield they have wheelie bins and I think that is the main thing that I have learned that we are missing a wheelie bin [for recyclable items] in York. It is a lot bigger to fill than a tiny little box so that if you are a big family our box fills up so quickly and sometimes if you have an extra box or bag then they don't always take them and I feel frustrated. In Sheffield there is a brown bin for glass and plastic and tins – so it is all combined. There is a thinner blue bin that takes cardboard but they are still bigger." ***Group 6***

"My Aunt and Uncle out near Whitby are the same. I think they have two wheelie bins and they are slimmer than ours and I think they get picked up fortnightly and it works really well and they don't have to think about what they are sorting. There is just one for recycling and one for waste." ***Group 6***

"My parents live in Scarborough and I think they have a slightly different set up to us. They have just two wheelie bins and it seems much more straightforward. They are happy with it." ***Group 6***

7.6 Attitude to Current CYC Recycling Service

7.6.1 Overall Satisfaction

The online survey conducted by CYC showed that just under half of respondents (48%) were 'satisfied' or 'very satisfied' with the current kerbside recycling service.

Satisfaction was slightly higher amongst those taking part in the focus groups with almost two thirds (65%) expressing themselves 'quite satisfied' or 'very satisfied' with the current service. A further 16% were 'neither satisfied nor dissatisfied', with only19% 'quite dissatisfied' or 'very dissatisfied'. Those dissatisfied were most likely to be critical of CYC's service in respect of two of the barriers reported above (inadequate overall capacity and inability to be able to recycle certain types of item at the kerbside).

7.6.2 Collection Arrangements

On the whole respondents did understand, and were satisfied with, the current two week collection cycles. Some admitted they were occasionally confused as to which week they were on but felt they could normally work out by looking online or at what their neighbours had put out.

Respondents also noted potential confusion when collection dates vary around bank holidays and particularly at Christmas time but most felt that they had adequate notification of these changes and were able to adapt accordingly.

"I honestly do just see what the neighbours are doing and that's my guide! I know it's a Monday morning, so I just see what they're putting out and that's it. Sometimes I remember by which is most full and which isn't. It works, sometimes I've missed them on bank holidays, but I can normally just about manage skipping one collection." ***Group 5***

"I'll confess I sometimes have to just rely on what my neighbours do!" ***Group 3***

"Normally it is fine. Christmas can be a bit of a pain can't it, if you do miss one or you put it out the wrong day, and we've all got extra stuff at Christmas, so that can be a bit annoying." ***Group 5***

"It's reliable, they do come every two weeks. Rarely, I think once, it didn't come and I rang up and it did come the next day, but generally it's very reliable and even on bank holidays they were collecting as well which I was quite surprised that they do…and thankful!" ***Group 3***

"The information is available on York.gov, you can find it via postcode, you can find it with a personalised calendar. It's available there but when it comes down to something like a bank holiday or Christmas you're relying on a sticker on the front of your bin or, fingers crossed, looking at what the neighbours do." ***Group 5***

A number of respondents noted that, particularly in summer when household waste can start to smell and garden waste is greater, a weekly collection would be ideal. However, most respondents appreciated this would be very difficult, and potentially costly, to implement.

"I mean in an ideal world I'd like it to be weekly. Even when you clean plastics up they can start to smell, especially in summer." ***Group 6***

"I do worry a bit in summer about food containers, however hard you wash them they can smell a bit and you don't want those attracting rats or foxes or anything." ***Group 5***

"I think that I'm pretty much always filled up with my boxes even though it is just two people living here but every two weeks seems fair enough to me." ***Group 2***

"For our house, every fortnight is about right because we've got six tubs, we bought extra tubs." ***Group 4***

7.6.3 Garden Waste Collection Period

The garden waste service was used by around half the respondents in the focus groups. Most who were using it were reasonably satisfied with it in its current form. In particular, there was very little complaint that the service stops between December and March. However, one group was adamant that their collections stop at the end of October and stated that they would like them to continue to the end of November

Especially during the summer months some respondents struggled with the capacity of their current bin and would welcome a larger bin for over those months of the year.

> "Yeah, sometimes, I hardly ever mow my lawn and recently we've been building something in the backyard so the lawn has been unattended but when it's needed, I have used it [the garden waste bin] and, I have to say, having a green waste thing is quite a good thing to have because chucking organic matter into landfill is just unnecessary." ***Group 2***

> "I mean, generally, I'm not a big horticulturalist and it's not one that I use that much really." ***Group 3***

> "I think it's ok as it is. Obviously it [the garden waste bin] gets very full in the peak summer months but I mean that's what you would expect." ***Group 6***

7.6.4 Current Containers

In addition to the comment by some respondents that the current containers do not have enough capacity to meet their needs, there were complaints about the ease with which paper and plastics can be blown out of these boxes and become strewn across the streets causing an unsightly mess. There was little awareness amongst respondents that lids or nets could be, or had been, supplied for the boxes. Both the lids and nets tended to attract criticism in any case amongst those who knew of them. The lids in particular were felt to be easily blown away, damaged, or even 'stolen' by neighbours.

> "The lids, they just get broken, they get chucked about, like I've seen them they just chuck them around. We get them left on the road and I've seen cars just come and drive over them." ***Group 1***

> "I don't think half my street has lids any more, I haven't seen a lid in my street for like years now because they just all disappeared." ***Group 1***

"I think that's a really good point about when sometimes something falls out of the boxes. Of course they [the refuse collectors] are on a tight schedule and I can't imagine it being a fun job to do, but sometimes where there are things left out like that, they'll roll around the streets and no one knows whose it actually is and often no one takes responsibility for it. That's something I've noticed can happen quite a lot. There are quite a lot of younger kids that I see running around on the streets and there's broken glass sometimes because bottles have fallen out and that's not taken care of at all." ***Group 2***

"There was something when I lived with my parents in Fulford, I remember when we first got the recycling bins, and for some of them they gave you like a netting with it which was really useful as it stopped things from falling out, but I haven't seen any in this area and also, they get lost stupidly easily and I think if there was some way to improve the boxes that we have currently so we don't have to replace every single box." ***Group 2***

"Let's have a laugh at what they did previously with these recycling boxes, the nets lasted one use and then they were discarded and taken or disappeared, maybe one in a hundred has a net left after five uses, and then the lids, very few boxes have lids, they are just stacked on top of each other and the lids have blown away, there's very few lids still in circulation from what I've observed driving around on a morning. It's not a winning idea is the lids and nets on boxes, it hasn't worked from my observations so, the 180L wheelie bin with the lid, great, you can't take the lid off that and it can't blow away, that's a good idea but we're going back to the status quo with the new scheme with lids blowing away and disappearing and getting used as trays for barbecues or whatever, I don't know why these things don't exist anymore but they do disappear." **Group 5**

Respondents also commented that, without lids or nets, the card and paper can become very soggy in rainy conditions and then the boxes become difficult to lift.

"I have had it where the cardboard gets sodden and it's really difficult and heavy to move. Our lids just disappeared; I don't know where they went. We did have the netting but that didn't stop water getting in and making it really heavy. It's all right if you're capable of manoeuvring the things." ***Group 3***

"You know you get a couple of Amazon deliveries, and let's face it we're all get lot of Amazon orders at the moment and you've got loads of cardboard and you can't fit it all into your box." ***Group 6***

"Whenever you get a large delivery, you're faced with stuff that you just can't fit in [the box] and, of course, if it rains, it just turns into a big pile of mushy wet cardboard." ***Group 4***

7.6.5 Mixing of Recyclable items

A significant number of respondents were frustrated at having seen different types of recycling material all placed into the same part of the truck. They questioned why residents were being asked to separate their recycling items if they are all ultimately thrown in the same bin.

"We've had the same issue where we've seen them [refuse collectors] putting it all together and it's like well why do we bother spending our time separating it all out when you're just going to shove it all back together again? Even if it does get sorted in the wagon at the other end, why do we need to separate it then?" ***Group One***

"I actually wrote to the Council a couple of days ago when we had our recycling done because, obviously, we split it down into glass, tins, cardboard and the other day a lorry came down with a big orange bin and emptied all the recycling bins into one big bin and then just poured that into the back of the wagon, and it was just like I've just spent two weeks separating all my recycling for you to empty it into one bin. ***Group One***

"I think there's a kind of disheartening feeling when I see the recycling get taken out when I'm on my way to college and sometimes they'll just chuck it, all the stuff that you've spent time sorting out is just chucked into the same thing." ***Group Two***

"I think it's probably more often…and they just throw it all into one tub at the moment so we spend the week separating everything and they're just throwing it into one, so it makes me feel like why do I bother separating it myself." ***Group Four***

"What annoys me with it, is that they encourage us to make it all separate and put it all in boxes, yet they just sling it all in the van! It makes me think, well what's the frigging point in making me separate it all then? It's so frustrating because you're there thinking 'what box can this go in?', I'm sorry but I can't be bothered thinking about stuff like that, I just want to sling it in a box and it get recycled. You separate it all and make sure it's all done and then they come along and just heave it all into one thing and you think, well what's the point? It's well annoying to be honest." ***Group 5***

7.6.6 Need for Change

Although respondents certainly did not object to the council reviewing the current provision of recycling services they did not see it as being a critical matter and it would not have been at the top of their list of desired improvements. Those satisfied with the current service were particularly likely to feel this way.

"I mean I wouldn't have put it at the top of their list of priorities." ***Group 1***

"I guess it's good they are reviewing it but I didn't see a huge need to." ***Group 4***

7.7 Attitude to Proposed Changes to Recycling Service

A presentation summarising the proposed changes to the services was shown to respondents after attitudes to the current CYC service had been discussed. A copy of the presentation can be found in Appendix Two.

7.7.1 Initial Reactions

The majority of the discussion prompted by the presentation related to the increased volume of recyclable waste which could be taken from the combination of additional capacity from the boxes and bins but less frequent collections. Respondents' views on whether the proposals represented an improvement compared to the current services depended largely on whether they felt their bins and boxes provide adequate capacity for their recyclable waste at present.

Those that currently do not require additional capacity for their recycling waste felt the changes offered them little improvement compared to the current services. Several of these respondents were disappointed that the opportunity had not been taken to enhance the service in other respects. Those who currently wanted additional capacity felt the new proposals represented a step in the right direction, although some felt they would still not have providing sufficient capacity.

"It doesn't look like a bad proposal, increased capacity for recycling, lower frequencies but larger capacity, it may work." ***Group 5***

"I like it as well, it's going to be a lot easier. I'm thinking that at the moment everyone's doing the cardboard, which we're getting twice as much, is that going to be enough for the two boxes? The other ones for the garden waste and then the plastics and things, I think is fantastic, it's just more the cardboard one that worries me. ***Group 4***

"It's more just about an increase in capacity and the durability of the stuff that you store it in, like a bin would make things so much easier because of the lid. I think its's needed for paper as that's the big issue for us, it just ends up absolutely everywhere so I think something needs to be done about that." ***Group 1***

"I would say it doesn't allow me to do any more than what I'm currently doing. It's not adding those extra bits [elements of the service] that I think I need. I manage with the capacity that I've got so I don't think it's going to help me particularly. Unless I get a garden waste bin!" ***Group 5***

"Quite frankly I think it's utterly pathetic, I don't see any advantage in that whatsoever. I would say what the heck do York Council think they're doing? It's nothing like what I'd like them to do. I mean, great, give us one bin to put plastic and glass in, yippee-do." ***Group 2***

7.7.2 Three Week Collection Cycle

Most respondents understood after it had been explained that the combination of larger bin / box capacity and less frequent collection would result in a net increase in weekly capacity for paper, glass, plastics and tins. However, a significant minority (including all members of one group) apparently failed to appreciate the point and were critical of the proposals for this reason. This failure to understand that net weekly capacity would increase, despite having been taken through the material prepared by CYC and despite several attempts to correct the misunderstanding by the moderator, underlines the difficulty of the task facing CYC to communicate the point when they would not have the benefit of personal contact with individual residents.

The respondent quotations below demonstrate the confusion over capacity on a three weekly cycle which was still apparent even after detailed discussion.

"I think the opportunity to recycle more is good but less often collections does it make that much difference? Maybe the issue just carries on but every three weeks." ***Group 6***

"I still think you're going to run out of space every three weeks." ***Group 6***

"I think the mixing is good in the wheelie bin, that's fine by me but I think the problem with the three week cycle is that even now if you have a party or a barbeque and your box is overflowing it can hang around for a week if you rearrange things and squash them down you can but if you have two more weeks to wait it is quite a long time actually to wait." ***Group 6***

For the most part, however, the switch would not seem likely to cause major concern as long as the net increase in weekly capacity could be clearly communicated.

"The first view is I think that it is great that they're increasing the capacity for us to put more recycling in, I don't think that the three-week cycle is going to make a difference, I think it is going to be the benefit with it." ***Group 1***

"I think for the capacity that it has increased, I think we would get used to a three-week cycle, we'd get to know which bins were which so I don't see it being an issue it being over a three-week cycle." ***Group 1***

"I don't think the three-weekly thing is an issue at all and I think everybody would cope, well personally I would cope with that, that's not the issue." **Group 2**

"I still really would prefer a weekly collection, but if we're going to get them on a rotation for the different recycling types and there's less confusion over which types go in which box, then yeah." ***Group 5***

"I think with the plans being to have more space for the tins and glass and things, I think three weeks would be sufficient." ***Group 1***

Two relatively minor concerns were raised about a switch to a three weekly cycle.

- Several respondents expressed concern that it would be difficult to remember what item was being collected each week. If it was feasible to introduce a reminder system such as a text message service (as operated by some local authorities), that would be warmly welcomed and would almost certainly overcome the concern.

"It's just going to be confusing, like xxx said, it's having to remember a complicated timetable. I'm not going to lie. I would have to experience it before I could make a decision on that." ***Group 2***

"I just think the three-weekly recycling of it all could sometimes get a bit confusing when you're thinking, well hang on a minute which one's coming this week, which one's coming next week and it's getting into that." ***Group 4***

"Can we sign up to a list where somebody will send us a text message and say 'don't forget to put your recycling out, it's glass this week'?" ***Group 5***

"I might struggle to remember, that's the only thing, I'd have to have a nice little grid because I currently have the piece of paper from the Council on the fridge so I can check what week it is, but I think I might struggle at first to remember which week is which." ***Group 4***

- Some concerns were also raised that especially in the summer months there could be traces of food left even if items had been washed out prior to recycling,. The three weekly cycle might then increase the risk of unpleasant odours and would potentially attract more vermin.

"Like I said earlier you have got to be careful with food packaging that you might attract rats and that is going to be even worse only collected every three week." ***Group 6***

"The thing for me is what if you accidently miss a week, or put the wrong stuff out one week, especially when you're getting used to it. Then you've got stuff sat around for six weeks. It could stink!" ***Group 6***

7.7.3 All Year Round Garden Waste Collections

Only a small number of respondents were currently using the garden waste bin at present and only a small minority of these felt there was any need to have all-year round collections.

Respondents raised concerns that there is very little need for the service during the winter months and therefore there would be very few bins to empty on a street. It could be argued that these few bins do not justify the effort of a full collection.

"I don't feel we need it (all year round). Our garden waste bin at the moment, I must remember to put it out actually as it is collected tomorrow, but that'll be the first time since November or whatever, it's full but it soon sinks down." ***Group 2***

"Yeah, I'm not bothered, I only use it in the summer months when I'm gardening." ***Group 2***

"Surely it doesn't make financial sense to send a truck around in winter for garden waste when hardly anyone will have anything to put in it?" ***Group 2***

"I just find it a very wasteful idea. You haven't got garden cuttings in the winter months and to send a collection truck round to check the streets when one, maybe two people have put a bin out just seems a bad idea to me and not good for the environment either." ***Group 6***

"We do have a big garden bin sat there empty doing nothing for most of the year which seems a bit wasteful sometimes, but really you stop most of your gardening after autumn." ***Group 3***

"In December, January and February everything stops, it's mainly the hedges at our house and they mainly grow in summer so we don't need the collection in winter really but other people might I guess." ***Group 4***

"I just kind of feel that for garden waste, yeah sometimes it might be needed, but certainly not all the time all year round. It feels like we're going to end up paying for it for the few people that are going to keep using it all year round when I feel they're the few rather than the many. We're going to be charged extra for it in our council tax." ***Group 1***

One group was adamant that their garden waste service finished at the end of October; this group suggested that an extension of the service to include March and November was all that was really necessary.

"No I am certain ours stops at the end of October for sure. I mean I would like it to go into November actually for leaves and stuff like that." ***Group 6***

"No it definitely stops before November I'm sure. I wish it would run into November!" ***Group 6***

"I want garden waste to be collected in November and for them to start again in March." ***Group 6***

"An extra month either side is all I need, so maybe up until the end of November and then start again in March. I don't have anything in January except maybe the Christmas Tree!" ***Group 6***

The findings from the focus groups in this respect differed from the online research in which nearly two thirds said they would like their garden waste collected all year around. This is a surprising difference, but similar findings emerged from all the focus groups and the conclusions appeared clear-cut. It would appear that the opportunity offered by a focus group to consider the issue in depth, and in the context of other changes which could be made to the service, is what produced the different reaction.

7.7.4 Larger Size Garden Waste Bin

The majority of respondents felt that there was no great need for a larger sized garden waste bin. However, a few agreed that it would be useful during the summer months.

A small minority of respondents who currently needed more space for garden waste had ordered a second garden bin and felt this was an adequate alternative to a larger size. Many also had the ability to compost in their garden and this helped reduce the need for them to use the kerbside services to remove all their garden waste.

"I'm not that keen on the larger bin idea. I don't think we need it as much as we do space for other items." ***Group 4***

"I guess in summer it would be useful but we also have compost bins we can use." ***Group 6***

"We have quite a big garden, my parents are very keen gardeners, but we never really had a point where our green bins are overflowing or anything like that, so I think a larger one isn't really a necessity for us. It would be bigger and get more in the way so I agree with xxx and I don't think it would be a big deal for us really." **Group 1**

"People would probably rather have a bigger green one for other waste and keep the smaller green one for the garden waste I think." ***Group 3***

"I'm a bit surprised why they're going for an even bigger green waste garden bin so it's not just the same size bin you've got to fit in, it's an even bigger one that you're going to get when there's not been that many times that, you know, we really can't wait for the bin to be emptied. It's literally the middle of the summer, so such a small period, and they're giving you a bigger bin to use all year round. I just can't see that that many people in York have complained about needing a huge new garden bin, especially when you can pay extra to have a second green bin anyway." ***Group 6***

"I'd say I've got quite a biggish garden with quite a lot of green area that I do need to cut down a lot but I definitely don't need a bigger bin. I cut it down at the moment every couple of weeks and manage to fill it but that's plenty I would say." **Group 1**

Some respondents also raised concerns regarding the weight of a garden waste bin this size and whether they, or elderly people in particular, would be able to manoeuvre it safely to the kerbside. Storage was also raised as an issue.

"The other thing is the green bin. When it is full I can barely move it so I worry that if it got bigger I just couldn't move it and I am 6ft tall and able bodied. How is an elderly person going to haul these bins out? I worry about that." ***Group 6***

"For some houses there just isn't space to store them and there isn't room on the pavements. It can block the way for wheelchairs and pushchairs." ***Group 6***

"I'm fortunate to have a gate through to the side of my garden so space isn't an issue for us luckily but I do think, as was touched on, I think for a lot of people they won't necessarily have that space and if they don't have a freeway to their garden then that is going to be difficult for a lot of people and it isn't exactly aesthetically pleasing either." ***Group 1***

There was some confusion over whether the bin would be for garden waste only or could also include items such as potato peelings. This possible extension would be well received and it was accepted that, if implemented, it could help to justify an all year round collection.

"Can I just ask, are they keeping it as garden waste with the increased bin size or are they going to let your vegetable peelings and things be able to go in it because I know in other places you can recycle those things?" ***Group 1***

"Definitely, I would love to put that [vegetable peelings] in. I think you'd certainly need it all year round then." ***Group 1***

"With those garden rubbish ones you could put your vegetable peelings and stuff like that, it's more than just garden rubbish that can go into there." ***Group 4***

"I'd find it of a much higher value if it was food waste that was included in that green waste bin. If it was food waste then having that all year round is worth it." ***Group 2***

The group consisting of those living in terraced properties stated that they were not entitled to a green bin currently even though some of them have gardens with a lawn and trees. Some of these respondents would find it useful to have a bin for garden waste and hoped that they would be entitled to one under the new proposals. The current 180L bin would be more than adequate for these respondents.

"We'd like one if we could have one because we've got a garden but we just don't have a garden bin." ***Group 5***

"Even if we request one, we cannot have a collection of garden waste because we don't have, according to the zoning, a garden." ***Group 5***

"I think that's correct, yes. The last time I enquired they just said yeah, it *[a garden waste bin]* wasn't available." ***Group 5***

"But maybe more of us could have a garden waste bin who want one? That would be a nice option to have. We're a terraced house on a main road so we don't get one, but we do have a garden with grass and trees in it and it would be nice to have a green bin." ***Group 5***

7.7.5 Switch from Boxes to 180L Bin for Glass, Plastics and Tins

The proposal to switch glass, plastics and tins from two 55l boxes to one 180L bin was seen as an improvement.

As spontaneously mentioned by respondents, the boxes can easily lead to rubbish blowing on to the streets and lids can often become lost, detached or damaged. A bin with attached lid would be far more secure in this respect.

"I think, for me, the increase in space and the change from boxes to a bin for the glass, plastic etc are the two things for this household that would be the biggest advantages." ***Group 1***

"For me, I think the three weeks is fine and it's the putting the plastic and that in something more so it doesn't get blown over the street every week because every week it's just all over our street is the plastic. That's important for me because it just looks terrible." ***Group 1***

"It makes it a little easier, I guess. It also means there won't be as much spilling with the glass on the road because it's not in a box and it's all in the bin that you can close." ***Group 2***

Respondents also commented that there would be a small saving in time from not having to separate their items anymore and that it would alleviate the current bad feelings when they see refuse collectors putting glass, plastics and tins into the truck together.

"I think a bigger bin, now that I know there is a plastic and glass sorting facility, that's better to have one big bin for that. I know xxx was saying she didn't like the idea of having an extra bin but I think having one bin for the plastic and glass would make it a lot easier for people just to chuck it all in the same place." ***Group 2***

"I feel like the bigger bins will encourage more recycling, especially when you're not having to sort anything out. I'm one of them who can't really be bothered doing it, I'd rather just chuck it in the bin and let it be recycled. I feel like a lot of people like me feel the same, so I do think it'll encourage a lot more recycling. It makes it easier to store instead of it flying all over the joint and, when it's windy especially, it gets blown all over, at least if it's in a bin with a lid it's in there." ***Group 5***

"They all get mixed anyway so you might as well put them in a big bin and mix them because they do when they get put in the truck anyway, don't they?" ***Group 2***

"Well, I think the changing the container that you put glass and plastic into, as xxx just said, if you put it into a wheelie style bin then that, hopefully, is going to make it more effectively tipped into the van so, yeah, that is a positive." ***Group 2***

However, some of those seeking additional capacity for their recyclable waste noted with concern that the net weekly increase for glass, plastics and tins / cans was relatively small.

"But it's not giving much more space though, is it? If you think, if you had two 55L boxes collected every two weeks and then they've gone for 180L bin every three weeks, that's only giving you 15L. You're only getting a bit more for the three weeks aren't you, you're not getting a huge amount, you're getting more card and paper but you're not really getting much more for your tins and plastic." ***Group 1***

"I think that plastic and tins is more of an issue, because once you fill up a box full of paper you can usually squish it down, but once you fill up a box full of tins and plastic, which we do every fortnight, you can't really fit any more in. I'd say ideally, to be safe, probably a 50% increase in both of those from what it is now would probably be comfortable." ***Group 3***

7.7.6 Additional Box for Paper and Card

As previously mentioned paper and card were the items for which current capacity was most likely to be seen as inadequate. Therefore, the increase to two boxes was seen as an improvement. If boxes were to continue to be used for paper and card, however, it was hoped that some sort of permanent lid solution could be found to help prevent paper blowing around and also the items in the box becoming soggy when it rains. Most would prefer one 180L bin over two 55L boxes if that were a feasible option.

"I think if the paper wasn't in a box and in something substantial that would be a massive advantage as well." ***Group 1***

"I think it *[a wheelie bin]* is needed for paper as that's the big issue for us. It just ends up absolutely everywhere so I think something needs to be done about that." ***Group 1***

"On the paper front it obviously addresses our need for more paper recycling currently even if it isn't as much as we'd like at the moment." ***Group 3***

"It would just be easier if they were all wheelie bins rather than your boxes, just get rid of your boxes and just have the wheelie bins because it's the same thing with card, isn't it, your lids don't always go on and then your card's flying about all over the place when it's windy." ***Group 4***

"A wheelie bin for the cardboard would be so much better." ***Group 4***

7.7.7 Storage of Containers

A minority of respondents felt that storage of the new containers would be a problem. However, the majority did not see this as an issue, especially as the two boxes could be stacked on top of each other. Even those living in terraced properties were mostly relaxed about their ability to store the containers, though it should be borne in mind that only one such group was conducted. However, some concerns were raised, particularly in terms of the broader garden waste bin. It was also noted that it is increasingly common for households to have bin stores built and it would be very frustrating if the new bins and boxes no longer fitted into them.

"My only issue is where do they think I'm going to store all these bins? I mean, at the minute, I have my green waste bin, my general waste bin and my three recycling small tub bins at the front of the house. If I've now got to increase that to another 240L bin - where's it going to go? I'm in a semi-detached so that's fine but for people that are in smaller areas it's going to be very tight about where these bins are going to go. You're losing a box but you're gaining a 240L bin so it's not really a one for one swap space wise." ***Group 1***

"I manage ok, luckily, I've got the space outside for them, I would have enough space for a bigger recycling box as well. Not everyone's got that space though, so I'm quite lucky." ***Group 5***

"Yeah, I mean if you have quite a small yard like we have, our three boxes fit quite nicely in our shed at the moment and if we got another one, we'd have to put it outside but, it's not really that big of a deal as it's for recycling so there's probably worse things you can put in your garden!" ***Group 3***

"I think you might get some annoyed people who have had specialist stores built for their bins, a lot of people do that nowadays, and if the new bins don't fit they'd be really annoyed." ***Group 6***

7.7.8 Residents of Terraced Properties

Whilst it should again be kept in mind that only one group was held with residents of terraced properties, it appeared that reaction to the proposals by these respondents differed very little from the other groups. Their desire to have the option of a garden waste collection has, however, been noted above.

These respondents did, however, react very unfavourably to the possibility of sharing containers with their neighbours. These opinions appeared to be heavily influenced by the pandemic. Respondents were very concerned about the health and safety implications and did not want to have any contact with other households' rubbish items. Concerns were also raised that on many streets there isn't room for a larger shared container, as they could potentially block pavement access for wheelchairs and pushchairs and road access for emergency vehicles.

"It's a lovely idea, and lots of blocks of flats and maisonettes do, they have a bin store, especially in the newer properties, and the residents come down and put them in, but who would be responsible for maintaining them is a question that comes up every time I talk to people about that. You get one or two unreasonable residents that just throw the bags in and it's up to the one or two nice people in the block who will go out of their way to tidy it up because the Council staff won't take the bags that are on the floor next to the bins so they get left there and with them being in plastic bags we're back to the vermin! It's a difficult thing unless there was someone dedicated to maintaining the bins that were put there for the community." ***Group 5***

"Personally, if it was a garden waste communal bin then I'm up for it, any other, then no. I don't want to have anything to do with anybody else's rubbish, I'm sorry but you don't know who's going to be touching it or washing their hands after picking dog poo up, no, not for me thank you." ***Group 5***

"I think that's a fair point, given what we've been though in the last year, everybody likes to keep their own things to themselves and we're a lot more aware of that. It's probably not the right time to be thinking of bringing communal storage of waste and recycling in right now, I don't think." ***Group 5***

"That's not something I'd want either, no. I'd like to keep my own [bin] separate and be in charge of my own and not have to worry about it being a mess, cleaning up after other people, and also touching things that other people have touched." ***Group 5***

7.7.9 Range of Items accepted for Kerbside Recycling

Respondents expressed some disappointment that the proposals had not incorporated the possibility of recycling a wider range of items at the kerbside.

Suggested additional items included:

- Tetra paks
- Batteries
- Small electrical appliances
- Specific plastic items primarily yoghurt pots and margarine tubs
- Aerosols
- Plastic bags
- Crisp packets
- Pringles tubes

"If a box is freed up, I want to use it for something like tetra or yoghurt cartons or something which most households don't recycle. What does everybody do with their tetra, does it go in the bin? We collect ours and we take it to Hazel Court every now and then." ***Group 2***

"I would like more plastic to be recycled because a lot of it can't be, like yoghurt tubs." ***Group 1***

"I think even if we could have a little extra thing for batteries, like xxx was saying down in Frome." ***Group 2***

"Batteries would be good actually because I always forget to take them to the boxes in the shops that you can put them in so, that would be quite helpful." ***Group 5***

"I keep going back to my tetra paks because that's one thing that bugs me, and maybe plastic bags. If we could recycle both of those that would definitely increase my recycling in our house." ***Group 5***

"I think that's fundamental to the environment and the climate crisis is making sure that as many people as possible recycle as much as possible and as many diverse things as possible. So I don't mind taking my crisp packets and my Pringles packets to Bishy Road, I don't mind taking my tetra to Hazel Court but we shouldn't need to be doing it. I make that journey to Hazel Court with my tetra, but if you could put your tetra… most households use tetra surely, if that could go in a bin outside your front door and be recycled it would vastly increase the uptake." ***Group 2***

7.7.10 Food Waste Separation

The possibility of recycling food waste in the future was met with moderate approval by those in the focus groups and this broadly reflected the responses from the CYC online survey. However, the focus groups allowed respondents to express some reservations regarding the practicalities of storing food waste separately and the potential for smells and the attraction of vermin.

Some respondents mentioned that this service is already available in other parts of the country and can be made to work quite effectively. Respondents did, however, state that this sort of collection would need to be made at least weekly.

"I hate it when I have to chuck food in the bin because I feel terrible for doing it and if it could go into some kind of recycling thing I'd be much, much happier." ***Group 2***

"I suppose when it's mixed in with other things…I don't know, you kind of imagine that it would attract more vermin perhaps and flies and things if it was all in one, but I'm not entirely sure and would need to know more about how that would work, like the kind of containers they would use." ***Group 3***

"I'd have quite a collection of bins if we did get an extra bin for it *[food waste*], I don't think you could use a box for food waste, because it would all be rotting whilst it's sitting there, you'd want something like a wheelie bin that closes properly. I guess you could put the lid on it if it was just the containers, but I think I'd one hundred percent likely to use something like that." ***Group 3***

"I would like to have food waste recycled. I would give it a go." ***Group 1***

"When I lived in Wales, they already do the food one. It stops your waste bin absolutely stinking from it, so they have a food one with a proper sealed lid and it was collected weekly. It's obviously still going to smell because you know what food is like when it goes rotten, but it works so much better. It was a bit like the little boxes we've got now but it was blue with a sealed lid, it's really hard to explain, like an ice cream box lid, so it was sealed down and not really easy to get it off. The other thing we had was a twisty lid so as to keep it in and secure so that pets and cats and things aren't trying to get into it." ***Group 4***

"It sounds good and probably more than 50% of food waste could be composted but can you imagine on a hot summer day this bin smell, it would be a disaster, even once a week is not enough for a collection." ***Group 3***

7.7.11 Cost Implications

One group in particular was concerned about the cost implications of implementing the proposals. There was surprise when it was pointed out by the moderator that their implementation would actually result in cost savings for CYC, importantly as a result of the introduction of a new fleet of vehicles. This produced some reaction that CYC was interested only in saving money and not in increasing recycling. Respondents appeared to be unclear why it would not be possible to achieve the cost savings whilst still keeping to a two-weekly collection, alternating between the recyclable items.

"I'd like to talk about the money situation because if there's more recycling and they recycle more, is that going to mean there's more Council tax because the money has got to come from somewhere?" ***Group 2***

"How does it save them money?" ***Group 2***

"So that's why they're going to do it then, to save money! It's not to give us more recycling, it's so the Council can save money." ***Group 2***

"You could suggest that they're trying to cover up money saving with 'oh aren't we doing amazing new recycling collections', which they're not!" ***Group 2***

7.7.12 Summary of Reaction to new Proposals

Respondents can be divided into two groups, of approximately equal size, in terms of their reaction to the proposals:

- Those who were enthusiastic about the increased capacity they would bring (even if, to some, the increase did not go far enough). This group also saw some other, less significant areas of improvement and had no serious concerns in any other respect. The effect of the proposals would almost certainly result in this group carrying out more recycling. The increased weekly capacity of the containers, particularly that for paper and card, would allow them to submit more for kerbside recycling and this would almost certainly more than offset any small reduction in the amount of garden waste they submitted during the summer (as a result of the net decrease in weekly capacity).

- Those who saw no real improvements in what was offered, mainly because they did not have capacity problems with their current recyclable material. Other changes proposed were of no great interest to this group and there was some disappointment that the opportunity had not been taken to introduce what were seen as more positive changes, such as the introduction of collection of a wider range of recyclable items. However, this group would be likely to continue to submit at least as much paper, card, glass, plastic and tins using the new containers and at most only marginally less garden waste during the summer months.

On balance, therefore, the changes would seem likely to result in a net increase in the items put forward for kerbside recycling. Given that they would also produce cost savings to CYC, there would seem to be no reason not to proceed with them, if no other options are under consideration. If some of the suggested improvements could be introduced, the net effect would be likely to be even more positive.

The task of communicating to residents that the extra capacity more than outweighs the reduction in collection frequency should, however, not be underestimated.

Appendix One: Discussion Guide

Time allowed: 1.5 hours

Time	Discussion Topics
5 mins 6 mins	**PCP Introduction** - PCP introduction and explain procedures - Explain confidentiality and recording - Key objectives of the focus group **Respondent Introductions** - Where live, time lived in York, type of property, size of household, concern for environment.
5 mins	**Importance of recycling** - Discuss respondents' views on importance of recycling and reasons why it is seen as important or unimportant. - We're using feedback from the quantitative study we have been running to help shape this group today
10 mins	**Current recycling behaviours** - Discuss respondents' current behaviour in respect of recycling, in particular kerbside recycling. - Consider what could be done to increase amount of own household's kerbside recycling. What are the current barriers preventing greater use of the kerbside recycling services? - Do respondents believe neighbours think and act in the same way as themselves towards kerbside recycling?
5 mins	**Understanding and Ease of Use of Current Recycling Services** - How easy do respondents find it to understand what can and can't be recycled and what the collection arrangements are for their area? - Is lack of understanding a barrier preventing greater use of kerbside recycling?

Time	Discussion Topics
10 mins	**Attitude to Current Services** - Attitude to the current kerbside recycling service provided by CYC. - Current frequency feedback. What they think to the current collection calendar - Specifically ask about garden collections ending in November and starting in April - What do they think about the current containers we collect recycling from? (too many, too few?) - Is there a need for change? - What works well, what could be improved? Discuss in detail any suggested improvements.
5 minutes	**Presentation of proposed changes**
10 minutes	**Spontaneous Reactions to proposed Changes** - Discuss spontaneous reactions to these proposals, distinguishing between changes which would enhance service and any which are seen as unnecessary or counter-productive.
20 minutes	Using feedback from the quantitative research as an indication of opinions prompt for thoughts on the following: **Prompted Reactions to proposed Changes** - Prompt to discuss in detail any of the following items which have not been mentioned spontaneously: • 3 week collection cycle • Garden waste collections all year round • Larger size garden waste bin • Switch of plastic, tins and glass box containers to standard 180L bin. • Additional box for paper and card • Whether there is a need for an increase or reduction in the number of containers for kerbside recycling items. • Willingness to use separate food waste container if provided. • Anything else which could be offered as part of changes to service.

Time	Discussion Topics
8 mins	**Value of Individual Changes** - Consensus view on value of each of above from most to least useful. Summarise with score out of 10 for each where 10 is extremely useful and 0 is of no value / prefer current arrangement. [Use a Zoom poll to vote anonymously and then discuss results]
4 mins	**Overall Reaction** - Overall assessment of proposed changes (assuming offered as package). Score from 1 to 5 (a big improvement to no changes necessary). [Use a Zoom poll to vote anonymously and then discuss results] - What would have to change before the proposals would represent a big improvement compared with the current service?
2 mins	**Close** - Final thoughts. Thanks and close.

Appendix Two: Presentation Material

Proposed Kerbside Changes

CYC propose to:

- Keep boxes for paper and card (will be 2 boxes rather than 1).
- Utilise the current garden waste wheelie bin for plastic tins and glass utilising the new sorting technology at Harewood Whin to separate after collection.
- Provide a larger wheelie bin for garden waste (240L rather than 180L).
- Work to a cycle of a different collection each week:
    - Paper and card one week;
    - Plastic, tins and glass the week after;
    - Garden waste in the third week.

This would give the opportunity to deliver the garden waste service all year round.

Proposals would result in an increase of 33% per week for paper and card and 9% for plastic, tins and glass. Although there would be a small reduction in garden waste capacity each week (-9%), there would be a third more capacity per annum.

Waste collection calendar example

CITY OF YORK COUNCIL

Week	Waste Collected	Recycling Collected
Week 1	Household waste	Paper/card
Week 2	-	Glass/tins and plastics
Week 3	Household waste	Garden waste
Week 4	-	Paper/card
Week 5	Household waste	Glass/tins and plastics
Week 6	-	Garden waste
Week 7	Household waste	Paper/card
Week 8	-	Glass/tins and plastics
Week 9	Household waste	Garden waste

Please note the recycling collections could be in any order (i.e. week order) but the principle is the same

Reduce. Reuse.
RECYCLE

Waste and Recycling collections in 2021/2022

A cleaner and greener York through improved recycling collections

Objectives

Think residents understand the changes to the recycling collections, where and which households will be affected. Residents **know** that York is one of the top recycling LA's in the region, with the capacity to recycle more - the council prioritises their waste collection service and helps residents to recycle more. Know the benefits of online access.

Feel – residents feel they've been listened to and can shape how the plan is implemented, they feel they have been given plenty of advance notice, are able to plan ahead and prepare for the changes. Feel confident, willing and able to recycle. Feel that we're leaving the environment in a better place then we found it

Do – decrease the number of recycling complaints. Residents present the right bins at the right time and recycle more..

Strategy

Showcase good practice – increase visibility of our recycling and electric, more efficient recycling vehicles - Show what good looks like with cleaner, greener alternatives together with thanking the city for recycling more.

Target communications – tailor communications to the different areas. Improve accessibility to information online and a mix of on and offline communications. Target 'hard to reach' areas and communities and those will a low recycling rate through targeted comms and support.

Deliver a regular drumbeat – deliver communications in phases (preparation, transition and implementation) sharing information as early as possible, providing regular and repeated information consistently to build awareness and confidence and act as a reminder of what to do when.

Build advocacy – encourage the city to want to recycle more – to be the best city at recycling – through sharing regular updates and information with partners, ward members and communities. That we want to leave the environment in a better place then we found it.

PRIORITIES/HIGHLIGHTS

Phase 1: preparation

- 24 February– Cllr decision session report goes live
- virtual decision making session on 3 March 2021
- To issue PR, social media, web
- To start insight groups/ gathering – prepare engagement materials
- (17/03) 25 March Scrutiny – to determine options
- Usually done within 24hrs (so possibly Fri 26 March approval) Officer decision – Neil Ferris

Phase 2 – consultation

- To issue PR, social media, web on consultation
- Poss starting Monday 29 March TBC launch 6 week resident consultation
- In tandem with insight groups/gathering
- (12/05 go live) 20 May executive – setting the case and then confirmation of approach
- To issue PR, social media, web on Exec paper

Phase 3: warm up communications

- May/June Our City – explains when and why new bins being delivered
- Dec- Feb BIN DELIVERY!
- To issue PR, social media, web on delivery and app
- Citywide/targeted surveys (insight gather)
- Tailored resident letter and giveaway reminder
- Advertising campaign June/July
- Social media boosted posts. June onwards
- Live Q&A Facebook: June/July
- Zoom Q&As with ward/parish cllrs and key stakeholders (June/July) or face to face if possible
- Door-to-door support via trained ward and parish cllrs

Phase 4 'Go live' transition

- July/August - Our City – explains what will happen from September

Phase 5 – implementation – likely to be 8-15 March 2022

Identify areas struggling and why with door-to-door survey

- Trained ward members support
- Tailored letters to areas which are struggling (mistakes)

Phase 6 – closing comms

- Share data, that we're on track to recycle/cost savings

Waste and Recycling collections 2021

OBJECTIVES

Think residents understand the changes to the recycling collections, where and which households will be affected. Residents **know** that York is one of the top recycling LA's in the region, with the capacity to recycle more - the council prioritises their waste collection service and helps residents to recycle more. Know the benefits of online access.
Feel – have been given plenty of advance notice to plan ahead and prepare for the changes. Feel confident, willing and able to recycle.
Do – decrease the number of recycling complaints regarding sorting (i.e. less complaints). Residents present the right bins and recycle more. Recycling increases to 60% within the first year.

AUDIENCE

- Communities
- Residents (students, low recycling rates)
- Businesses (St Nicks, Yorwaste)
- Staff
- Partners
- Members (Ward cllrs and Parish)
- Hard to reach communities (eg. travellers)
- Target residents who get it wrong !
- Students returning in September

STRATEGY

1. Showcase good practice
2. Target communications
3. Deliver a regular drumbeat
4. Build advocacy

Deliver communications in three phases, responding to resident insight:
1. Preparation (broadcast)
2. Transition (tailored and targeted)
3. Implementation (targeted)

IMPLEMENTATION

Target communications in two phases (transition and implementation)
•Target areas of York and provide tailored letter to each resident (in groups per area, collection, change) thanking them for their support and patience and providing a reminder count-down
•Send a tailored recycling newsletter to every household in York (AND through Our City) explaining the changes
•Create web page that provides triage to target information
•Launch a tailored app that allows residents to receive targeted information
•Improve the contents and accessibility of online information and promote it's access across multi platforms (web, mobile etc)
•LIVE facebook Q&As
•Zoom briefings for Ward/Parish cllrs
•Zoom briefings for different collection groups/areas by invitation
•Target letters to residents who get it wrong during implementatio

Build advocacy in three phases
•Create and update a partner pack
•Train ward members in how to be street walkers
•Create photo/film content that can be easily shared thanking the city for recycling more
•Answer social media quickly and friendly (like twitter gritter)

Showcase good practice in two phases (transition and implementation)
•Conduct resident surveys in each phase and use to inform communications
•Develop look and feel for the communications – with a call to action framed a thanking the city for recycling more
•Create process graphic to show the waste and recycling process, how more efficient and environmentally friendly the new process will be
•Create or use a waste app to promote digital calendars
•Promote electric vehicles and give them characters on social media (like baby gritter)
•Create social media animation showing process and benefits with PR, post decision
•Use case studies of our front line services and the work they do
•Use photo stories to show different ways to recycle and process in practice
•Use case studies and benefits in advertising campaign thanking city for coming together to recycle more
•Train waste collectors to act as customer friendly ambassadors

Deliver a regular drumbeat in three phases (preparation, transition and implementation)
Promote weekly tweet showing how recycling increasing against other As
Use members update to provide weekly update of programme progress
Use resident newsletter to share how much more recycling and how ould do more
Share process in Our City

EVALUATION

Door to door surveys gathered before and during the changes. Positive coverage in the news. Positive feedback from residents via social media. An increase in recycling rates and amount of household waste being collected and sent to Allerton Park

Audiences	Channels (see separate costings proposal)
Residents Split into: • Students living off campus • Hard to reach (target areas known to have low recycle rates) • Hard to reach (disengaged) Those not affected as much or at all: - Communal bins - St Nicks - Assisted collections	- High education - York College, Universities (living off campus) - Door-to-door surveys throughout the campaign. - Local media - Direct mail/letters - Our City - Direct e newsletters – families and residents - Forum groups, such as parent groups, York Mumbler, Yorkie Dads etc - Webpages - York FIS - Libraries - Direct mail (through local tracing team) - Schools (if parents) - Employers - Targeted paid for/boosted social media (targets wards/areas of York) - Facebook live Q&As - Bus stop posters/ward noticeboard posters / advertising campaign?
CYC staff	- Direct weekly emails - CYC website - Social media (organic and paid) - Local media - Hazel Court posters, screens and frontline newsletter - Waste staff trained in 'customer services' (like the London Underground staff did for London 2012)
Businesses/employers	- Partner packs - MIY/CYC business newsletter - York BID/Chamber of Commerce - Webpage - Social media - Local media - Local authority leads

Recycling and waste comms

If the Executive recommendation is approved

Reduce. Reuse.
RECYCLE

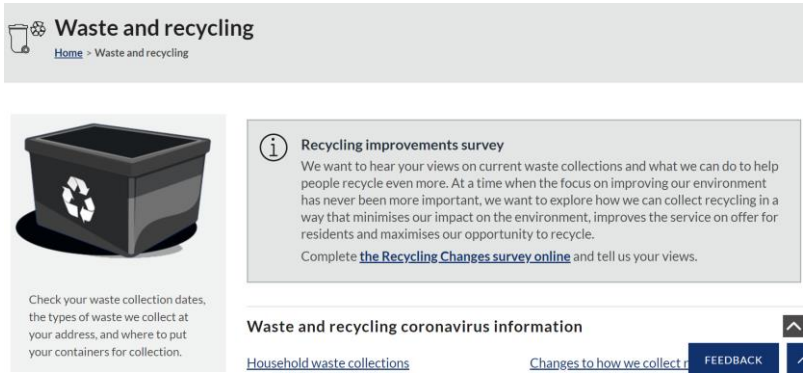
Build confidence and provide support to councillors - plenty of advance notice to plan ahead and prepare for the changes.

- **Think** residents understand the changes to the recycling collections, where and which households will be affected. Residents **know** why we're postponing the rollout of changes to coincide with the Government consultation. That York is one of the top recycling LA's in the region, with the capacity to recycle more - the council prioritises their waste collection service and helps residents to recycle more. Know the benefits of online access.
- **Feel –** have been given plenty of advance notice to plan ahead and prepare for the changes. Feel confident, willing and able to recycle.
- **Do** – decrease the number of recycling complaints. Residents present the right bins at the right time and recycle more.

Build confidence and provide support: Before and during the consultation

6 week consultation:

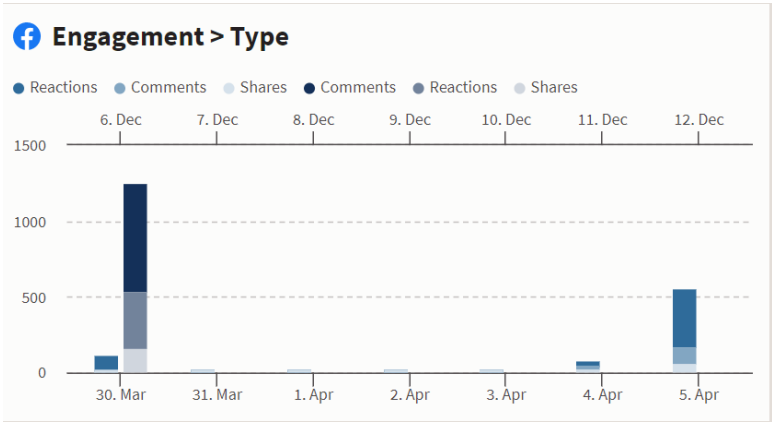
- Over 7,000 responses
- Over 22,000 comments
- Independent focus groups

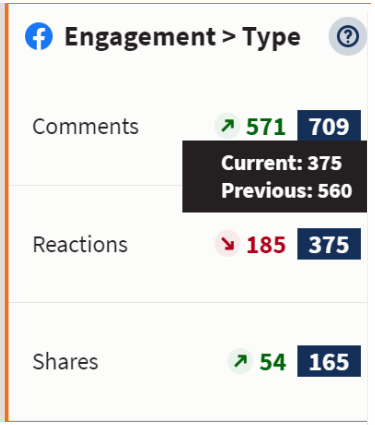


Build confidence and provide support: social media

City of York Council
45.1K Tweets

DATE	MESSAGE	REACTIONS	COMMENTS	SHARES
City of York Council Mar 30, 12:34	We're looking at making some changes to recycling collections, to help you recycle even more ♻ Household waste (black bins) is not affected. We want to hear what you think! 📢 This simple survey takes 5mins to complete. 👉 www.york.gov.uk/consultations - closes on 11 May The graphics explain what the…	120	407	235





City of York Council
Mar 30, 12:58

We're looking at making some changes to recycling collections, to help you recycle even more ♻ Household waste (black bins) is not affected. We want to hear what yo…

10

York aiming to be carbon neutral by 2030

Build confidence and provide support: media

CITY OF YORK COUNCIL

YorkMix | YorkMix | Radio | More

Huge response to planned changes to York recycling – with bigger bins and fewer collections

10 May 2021 @ 6.29 pm in Environment
Chloe Laversuch - Local Democracy Reporter

YorkshireLive | EXAMINERLIVE | IN YOUR AREA | SOUTH YORKS LIVE | MORE

News › Local News › York

York recycling collections could be cut to just once a month

It's part of a plan to get people recycling more

SHARE | COMMENTS | By Chloe Laversuch, Local Democracy Reporter | 11:51, 26 MAR 2021 | UPDATED 12:03, 26 MAR 2021 | NEWS

THE PRESS

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NEWS
31st March

Have your say on changes to recycling collections in York

By Chloe Laversuch | @chloelaversuch
Local Democracy Reporter

Hits Radio | Schedule | Playlist | Presenters | Win | More

York's bin collections could move from fortnightly to every three weeks

It's all part of planned changes - but people still have time to have their say

York aiming to be carbon neutral by 2030

Build confidence and provide support:
next steps post consultation

- PR to thank everyone for their feedback, that even if we postpone the roll out of new containers their feedback is incredibly valuable and will be used. PR to include next steps
- Web content refreshed
- Executive meeting PR, social (ahead of 20 June)
- Social media

Build confidence and provide support:
next steps post Executive

Information packs (can be printed for libraries and West Offices) to include:

- FAQs
- Postcards
- Posters

Also update through:

- Regular email updates
- Virtual briefings
- Live Facebook Q&As
- Social media updates
- Our City

Build confidence and provide support:
some of the next steps for the changes

- Communications direct to residents
- Working with ward members to support them and provide advance information
- Printed communications
- Direct mail
- Advertising campaign – social media, broadcast, print and digital
- Stakeholder packs
- Marketing campaign including things like postcards and boosted social media

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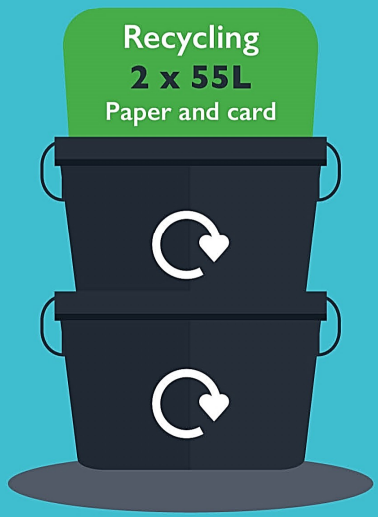
RECYCLING AND GREEN WASTE: Before and after

Before:

After:

+260L increase per year
collected every 3 weeks

+476L increase per year
collected every 3 weeks



+680L increase per year
collected every 3 weeks

Reduce.
RECYCLE

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Executive **24 June 2021**

Report of the Chief Operating Officer
Portfolio of Executive Member for Finance & Performance

Future of Medigold element of CYC approach to Absence Management

Summary

1. In September 2019 City of York Council, in response to comparatively high sickness rates and feedback from senior managers about existing sickness processes, introduced a new sickness process in conjunction with a company called Absentia which is known throughout the organisation as Medigold / DayOneAbsence. This project was funded up to 180k over the two years with money from the Venture fund.

2. Understanding the impact of the Medigold processes has been significantly affected by the impact of Covid on the sickness landscape, whether this has been the raising of the profile and impact of sickness on the workforce, or the increase of homeworking and reduced travel to work, and the data in this report must be seen in this light.

3. The original term of the Medigold contract is for a period of 24 months, taking the organisation up to September 2021, and this paper has been written to give Executive;

- An overview of the updated sickness processes that have been put in place,
- Feedback from across the organisation on the Medigold process, impact on sickness rates,
- Options for future sickness processes and this contract.

Recommendations

4. Executive are asked to approve:

The extension to the contract with Medigold for 1 year so that a full assessment of the benefit can be made, at a cost of £90k.

Background

5. Sickness rates in City of York Council have been above the public sector benchmark over the last ten years, and whilst there will be anomalies with how sickness is measured and recorded between organisations, it has been recognised by CMT, Executive and Scrutiny that it was an organisational issue that needed to be tackled.

6. Pre-September 2019, the organisation had an embedded sickness process which put the onus on managers to take the initiative in various process steps and understand the various teams, departments and processes that were in place to support them. This is not to say these historic practices were poor processes, more that it had been several years since they had had an overhaul, and outside of monitoring of sickness rates, did not have quality assurance processes inbuilt to make sure that processes, and paperwork, were completed in a timely fashion.

7. During 2018 and 2019 the organisation sickness rate increased, and alongside the changing nature of the CYC workforce which saw an increase in new manager starters within both the establishment and non-establishment positions, it was determined that a "new" process would be looked at to support managers.

8. This was discussed in detail internally, and externally at Executive and Scrutiny, with a commitment made to set aside significant budgetary resources to support, and train, managers and employees to tackle sickness levels. Tackling sickness is seen as a key tenet of the organisation's Organisation Development plan.

9. A number of models for dealing with sickness were considered, all of which are still applicable, and none of which are standalone i.e. all could be completed alongside each other;

    - External Call Centre and workflow processes - This in effect is the Medigold model, whereby the responsibility for recording sickness remains with the employee, but now involves greater structure facilitated by Medigold process-driven systems, where issues are able to be constructively challenged and actioned. This process comes with additional benefits of being supported by systems solely dedicated to sickness which allow

for a series of "timed" processes and reminders, which aid managers in making sure all relevant processes connected to the individual's sickness case are carried out, as well as assisting the managers to deal with longer-term sickness issues.

- Improvement on processes with Itrent (CYC HR System) - Sickness processes on Itrent generally contain a series of basic/simple documents which record start/end dates for sickness and are processed by managers. This information is held within Itrent and it is the manager's responsibility to make themselves aware of any other actions that need to be undertaken.
- No change on systems - This scenario is where it was felt that existing systems and processes were already robust enough and it was manager and employee training on existing processes that was required.
- Improved training on existing processes - This solution is not system dependent and involves raising the profile of sickness across the organisation alongside clarity of support available to both managers and employees. These processes have always existed.
- Improved management information - This solution is not system dependent and involved increasing the availability of management information around patterns in an employee's sickness, alongside other employee information accessed via the KPI machine. Under the Itrent solution this would remain rather simplistic performance information showing sickness dates (start and end), whereas under the Medigold solution additional information could be provided around return to work interview timeliness, employees that had passed previously agreed end-points, sickness cases that had moved between managers etc.
- Improved connection between sickness and occupational health processes - Prior to 2019 discussions it had already been agreed that City of York Council was changing the supplier of these processes to HML Online, and there had been an ambition to align the Occupational Health process closer to sickness triggers. Further work could be considered to bring Occupational Health and sickness processes under the same supplier. The HML contract expires 2022.

10. A statistical target was made for the project within the original Executive report (October 2018) of a reduction of sickness by a third, but no baseline was agreed at this stage and in subsequent Executive discussions it was agreed that success would be reflected in;

    - A falling sickness rate which in time would be more comparable to the public sector average (8.5 days per FTE vs CYC rate of approximately 12 days at time of introduction)
    - Managerial feedback on improvements in sickness process.
    - Employee feedback on improvements in sickness process.
    - Improved timeliness in sickness activity being completed.

    Current Medigold Contract and Progress

11. During the spring of 2019, after a VfM tender process it was agreed to award a contract to Medigold for a period of 24 months commencing in the autumn. As this was a new type of business model for City of York Council, it was felt that initial focus should be the introduction of the call centre and recording system for managers and employees, and that training and support for HR procedures would come further into the contract lifespan.

12. Introduction and investigation with newly agreed sickness processes took approximately 3 months to organise, with input from wide range of internal stakeholders; CMT, HR, Department Leads, Business Intelligence and Business Support. In order to resolve a number of detailed legal scenarios, HR and Business Intelligence have worked in conjunction with Information Governance and Unions to resolve issues.

13. A key element of the overall project was to move City of York Council sickness processes to a digital process whereby records could be accessed, shared and analysed as necessary, and similar to the introduction of any IT system there were a number of early integration issues which were quickly dealt with.

14. Overall the introduction of the new system was a relatively smooth process, and an internal governance group has met on a monthly basis, with the supplier, in order to iron out any difficulties. The greatest challenge to date has been the early stages of the Covid pandemic when significant strains were put on a number of elements of the project; call centre staff availability, recording of

Covid information, requirements for daily sickness and Covid levels, training and clarity of processes for managers with staff whom were shielding etc., but through a strong client/supplier relationship the vast majority of these issues were able to be dealt with quickly, effectively and "behind-the-scenes" allowing the organisation to focus on resourcing pressures arising from the lockdown.

15. Having a "real-time" sickness process in the form of Medigold, compared to Itrent, has allowed CYC to respond to the Covid pandemic in a way that it would have been previously unable to. Levels of absence were able to be checked on an hourly basis during the pandemic, allowing managers to have an oversight of their wider workforces, and data could be used to prioritise where levels of sickness were rising rapidly using an evidence base, rather than anecdote. The organisation was able to quickly change recording of Covid cases, and get advice out to its workforce, alongside bringing in processes for recording and managing shielding. Although some of the required changes could possibly have been made within the previous paper forms / Itrent processes, it is unlikely that these would have been able to be introduced "at speed" due to the non-digital nature of these processes, and would not have had any "real-time" element.

16. In order to maximise the "value" of the Medigold agreement, HR has designed a number of its internal processes around the data and information that is created, and this allows HR to work with managers where;

- Triggers have been met but no action taken;
- Track the progress of return to work interviews making sure complete and of sufficient quality;
- Track individuals whom have passed sickness "end" dates;
- Close sickness cases which should no longer be open.

17. The majority of newly created information from Medigold is now embedded within corporate data and information products used within performance forums across the council, whether this be sickness trends by volume and type, timeliness of RTWs, or outstanding actions that are required. There is further work to complete in this area as the organisation's structures evolve.

18. The Medigold project and process has undergone a number of rounds of scrutiny with initial discussion on the project taken place at Executive (November 2018), a call in of the project at CSMC

(January 2020), and regular updates on the project within the Council's finance and performance monitors at quarterly Executive (throughout 2020).

19. The initial terms of the Medigold contract were to be reviewed at April 2021, with a planned closure at September 2021. At present discussions on future costs with the supplier have not taken place, although it is likely that yearly costs will remain at similar levels to previous (approx. 90k). At present CYC pay for this contract, based on the establishment headcount, and if the organisations headcount was to significantly reduce/grow this would obviously affect monthly costs.

20. In outline discussions with procurement colleagues, it is likely that if the Medigold contract was to continue for one year, the organisation would need to undertake a waiver process.

Supporting Processes – Manager Training

21. On system launch, comprehensive training was delivered by the Medigold Team to over 85% of CYC managers. The training equipped managers with the information and guidance needed to support the wellbeing of the teams that they manage and the visibility of real time information. This has been followed with further sessions over the last 18 months for new managers.

22. In October 2020, the toolkit for managers was enhanced by introducing the stage management element of the system. Medigold, in conjunction with the HR team, delivered further training to support the functionality. Medigold training will continue throughout 2021, capturing new starters and an online training video is also available by way of refresher.

Supporting Processes - Models of Data Integrations and Processes

23. In order to introduce the Medigold system a wide range of data transfers and integrations, alongside a complex set of rules for data storage and information governance has had to be put in place. These integrations, in effect, move sensitive personalised data, securely, between the Councils HR system (Itrent), and the Medigold portal, using the data warehouse capabilities which are built around the Councils KPI machine and covers individual records, and notifications based on certain types of sickness.

24. There are a number of automated processes to make sure that employee, manager, and hierarchy held in Medigold are kept in line with the Itrent system, and this has assisted the organisation in identifying errors with employee records, new individual setup, and managerial structures when staff leave. Processes have been put in place for Non-establishment managers to work within the Medigold structure.

25. A number of complex issues in the data processes have caused minor issues over the last year but time has now been invested to solve these. Examples of these are types of Covid recording being added to the categorisation of sickness, the Medigold structure being co-terminus with the Itrent structure, and immediate automated notifications for HR when Covid cases are reported.

26. The Council, through robust information sharing agreements, is storing a significant amount of sickness details and ongoing management action on the Medigold system. There are currently procedures in place to move, retain and delete information for when an employee leaves the organisation. If a decision to not continue with the Medigold system is made then a series of actions will need to be undertaken to transfer these records back safely to the organisation and store appropriately.

Managerial and employee feedback on Medigold processes

27. At the start of 2021, a survey of employees and managers was undertaken to gain further feedback around the Medigold process, with 82 managers and 336 employees participating. Whilst we appreciate these numbers are only a sample of overall users, the results seem to reflect the anecdotal evidence we receive.

28. Overall, results indicate that the service has been positively received, but that there is around 1/3rd of the organisation staff who have not needed the process (and question why it was there), and around 15% of staff whom feel that it does not provide assistance in managing sickness.

29. Key patterns from the manager element of the survey suggest that whilst well received, continual ongoing work is required in making sure managers understand organisational process, and that although in some areas there is a relatively high percentage of managers whom “disagree” this is connected to not having to use

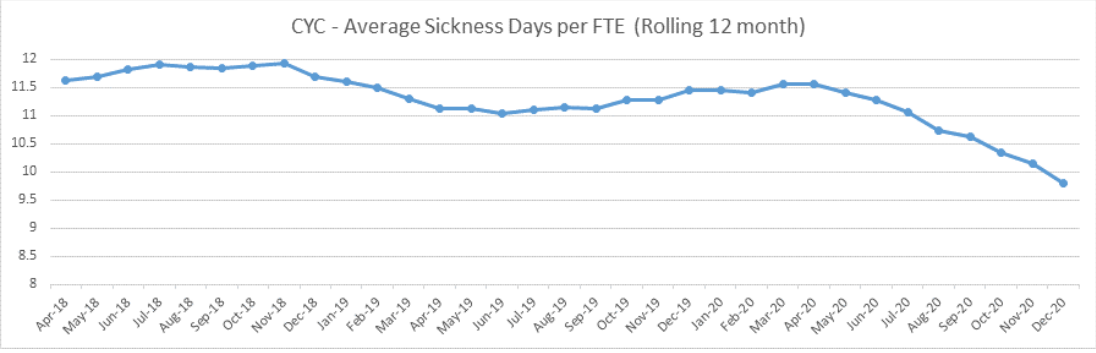
the service, as no members of their team, or direct reports have been off work sick;

- 89% of managers agreeing they receive timely notifications of sickness (2% disagree);
- 47% of managers agreeing that it allows them to manage their staff in more detailed and timely manner (22% disagree).
- 67% of managers agreeing they understand the emails and actions required (21% disagree)
- 57% of managers know whom to contact in HR for support (32% disagree)

30. Key patterns from the employee's element of the survey suggest that the "process" of Medigold worked well, but that they did not see the benefits to them as an employee. This is understandable as it is a transaction process to record absence.

- 64% of employees felt it was easy to phone their sickness through Medigold (17% disagreed)
- 57% of employees felt it easy to close their absence (21% disagreed)
- 67% of employees felt calls were answered in a timely manner (14% disagreed)
- 25% thought the service was beneficial to them as an employee (34% disagreed)

<u>Current sickness patterns</u>



31. Although a myriad of factors at play, mainly due to Covid impact, statistically sickness levels across the authority have been consistency reducing since the start of 2020. At present there is no new "public sector benchmark" for sickness levels, but at current

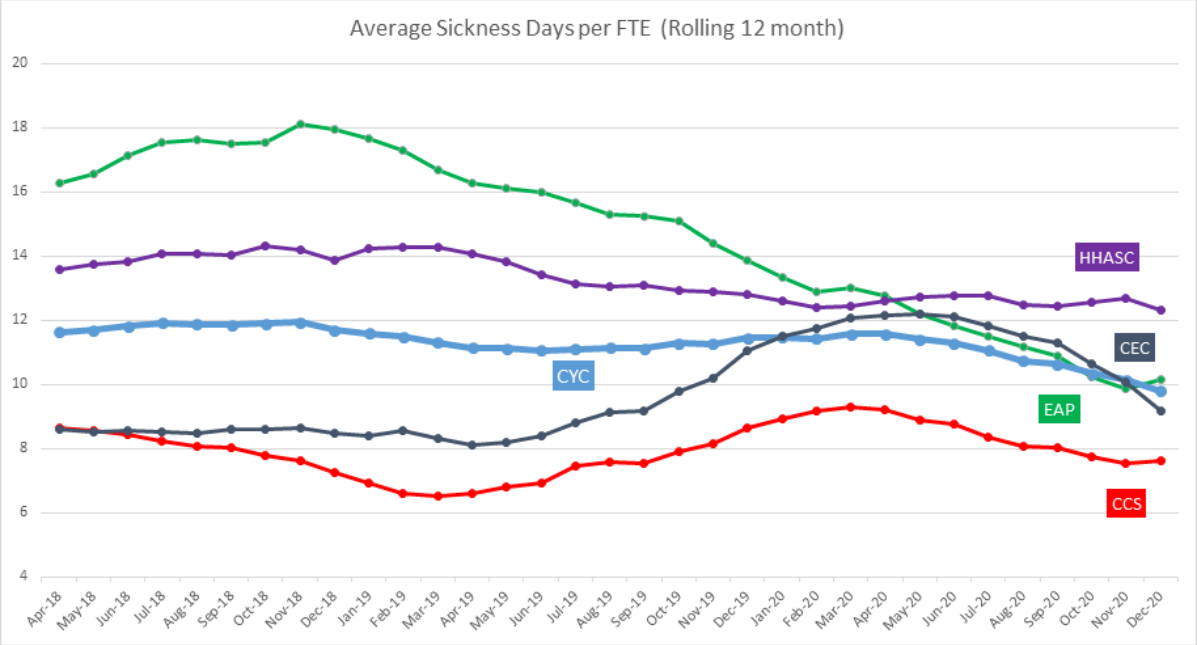
trajectory, CYC is likely to reach the previously stated "8.5 day per FTE" figure by around December 2021.

32. On introduction, September 2019, the sickness level sat at 11.2 days per FTE and at the last validated figure in December 2021, 9.7 days per FTE. Whilst cost avoidance, not cost saving and although a crude calculation, in the six months pre the introduction of Medigold, sickness was costing the organisation approx. £215k per month in salaries, and based on the latest figure (December 2020) has cost the organisation £187k, with some of the summer months in 2020 being as low as £140k. The monthly costs of sickness is likely to keep reducing based on overall sickness trajectory.

33. It was envisioned on the introduction of the Medigold systems that under-reporting in a number of areas would be brought to the surface, and whilst data was affected by the start of the pandemic, rises in sickness rates in the six months from introduction were seen especially in the CEC department.

34. Covid has changed the pattern of sickness in the authority, but this has tended to occur only at start of the national lockdowns where the number of people whom are "unavailable to work" has risen dramatically, but then returned to normal levels in the period 3-4 weeks after the start of the lockdown. Examples of this are that City of York Council over the past couple of years, usually has around 140 individuals out of its 2,500-2,600 headcount whom are unavailable to work for sickness. At the start of the first lockdown in March 2020, this figure rose to 330 individuals and in second national lockdown in January this figure rose to around 200 individuals. The current number of individuals unavailable to work at end February 2021 is 85.

35. The flexible working arrangements, including working from home, may have also contributed to the reduction in absence figures.

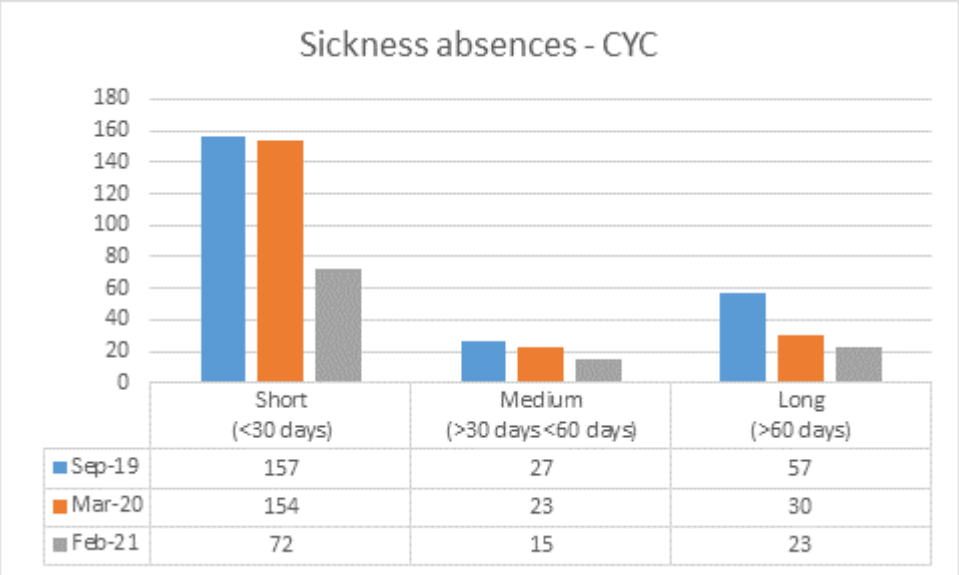


36. Sickness rates have reduced across all areas of CYC with;

- EAP - Seeing the largest reduction of any of the directorates, which was a continuation of the trend that had started 9 months previously when focussed activity was taking place at individuals whom were either off long-term sick or had passed triggers.
- CCS - Seeing a rise in sickness figures upon introduction of the Medigold system which have now reduced to Sep 2019 levels. This department has historically had lower levels of sickness connected to "office-based" activities.
- CEC - Upon introduction, sickness levels rose dramatically as a combination of COVID activity pressures and significant under-reporting in service. After six months of the new processes sickness figures started to fall, and this has continued in to 2021, with CEC predicted by summer to be the department with the lowest sickness rates in the authority.
- HHASC - Seeing a relatively stable level of sickness within the directorate, where due to Covid it would probably expect to have significantly risen.

37. The introduction of Medigold has created the circumstances for a greater tracking and performance culture of longer-term sickness cases. The graph below shows the total numbers of individuals off sick on the last day of the month grouped in to short, medium and long-term sickness. The number of individuals in CYC whom have

been off for more than 60 days now stands at 23, and the ability to evidence interventions, and follow through actions in a timely fashion to support these individuals, has had the greatest impact on the overall sickness figure.



	Short (<30 days)	Medium (>30 days<60 days)	Long (>60 days)
Sep-19	157	27	57
Mar-20	154	23	30
Feb-21	72	15	23

38. In the period October 2020 to February 2021, the Medigold system has recorded approximately 3500 cases of sickness, all of which will have been subject to a phone call, notification email, reminder, closure and return to work processes.

39. At 1st April there were 70 return to work documents that have not been completed since the introduction of Medigold (out of 3500) and around 11 absences which have overdue dates (out of approx. 100). The knowledge of these cases means that managers can have further requests sent to them to complete the process, and embedded issues can be dealt with within performance settings. The HR team also monitor this data and contact managers direct, provide real time support.

Options

40. As per previous sections, the organisation has to make a decision about whether it is able to continue with the Medigold contract and the viability of this in the current environment. The options available to City of York Council are;

    - Option 1: Continue with Medigold agreement for a further year to assess the impact on sickness figures and the benefits

- Option 2: Go to market for similar supplier and negotiate lowest possible cost
- Option 3: Return to original model around Itrent
- Option 4: Return to original model around Itrent with additional resource in HR

Analysis

41. Option 1: Continue with Medigold agreement and negotiate lowest possible cost

	Year 1 Costs (est.)
External	£90k
Internal	BAU

- The option to extend for a further year allows a full assessment of the benefit of the system and any future implications without being in a global pandemic. The rest of this section applies whether it's a one year extension or to agree a longer period.

- This option is likely to have the greatest ongoing impact on sickness levels, create the least disruption to the organisation on changes in process and re-training, but is also the most costly of the options, and that over the long-term creates little opportunity to reduce costs.
- The Medigold contract is currently priced on a per head basis (based on the headcount in ITrent of establishment employees), and would be able to flex as the organisation evolves. Now that processes are embedded, CYC would look to see a small cost-reduction within the contract.

- The long-term future of ITrent is currently back in a "holding pattern" due to the costs of system change, but if this situation changes, the majority of functionality within the web-forms process of Medigold could be included within the specification.

42. Option 2: Go to market for similar supplier and negotiate lowest possible cost

	Year 1 Costs (est.)
External	£90k+
Internal	£40k

- Similar to Option 1, but CYC would go back to the "market" to look at the delivery and financial viability of other suppliers. As the procurement of the Medigold process took place in 2019 it is unlikely that there will be better VfM suppliers available, and even if found these would probably be offset against the costs of changing suppliers.

- Additional internal resource would be needed for 3 months to 'change' systems and ensure data transfer and processes are in place.

43. Option 3: Return to original model around Itrent

	Year 1 Costs (est.)
External	£0k
Internal	£40k

- This option would see City of York Council return to the manager driven paper-processes that previously existed, whereby individual managers would be responsible for managing sickness cases with little corporate oversight and supporting workflow processes.
- Costs to an external supplier would no longer exist, but a small staffed project would need to be put in place to; update Itrent paper forms in light of Covid, train/remind the organisation of previous processes and responsibility, re-establish the self-service recording functions currently "offline" in Itrent and de-commission Medigold and supporting data infrastructure, and finally move back records of live cases from Medigold to Itrent (historic records are already moved back weekly). It is estimated that this work would take a small project team around 3 months and therefore this work would need to be commenced by June 2021
- In order to move back "safely" to previous processes a small amount of dual running of processes maybe required and therefore suggested that this would be completed on a directorate by directorate basis.

44. Option 4: Return to original model around Itrent with additional resource in HR

	Year 1 Costs (est.)
External	£0k
Internal	£83k

- As Option 3, but with a role/post put in to HR to provide additional support to managers around the "Return to Work processes" and complex sickness scenarios.

- In October 2018, CYC had proposed an option of a much larger internal team, however as we have progressed over the past 18 months with Medigold, and sickness rates have fallen we are recommending a smaller internal team. This is proposed as a grade 6 Well Being Officer 1 FTE and grade 4 Administrator at 0.5 FTE.

45. Views have been sought of CMT and the general consensus is that changes have assisted staff and mangers on understanding the CYC sickness process, the independence of Medigold appears to have a positive behavioural impact on staff, particularly front line staff who have access 24/7 but, despite the training, more work may be needed to reach small pockets of managers whom are resistant to change.

46. CMT have considered the options and recommend that Option 1 is progressed. That we continue with Medigold for one year to assess the benefits outside of a global pandemic.

Consultation

47. Consultation with scrutiny committee took place on 12 April, as they have an ongoing interest in staff wellbeing and absence rates. Consideration was given to scrutiny's preferred option, with some preference expressed for either Option 1, in light of the understanding that a longer term contract under the existing arrangement was likely not to be sought, or otherwise Option 4.

48. Staff and Managers who have used the process have been surveyed and we have used those results as a basis to ask to extend and also to make improvements to the service.

49. The trade unions confirm that they have had no issues raised by staff regrading Medigold and in some areas, frontline, they have welcomed the telephone line and its accessibility. They have also

welcomed the real-time information and especially in the global pandemic the ability to know what is going on with staff immediately, to support track and trace.

Council Plan

50. The information outlined in this report is in line with the Council Plan and the Organisational Development plan where the Health & Wellbeing of staff is a priority.

Implications

51. There are a number of implications depending on the option proposed to progress with.

Financial

52. The financial implications have been shown within the report. For year one only the table below shows the comparable costs of the 4 options

	Option 1 1yr extension	Option 2 Multiyear to market	Option 3 Return to in-house no enhancement	Option 4 Return to in-house additional support
Year one est cost	£90k	£130k	£40k	£83k

53. The recommended option 1 can be accommodated within existing budgets in the current year.

Human Resources (HR)

54. There are a number of HR implications depending on the option chosen. For option 1 there are only minor implications as the current practices are continuing.

55. Options 2, 3, and 4 will mean a change in practice and hence retraining of managers and staff.

Equalities

56. There are no equality implications.

Legal

57. There are a number of legal implications depending on the option chosen. Options 1 will require officers to submit a waiver request. If waiver approval is obtained, the existing contract with Medigold will need to be varied to reflect the new arrangements. Extending the original contract term brings with it the risk of procurement challenge due to the increased contract value. Legal and procurement support will be needed for Option 1.

58. Option 2 will require procurement and legal involvement to ensure the process to appoint a new supplier complies with the council's policies, contract procedure rules and UK public procurement legislation (where relevant).

59. Options 3 and 4, there are limited legal implications as the contract with Medigold will expire automatically. However, there will be issues to work through regarding the data transfer and ensuring we are compliant with data governance.

Crime and Disorder

60. There are no implications.

Information Technology (IT)

61. The current system is externally hosted and provides a data transfer both ways between CYC and the provider. Depending on the options there will be some Business Intelligence support required to ensure the data transfer.

Property

62. There are no implications.

Risk Management

63. There is a risk to the council to ensure that absence management is managed appropriately and staff are supported to enable a safe return to work. This includes have the right systems, processes and trained staff in place.

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Report Approved √ **Date** 20.05.21

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Wards Affected: *List wards or tick box to indicate all* **All** √

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Annexes

None

List of Abbreviations Used in this Report

BAU	Business As Usual
CCS	Customer and Corporate Services
CEC	Children, Education and Communities
CMT	Corporate Management Team
CSMC	CCS Scrutiny Management Committee
CYC	City of York Council

EAP	Economy and Place
FTE	Full Time Equivalent
HHASC	Health, Housing and Adult Social Care
HML	Health Management Ltd
KPI	Key Performance Indicator

Executive **24 June 2021**

Report of the Director of Governance
Portfolio of the Leader of the Council (Policy, Strategy and Partnerships)

Merger of York Coroner Area with North Yorkshire County Council Coroner Areas

Summary

1. A report was considered by Executive on 17 January 2019 to explore merging coroner areas with North Yorkshire. This report seeks approval to submit a merger request to the Chief Coroner and the Ministry of Justice.

2. North Yorkshire County Council's Executive agreed on 29 January 2019 to consider opening merger discussions with City of York Council.

3. The key driver for this is to improve standards of service. The Chief Coroner has a very clear view that larger coronial areas are more effective, allowing a senior coroner to manage work effectively, giving support staff the opportunity to work as part of a wider team providing enhanced support, resilience and a consistent service for relatives. Inquests would continue to be held in current locations, and would not be centralised.

4. In the event that approval is given for the submission of a merger request to the Chief Coroner and the Ministry of Justice, it is envisaged that the assessment and consultation process could be concluded within a 4-6 month time period.

Recommendation

5. Executive Members are asked to:

   a. Approve the submission of a business case to the Ministry of Justice and Chief Coroner seeking permission to merge the existing City of York Council coroner area and the North Yorkshire County Council coroner areas into one area;

   b. Approve the proposed Service Level Agreement with North Yorkshire County Council and to delegate to the Chief Operating Officer (in

consultation with the Director of Governance or her delegated officers) the authority to take such steps as are necessary to enter into the resulting agreement.

Reason: This would improve resilience and efficiency, with minimal financial impact and be in line with the Chief Coroner's Guidance.

Background

6. The coroner service is an anomalous service within local authorities. Local authorities are responsible for the appointment and payment of the coroner and meeting all costs of the service. This includes the cost of the provision of mortuaries, pathology services, forensic testing, and inquests.

7. Coroners are independent judicial post holders and are not employees of the local authority. All appointments of coroners have to be agreed with both the Chief Coroner and the Ministry of Justice, and they effectively have a veto on any arrangements that do not meet their approval. Local authorities cannot remove or dismiss coroners.

8. At local government reorganisation in 1996 the coroner areas were divided into three: North Yorkshire East (Scarborough, Ryedale and Hambleton); North Yorkshire West (Richmondshire, Craven, Selby and Harrogate) and York. Each area had a part-time senior coroner, based in different offices, with separate support arrangements.

9. All three part-time senior coroners have now retired and City of York Council *and* North Yorkshire County Council appointed a joint Senior Coroner from 1 October 2020, in consultation with the Chief Coroner and the Ministry of Justice. The new joint Senior Coroner is responsible for the three separate coroner areas. If the areas merge, he would take responsibility for the new merged area.

10. Previously, the part-time areas were staffed by senior coroners as follows:

    a. City of York Council two days per week;
    b. North Yorkshire East three days per week:
    c. North Yorkshire West three days per week;

11. This equates to a workload of eight days per week. The new senior coroner covers five days of this workload and the remaining three days are currently shared across four assistant coroners. Two assistant coroners have indicated a wish to reduce their workload, and a recruitment exercise was recently undertaken to appoint three additional assistant coroners.

12. The use of assistant coroners is very flexible as they are paid per session, with a minimum commitment of 15 days per year across all coroner areas they work for (many work for several coroner areas so this is a minimum commitment on our part). Assistant coroners are also used to cover long inquests and senior coroner absence.

13. The Chief Coroner has published guidance to local authorities on how to organise the coroner service (see Annex 1 – Chief Coroner's Guidance Note 14 - Merger of Coroners Areas). The guidance states that:

    a. It is the Chief Coroner's view that the number of coroner areas should be reduced in order to create sensibly sized coroner areas, taking into account the numbers of reported deaths, geographical size and types of coroner work in the area

    b. There are many part-time coroner jurisdictions which are too small for effective management and cost-efficiency (the Chief Coroner believes that York, North Yorkshire East and North Yorkshire West fall into this category)

    c. In many cases 3,000-5,000 reported deaths would be an appropriate number for a coroner jurisdiction, our deaths are slightly lower than this at 1844 but the Chief Coroner still wishes us to merge into a single area.

14. Schedule 2 of the Coroners and Justice Act 2009 gives the Lord Chancellor the power to make orders altering coroner areas. To date all mergers have been made by agreement.

15. Where a new coroner area is created, it must consist of one or more whole upper-tier local authority areas.

16. In 2014, when York's part-time senior coroner retired, City of York Council was asked to consider a merger with Hull & East Riding, which the acting York senior coroner and the North Yorkshire Police (NYP) did not support. City of York Council's refusal was upheld on the understanding that it would explore a merger with North Yorkshire County Council when the remaining North Yorkshire senior coroners retired.

17. In 2020 there were 571 deaths in the York coroner area, 614 in the East area and 659 reported deaths in the West area. This gives a total of 1844 deaths, which the Chief Coroner sees as an appropriate size for a single coroner jurisdiction.

18. It is now possible for City of York Council to merge coroner areas with North Yorkshire County Council, as North Yorkshire is considering the prerequisite step of merging East and West areas, due to the retirement of the both of

their senior coroners. If North Yorkshire County Council merge East and West areas, then York would merge with this new area to make a single York and North Yorkshire coroner service.

19. To merge coroner areas the local authority has to apply to the Lord Chancellor with a business case for the merger. Before doing so it should consult with the Chief Coroner. The Chief Coroner and the Ministry of Justice have seen the draft business case and are happy for us to proceed to formal application.

Consultation

20. A merger of the areas will require detailed assessment and joint proposal by the City of York Council and North Yorkshire County Council and consultation with the Chief Coroner and the Ministry of Justice, and a detailed draft business case has been developed by both Local Authorities.

21. The Chief Coroner and the Ministry of Justice have asked us to open these merger discussions, and have approved our draft business case.

22. The senior coroner and North Yorkshire Police are in favour of the proposed merger.

23. On 28 April 2021, using emergency delegated powers due to the COVID-19 pandemic, North Yorkshire County Council's Chief Executive, in consultation with the Executive Member with responsibility for the coroner service, agreed:

    a. Subject to formal approval by the City of York Council, to submit the business case to the Ministry of Justice and Chief Coroner seeking permission to merge all three existing coroners' areas into one area.

    b. Subject to formal approval by the City of York Council, to approve the proposed Service Level Agreement with the City of York Council.

Options

24. There are two options:

    1) To seek permission from the Chief Coroner to remain as a separate area – which goes against his specific request that we merge areas, and is therefore not recommended.

    2) To formally apply to the Chief Coroner's office and Ministry of Justice to merge the York and NYCC coroner areas –in line with the wishes of the

Chief Coroner, the Ministry of Justice, the joint Senior Coroner, the North Yorkshire Police and the local authority officers.

Analysis

Option 1: to seek permission to remain a separate area:

25. Advantages:

- Perceived as a local service for local people.

26. Disadvantages:

- It would be difficult to find sufficient reasons to justify departing from the preference of the Chief Coroner and the Ministry of Justice and would be unlikely to gain their support.
- In practical terms a single senior coroner covers both York and NYCC areas; administration is provided by central team; police support is provided by central team.

Option 2: to apply to Chief Coroner's Office and Ministry of Justice to merge the York and North Yorkshire coroner areas.

27. Advantages:

- A more resilient and consistent service for the bereaved.
- Better working practices for the senior coroner, North Yorkshire Police and City of York Council and North Yorkshire County Council.
- Supports the Chief Coroner and Ministry of Justice plan to merge small coroner areas into larger areas.
- Enables the senior coroner to cover the areas more efficiently, formalising current arrangements.

28. Disadvantages:

- Possible disadvantages might be pressure to establish a single venue for inquests, although this is not planned and is opposed by the senior coroner. Being able to offer a choice of inquest venues to families (rather than just York) would actually improve the current position for the bereaved since not all deaths in York are of York residents.

Council Plan

29. The proposal to merge the Coroner areas will assist in the Council's priority of a prosperous City for all by seeking to improve a resilient and effective Coroner Service for citizens.

Implications

30. All relevant implications of the proposals have been considered.

- **Financial**

  It is estimated there will be a small cost reduction to City of York Council from merging the two North Yorkshire areas and reducing controllable spend. However as the Coroner budget has been under pressure from above inflationary pay awards in recent years, there will not be a budgetary saving.

- **Human Resources (HR)**

  No CYC staff are affected, and there are no HR implications.

- **Equalities**

  An initial Equalities Impact Assessment has been carried out by NYCC and the impact is summarised as follows:

  The coroner service responds to all deaths within its jurisdiction regardless of protected characteristics and the service is sensitive to differences in culture associated in particular with differences of race or religion and belief. Certain groups with a protected characteristic could be expected to be disadvantaged if families were expected to travel further to attend inquests. This would be especially true for older people or people with a disability. However, inquests will continue to be delivered locally wherever possible and desirable and individuals should not see any change in the service as a result of the change in jurisdictions.

  Therefore North Yorkshire County Council considered a full Equalities Impact Assessment is not required for the merger of the Coroner's areas, as it is proposed that inquests will continue to be held in the same venues as they are currently. City of York Council has carried out a better decision tool making assessment and this is attached at Annex 3. A merged coroner service will have a positive impact on the following human rights:

  - Right to a fair and public hearing
  - Right to respect for private and family life, home and correspondence

by reducing delays and offering a choice of inquest venues. The assessment shows that there will be no negative impacts caused by the merger of the services.

- **Legal**

  A service level agreement has been drafted to cover the merger of the services between York and North Yorkshire County Council and will be signed by both authorities before the proposed merger takes effect.

- **Crime and Disorder**

  No implications.

- **Information Technology (IT)**

  No implications – North Yorkshire and York coroner's service currently share a database system which is contracted by North Yorkshire County Council and does not use City of York Council systems. Data belongs to the coroner, not to the local authorities.

- **Property**

  No implications.

- **Data Protection**

  North Yorkshire County Council as the lead for the merger completed a Data Protection Impact Assessment which is included in Appendix B of Annex 2: Business case for merger of York and North Yorkshire coroner areas.

  City of York Council undertook their own screening assessment for whether a full DPIA was required both local authorities found that there was no requirement to do a full DPIA.

- **Risk Management**

  There are no known risks in relation to the recommendation in this report.

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Report Approved √	**Date** 11 June 2021

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Background Papers:

- Chief Coroner's Guidance no 14 Merger of Coroners Areas.
- 17 January 2019 Executive Report - Discussion with North Yorkshire County Council to Explore Merging Coroner Areas.
- CYC DPIA Merger of Coroner Services.

Annex 1: Chief Coroner's guidance no 14 Merger of coroner areas
Annex 2: Business case to merge York and NYCC coroner areas
Annex 3: Better decision making tool

CHIEF CORONER

GUIDANCE No.14

MERGERS OF CORONER AREAS

Introduction

1. The purpose of this guidance is to advise local authorities and coroners of the powers under the Coroners and Justice Act 2009 (the 2009 Act) to merge coroner areas.

2. The guidance is also intended to identify the consequences of a merger in terms of the appointment of a senior coroner for the newly merged area and the position of senior coroners (and area and assistant coroners) from the old areas merged together.

3. Having considered the provisions (including the transitional provisions) of the 2009 Act, particularly Schedules 2, 3 and 22, and the Coroners and Justice Act 2009 (Coroners Areas and Assistant Coroners) Transitional Order 2013, all of which came into force on 25 July 2013, the Chief Coroner sets out the following guidance.

4. This guidance has been discussed with the Lord Chancellor and its contents are agreed.

Coroner areas

5. When the 2009 Act came into force in 2013 all coroner districts in England and Wales became coroner areas automatically. The names of the districts became the names of the areas.

6. A local authority area may comprise one or more coroner areas. In some parts of the country a coroner area is coterminous with the area of a local authority, whereas in others it may be part only of a local authority area. A coroner area may also consist of the combined areas of two or more local authority areas, with one local authority taking the lead for coroner purposes as the relevant authority for the coroner area.

7. However, where a new coroner area is created by combining two or more old coroner areas (under powers of the Lord Chancellor in the 2009 Act), the new

coroner area cannot consist of part only of a local authority area. It must consist of a whole local authority area or more than one local authority area.

8. Where decisions are to be made about mergers of coroner areas or the appointment of a senior coroner for a newly created coroner area, in the case of a coroner area consisting of two or more local authority areas, the relevant authority must consult the other authorities before making a decision.

9. For the purposes of this guidance the local authority (whether a single authority or multiple authorities) will be referred to as the relevant authority.

Mergers of coroner areas

10. The Lord Chancellor may, after consultation, make orders altering coroner areas, either combining (merging) or dividing coroner areas.

11. The Lord Chancellor has no present plans for dividing coroner areas.

12. There are presently 95 coroner areas in England and Wales (with 87 senior coroners). It is the view of the Chief Coroner, following upon the recommendations of the *Luce Review* in 2003[1], that the number of coroner areas should be reduced in order to create sensibly sized coroner areas, taking into account the numbers of reported deaths, geographical size and types of coroner work in the area. In many cases 3,000-5,000 reported deaths would be an appropriate number, although smaller or larger areas may in places be appropriate. There are many part-time coroner jurisdictions which are too small for effective management and cost-efficiency.

13. In the short term mergers of coroner areas are only likely to take place with the agreement of all local authorities concerned. The Lord Chancellor must in any event consult with local authorities (amongst others) before ordering a merger. There is, however, no reason in principle why the Lord Chancellor should not in due course combine areas after consultation but without agreement where there is a clear case for merger.

14. Where a relevant authority wishes to merge one or more coroner areas into one larger coroner area it should apply to the Lord Chancellor with written reasons, providing a business case for the merger. Before doing so it should consult with the Chief Coroner. The Ministry of Justice has standard forms and specimen examples to help with the business case.

15. Where, following statutory consultation, the Lord Chancellor makes an order altering coroner areas by combining an existing coroner area with one or more coroner areas, the newly combined area will receive a new name from the Lord Chancellor.

16. As above, a newly combined coroner area cannot consist of only part of a local authority area. It must consist of a whole local authority area or more than one local authority area.

17. In considering a potential merger local authorities are encouraged to think carefully about the future of their coroner area(s), including sensible succession

[1] *Death Certification and Investigation in England, Wales and Northern Ireland: The Report of a Fundamental Review*, Cm 5831.

where appropriate for the post of senior coroner, and planning for the prudent development of their local coroner service in the interests of the public.

18. Where possible the relevant authority should state its intentions about the appointment of a new senior coroner in advance of merger. In this way senior coroners who may be affected by the merger will know in advance what is intended and can, if required, have discussions with the relevant authority about their future.

Appointment of new senior coroner

19. Where a new coroner area is created by the merger of one or more coroner areas (the old areas), the relevant authority must appoint a senior coroner for the new area. The appointment must be made within three months of the merger (or within whatever further period the Lord Chancellor allows).

20. The relevant authority responsible under the 2009 Act will appoint a senior coroner for the new coroner area in one of two ways:

    Option 1. - The relevant authority may appoint one of the senior coroners from the old areas.

    Option 2. - Alternatively, the relevant authority may appoint a senior coroner following an open competition. The competition will be open to all suitably qualified coroners.

21. In either case the appointment of the new senior coroner cannot be made without the consent of the Lord Chancellor and the Chief Coroner.

22. It will be a matter for the relevant authority to decide which option to choose, bearing in mind the matters set out below. The relevant authority may seek the views of the Chief Coroner or the Ministry of Justice but in the end it will be the relevant authority's decision.

23. If option (1) is chosen there will be no open competition.

    Option 1: Appointment from one of the senior coroners of the old areas

24. Relevant authorities are advised that option (1) should usually be the preferred option. It has the effect of preserving the status quo (in part at least), of allowing an existing coroner to remain in office and therefore not putting an existing coroner at risk of loss of senior coroner office in an open competition. It also avoids the possible payment of compensation for early retirement (see below).

25. But the relevant provisions of the 2009 Act do not provide automatic inheritance of the newly formed coroner area for the remaining coroner (where there is only one remaining). If two coroner areas are merged into one when one of the existing senior coroners retires, the other senior coroner has no entitlement as of right to become the new senior coroner. A new senior coroner must be appointed for the new coroner area and it will be a matter for the relevant authority as to how to proceed, with option (1) or option (2).

26. Where, therefore, the remaining senior coroner has had only limited experience as a senior coroner or where the merged area will be considerably larger (in terms of numbers of reported deaths) than the remaining coroner's current area,

the relevant authority may wish to consider the following points in deciding whether option (2) may be preferable:

- The extent of the experience of the remaining senior coroner. Whether that experience is a sufficient guide to their appointing him/her as senior coroner of a much larger coroner area or taking on a very different area profile eg prisons for the first time.
- Whether the public will have sufficient confidence in that person in the light of their experience.
- The likelihood that a good field of candidates will apply if a competition is held, so that the best candidate for the post can be appointed.

27. Where option (1) is chosen the relevant authority must be satisfied that their choice of senior coroner is a rational, fair and proportionate decision. The coroner so appointed may be over the age of 70 and/or not comply with the 5-year judicial appointment eligibility condition, so long as the coroner was in post as senior coroner for one of the old areas when the 2009 Act came into force. Against this legislative background local authorities are reminded that all coroners hold office on whatever terms they agree with their relevant authority.

28. Local authorities are reminded that senior coroners may only be removed from office by the Lord Chancellor (with the agreement of the Lord Chief Justice) for incapacity or misbehaviour. Local authorities appoint senior coroners but they do not employ them. **They cannot remove or dismiss senior coroners by merger of coroner areas or in any other way.**

29. Where, therefore, two or more areas are to be merged, the relevant authority must look carefully at the options in advance in order to achieve fairness for the senior coroners of the old areas.

30. There can only be one senior coroner in a newly merged coroner area. Merger of two or more coroner areas will therefore involve the loss of office of one or more senior coroners. If one (or more) retires leaving only one senior coroner from the old areas remaining, under option 1 that senior coroner will usually be chosen as senior coroner for the newly merged coroner area, subject to the necessary consents.

31. Where however there are two (or more) senior coroners from the old coroner areas, the relevant authority will apply one or more of the following alternatives -

    (1) Appoint one as the new senior coroner.
    (2) Allow one or more to retire.
    (3) Offer the other (or others) where appropriate the salaried post of area coroner for the enlarged area at no loss of salary, or
    (4) Pay agreed compensation for early retirement.

32. It is expected that the relevant authority will take all reasonable steps to accommodate a former senior coroner who is displaced from the post of senior coroner by this process.

33. The relevant authority would be well advised to consider these alternatives in advance of merger.

Option 2: Appointment following open competition

34. Where the relevant authority decides upon option (2), the relevant authority will apply one or more of the following alternatives -

(1) Hold an open competition. One or more senior coroners of the old areas may apply for the new post, as well as other candidates from within or outside the old coroner areas. The relevant authority appoints the best candidate after a full and open competition (subject to the necessary consents). See the Chief Coroner's Guidance No. 6 *The Appointment of Coroners*.
(2) Allow one or more senior coroners to retire.
(3) Offer the other (or others) where appropriate the salaried post of area coroner for the enlarged area at no loss of salary, or
(4) Pay agreed compensation for early retirement.

35. Where a senior coroner (or senior coroners) from one of the old areas applies but fails to win the competition, that senior coroner (or senior coroners) will be offered alternatives (2) – (4).

36. The relevant authority which decides on option (2) would be well advised to consider these alternatives in advance of merger.

Compensation

37. As a result of the process of merger, in particular in relation to option (2), one or more senior coroners from the old coroner areas may no longer hold the position of senior coroner. It is arguable that the displaced senior coroner (or senior coroners) is entitled to remain a salaried coroner (with no reduction in salary) but not entitled as of right to continue to hold the office of senior coroner. Be that as it may one of the alternatives in the process is to offer a displaced senior coroner from an old area a new position as area coroner in an enlarged merged area.

38. Another alternative is to offer and agree compensation for early retirement.

39. The amount of compensation will be a matter for the relevant authority. Local authorities will have their own established procedures for assessing compensation for loss of contract of employment which can no doubt be used in appropriate cases as a starting point for assessing loss of office. They will of course have to take into account the existing agreed terms and conditions between coroner and relevant authority and be mindful that senior coroners in post at the coming into force of the 2009 Act are not obliged to retire at the age of 70.

Area coroners and assistant coroners

40. Where two or more areas are merged the relevant authority of the new area, together with the new senior coroner, will have to re-assess the extent of the coroner team. Existing area coroners and assistant coroners cannot lose their posts just as a result of a merger. But the relevant authority is entitled to consider the needs of the newly merged area.

41. As the Chief Coroner's Guidance No. 6 *The Appointment of Coroners* provides, assistant coroners appointed after the coming into force of the 2009 Act should be appointed for an initial term of 12 months and thereafter for a renewable term of three years. For those who held these posts in the old areas, either as old or

new appointments, they should also be subject to renewable terms for posts in the new coroner area.

42. The Guidance also provides that assistant coroners who have not worked for three years should not be retained. That should apply to old and new areas.

43. Relevant authorities should always bear in mind that they can negotiate with all coroners for 'whatever terms are from time to time agreed' (paragraph 19, Schedule 3 to the Act).

Advice

44. In addition to receiving this written guidance local authorities or coroners may discuss any of these matters with the Ministry of Justice or the Chief Coroner's office at any time.

45. The Guidance of the Chief Coroner, Guidance No.6 *The Appointment of Coroners*, will be subject to this guidance and amended accordingly.

HH JUDGE PETER THORNTON QC
CHIEF CORONER

1 May 2014
14 January 2016 revised

Appendix A

Resource implications of the merger

Table A: Details of current Senior Coroners and Area Coroner/s (if applicable) in each existing coroner area as at 1st April 2020

Position *(e.g. Senior Coroner, Area Coroner)*	**First name**	**Surname**	**Current salary** *(including National Insurance and pension contributions)*	**Long Inquest Payments *(if applicable)* or other additional payments**	**Proposed salary in amalgamated area *(if applicable*)** *(including National Insurance and pension contributions)*
Senior Coroner North Yorkshire (West) and North Yorkshire (East)- from 1/4/19	Robert	Turnbull (retired 30th September 2020)	2019-20 107,100	2019-20 Nil	Not applicable
			2020-21 109,242	2020-21 Nil	
Senior Coroner North Yorkshire (East)	Michael	Oakley (retired as of 31/3/2019)			Not applicable
Senior Coroner City of York (Acting) Appointed 1st November 2018 Figures exclude payments by NYCC as an Assistant Coroner for 2 days a week	Jonathan	Heath	2019-20 60,000	2019-20 Nil	Not applicable
			2020-2021 62,000	2020-2021 Nil	

Table B: Office costs (2018/19)

Category	North Yorkshire	City of York	York and North Yorkshire
Area Coroner (York & North Yorkshire)- new position	Not applicable	Not applicable	56100 (0.6FTE)
Fees for Assistant Coroner(s)	86,830	6,000	6,000
Salary costs of Coroner's officer(s) *(including National Insurance and pension contributions)*	Employed by North Yorkshire Police. Figures available on request	Employed by North Yorkshire Police. Figures available on request	Employed by North Yorkshire Police. Figures available on request. No change is anticipated as the coroner's officers currently serve all 3 existing areas
Salary costs of administrative staff *(including National Insurance and pension contributions)*	40000	20000	60000
Staff accommodation	17,000	6,000	23,000
Inquest accommodation	12,750	7,400	12,000
IT costs (Coroner software only) **Updated for WPC**	14,385	4,795	19,180
Post mortem/Pathologist costs etc.	283,000	157,300	440,300

Category	North Yorkshire	City of York	York and North Yorkshire
Hospital Costs	322,000	61,050	383,100
Undertakers removals	90,900	7,600	98,500
Other costs?	19,350	4,300	23,650
Total	1,020,373 (note includes the office costs hence higher than budget costs)	289,065	1,293,294

Note table uses salary costs for 2020/21 but actual other costs for 2019/20 (except WPC software costs)

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Sent	Designation	Title	First Name	Surname	Position	Add 1
	MPs					
	MP North Yorkshire	Mr.	Andrew	Jones	MP	Harrogate & Knaresborough
	MP North Yorkshire	Mr.	Rishi	Sunak	MP	Richmond
	MP North Yorkshire	Mr.	Robert	Goodwill	MP	Scarborough & Whitby
	MP North Yorkshire	Mr.	Nigel	Adams	MP	Selby & Ainsty
	MP North Yorkshire	Mr.	Julian	Smith	MP	Skipton & Ripon
	MP North Yorkshire	Mr.	Kevin	Hollinrake	MP	Thirsk & Malton
	MPs - York Central	Ms.	Rachael	Maskell	MP	York Central
	York Outer	Mr.	Julian	Sturdy	MP	York Outer
	Chief Executives					
	North Yorkshire	Mr.	Richard	Flinton	Chief Executive	North Yorkshire Council Council
		Mr	Neil	Irving	Assistant Director-Policy partnerships and Communities	North Yorkshire Council Council
	York	Mr	Ian	Floyd	Interim Chief Executive	City of York Council
		Ms.	Jane	Milthorp		City of York Council
		Ms.	Janie	Berry	Director of Governance	City of York Council
	Ryedale	Ms.	Stacey	Burlet	Chief Executive	Ryedale District Council
	Scarborough	Mr.	Mike	Greene	Chief Executive	Scarborough Council
	Selby	Ms.	Janet	Waggott	Chief Executive	Selby District Council
	Craven	Mr.	Paul	Shevlin	Chief Executive	Craven District Council
	Hambleton	Mr	Justin	Ives	Chief Executive	Hambleton District Council
	Harrogate	Mr	Wallace	Sampson	Chief Executive	Harrogate Borough Council
	Richmondshire	Mr	Tony	Clark	Chief Executive	Richmondshire District Council
	North York Moors National Park Authority	Mr	Tim	Hind	Chief Executive	North York Moors National Park Authority
	Yorkshire Dales National Park Authority	Mr	David	Butterworth	Chief Executive	Yorkshire Dales National Park Authority
	North Yorkshire Fire & Rescue Service	Mr	Andrew	Brodie	Chief Executive	North Yorkshire Fire & Rescue Service
	Police					
	Office of the Police, Fire & Crime Commissioner	Sir/Madam			Commissioner	12 Grandby Road
	Chief Constable North Yorkshire	Ms.	Lisa	Winward	Chief Constable	North Yorkshire Police
	Safeguarding	Superintendent	Allan	Harder	Safeguarding, North Yorkshire Police	North Yorkshire Police
	Senior Coroners Officer	Ms.	Rachel	Davies	Senior Coroners Officer	North Yorkshire Police
	National ACPO lead- Chief Coroner to supply?					
	Other					
	Superintendent Registrar (NYCC)	Mr	Robin	Mair	Superintendent Registrar	Library HQ
	Superintendent Registrar (CYC)	Ms	Amanda	Sykes	Superintendent Registrar	
	Coroners Court Support Service	Ms.	Roey	Burden OBE	Board of Trustees Hon. Secretary & Founder of the CCSS	Victoria Charity Centre
	HM Askham Grange Prison	Ms	Susan	Howard	HMP YOI Askham Grange	Askham Richard
	Neighbouring Coroners Areas					
	Teesside	Ms.	Clare	Bailey	HM Senior Coroner	Teeside
	County Durham & Darlington	Mr.	Jeremy	Chipperfield	HM Senior Coroner	County Durham & Darlington Coroner Area
	West Yorkshire East	Mr	Kevin	McLoughlin	HM Senior Coroner	West Yorkshire Eastern Coroner Area
	West Yorkshire West	Mr	Martin	Fleming	HM Senior Coroner	West Yorkshire Western Coroner Area
	Hull & East Riding	Professor	Paul	Marks	HM Senior Coroner	Hull and the East Riding of Yorkshire
	Lancashire	Dr	James R H	Adeley	HM Senior Coroner	Lancashire & Blackburn with Darwen

	Cumbria	Ms.	Kelly	Cheema	HM Senior Coroner	Cumbria
	South Yorkshire (East)	Ms.	Nicola	Mundy	HM Senior Coroner	South Yorkshire (East)
	North Yorkshire County Council	List of county councillors can be supplied upon request				County Hall
	City of York Council	List of councillors can be supplied upon request				
	North Yorkshire & York Coroners					
	Jon Heath	Mr	Jon	Heath	HM Senior Coroner York & North Yorkshire	c/o Library HQ
	John Broadbridge	Mr	John	Broadbridge	Assistant Coroner North Yorkshire & York	c/o Library HQ
	Richard Watson	Mr	Richard	Watson	Assistant Coroner North Yorkshire & York	c/o Library HQ
	Jonathon Leach	Mr	Jonathan	Leach	Assistant Coroner North Yorkshire & York	c/o Library HQ
	Robert Turnbull	Mr	Robert	Turnbull	Assistant Coroner North Yorkshire & York	c/o Library HQ
	Pathologists etc					
	Consultant Paediatric/Perinatal Pathologist	Dr.	Srinivas	Annavarapu	Forensic Medicine Unit	Department of Pathology
	Consultant Histopathologist	Dr.	Mohua	Battacharjee	Department of Cellular Pathology	The James Cook University Hospital
	Home Office Pathologist	Dr.	Jennifer	Bolton	Forensic Medicine Unit	Department of Pathology
	Home Office Pathologist	Dr.	P N	Cooper	Forensic Medicine Unit	Department of Pathology
	Home Office Pathologist	Dr.	Mark	Egan	Forensic Medicine Unit	Department of Pathology
	Home Office Pathologist	Dr	Louise	Mulcahy	Forensic Medicine Unit	c/o Cellular Pathology
	Consultant Histopathologist	Dr.	Carl	Gray	Department of Histopathology	Harrogate District Hosptial
	Consulting Forensic Pathologist	Dr.	Jan W	Lowe	Three Chimneys	Borrowby
	Consultant Neuropathologist	Dr.	D G	Scoones	Dr D J Scoones Pathology Services Ltd.	1 Woodlands Walk
	Consultant Histopathologist	Dr.	S	Venkatesan	4 Cawdor Close	Ingleby Barwick
	Consultant Histopathologist	Dr.	Julie	Walker	Department of Cellular Pathology	The James Cook University Hospital
	Consultant Histopathologist	Dr.	Daniel	Scott	Department of Histopathology	Harrogate District Hosptial
	Consultant Histopathologist	Dr.	Andrew	Boon	Department of Pathology	Harrogate District Hosptial
	Consultant Histopathologist	Dr.	C	Bratten	Bratten Pathology Ltd.	The Garth, Southfield Road
	Specialty Registrar in Histopathology	Dr.	Thomas	Brownlee	Department of Histopathology	Harrogate District Hosptial
	Consultant Histopathologist	Dr.	Jyoti	Krishna	Department of Histopathology	Harrogate District Hosptial
	Consultant Histopathologist	Dr.	Esther	Millward	Department of Histopathology	Harrogate District Hosptial
	Specialty Registrar in Histopathology	Dr.	Timothy	Palmer	Department of Histopathology	Harrogate District Hosptial
	Specialty Registrar in Histopathology &Acting Consultant	Dr.	Elza	Tjio	Department of Histopathology	Harrogate District Hosptial
	Consultant Pathologist	Prof.	Richard	Attanoos	APC (Pathology) Ltd.	Cellular Pathology
	Consultant Histopathologist	Dr.	L	Barker	Redhill	33 Shire Oak Road
	Specialty Trainee in Histopathology	Dr.	Amy	Charter	Department of Histopathology	Harrogate District Hospital
	Emeritus Processor of Oral Pathology & Forensic Odontolo	Dr.	G T	Craig	Triscombe	59 Whirlow Lane
	Consultant Neuropathologist	Dr.	Azzam	Ismail	Histopathology Department	Level 5 - Bexley Wing - SJUH
	Locum Consultant in Histopathology	Dr.	Nicola	Maughan	Department of Histopathology	Harrogate District Hospital
	Consultant Histopathologist	Dr.	Adrian	Warfield	Hints View	165 Sutton Road
	NHS					
	Northumbria Healthcare NHS Foundation Trust	Ms	Ange	Brown	Northumbria Healthcare NHS Foundation Trust	Unit 7-8 Silver Fox Way
	South Tees Hospitals NHS Foundation Trust	Mr	Martin	Sturdy	South Tees NHS Foundation Trust	The James Cook University Hospital
	Harrogate & District NHS Foundation Trust	Mr	Andrew	Jackson	Harrogate & District NHS Foundation	Harrogate District Hospital
	York Teaching Hospital NHS Foundation Trust	Mr	Neil	Barrett	York Teaching Hospital NHS Foundation Trust	Laboratory Medicine Directorate
	Airedale NHS Foundation Trust	Mr	Brendan	Brown	Airedale NHS Foundation Trust	
	Clinical Commissioning Group					

	North Yorkshire				Chief Executive	North Yorkshire Clinical Commissioning group
	Vale of York CCG				Chief Executive	Vale of York Clinical Commissioning Group
	Bradford District & Craven				Chief Executive	Bradford District & Craven Clinical Commissioning Group
	Morecambe Bay				Chief Executive	Morecambe Bay Clinical Commissioning Group
x	**GPs North Yorkshire area can be supplied upon request**	List can be supplied upon request				
x	**Undertakers - Coroners Removals - all Areas**	List can be supplied upon request				
	TBC that are needed					
	Tees, Esk and Wear Valleys NHS Foundation Trust					Tarncroft, Lanchester Road Hospital
	The Leeds Teaching Hospital NHS Trust				St James's University Hospital	Beckett Street
	The Newcastle Upon Tyne Hospitals NHS Foundation Trust				Regent Point	Regent Farm Road

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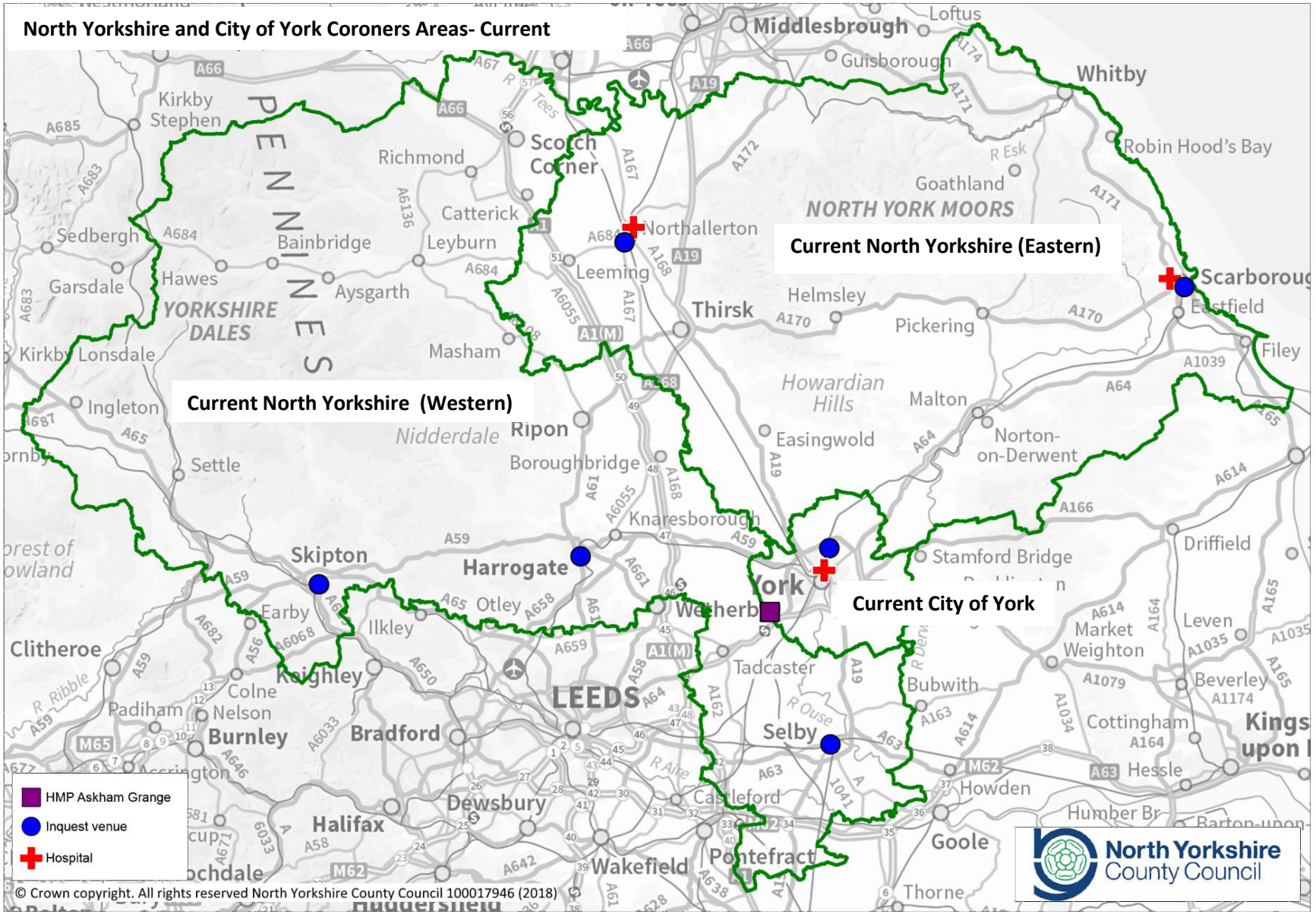
North Yorkshire and City of York Coroners Areas- Current
Current North Yorkshire (Eastern)
Current North Yorkshire (Western)
Current City of York
HMP Askham Grange
Inquest venue
Hospital
North Yorkshire County Council
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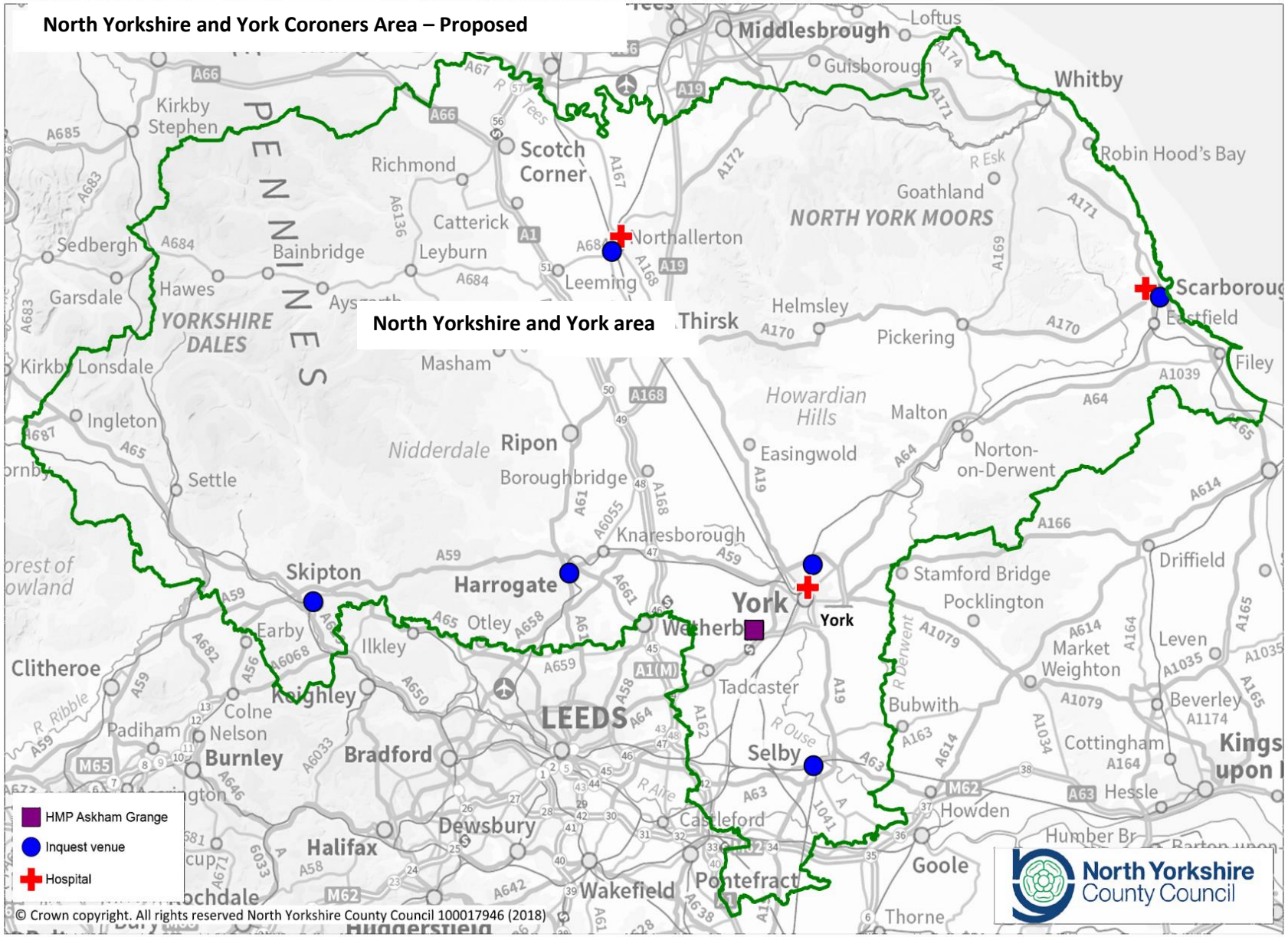
North Yorkshire and York Coroners Area – Proposed
North Yorkshire and York area
HMP Askham Grange
Inquest venue
Hospital
York
North Yorkshire County Council
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Statistics 2015-2019 Appendix D

North Yorkshire (Western)	2014	2015	2016	2017	2018	2019	2020
Reported Deaths	1061	1202	1238	1053	823	830	659
Post Mortems	362	384	390	416	413	415	278
PM % of reported deaths	34%	32%	32%	40%	50%	50%	42%
Inquest	131	250	249	152	150	151	123
Inquest %	12%	21%	20%	14%	18%	18%	19%

North Yorkshire (Eastern)	2014	2015	2016	2017	2018	2019	2020
Reported Deaths	999	1187	1210	1155	726	714	614
Post Mortems	543	534	485	518	464	466	377
PM % of reported deaths	54%	45%	40%	45%	63%	65%	61%
Inquest	121	189	199	134	139	105	123
Inquest %	12%	16%	16%	12%	19%	15%	20%

City of York	2014	2015	2016	2017	2018	2019	2020
Reported Deaths	946	974	989	869	607	556	571
Post Mortems	280	265	383	367	334	288	300
PM % of reported deaths	30%	27%	28%	36%	55%	52%	52%
Inquest	88	90	199	112	105	126	133
Inquest %	9%	9%	20%	13%	17%	22%	23%

North Yorkshire and York (Combined)	2014	2015	2016	2017	2018	2019	2020
Reported Deaths	3006	3363	3437	3077	2156	2010	1844
Post Mortems	1185	1183	1258	1301	1211	1169	955
PM % of reported deaths	39%	35%	37%	42%	56%	58%	52%
Inquest	340	529	647	398	394	382	379
Inquest %	11%	16%	19%	13%	18%	19%	20%

Timeliness of Inquests (Weeks)

Area	2014	2015	2016	2017	2018	2019
City of York	34	21	15	30	30	34
North Yorkshire (Eastern)	19	15	17	23	26	29
North Yorkshire (Western)	23	12	15	23	31	31

Note: 2020- Inquests delayed due to Covid restrictions

Initial equality impact assessment screening form

This form records an equality screening process to determine the relevance of equality to a proposal, and a decision whether or not a full EIA would be appropriate or proportionate.

Directorate	Central Services
Service area	Coroners
Proposal being screened	Amalgamation of Coroners areas
Officer(s) carrying out screening	**Robin Mair & Jane Milthorp (CYC)**
What are you proposing to do?	To amalgamate Coroners areas, and thus alter the Senior Coroner structure. The recommendation is to amalgamate the 2 Coroners areas within N Yorkshire and also amalgamate with the City of York coroner area.
Why are you proposing this? What are the desired outcomes?	This will provide a more resilient service with a fulltime Coroner rather than 3 part-time Coroners as now. In addition, users of the service will receive a more consistent service across the 3 existing areas. In addition this is in line with the guidance on the amalgamation of part time jurisdictions from the Chief Coroner, who has to approve all appointments..
Does the proposal involve a significant commitment or removal of resources? Please give details.	**No**

Impact on people with any of the following protected characteristics as defined by the Equality Act 2010, or NYCC's additional agreed characteristic

As part of this assessment, please consider the following questions:

- To what extent is this service used by particular groups of people with protected characteristics?
- Does the proposal relate to functions that previous consultation has identified as important?
- Do different groups have different needs or experiences in the area the proposal relates to?

If for any characteristic it is considered that there is likely to be a significant adverse impact or you have ticked 'Don't know/no info available', then a full EIA should be carried out where this is proportionate. You are advised to speak to your Equality rep for advice if you are in any doubt.

Protected characteristic	Yes	No	Don't know/No info available
Age		✓	
Disability		✓	
Sex (Gender)		✓	
Race		✓	
Sexual orientation		✓	
Gender reassignment		✓	
Religion or belief		✓	

Pregnancy or maternity		✓		
Marriage or civil partnership		✓		
NYCC additional characteristic				
People in rural areas		✓		
People on a low income		✓		
Carer (unpaid family or friend)		✓		
Does the proposal relate to an area where there are known inequalities/probable impacts (e.g. disabled people's access to public transport)? Please give details.	**No**			
Will the proposal have a significant effect on how other organisations operate? (E.g. partners, funding criteria, etc.). Do any of these organisations support people with protected characteristics? Please explain why you have reached this conclusion.	**No**			
Decision (Please tick one option)	EIA not relevant or proportionate:	✓	Continue to full EIA:	
Reason for decision	w			
Signed (Assistant Director or equivalent)	Neil Irving Assistant Director (Policy Partnerships and Communities)			
Date	1st February 2020			

North Yorkshire County Council

Data Protection Impact Assessment (DPIA) – Screening Questions

Overview

A Data Protection Impact Assessment (DPIA) is essential to ensure that new systems and processes are compliant with the General Data Protection Regulation (GDPR). A DPIA is mandatory if the processing operation is "likely to result in a high risk to the rights and freedoms of natural persons". The risk is considered high when processing personal information about a living person. Failure to carry out a DPIA, or failure to carry one out correctly when the risk is high, may result in a large fine.

What is Personal Data?
"personal data' shall mean any information relating to an identified or identifiable natural person ('data subject'); an identifiable person is one who can be identified, directly or indirectly, in particular by reference to an identification number or to one or more factors specific to his physical, physiological, mental, economic, cultural or social identity."

It may be that a single piece of information can identify an individual, or it may be that it requires a combination of information to identify them. The following information would be considered personal data:

- Name
- Address
- Date of birth
- Email address (personal and work)
- NI number
- Bank details
- Medical records

Personal data also extends to items such as a photo, posts on social media or an IP address.

What is Sensitive Personal Data?
"personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, trade-union membership, and data concerning health or sex life."

The following information would be considered sensitive personal data:

- Gender
- Age
- Religion
- Ethnicity
- Sexual orientation
- Health information
- Criminal history

Any biometric information is also classed as sensitive personal data.

In order to determine whether a DPIA is necessary, insert the required information into the table below and complete the checklist.

If the answer is **YES** to any of the screening questions in the checklist then a DPIA must be carried out.

Project/Process Title	Coroners – Amalgamation of areas
Overview of Project/Process (brief details)	To consider the amalgamation of the 3 existing Coroners areas
Project Sponsor	Robin Mair
Directorate / Service Area	Central Services- Coroners
Date of Assessment	13/06/18

Assessment Criteria	**Yes/No**	**Justification for answer**
Will there be a need to collect new information about individuals?	No	
Will there be a need to ask individuals to provide personal information about themselves?	No	No change is proposed on this point from the existing position
Will information about individuals be disclosed to organisations or people who have not previously had routine access to the information?	No	
Are you using information about individuals for a purpose it is not currently used for, or in a way it is not currently used?	No	
Does the new system or process involve using new technology that might be perceived as being privacy intrusive? For example, the use of biometrics or facial recognition.	No	
Will introduction of the new system or process result in you making decisions or taking action against individuals in ways that can have a significant impact on them?	No	
Is the information about individuals of a kind particularly likely to raise privacy concerns or expectations? For example, health records, criminal records or other information that people would consider to be private.	No	No change is proposed on this point from the existing position
Will you need to contact individuals in ways that they may find intrusive?	No	

If you have answered **YES** to **ANY** of the above screening questions then contact the Data Governance Team for the full DPIA documentation.

If you have answered **NO** to **ALL** of the above screening questions then a DPIA is not necessary. Please complete the declaration below and email a copy to the Data Governance Team, email: datagovernance@northyorks.gov.uk.

Project Sponsor Name	Robin Mair	**Data Governance Officer Name**	Gillian Hill

Project Sponsor Signature		**Data Governance Officer Signature**	Gillian Hill
Date of Declaration	13/06/18	**Date of Approval**	28/6/18

Note: If the scope of work changes in any way then the pre-assessment MUST be repeated.

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One Planet Council

'Better Decision Making' Tool

Informing our approach to sustainability, resilience and fairness

The 'Better Decision Making' tool has been designed to help you consider the impact of your proposal on the health and wellbeing of communities, the environment, and local economy. It draws upon the priorities set out in our Council Plan and will help us to provide inclusive and discrimination-free services by considering the equalities and human rights implications of the decisions we make. The purpose of this tool is to avoid decisions being made in isolation, and to encourage evidence-based decision making that carefully balances social, economic and environmental factors, helping us to become a more responsive and resilient organisation.

The Better Decision Making tool should be used when proposing new projects, services, policies or strategies, or significant amendments to them. The tool should be completed at the earliest opportunity, ideally when you are just beginning to develop a proposal. However, it can be completed at any stage of the decision-making process. If the tool is completed just prior to the Executive, it can still help to guide future courses of action as the proposal is implemented.

The Better Decision Making tool must be attached as an annex to Executive reports. A brief summary of your findings should be reported in the One Planet Council / Equalities section of the report itself.

Guidance to help you complete the assessment can be obtained by hovering over the relevant question.

Please complete all fields. If you wish to enter multiple paragraphs in any of the boxes, hold down 'Alt' before hitting 'Enter'.

Introduction

Service submitting the proposal:	Legal Services
Name of person completing the assessment:	Jane Milthorp
Job title:	Practice manager
Directorate:	Governance
Date Completed:	24/05/21
Date Approved (form to be checked by head of service):	

Section 1: What is the proposal?

1.1	**Name of the service, project, programme, policy or strategy being assessed?** Merger of York coroner area with North Yorkshire County Council coroner areas.
1.2	**What are the main aims of the proposal?** To merge York and North Yorshire coroner services, at the request of the Chief Coroner.
1.3	**What are the key outcomes?** Improve standards of service, efficiency and resilience. Inquests will still be held in current locations.

Section 2: Evidence

2.1	**What data / evidence is available to support the proposal and understand its likely impact?** (e.g. hate crime figures, obesity levels, recycling statistics) Chief Coroner's Guidance Note 14 - Merger of Coroners Areas, states that: a. it is the Chief Coroner's view that the number of coroner areas should be reduced in order to create sensibly sized coroner areas, taking into account the numbers of reported deaths, geographical size and types of coroner work in the area b. there are many part-time coroner jurisdictions which are too small for effective management and cost-efficiency c. in many cases 3,000-5,000 reported deaths would be an appropriate number for a coroner jurisdiction our deaths are slightly lower than this at 1844 but the Chief Coroner still wishes us to merge into a single area

2.2	**What public / stakeholder consultation has been undertaken and what were the findings?**
	A detailed business case has been developed by the City of York Council and North Yorkshire County Council in consultation with the Chief Coroner's office and the Ministry of Justice, in line with the wishes of the Chief Coroner, the Ministry of Justice, the Senior Coroner, the North Yorkshire Police and the local authority officers. Once the business case has been submitted to the Chief Coroner's Office they will conduct a comprehensive consultation, including for all North Yorkshire and York local authorities: MPs, chief executives and officers of local authorities, coroners, police, registrars, coroner's court support service, HM Askham Grange Prison, neighbouring coroner areas, NHS, clinical commissioning group, GPs and undertakers.

2.3	**Are there any other initiatives that may produce a combined impact with this proposal?** (e.g. will the same individuals / communities of identity also be impacted by a different project or policy?)
	None

One Planet Council

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Section 3: Impact on One Planet principles

Please summarise any potential positive and negative impacts that may arise from your proposal on residents or staff.
This section relates to the impact of your proposal on the ten One Planet principles.

For 'Impact', please select from the options in the drop-down menu.
If you wish to enter multiple paragraphs in any of the boxes, hold down 'Alt' before hitting 'Enter'.

Equity and Local Economy

	Does your proposal?	Impact	What are the impacts and how do you know?
3.1	**Impact positively on the business community in York?**	Neutral	
3.2	**Provide additional employment or training opportunities in the city?**	Neutral	
3.3	**Help improve the lives of individuals from disadvantaged backgrounds or underrepresented groups?**	Neutral	

Health & Happiness

	Does your proposal?	Impact	What are the impacts and how do you know?
3.4	**Improve the physical health or emotional wellbeing of residents or staff?**	Positive	Improved access to a better coroner service
3.5	**Help reduce health inequalities?**	Neutral	
3.6	**Encourage residents to be more responsible for their own health?**	Neutral	
3.7	**Reduce crime or fear of crime?**	Neutral	
3.8	**Help to give children and young people a good start in life?**	Neutral	

Culture & Community

	Does your proposal?	Impact	What are the impacts and how do you know?
3.9	**Help bring communities together?**	Neutral	
3.10	**Improve access to services for residents, especially those most in need?**	Neutral	
3.11	**Improve the cultural offerings of York?**	Neutral	
3.12	**Encourage residents to be more socially responsible?**	Neutral	

Zero Carbon and Sustainable Water

Does your proposal?	Impact	What are the impacts and how do you know?

3.13	**Minimise the amount of energy we use and / or reduce the amount of energy we pay for?** E.g. through the use of low or zero carbon sources of energy?	Neutral	
3.14	**Minimise the amount of water we use and/or reduce the amount of water we pay for?**	Neutral	

Zero Waste

	Does your proposal?	Impact	What are the impacts and how do you know?
3.15	**Reduce waste and the amount of money we pay to dispose of waste by maximising reuse and/or recycling of materials?**	Neutral	

Sustainable Transport

	Does your proposal?	Impact	What are the impacts and how do you know?
3.16	**Encourage the use of sustainable transport, such as walking, cycling, ultra low emission vehicles and public transport?**	Neutral	
3.17	**Help improve the quality of the air we breathe?**	Neutral	

Sustainable Materials

	Does your proposal?	Impact	What are the impacts and how do you know?
3.18	**Minimise the environmental impact of the goods and services used?**	Neutral	

Local and Sustainable Food

	Does your proposal?	Impact	What are the impacts and how do you know?
3.19	**Maximise opportunities to support local and sustainable food initiatives?**	Neutral	

Land Use and Wildlife

	Does your proposal?	Impact	What are the impacts and how do you know?
3.20	**Maximise opportunities to conserve or enhance the natural environment?**	Neutral	
3.21	**Improve the quality of the built environment?**	Neutral	
3.22	**Preserve the character and setting of the historic city of York?**	Neutral	
3.23	**Enable residents to enjoy public spaces?**	Neutral	

3.40	**Additional space to comment on the impacts**

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Section 4: Impact on Equalities and Human Rights

Please summarise any potential positive and negative impacts that may arise from your proposal on staff or residents. This section relates to the impact of your proposal on **advancing equalities and human rights** and should build on the impacts you identified in the previous section.

For 'Impact', please select from the options in the drop-down menu.
If you wish to enter multiple paragraphs in any of the boxes, hold down 'Alt' before hitting 'Enter'

Equalities

Will the proposal **adversely impact** upon 'communities of identity'?
Will it **help advance equality** or **foster good relations** between people in **'communities of identity'?**

		Impact	What are the impacts and how do you know?
4.1	**Age**	Neutral	
4.2	**Disability**	Neutral	
4.3	**Gender**	Neutral	
4.4	**Gender Reassignment**	Neutral	
4.5	**Marriage and civil partnership**	Neutral	
4.6	**Pregnancy and maternity**	Neutral	
4.7	**Race**	Neutral	
4.8	**Religion or belief**	Neutral	
4.9	**Sexual orientation**	Neutral	
4.10	**Carer**	Neutral	
4.11	**Lowest income groups**	Neutral	
4.12	**Veterans, Armed forces community**	Neutral	

Human Rights

Consider how a human rights approach is evident in the proposal

	Impact	What are the impacts and how do you know?

4.13	**Right to education**	Neutral	
4.14	**Right not to be subjected to torture, degrading treatment or punishment**	Neutral	
4.15	**Right to a fair and public hearing**	Positive	A more efficient coroner service will improve access to a fair and public hearing by reducing delays and offering a choice of inquest venues
4.16	**Right to respect for private and family life, home and correspondence**	Positive	A more efficient coroner service will increase the respect to private and family life by reducing delays and offering a choice of inquest venues
4.17	**Freedom of expression**	Neutral	
4.18	**Right not to be subject to discrimination**	Neutral	
4.19	**Other Rights**	Neutral	

4.20	**Additional space to comment on the impacts**

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Section 5: Planning for Improvement

5.1	**What have you changed in order to improve the impact of the proposal on the One Planet principles?** (please consider the questions you marked either mixed or negative, as well as any additional positive impacts that may be achievable)
	A merged coroner service will improve standards of service, efficiency and offer increased resilience

5.2	**What have you changed in order to improve the impact of the proposal on equalities and human rights?** (please consider the questions you marked either mixed or negative, as well as any additional positive impacts that may be achievable)
	A merged coroner service will give families better access to coroner services and a fair hearing

5.3	**Going forward, what further evidence or consultation is needed to ensure the proposal delivers its intended benefits?** e.g. consultation with specific vulnerable groups, additional data)
	Consultation exercise to be carried out by chief coroner's office

5.4	**Please record any outstanding actions needed to maximise benefits or minimise negative impacts in relation to this proposal?** (Expand / insert more rows if needed)

Action	Person(s)	Due date

In the One Planet / Equalities section of your Executive report, please briefly summarise the changes you have made (or intend to make) in order to improve the social, economic and environmental impact of your proposal.

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Executive **24 June 2021**

Report of the Chief Operating Officer
Portfolio of the Executive Member for Finance and Performance

Finance and Performance Outturn 2020-21

Summary

1 This report provides a year end analysis of the overall finance and performance position. This is the final report of the financial year and assesses performance against budgets, including progress in delivering the Council's savings programme.

2 As outlined in reports to Executive throughout the year, the COVID-19 pandemic has had a significant impact on the Council's financial position and adversely affected performance against a number of indicators. The financial effect is complicated, with various grant funds being received from numerous Government departments. Overall, it is estimated the gross additional costs total £26m during the year along with a loss of income from fees and charges of c£8m. Much of the impact has been mitigated by General Government grants, including the Contain Outbreak Management Fund, Winter Pressures and additional funding for business grants along with funding from the CCG for hospital discharge.

3 Despite these additional funding streams, an ongoing impact in future years is still expected due to a range of issues, including the longer term impacts on individual residents leading to an increase in the cost of care. In addition, a potential loss of both Council Tax and Business Rates income is to be expected as some businesses struggle to recover, resulting in an increase in unemployment which in turn may leave some residents unable to pay Council Tax.

4 In addition to the direct financial consequences of the pandemic, in terms of additional expenditure and lost income, staff time and effort throughout the year has been dedicated to supporting residents and communities. This has resulted in attention being diverted away from more business as usual activity, including the actions needed to deliver savings and manage some of the underlying budget pressures being experienced in social care. We are also seeing an increase in social care costs directly as a result of the pandemic. These are national issues that are not unique to

York and the combination of increased costs and delays in achieving savings is having a detrimental impact on the public sector.

5 As expected, the year-end position is an overspend and there remain considerable financial challenges looking ahead into 2021/22 and beyond. The financial impact of COVID-19, alongside the delivery of £8m of budget savings outlined in the February 2021 budget council report, as well as dealing with underlying issues experienced during 2020/21, will again require careful monitoring.

6 The outturn position proposes the use of a small amount from both earmarked reserves and the general reserve. The release of earmarked reserves follows a review of known commitments and the use of the general reserve to fund the remaining overspend is considered appropriate given the unprecedented financial situation caused by the pandemic.

7 The outturn position for Health, Housing and Adult Social Care has improved significantly since the Monitor 3 reported to Executive in February 2021. This underspend is due in no small part to a lot of hard work from finding ways of mitigating the budget position which was forecast to overspend significantly in the first three quarters. However, the largest contributor to the year-end underspend was the use of one-off, non-recurrent funding. Adults Social Care still needs to address a significant underlying budget pressure in 2021/22 as well as delivering a savings programme of over £2m in what are still very testing times for the workforce and sector, particularly given the volume of referrals in the last quarter of 2020/21 and that the community and voluntary sector are yet to open up fully.

8 The council's overall financial health provides a strong platform upon which to meet these financial challenges and good progress has been made with the achievement of savings in the year. Whilst some areas have experienced slight delays, as set out in the report, overall progress is good and areas of delay have generally been mitigated by other savings in relevant areas.

9 The 2021/22 budget agreed in February 2021 provided for significant growth in adults and children's services budgets and made proper provision for all known cost increases. This, combined with a track record of effective budget management, gives confidence in the council's future financial stability. This financial stability allows the council to invest in key priority areas.

Recommendations

10 The Executive is asked to:

1) Note the year end position.
2) Note the finance and performance information
3) Approve the extension to March 2023 for the letter of credit to York Museums Trust as outlined in paragraphs 20 to 24
4) Approve the use of contingency and reserves outlined in paragraphs 14 to 16
5) Approve the carry forward of HRA reserves outlined in annex 1

Reason: to ensure significant financial issues can be appropriately dealt with.

Financial Summary

11 The council's net General Fund budget for 2020/21 was £127m and the provisional outturn position is a net overspend of £1.2m funded from the use of contingency, earmarked reserves and the general reserve.

12 An overview of the outturn, on a directorate by directorate basis, is outlined in Table 1 below and the key variances are summarised in Annex 1.

2019/20 outturn		2020/21 budget	2020/21 Monitor 3	**2020/21 Draft Outturn**
£'000		£'000	£'000	**£'000**
+1,560	Children, Education & Communities	24,664	+3,569	+3,801
-351	Economy & Place	18,932	0	-114
-672	Customer & Corporate Services	20,539	0	-397
+3,612	Health, Housing & Adult Social Care	49,755	+2,685	-1,218
-2,355	Central budgets	13,334	-900	-744
+1,794	Sub Total	127,224	+5,354	1,328
-500	Contingency		-128	-364
-1,422	Use of earmarked reserves		-1,500	-463
0	Use of General Reserve		0	-501

-128	Total	127,244	3,726	0

Table 1: Finance overview

Reserves and Contingency

13 The February 2020 budget report to Full Council stated that the minimum level for the General Fund reserve should be £6.4m (equating to 5% of the net budget). At the beginning of 2020/21 the reserve stood at £7.4m and, as part of the budget report, approval was given to maintain this level of reserve in 2020/21 thus giving some headroom above the minimum level to take account of the continued risks facing the council, in particular the scale of future reductions on top of those already made. In addition, the budget report outlined significant risks associated with major capital projects, reduction in New Homes Bonus and health budgets. The report also contained a strong recommendation that revenue reserves should be increased over the next couple of years, in recognition of the current risks the council faces.

14 However, this was prior to the pandemic and in light of the financial challenges due to COVID this report now proposes the use of £501k from the general reserve. This would still leave the general reserve at £6.9m with £0.5m headroom above the minimum recommended level. A further review of the reserves position will be undertaken as part of the 2022/23 budget planning.

15 On the general contingency, Executive was advised within the Monitor 3 report that there remained an unallocated balance of £128k, after allocating £500k to support the York Financial Assistance Scheme (YFAS) and that it was being assumed this remaining balance may be needed to support some of the general pressures outlined in the Monitor 3 report. This has been necessary and therefore the contingency has been used to fund expenditure in 2020/21. In addition, the budget review reported to Executive in June 2020 identified where funds could be diverted to meet emerging pressures. This process left a balance of £236k available for any future pressures. This sum has also been used to offset the outturn position. A budget of £500k is again available in 2021/22.

16 A review of reserves has been completed in line with the CIPFA financial code. This review has identified £0.4m of available reserves as follows:

- £152k housing general fund reserves
- £45k community safety
- £17k asset and property management
- £248k SALIX carbon management loans

17 These reserves have been identified as having no specific future risks or liabilities held against them and therefore this report proposes that these reserves are released so that they can be used to support statutory services relating to Children and Adults, ensuring the Council maintains safe and improving services in these areas.

18 In February 2021 Executive received a report on the financial strategy which contained a section on the adequacy of the council's reserves. The review of reserves has considered any future commitments and the overall balance of risk. It is the view of the s151 officer that these reserves can be released without impacting on the financial sustainability of the council and this is a prudent approach to managing the current financial pressures being faced.

Loans

19 Further to a scrutiny review, it was agreed that these quarterly monitoring reports would include a review of any outstanding loans over £100k. There are 2 loans in this category. Both loans are for £1m and made to Yorwaste, a company part owned by the Council. The first was made in June 2012 with a further loan made in June 2017 as agreed by Executive in November 2016. Interest is charged on both loans at 4% plus base rate meaning currently interest of 4.1% is being charged. All repayments are up to date.

20 In August 2020, Executive approved a letter of guarantee to the York Museums Trust providing them with access to a maximum of £1.95m over the next 2 years, should it be required, in order to secure the museums as a going concern. This support was required in the light of an estimated loss of revenue in 20/21 of £2.6m due to Covid-19.

21 Since that time, YMT has done everything possible to reduce their costs and liabilities and have:

- Furloughed around 80% of staff including senior staff and negotiated salary reductions for those not furloughed
- Increased fund-raising through publicising their financial plight and asking the public for donations
- Cancelled forthcoming projects
- Negotiated rent reductions and paused service contracts where possible
- Implemented a redundancy programme to reduce the size of the organisation by 20%
- Received a total of £1,273,226 from the two round of the DCMS Cultural Recovery Fund

- Run down their financial reserves

22 It was originally envisaged that YMT would need to draw down £1.35m of the £1.95m in 20/21 with the remaining £600k in 21/22. In light of the DCMS funding received, YMT did not have to draw on any CYC funding in 20/21; however, with the extension of lockdown they now estimate that they will need to draw down £1.1m in 21/22 in order to:

- Sustain an estimated operating loss of £1.316m in 21/22
- Remain in a positive reserve position of around two months of operating costs (circa £0.6m) and a positive cash flow position throughout

23 YMT have requested that the letter of guarantee be extended to March 2023 as they will be operating with minimal reserves and will need the letter of guarantee extending in order for their auditors to be able to sign off their accounts as a going concern.

24 The letter of guarantee outlines the council's commitment to providing YMT with the funds should they be required, up to an amount of £1.95m, on receipt of evidence that the funds are required (i.e. that reserves and other income sources have been exhausted). This allows the Trust to demonstrate that they are a going concern, as well as providing the certainty that they need to continue to operate.

Performance – Service Delivery

25 In spite of the many challenges that the organisation and City has faced over the last year, performance across the wider organisation, not just the Council plan indicators, has continued to remain high and continues to compare favourably when benchmarked against other areas with similar characteristics to York. Whilst Covid and the actions taken to tackle the global pandemic have in places affected performance in the short-term, the general pattern for data and information monitored by the Council is that levels of resident and customer satisfaction, timeliness and responsiveness, as well as various directorate and service based indicators, have remained positive. Within the City, residents are reporting back that the Council are improving green spaces, are giving more assistance in their communities, are using more sustainable modes of transport, and are seeing the city as a safer space, which is all positive progress, and in a number of internal delivery areas where additional focus has been placed by Executive, areas such as levels of staff sickness, and responsiveness to complaints continue to improve.

26 The Executive for the Council Plan (2019-23) agreed a core set of strategic indicators to help monitor the council priorities and these provide the structure for performance updates in this report. The indicators have

been grouped around the eight outcome areas included in the Council Plan. Some indicators are not measured on a quarterly basis. The DoT (Direction of Travel) is calculated on the latest three results whether they are annual or quarterly. It is likely that due to impacts of COVID, a number of the Council Plan indicators will see a significant change both in terms of their numbers and their direction of travel in future reporting periods. The majority of the performance measures within the Council Plan have a lag between the data being available, and the current reporting period and therefore impacts will not be immediately seen, and may occur over several years as new data becomes available.

27 A summary of the core indicators that have a good or poor direction of travel based on the latest available data are shown below and further details around all of the core indicator set can be seen in Annex 2. Strategic indicators that have a good or improving direction of travel based on the latest available data are:

- **Average Sickness Days per FTE** - At the end of March 2021, the average number of sickness days per FTE (rolling 12 months) was 8.8 days compared to 11.6 at the end of March 2020. In September 2019, City of York Council, in response to comparatively high sickness rates and feedback from senior managers about existing sickness processes, introduced a new sickness process in conjunction with a company called Absentia which is known throughout the organisation as Medigold / DayOneAbsence.

- This combined with a number of other factors due to Covid impact and changes to working practice, have meant that sickness levels across the authority have been consistency reducing since the start of 2020, and these reductions have been seen across the vast majority of teams and services. Although no official figures, through discussions with other Local authorities, York's reduction in sickness levels has been greater than other areas are seeing and whilst there is no new "public sector benchmark" for sickness levels, at current trajectory, CYC is likely to reach the previously stated 8.5 day public sector average figure by around July 2021.

- **% of Talkabout panel who think that the council are doing well at improving green spaces –** The Talkabout panel is a bi-annual survey of residents, whom help to give a wider view of the City's challenges and services. 44% of respondents to the Q2 2020-21 survey agreed that the council and partners are doing well at improving green spaces, an increase from 42% in Q3 2019-20.

- **Number of homeless households with dependent children in temporary accommodation** – The number of homeless households

with dependent children in temporary accommodation remains at a lower level to that seen in previous years. The latest available data shows that there were 19 households with dependent children in temporary accommodation at the end of Q3 2020-21 compared to 27 at the end of Q2 2020-21. It should be noted that these figures are snapshot figures.

- **Number of new affordable homes delivered in York –** The number of new affordable homes delivered in York remains high, with 83 delivered during the first six months of 2020-21 (compared to 33 during the same period in 2019-20).

- **% of Talkabout panel who give unpaid help to any group, club or organisation –** The results of the latest (Q2 2020-21) Talkabout survey showed that 71% of the respondents give unpaid help to a group, club or organisation which is higher than the government's Community Life Survey 2019-20 which found that 64% of respondents reported that they had volunteered in the past 12 months. This figure is only slightly less than the 72% in the Q1 2020-21 Talkabout survey.

- **% of ST1 complaints responded to within 5 days** - In Q4 2020-21, the council received 100 stage 1 complaints and responded to 94% of complaints within five days. This shows a significant and maintained improvement in the timeliness of responses to stage 1 complaints received during the reporting year (an increase from 69% in Q1 2020-21).

- **Number of Incidents of Anti-Social Behaviour within the City Centre ARZ –** The number of incidents of anti-social behaviour within the city centre during 2020-21 (1,410) is a reduction on the number of incidents reported during 2019-20 (1,689) and is the lowest number of reported incidents since data has been collected.

28 Strategic indicators that have a worsening direction of travel, mainly due to direct adverse effect from COVID-19 are;

- **% of vacant city centre shops -** At the end of Q4 2020-21, there were 57 vacant shops in the city centre, which equates to 8.89% of all city centre shops, which is lower than the national benchmark in Q1 2019-20 of 11.7%.

- **Average number of days to re-let empty properties –** The average number of days to re-let empty Council properties has increased due to the repairs team being unable to repair vacant properties due to COVID-19 restrictions.

- **Visits – All Libraries –** Due to the global coronavirus pandemic, all libraries in York closed at the end of March 2020 and continued to be affected by national lockdowns during the rest of 2020-21.

- **Parliament Street Footfall –** Footfall in Parliament Street decreased due to the global coronavirus pandemic, restrictions were placed on movement during 2020-21 and leisure and the vast majority of retail businesses were closed at various points during the year due to national lockdowns.

- **Index of cycling activity –** from a baseline in 2009, there has been a 9% decrease in cycling activity in 2020. The highest level seen since the baseline was established was in 2014 where there was a 29% increase above the baseline.

Council Plan

29 Following the adoption of the new Council Plan, progress against the commitments made within it will be included in each Finance and Performance monitor. This monitor reflects the halfway point of the Council Plan and so a comprehensive assessment of progress against all the original actions can be viewed by following the link in the Background Papers section of this report. This reflects the information provided to Executive in consideration of updates to the Council Plan, approved at Executive in May 2021. Future monitor reports will include progress against the additional actions added to the Council Plan as part of the updates approved at that meeting.

30 Progress continues to be made across all outcome areas within the Council Plan. This includes:

- **Well paid jobs and an inclusive economy –** the submission of a consultation response to Government on Local Government Reorganisation to make the case for York remaining as a unitary authority, as well as the approval of a revised SLA and Contract for Make It York.

- **Getting around sustainably** – Hyperhubs and the roll out of new charging infrastructure is currently under construction, with a decision made to progress a Hyperhub at Union Terrace. Work at Monks Cross Park and Ride is well advanced with an expected opening date in mid-June 2021. At Poppleton Bar Park and Ride, construction started in April 2021.

- **Good Health and Wellbeing -** The refurbishment of 20 apartments and the development of an additional 15 fully wheelchair accessible

properties at Lincoln Court has been completed. The care home at Burnholme is complete and the first residents were welcomed in early 2021. The transfer of Haxby Hall care home to Yorkare Homes was completed on 31 March 2021. The residents and staff transferred which has enabled continuation of care and employment.

- **A Better Start for Children and Young People -** The newly created Skills and Employment Board brings together expertise from across the city and strengthens our partnership approach to understanding and responding to the changing skills needs of people and businesses. The one-year skills plan was approved in March 2021 and work continues via the Skills & Employment Board to develop the longer term strategy, aligned with the new Economic Growth Strategy.

- **A Greener and Cleaner City -** The Council has secured over £1m of government funding through the Local Authority Delivery Scheme to complete energy efficiency improvements and install solar PV on our housing stock and we continue to look at decarbonisation solutions across our corporate and operational assets.

- **Creating Homes and World-class infrastructure -** Planning permission was granted for Castle Mills and St George's Field. Procurement of a contractor for Castle Mills to undertake the RIBA stage 4 design and to provide a tender price for construction has been completed, with an Executive decision to proceed required in October 2021.

- **Safe Communities and culture for all -** Funding for the new CVS Volunteer Centre has been secured and the Centre launched in January 2021. The council collaborated with CVS in February through a focus group to inform a review of the People Helping People strategy. The council's Volunteer Management Team have continued to actively manage calls for volunteers during Covid continuing to supply volunteers to the community hubs, LAC team and social connections programmes, amongst other initiatives, to help address loneliness and isolation.

- **An open and effective Council -** Ward-level working is prioritised, with significant increases in the proportion of council funding flowing through ward committees. Ward schemes have continued throughout the lock-down with a range of effective and innovative schemes to support communities through the effects of Covid. £200k has been invested in a Covid-19 Recover Fund from April 2021. Ward funding is increasingly being directed to Ward priorities focussed around recovery.

Annexes

31 Annex 1 shows the quarterly financial summaries for each of the Council directorates.

32 Annex 2 shows performance updates covering the core set of strategic indicators which are used to monitor the progress against the Council Plan.

33 All performance data (and approximately 1,000 further datasets) within this document is made available in machine-readable format through the Council's open data platform at www.yorkopendata.org under the "performance scorecards" section.

Consultation

34 Not applicable.

Options

35 Not applicable.

Council Plan

36 The information and issues included in this report demonstrate progress on achieving the priorities set out in the Council Plan.

Implications

37 The implications are:

- **Financial** are contained throughout the main body of the report.
- **Human Resources (HR)** There are no HR implications related to the recommendations
- **One Planet Council / Equalities** Whilst there are no specific implications within this report, services undertaken by the council make due consideration of these implications as a matter of course.
- **Legal** There are no legal implications related to the recommendations
- **Crime and Disorder** There are no crime and disorder implications related to the recommendations
- **Information Technology (IT)** There are no IT implications related to the recommendations
- **Property** There are no property implications related to the recommendations
- **Other** There are no other implications related to the recommendations

Risk Management

38 An assessment of risks is completed as part of the annual budget setting exercise. These risks are managed effectively through regular reporting and corrective action being taken where necessary and appropriate.

Background Reports

20th May - Executive – Council Plan Action March 2021 - Item 132 Annex 2 - https://democracy.york.gov.uk/ieListDocuments.aspx?CId=733&MId=12511&Ver=4

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Glossary of Abbreviations used in the report:

ARZ	Alcohol Restriction Zone
ASCOF	Adult Social Care Outcomes Framework
CCG	Clinical Commissioning Group
CIPFA	Chartered Institute of Public Finance and Accountancy
CVS	Centre for Voluntary Service
CYC	City of York Council
DCMS	Department for Digital, Culture, Media and Sport
HRA	Housing Revenue Account
LAC	Local Area Co-ordination
RIBA	Royal Institute of British Architects
YFAS	York Financial Assistance Scheme
YMT	York Museums Trust

Annex 1 – Directorate Financial Summaries

Financial impact of COVID-19

1 Previous reports to Executive have outlined the scale of the financial challenge as a result of the COVID-19 pandemic and the level of additional expenditure incurred. There has also been a substantial reduction in income from fees and charges throughout the year, and given the current national restrictions forecasts for the remainder of the year remain well below budgeted levels. Whilst the impact of the pandemic is being felt across all Council services the following paragraphs highlight the main issues.

2 The Waste Collection service has continued to provide a grey bin and recycling service throughout the lockdown periods and the green bin was reintroduced in May 2020 (a month behind original plans). There has been a need to employ additional staff throughout the year as staff have been unavailable due to quarantining or shielding and an increased number of staff have been required in order to provide the service within social distancing guidelines. The service also required significantly higher levels of PPE in order to provide the service safely. In order to complete rounds in the first months it also proved necessary to collect more recycling as comingled which has a greater cost to process as well as impacting income levels. As well as the extra cost of providing suitable PPE for our own front line staff, the Council also incurred some costs on the provision of PPE for staff working in private care homes.

3 In addition to the Government grants we have distributed, the council has provided further funding totalling £1.2m to help micro businesses that were not eligible for the national scheme. A micro grants scheme has helped 1,114 local businesses with grants of up to £1,000 to enable them to adapt in light of the COVID-19 lockdown. In addition, the Federation of Small Businesses has been funded to provide one year's membership for over 500 of York's micro businesses, enabling them to access free support and advice, and to benefit from membership of the FSB network.

4 The closure of markets, attractions and visitor accommodation has had an impact on the financial position of Make It York as income levels are below those forecast. In December Executive agreed to support Make It York by waiving the revenue return for the year, agreeing to defer property rents for the first half of the year and providing a loan facility of up to £300k.

5 Community Hubs were set up at the beginning of lockdown and have transitioned into a new method of working. The cost for 2020/21 is £135k.

6 The number of people seeking help from adult social care, the number who go on to receive support and the amount of support they receive have all increased as a result of the pandemic. Social care services have continued to respond swiftly and effectively to the pandemic in order to both protect vulnerable citizens and NHS capacity. In effect this mean that staff have been reallocated from business as usual work to undertake tasks such as ensuring people can be discharged safely and quickly from hospital, establishing short term intensive community and residential support services for COVID-19 positive people, supplying and delivering PPE, supporting care providers, those in receipt of direct payments and establishing new virtual and mobile ways of supporting citizens whose usual sources of support were interrupted.

7 The periods of lockdown have placed significant pressure on many families where children have special educational needs and we have seen a similar rise to many other Councils of requests for statutory assessment in this area. Whilst we have not seen a significant spike in demand for children's social care as a result of the pandemic, which other areas have seen, we believe this is because we have had a steady and significant increase in demand for early help. We have however experienced the higher level of complexity in children's social care referrals that has been seen across the country.

8 The Council also experienced significant downturns in income as many income streams, particularly car parking, virtually shut down during the national lockdowns.

9 There has been a shortfall in parking revenues of £4.6m. This includes parking charges, resident parking charges, season tickets and penalty charge notices. April and May saw virtually no income (down over 90%) as the City was in full lockdown. Income started to recover in June where income was 76% below budget and July where income was 38% below budget. August and September were better with income only 19% below budget. However further restrictions were introduced in October with a lockdown in the majority of November leading to reductions in income collected of 31% and 69% respectively. There was an improvement in December as restrictions were eased leading to a reduction of 31% only to fall

again in January to March as lockdown was imposed. Income in these months were on average 67% below budget. It should also be noted that the increases in parking charges agreed at the budget in February 2020 were not implemented, following an urgent decision, which also impacted total income. There have also been a number of parking incentives to support local businesses including free parking through RingGo app during the summer months and reductions in Minster Badge charges agreed.

10 There was a shortfall in income on commercial waste of £0.7m. During the lockdowns a large number of the service's customers were not trading and therefore were not charged. The service is currently working with its customers to determine the level of service and charges going forward into 2021/22 as restrictions ease.

11 Despite a reduction in activity in the first half of the year, planning income recovered over the winter months resulting in an overall shortfall of £406k. It is expected that this recovery will continue during 2021/22 as the economy returns to normal resulting in medium to large schemes being progressed.

12 Rent invoices were sent on the normal timetable following a deferral for quarter 1 bills when it was agreed that these invoices would not be sent out. Since that time officers in the Asset and Property Management Team have been working with tenants to agree revised payment plans in order that the council can continue to collect its revenue and the tenants can be supported in difficult trading circumstances. To date these conversations have been very successful and the majority of rents are being paid. There was reduced income from the Racecourse and from a number of properties that were empty during the year.

13 It is likely that some businesses going forward will not be able to continue to trade and the corporate bad debt provision has been increased by £443k to provide for this. This has been offset by COVID 19 funding.

14 The pandemic has not only resulted in shortfalls in income across those areas outlined above but also a large number of other income budgets including the Mansion House and Registrars (due directly to the lockdown) licencing (where there was a fee holiday), bereavement services (where the charges were reduced) building control (when construction activity was on hold), land charges (when the housing market was on hold), green bin subscriptions (as the

service was suspended). There are also shortfalls across Public Transport Fees (Park and Ride) and Network Management. Given the continued uncertainty and the current restrictions, it remains difficult to have significant confidence in these estimates and they are being closely monitored and updated on a monthly basis.

15 The pandemic has had a significant impact on the Leisure Services Contract over the course of the year. The contract, with provider GLL, requires the council to fund the net cost of the facilities whilst they were ordered to be closed and further costs as restrictions to operation whilst open increase costs or impact revenues. GLL have been able to mitigate costs through taking advantage of the Government's furlough scheme, minimising expenditure and utilising government business support grants. Most notably the council working with GLL was successful in being awarded £418k funding from Sport England to support the additional costs faced by the sector and £117k of this grant has been used to offset costs in 2020/21. The balance of the grant (£301k) will be utilised to offset increased costs/reduced revenues as facilities reopen from April 2021. The final contractual liability is still to be finalised however the estimated cost to the council in 2020/21 is £255k, which is a significant improvement from the position reported at Monitor 3 (£800k).

Children, Education & Communities

16 The outturn shows an overspend of £3,801k in 2020/21.

17 Placement budgets overspent by a total of £2,649k. This includes variances of £970k on Fostering, £242k on adoption and other allowances and £1,440k on Out of City Placements and £42k on Leaving Care placements. Included in these figures is the effect of an un-achieved saving from the 2020/21 budget process of £150k on placement costs, which has been delayed, mainly due to issues caused by COVID 19.

18 The number of Looked After Children in York has increased significantly in the past 12 months. The Looked After Children population had been stable for a number of years, in the range 190-210 at any one time (this was significantly below statistical neighbour and national average). On appointment the new Directorate Management Team identified drift and delay for some children in the system. This was subsequently identified by Ofsted and corrective action has led to significant recalibration in the system. Whilst the

recalibration of the system has led to an increase of children in care, children are safer as a result and work now is being done to safely reduce numbers to acceptable levels. An external review of our multi agency safeguarding hub (the front door to children's social care services) has confirmed that decision making and thresholds are now appropriate.

19 A Reducing Service Costs Board has been established in Specialist Services chaired by the Assistant Director which will review arrangements to reduce CYPIC numbers safely, the effectiveness and impact of the Edge of Care Service, current Family Group Conference activity and progress on foster care recruitment. In addition a Strategic Overview of Permanence Group has been established, chaired by the Assistant Director to monitor the new Permanence Strategy through tight oversight of children with a plan of permanence and ensuring rigorous use of trackers in order to prevent delay and manage demand in the system.

20 A Track and Challenge exercise has also been undertaken on all young people in high cost residential placements to ensure education and health costs contributions where applicable are met. A Pathway for funding will be set up to include Health and Continuing Care funding. Children in residential have also being reviewed and those who need to be assessed with a view to returning nearer to York or 52 week placements in residential school to reduce to 38 are assessed.

21 The number of children who require protection through care proceedings continues to reduce as at 17/5 we had 52 children subject to care proceedings. The number of children for whom we anticipate may need a legal process (ie are in pre proceedings) has also reduced and is down by 8 children between the 1/4/21 to the 17/5. The number of children in our care continues to reduce. In the 6 months to the 4th June 2021 26 children came into our care and 38 children ceased to be in our care.

22 In addition we have been very successful in our campaign to attract new people to be foster carers and currently have 11 new carers going through approval. However, finding the right placement for our children still continues to be very difficult. The national care review is considering the issues in this area especially the escalating costs of placement and this remains a challenge in York. We are constantly reviewing our sufficiency strategy to ensure we have the best possible arrangements in this highly challenging context.

23 Safeguarding Interventions overspent by £694k, mainly due to increases in the Court and Child Protection Teams who are dealing with the increase in cases. Legal fees overspent £429k. Children protection numbers, following a recalibration spike, have now returned to national average levels.

24 Staffing budgets with Children's Social Work Services, including the Permanency and Referral & Assessment teams, overspent by approximately £1,155k. This is mainly due to temporary staffing across the service, which the directorate has worked hard to eliminate with permanent appointments. Use of agency staff is at a last resort. This could be for example to back fill maternity leave however managers must evidence that they have attempted to backfill with fixed term contract in advance of any agency staff being agreed. A revised structure which reduced the need for agency costs had been agreed just before lock down but has not been able to be taken forward during the initial phase of the pandemic. This is now being re activated.

25 The Home to School Transport budget was already in an historic overspend position of approximately £200k. The savings targets for the SEN element of home to school transport have not been achieved because of a growth in the number of pupils/students requiring transport and the specialist requirements of that transport. The main increase in numbers have been at post 16/19 where, because of the city now being able to provide more specialist education provision for this group of students more locally, subsequently we have had to provide more transport to establishment such as York College, Askham Bryan, Choose 2 and Blueberry Academy. The changes in legislation to allow EHCPs to ages 19-25, resulting in significantly more students accessing this option, has significantly increased our transport spend accordingly.

26 The final position was an overspend of £245k due mainly to the continuing overspend on SEN taxis.

27 The DSG budgets within Education and Skills overspent by £2,673k, mainly due to the high number of Out of Authority placements (3,123k). There was also an overspend in the Specialist Teaching teams of £182k, offset by savings of £32k in other SEN central teams budgets. The School Improvement budgets underspent by £600k, although these are managed on an academic year basis so some of this will be required in 2021/22. These variances contribute significantly to the deficit position on the DSG.

28 The Dedicated Schools Grant overspent by £5,075k in 2020/21. The main pressure is due to the continuing increase in High Needs numbers, and increasing complexity, requiring expensive provision particularly in Post 16 and Post 19 provision and the Out of Authority placements highlighted above.

29 The brought forward balance on the DSG at 1st April 2020 was a deficit of £4,865k. As a result of the 2020/21 in-year overspend the cumulative deficit to carry forward to 2021/22 is £9,940k. This position is unsustainable and work is on-going to initially reduce and progressively eliminate the in-year deficit position.

30 We are developing a DSG recovery plan which will provide options to bring this back to a balanced budget over the next 3 years. This is a national issue and we are part of national lobbying for the SEND review to move forward to address the funding gaps in this area which are experienced across the country.

31 A number of other more minor variations make up the overall directorate position.

Economy & Place

32 The outturn position for Economy & Place is an underspend of £114k.

33 There was an underspend of £511k against the concessionary fares budget as payments to operators during the latter part of the financial year were reduced to reflect lower passenger numbers. This was offset by higher CCTV monitoring and maintenance costs (£+99k) and additional IT and staffing costs within highway regulation (+£150k) relating to the implementation of the permit system and adapting the City for COVID19 social distancing. In part this was funded by COVID 19 grant but some of these costs would normally be assumed to be funded through income which has not been achievable this year.

34 In the last quarter of the year, the highways service incurred additional expenditure dealing with flooding and a colder than average winter requiring a higher number of grit treatments. There were also additional staffing costs incurred in maintaining the resilience of the service due to COVID 19 resulting in an overspend of £227k.

35 Within waste services an overspend of £183k due to the significant strain placed on the service operating within social distancing guidelines and the national lockdown impacts throughout the year. The aged refuse collection fleet is also incurring additional cost and is due to be replaced in 2021 but is increasingly unreliable as it goes beyond its economic life. There has also been additional back office support in place to assist the service.

36 The cost of Parking Management and Enforcement is £154k over budget. Balancing revenues and cost in the uncertainties of a post COVID19 world will be an ongoing challenge for the service. The significant investment in IT is making the service more flexible and efficient and will deliver significant saving in the area of corporate support anticipated in previous budgets.

37 Within Development Services there has been and underspend of £101k including staff savings of £62k

38 Within Environmental Health & Trading Standards there has been an underspend totalling £249k which is made up of staffing savings totalling £90k, underspends on transport and supplies and services totalling £32k and additional charges to other accounts totalling £65k. There was also one off income relating to Proceeds of Crime Act (POCA) that reflects work undertaken on prosecutions in prior years (£76k).

39 There was an overspend across the Commercial Portfolio totalling with an overspend of £138k. This was primarily due to reduced income from the Racecourse and from a number of commercial properties that were empty during the year.

40 A number of other more minor variations make up the overall directorate position.

Customer & Corporate Services

41 The outturn position is an underspend of £397k.

42 The main variations include underspends on staffing due to vacancies in a number of services including business intelligence (£178k), finance & procurement (£59k), carbon reduction team (£124k) and democratic services (£110k). There has also been an underspend in the cost of West Offices (£287k) and staff training

(£130k). These underspends are offset by overspending in Registrars due to reduced income (£128k). A shortfall in income from schools has resulted in an overspend within legal services of £60k and the cost of professional fees within Information Governance has resulted in an overspend of £59k. A further overspend of £55k on External Audit fees is due to the increased charges made by the auditor following work on the accounts objection. A number of other minor variations make up the overall directorate position.

Health, Housing & Adult Social Care

43 The outturn position is a net underspend of £1,218k which is made up of £837k on adult social care and £381k on housing general fund.

44 The outturn position on adult social care is significantly improved from the position forecast at monitor 3. This is predominantly due to the use of one off funds to mitigate the underlying budget pressures. These funds include using £392k of budget growth received in 2020/21 to support budget sustainability and £330k of the Care Act implementation budget to mitigate overspends in other areas of the department.

45 We have also been able to identify £1.7m of costs directly related to COVID that could be funded from the Contain Outbreak Management Fund. Further areas of improvement since Monitor 3 include the cost of transitions customers coming through from Children's Services have been £246k less than assumed in the budget and the Older People's Accommodation Project management budget underspent by £273k.

46 The underlying pressures continue however, and the following paragraphs outline the main variations.

47 Permanent residential care has overspent by £1,075k. This is mainly due to the average cost of working age adult physical & sensory impairment placements being around £14k higher than was planned for in the budget (£115k). The policy of using short term placements to support people to return to home has resulted in fewer admissions to residential and nursing care. The overspend on older people placements was £1,344k, largely due to the average cost per customer being £6.5k more than budgeted. Permanent nursing care has underspent by £662k.

48 Short stay budgets have underspent by £226k as the number of customers placed in respite and step up step down beds has been a lot lower than usual, largely due to the COVID pandemic.

49 The use of home care to support customers has overspent by £105k. This is largely due to the average weekly number of hours of homecare provided during the year being around 900 more than in the budget (£966k) but is significantly offset by one-off funding.

50 The number of exception customers and the average cost of exception contracts is also higher than budgeted for (£316k) and there has been increased spend on day support customers (£166k). The underlying overspend is primarily a result of having a number of new customers needing home care packages due to COVID, with people's usual support being unavailable as community services, etc have been closed or had vastly reduced capacity as a result of social distancing measures. As a result we have been able to fund a proportion of these costs from the Contain Outbreak Management Fund.

51 Physical & Sensory Impairment Supported Living schemes have overspent by £631k due to there currently being eight more customers in schemes than was assumed in the budget, and in addition the average cost per customer is £5.4k per annum higher than budgeted for.

52 Direct payments have underspent by a net £156k. This is made up of an underspend of £357k on physical & sensory impairment, largely due to there being five fewer customers at a lower average cost per customer than in the budget, and an overspend of £201k on older people where the average cost has been £3.5k more than in the budget with three more direct payment customers.

53 Learning disability residential budgets have overspent by £973k. The numbers placed are in line with budget, however the net cost per placement is currently £14k more than budget. This is partially due to ongoing issues of customers no longer qualifying for 100% continuing health care (CHC) funding and responsibility passing across from Health to ASC. This involves small numbers of people with very high costs. In response to this the council has employed and trained specialist CHC workers and established a project to work on these highest costing care packages. Joint work is underway with the NHS to adopt a better joint approach to gain better value from

the market and also to review existing care pathways in this area to ensure the most effective demand management is in place.

54 There has been an overspend of £247k on Direct Payments for learning disability customers as the average direct payment paid per customers is £4.7k more than in the budget together with transport direct payments per customer also being above budget (£713k). This is offset by direct payment reclaims being much higher than budget largely as a result of the COVID pandemic meaning customers were not undertaking the same level of activities as they usually would.

55 Adult social care has been paying for day support on what was planned for customers but in actuality have only received approximately 50% of the service paid for due day support settings reducing capacity as a result of social distancing measures. The Council has been able to reclaim some of these costs from the Contain Outbreak Management Fund (-£1,025k).

56 The Mental Health budgets overspent by £1,330k predominantly due to an increase in the number of residential care placements needed. The mental health accommodation programme is on track to deliver lower cost, local alternative provision.

57 Personal Support Services have overspent by £109k largely because of spend on WWY and agency staff to cover for vacancies and for a number of staff who have had to shield due to COVID.

58 There is an overspend of £112k on Haxby Hall. The service has now transferred to Yorkare Homes Ltd, but this transfer was delayed due to COVID and there is a substantial overspend on staffing due to the use of Work with York and external agency staff to cover staff vacancies before the transfer went ahead (£181k). In addition customer income underachieved by £42k. This was partially offset by the receipt of Health funding for use of the discharge to assess beds for COVID related hospital discharges in year.

59 Yorkcraft has overspent by £47k. The underlying overspend is £208k mainly due to £151k underachievement of income due to the COVID pandemic. On top of this there is a budget saving of £62k which will not be achieved in 2020/21. However we have been able to fund some of the income shortfall through use of the Contain Outbreak Management Fund (£161k).

60 Small Day Services have underspent by £199k. This is largely due to vacancies at Pine Trees, Community Base and the Community

Support Assistants which have not been filled during the year as the services were closed for the first half of the year and running at a reduced capacity thereafter.

61 Prior to the COVID pandemic pressure on the budget was largely driven by the increasing market cost of care. During the COVID pandemic additional pressures have emerged. The number of people seeking help from adult social care, the number who go on to receive support and the amount of support they receive have all increased. This is a reversal of a 2 year trend during which early intervention and strengths based working prevented increasing numbers of citizens requiring increasing support.

62 ASC responded swiftly and effectively to the pandemic in order to both protect vulnerable citizens and NHS capacity, establishing short term intensive community and residential support services for COVID positive people, supplying and delivering PPE, supporting care providers, those in receipt of direct payments and establishing new virtual and mobile ways of supporting citizens whose usual sources of support were interrupted

63 Although numbers of people with covid are now much lower, the impact of covid, social restrictions and lockdown have resulted in continued higher numbers of people requiring support for adult social care needs, particularly in areas such as mental health. This is in line with the expected impact modelled by public health professionals. The department is taking a review, repurpose, refresh and reset approach to recovery, recognising the opportunity for positive permanent change resulting from the disruption of recent months. The three strands to the recovery work are strength based working, capacity and demand management and staff wellbeing.

- Strengths based working- through maximising the use of community resources we will reduce the reliance on council funding
- Demand Management- we will flex the use of our resources across the health and care system, deploy more and better technology, and change the balance between long and short term support.
- Staff Wellbeing. We will make the best use of the skills and expertise of our staff by supporting them with the right information, tools for the job and invest in their wellbeing

64 As previously reported, ASC is operating in an extremely challenging environment in which Health partners in the city are operating with significant deficits. The price of care provision is high, with a local market driven by those that can fully fund their care without recourse to the Council.

65 Housing General Fund has underspent by £381k. This is mainly as a result of additional support service and management recharges to the housing revenue account leading to a surplus within general fund (£203k), staff vacancies within the strategy team (£35k) along with staff vacancies and an underspend on materials in the private sector housing team (£95k) .

66 A number of other more minor variations make up the overall directorate position.

Housing Revenue Account

67 The Housing Revenue Account budget for 2020/21 is a net cost of £825k. The year end position is an underspend of £3,254k, of which £2,340k relates to capital financing that has slipped into 2021/22. The adjusted year end position is a surplus of £89k which is an underspend of £914k compared to budget.

68 There has been an underspend of £401k across Repairs & Maintenance as only urgent and emergency repairs were undertaken in the first 4 months of the year due to the pandemic, resulting in a backlog of non-urgent repairs. To assist with the continuing efforts to deal with the backlog of repairs it is proposed that the underspend is carried forward into 2021/22 to deal with these costs.

69 Underspends of £209k within general management are due to vacant posts and general recharges (£321k), underspends on the training budget (£39k), less tenant support activities due to the pandemic (£39k) and court admin costs (£78k). These underspends are offset by the cost of independent external advice for the James House project (£275k). There has also been an underspend of £113k on equipment and caretaking costs.

70 The revenue contribution to capital has underspent by £2.34m due to the slippage of capital expenditure. These funds will be carried forward to 2021/22 to fund the slippage.

71 The HRA financial assistance scheme was created in 2020/21 to provide financial support and assistance to HRA tenants with their

rent arrears. New proposals are being drawn up in conjunction with partner advice services to provide a more streamlined services and as such it is proposed that the £78k underspend in this area is carried forward in to 2021/22 for this service to continue.

72 There has been a shortfall in dwelling rents of £217k due to the delayed opening of James House & Lincoln Court. In addition the void numbers are higher than previous years, however teams across Housing have worked together to increase the turnaround of empty properties.

73 As previously reported the HRA will not receive any financial assistance from the government relating to the pandemic and as such the underspend from 2019/20 of £539k was set aside to fund COVID-19 and other pressures. £114k was allocated in 2020/21, which has contributed to the overall underspend on the HRA.

74 The working balance position at 31 March 2020 was £26.4m. The outturn position means the working balance will increase to £29.65 at 31 March 2021. This compares to the balance forecast within the latest business plan of £25.58m.

75 There are a number of ongoing implications of the outturn position into 2021/22. It is necessary to re-profile the revenue contributions funding the capital programme slippage of £2,340k into 2021/22. This leaves a balance of £914k from which £401k has been requested to fund the backlog of repairs in 2021/22 and £78k from the financial assistance scheme has been requested to carry forward in to 2021/22, leaving a balance of £435k to contribute to the ongoing HRA working balance.

76 The working balance is increasing in order to start repaying the £121.5m debt that the HRA incurred as part of self-financing in 2012. The current business plan assumes that reserves are set aside to enable to the debt to be repaid over the period 2023/24 to 2042/43.

Corporate Budgets

77 These budgets include Treasury Management and other corporately held funds. An underspend of £759k has been achieved, predominantly as a result of reviewing capital financing assumptions.

Annex 2 – Performance – Council Plan Outcomes

1 This report concentrates on the indicators that make up the Council Plan performance framework and does not cover COVID-related activity.

2 It is likely that due to impacts of COVID, a number of the indicators will see a significant change both in terms of their numbers and their direction of travel in future reporting periods. The majority of the performance measures within the Council Plan have a lag between the data being available, and the current reporting period and therefore impacts will not be immediately seen, and may occur over several years as new data becomes available.

3 Within the updates on the Council Plan indicators, are a number of indicators which show the status of economic, community or corporate recovery since the start of the pandemic.

Well paid jobs and an inclusive economy

	Previous Data	Latest Data	DoT	Frequency	Benchmarks	Data Next Available
Business Rates - Rateable Value	£256,083,171 (2019/20)	£255,784,673 (2020/21)	⇨	Quarterly	Not available	Q1 2021/22 data available in July 2021
Median earnings of residents - Gross Weekly Pay (£)	£574.60 (2019/20)	£572.60 (2020/21)	⇨	Annual	National Data 2020/21: £587.1 Regional Data 2020/21: £540.4	2021/22 data available in November 2021
% of working age population qualified - to at least L2 and above	83% (2019/20)	83.6% (2020/21)	⇨	Annual	National Data 2020/21: 78.20%	2021/22 data available in May 2022
% of working age population qualified - to at least L4 and above	49.10% (2019/20)	46.4% (2020/21)	⇨	Annual	National Data 2020/21: 43.10% Regional Data 2020/21: 37.30%	2021/22 data available in May 2022
% of vacant city centre shops	7.89% (2019/20)	8.89% (2020/21)	⇧ Bad	Monthly	National Data 2019/20 Q1 11.7%	Q1 2021/22 data available in July 2021
GVA per head (£)	25,130 (2017/18)	30,258 (2018/19)	⇨	Annual	Regional Rank 2018/19: 2	2019/20 data available in June 2021
% of working age population in employment (16-64)	78.70% (Q2 2020/21)	78.20% (Q3 2020/21)	⇨	Quarterly	National Data Q3 2020/21 75.40%	Q4 2020/21 data available in October 2021
The DoT (Direction of Travel) is calculated on the latest three data points whether they are annual or quarterly. All historic data is available via the Open Data Platform						

Business Rates

4 The Government Grant Funded Support schemes for local businesses have now closed. The level of support provided was:

- 2,526 Business Support Grants (value of £108.4m)
- Approx. 1,000 Council Funded Micro Scheme payments (value of £1m)
- 3,192 Business Rate Reliefs 2020-21 (value of £70.228m)

5 There is support for qualifying businesses with their business rates though 2021-22 with 100% relief for the first three months, then 66.6% for the rest of the year. There is also revaluation relief funding coming later in the year to support those businesses who had applied to the VOA for a reduction in their rates, as a result of covid-19.

6 There continues to be ongoing welfare support payments for residents into 2021-22 with a local covid support grant replacing the winter grant scheme, the extension of the isolation grant scheme to June, a further CTS hardship scheme and the YFAS fund. Support provided during 2020-21 includes:

- Over 7,200 CTS customers helped with council tax (£150) with a total value of £1.08m
- 2,091 Winter Support Grants totalling £546.9k
- 500 Isolation Grants totalling £250k
- YFAS Payments totalling 305.5k
- Discretionary Housing Payments totalling £297.9k
- Hub Support including food parcels totalling £79.3k
- Mobile and internet access for digitally vulnerable residents totalling £11k

7 The 2020-21 collection rate for Council Tax up to the end of March 2021 was 96.44% (1.36% below the target collection rate and 1.02% below the collection rate at the same point in 2019-20).

Median earnings of residents – Gross weekly pay

8 In April 2020, the median gross weekly earnings for full-time resident employees in York were £574.90, which is a decrease of 0.8% from £579.90 in 2019. Nationally, median weekly pay for full-time employees fell in the private sector (negative 0.6%) but not in the public sector (positive 2.4%), following four years of higher pay growth in the private sector; this fall reflects the different job types across each sector and the extent they have been impacted because of the coronavirus (COVID-19) pandemic. Data for 2021/22 will be available in November 2021.

% of working age population qualified – to at least L2 and above

9 In 2020-21, 83.6% of the working age population in York were qualified to at least L2 and above (GCSE grades 9-4), which is higher than the national and regional figures (78.2% and 75.9% respectively). This result ranks the city of York third regionally. The 2020-21 figure has remained stable compared to 2019-20 (83%).

% of working age population qualified – to at least L4 and above

10 In 2020-21, 46.4% of the working age population in York were qualified to at least L4 and above (certificate of higher education or equivalent), which is higher than the national and regional figures (43.1% and 37.3%

respectively). This result ranks the city of York fifth regionally. The 2020-21 figure is a slight decrease from 2019-20 (49.1%).

GVA (Gross Value Added) per head (£)

11 In 2018-19 (the latest available data), the GVA per head in York was £30,258 which was the second highest figure regionally. Apart from a slight dip in 2015-16, the GVA per head has been increasing annually since 2009-10 where it was £25,976 per head. Data for 2019-20 will be available in June 2021. Based on predicted economic trends nationally, it is expected that there will be a negative impact on GVA values in future years.

% of vacant city centre shops compared to other cities

12 At the end of Q4 2020-21, there were 57 vacant shops in the city centre, which is an increase from 51 at the same point in 2019-20. The number of vacant shops equates to 8.89% of all city centre shops, which is lower than the national benchmark in Q1 2019-20 of 11.7%. Properties in York are owned by different commercial parties and CYC commercial properties have very low levels of vacancies. The York figure has not fluctuated a great deal in the past 10 years, with a high of 9.2% in 2016-17 and the national benchmark figure has remained stable too, with a high of 12.3% in 2013-14. This measure will continue to be monitored along with a number of new measures looking at vacancy rates within secondary shopping centres to broaden the economic picture of the city. At the end of December 2020, the vacancy rates within secondary shopping centres were relatively low (5% at Clifton Moor, 12% at Monks Cross, 0% in Haxby Village and 5% in Acomb High Street).

13 In the financial year up to the end of March 2021, there were 917 new business start-ups in the City of York Council area. This figure is very similar to that at the same point in 2020 therefore showing signs of recovery.

% of working age population in employment (16-64)

14 In Q3 2020-21 (the latest available data), 78.2% of the working age population were in employment, which is higher than the national and regional figures (75.4% and 74.6% respectively). The York performance gives the city a ranking of second regionally and represents a continued yearly upward trend.

15 At the end of March 2021, there were 13,367 people in York receiving Universal Credit, of which, 7,530 were not in employment. These figures are considerably higher than the same period in 2019-20 (6,535 and 3,773).

Getting around sustainably

Getting around sustainably						
	Previous Data	Latest Data	DoT	Frequency	Benchmarks	Data Next Available
P&R Passenger Journeys - (YTD)	4.24m (2018/19)	3.98m (2019/20)	⇨	Annual	Not available	2020/21 data available in July 2021
Local bus passenger journeys originating in the authority area (excluding P&R) - (YTD)	12m (2018/19)	11.6m (2019/20)	⇨	Annual	Not available	2020/21 data available in July 2021
% of road and pathway network that are grade 4 (poor) or grade 5 (very poor) - roadways	20% (2019/20)	22% (2020/21)	⇨	Annual	Not available	2021/22 data available in November 2021
% of road and pathway network that are grade 4 (poor) or grade 5 (very poor) - pathways	3% (2019/20)	3% (2020/21)	⇨	Annual	Not available	2021/22 data available in November 2021
Area Wide Traffic Levels (07:00 -19:00) (Excluding A64) from 2009/10 baseline (2.07m)	2.17m (2017/18)	2.15m (2018/19)	⇨	Annual	Not available	2019/20 data available in June 2021
Index of cycling activity (12 hour) from 2009 Baseline (31,587)	109.00% (2019)	91.00% (2020)	⇩ Bad	Annual	Not available	2021 data available in February 2022
Index of pedestrians walking to and from the City Centre (12 hour in and out combined) from 2009/10 Baseline (37,278)	111.00% (2019/20)	103.00% (2020/21)	⇨	Annual	Not available	2021/22 data available in January 2022
% of customers arriving at York Station by sustainable modes of transport (cycling, walking, taxi or bus - excluding cars, Lift, Motorcycle, Train)	75.40% (2019)	Not collected due to COVID restrictions (2020)	N/a	Annual	Not available	2021 data available in December 2021
The DoT (Direction of Travel) is calculated on the latest three data points whether they are annual or quarterly. All historic data is available via the Open Data Platform						

P&R Passenger Journeys

16 In 2019-20, there were a total of 3.98 million Park and Ride passenger journeys into and out of the city. This is lower than in 2018-19 (4.24m) and the lowest in the previous seven years (with a high of 4.61m in 2015-16). Due to the global COVID-19 pandemic, lower numbers than normal were seen during March 2020, which partly explains the decrease since 2018-19. Data for 2020-21 will be available in June 2021.

Local bus passenger journeys

17 In 2019-20, 11.6 million local bus passenger journeys originated in the local authority area. This is slightly lower than the number of journeys in 2018-19 (12m) but overall, there has been a steady increase over the previous seven years (from 9.7m in 2012/13). Data for 2020-21 will be available in June 2021.

% of ROAD and pathway network that are grade 4 (poor condition) or grade 5 (very poor condition) - Roadways / Pathways

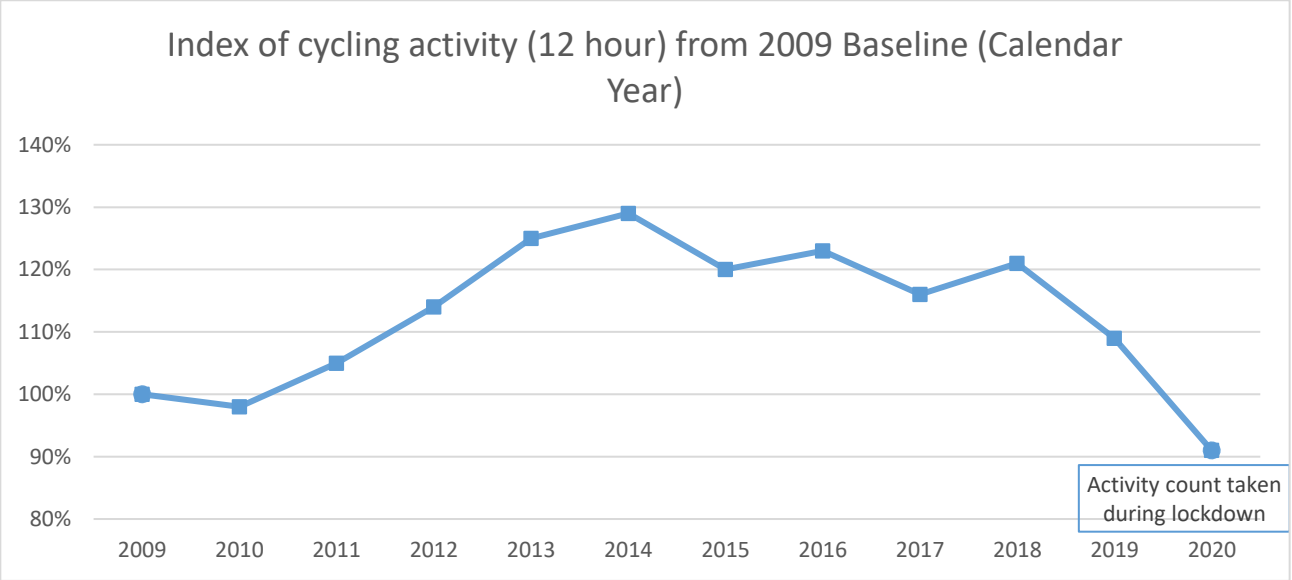
18 In 2020-21, 22% of the road network was classed as in poor or very poor condition. This is a slight increase from 2019-20 (20%) but lower than the two year previous to that. In 2020-21, 3% of the pathway network was classed as in poor or very poor condition. This remains relatively low compared with previous years, with the highest being 6% in 2015-16. Executive will shortly be considering a new Highway Infrastructure Asset Management Plan, to ensure that investment provides the best possible value for money.

Area Wide Traffic Levels (07:00 -19:00) (Excluding A64)

19 Between 2011-12 and 2016-17, the number of vehicles on the city's roads increased year on year to a high of 2.2 million. Since then the numbers have slowly decreased to a provisional figure of 2.15 million in 2018-19. This slight decrease in numbers is set against a backdrop of a city with an increasing population. Data for 2019-20 will be available in June 2021.

Index of cycling activity (12 hour) / % of residents actively cycling and national comparisons

20 From a baseline in 2009 (31,587), there has been a 9% decrease in cycling activity in 2020. The highest level seen since the baseline was established was in 2014 where there was a 29% increase above the baseline.



21 Statistics about walking and cycling in England in 2019 were published during August 2020. The data is based on two main sources, The National Travel Survey and the Active Lives Survey. The picture for York residents is a positive one with a higher than average proportion engaging in both walking and cycling (the percentage of adults in York who walk or cycle five times per week (50%) is higher than regional and national averages (34.1% and 35.8%).

22 Community mobility data has been available regularly from Google since the start of the pandemic to track how visits to places such as shops and transit stations are changing. Data is sourced through phone location history where consented and changes for each day are compared to a baseline value for that day of the week taken during January and February 2020. At the end of March 2021, in York, there had been a 46% reduction in retail and recreation activity, a 2% increase in grocery and pharmacy activity, and a 57% reduction in the use of Public Transport. Overall, York has performed better than the national averages.

Index of pedestrians walking to and from the City Centre (12 hour in and out combined)

23 From a baseline in 2009-10 (37,278), there has been a 3% increase in the number of pedestrians walking to and from the city centre in 2020-21. This is 8% lower than in 2019-20 and can probably be attributed to the national lockdowns that have taken place during 2020 and early 2021. Data is gathered on an annual basis over the course of one day; it is a count of pedestrians crossing an inner cordon set just beyond the inner ring road and includes off-road routes such as riverside paths.

% of customers arriving at York Station by sustainable modes of transport (cycling, walking, taxi or bus – excluding cars, lift, motorcycle or train)

24 In 2019 (the latest available data), 75% of customers arrived at York station by sustainable modes of transport which is an increase from 73% in 2018. The data is gathered by an annual survey which takes place for a five- hour period in seven locations around the station. Members of the public are asked how they arrive at the station and the results are flow weighted to take into account the split of people arriving at each entrance. Due to COVID restrictions on movement, the survey did not take place during 2020, therefore data is not available for this year.

Good Health and Wellbeing

Good Health and Wellbeing						
	Previous Data	Latest Data	DoT	Frequency	Benchmarks	Data Next Available
Proportion of adults in contact with secondary mental health services living independently, with or without support	67.00% (Q2 2020/21)	60.00% (Q3 2020/21)	↓ Bad	Quarterly	National Data 2019/20 58.00%	Q4 2020/21 data available in June 2021
Delayed transfers of care from hospital which are attributable to adult social care, per 100,000 population (YTD Average)	6.6 (2018/19)	4.9 (2019/20)	→	Quarterly	National Data 2019/20 3.2	Data collection for March 2020 onwards has been suspended due to COVID-19
Overall satisfaction of people who use services with their care and support	63.80% (2018/19)	68.10% (2019/20)	→	Annual	National Data 2019/20 64.20%	2020/21 data available in December 2021
% of reception year children recorded as being obese (single year)	9.50% (2018/19)	7.60% (2019/20)	→	Annual	National Data 2019/20 9.90%	2020/21 data available in December 2021
Slope index of inequality in life expectancy at birth - Female - (Three year period)	6.2 (2018/19)	6.2 (2019/20)	→	Annual	Regional Rank 2019/20: 3	2020/21 data available in May 2022
Slope index of inequality in life expectancy at birth - Male - (Three year period)	8.4 (2018/19)	8.3 (2019/20)	→	Annual	Regional Rank 2019/20: 3	2020/21 data available in May 2022
% of adults (aged 16+) that are physically active (150+ moderate intensity equivalent minutes per week, excl. gardening)	67.10% (2019/20)	66.70% (Q2 2020/21)	→	Bi-annual	National Data Q2 2020/21 61.40%	2020/21 data available in November 2021
The DoT (Direction of Travel) is calculated on the latest three data points whether they are annual or quarterly. All historic data is available via the Open Data Platform						

25 There has been an increasing initial contact demand for adult social care in 2020-21, partly caused by the COVID-19 pandemic, although this has not yet led to any subsequent increase in care packages. Our Customer Contact Workers record the number of contacts received to ASC, whether made by email, telephone or other methods. During 2020-21 Q4, they received 5,594 contacts, which is over 72% higher than the number received during 2019-20 Q4 (3,257). Around 26% of the contacts during

2020-21 Q4 were resolved using Information, Advice and Guidance (IAG), which is lower than the percentage that were resolved using IAG during 2019-20 Q4 (29%); this reflects the increasing complexity of issues that are dealt with by them.

26 There has been a notable fall throughout 2020-21 in the number of individuals in residential/nursing care placements, mainly due to the Covid crisis. At the end of 2020-21 Q4, this number was 538, compared to 609 at the end of 2019-20 Q4. CYC have been relatively successful in ensuring that the number of new admissions to residential/nursing care have been low, partly because of the policy that people should no longer be placed in residential/nursing care directly following hospital discharge. During 2020-21 the number of new admissions of older people to residential/nursing care was 172, a fall by 14% on the 2019-20 figure of 201.

27 The COVID-19 pandemic, particularly since the peak of the "first wave" in May, has led to an increasing demand for home care services. At the end of 2020-21 Q4 there were 726 people in receipt of a home care service; this is 7% higher than the corresponding figure at the end of 2019-20 Q4 (676). This number has risen substantially in the financial year, but fell back during the most recent quarter.

Proportion of adults in contact with secondary mental health services living independently

28 The percentage of all adults in contact with secondary mental health services living independently, with or without support, has fallen over the last year; during 2020-21 Q3 (the latest figures available), 60% of them were doing so, compared with 80% a year earlier. The 2019-20 ASCOF results showed that York is the 18th best performing LA in the country with a performance of 80% in this measure, compared with 61% in all unitary authorities and 63% in its statistical neighbour group.

29 During 2020-21 Q3 (the latest figures available), 16% of all clients in contact with secondary mental health services were in employment – a figure that has consistently been above the regional and national averages. Based on the 2019-20 ASCOF results, York is the 4th best performing LA in the country on this measure, with 22% of all those in contact with secondary mental health services in employment, compared with 10% in all unitary authorities and 9% in its statistical neighbour group.

30 However, NHS Digital have acknowledged that there are issues with the quality of some of its statistics because of the disruption caused by the COVID-19 pandemic, so it is possible that the percentages quoted above may be subject to future revision.

Delayed Transfers of Care (DToC) from hospital which are attributable to adult social care, per 100,000 population

31 There had been a downward trend in the number of days that patients are delayed leaving hospital that are “attributable to adult social care”. In the 12 months to the end of February 2020, which is the latest period for which information has been published by NHS England, there were on average eight beds per day occupied by people subject to delayed transfers of care attributable to CYC’s adult social care. This is lower than in the previous 12-month period (11 beds occupied per day on average). However, reporting on DToC has been stopped since February 2020 due to the COVID-19 pandemic and no decision has been made as to whether it will ever resume. Therefore, information about DToC will no longer feature in this report from the next quarter onwards.

Overall satisfaction of people who use services with their care and support

32 The 2019-20 Adult Social Care User Survey (ASCS) showed that 68% of those who responded stated that they were “extremely” or “very” satisfied with the care and support they received. This is a significant improvement from 2018-19, where 64% gave one of these answers. This performance puts York amongst the upper quartile of local authorities for satisfaction with care and support, above the average of all unitary authorities (66%) and its statistical neighbour group of local authorities (64%). Provisional results from the 2020-21 ASCS suggest that this percentage increased further, which will be confirmed later this year after NHS Digital publish the results for all Las which took part.

33 The Survey also reported that ASC clients felt that their quality of life had improved during 2019-20, a measure that takes into account how they feel about aspects such as their safety, social contact, access to local services and ability to perform household tasks. It has improved to the extent that the quality of life for York’s ASC clients is now comparable with those nationally and in its statistical neighbour group of local authorities. Provisional results for 2020-21 indicate a further improvement in this measure.

34 Additionally, 74% of ASC clients that responded to the Survey and tried to access information and advice reported that they found it “easy” to do so, a percentage which is in the upper quartile of local authorities. It is significantly higher than the average of all unitary authorities (70%) and its statistical neighbour group of local authorities (68%). The provisional results for 2020-21 indicate a slight deterioration in this measure.

% of reception year children recorded as being obese (single year)

35 Although the NCMP programme for 2019-20 was discontinued in March 2020 due to the COVID-19 pandemic, the data submitted for children measured prior to lockdown has been published with appropriate local data quality flags. The coverage rates for York for 2019-20 were 38% for year 6 pupils and 57.2% for reception (coverage rates are usually in

excess of 95%). As a result of this, the York values have been flagged as 'fit for publication but interpret with caution'.

36 The 2019-20 NCMP found that 7.6% of reception children in York were obese, which is significantly lower than the England average (9.9%). The York figure has fallen from the 2018-19 level (9.5%). Of Year 6 children in York, 22.1% were found to be obese in 2019-20, which is not significantly different from the England average (21.0%). The York figure has increased from the 2018-19 level (15.1%). There is a wide variation in obesity rates at ward level, and there is a strong correlation between obesity and deprivation at ward level.

37 For the 2020-21 measurement year, a minimum 10% representative NCMP sample will be screened, which, in York, equates to 5 schools.

Healthy Life expectancy at birth – Female/Male (slope index of inequality)

38 Average Life Expectancy and Healthy Life Expectancy for males in York (80.2 years and 65.8 years) is above the England average (79.8 years and 63.2 years). Average Life Expectancy and Healthy Life Expectancy for females in York (83.7 years and 66.4 years) is also above the England average (83.4 years and 63.5 years).

39 The inequality in life expectancy for men in York for the measurement period 2017-19 is 8.3 years. This means there is around an 8-year difference in life expectancy between men living in the most and least deprived areas of the City. This inequality for men has improved (fallen) for two successive periods.

40 The inequality in life expectancy for women in York for the measurement period 2017-19 is 6.2 years. This means there is around a 6-year difference in life expectancy between women living in the most and least deprived areas of the City. The figure is the same as in the previous period 2016-18.

41 This inequality in York is below the national average for men (9.4 years) and for women (7.6 years).

% of adults (aged 16+) that are physically active (150+ moderate intensity equivalent minutes per week, excluding gardening)

42 The latest data from the Adult Active Lives Survey for the period November 2019 to November 2020 was published in April 2021. In York, 477 people aged 16 and over took part in the survey, and they reported higher levels of physical activity, and lower levels of physical inactivity, compared with the national average. Positively:

- 66.7% of people in York did more than 150 minutes of physical activity per week compared with 61.4% nationally and 59.8% regionally.

There has been no significant change in the York value from that 12 months earlier.

- 21.7% of people in York did fewer than 30 minutes per week compared with 27.1% nationally and 29.2% regionally. There has been no significant change in the York value from that 12 months earlier.

A Better Start for Children and Young People

A Better Start for Children and Young People						
	Previous Data	Latest Data	DoT	Frequency	Benchmarks	Data Next Available
Secondary school persistent absence rate (10% absence) (recorded over 6 terms) (relates to prev academic year to financial year shown)	15.50% (2017/18)	13.18% (2018/19)	⇨	Annual	Not available	Data for 2019/20 will be available in June 2021
Voice of the Child - Service Usage and Life Opportunities	Narrative	Narrative	N/A	Quarterly	Not available	Q4 2020/21 narrative available in June 2021
% of children who have achieved a Good Level of Development (GLD) at Foundation Stage - (Snapshot)	74.80% (2017/18)	75.60% (2018/19)	⇨	Annual	National Data 2018/19 71.80%	Data for 2019/20 will not be released due to COVID19
Average Progress 8 score from KS2 to KS4	0.11 (2017/18)	0.22 (2018/19)	⇧ Good	Annual	National Data 2018/19 0.01	Data for 2019/20 will not be released due to COVID19
% of pupils achieving 9-4 or above in English & Maths at KS4 (C or above before 2016/17)	69.60% (2017/18)	73.60% (2018/19)	⇨	Annual	National Data 2018/19 65.70%	Data for 2019/20 will not be released due to COVID19
%pt gap between disadvantaged pupils (eligible for FSM in the last 6 years, looked after and adopted from care) and their peers achieving 9-4 in English & Maths at KS4	33.20% (2017/18)	29.40% (2018/19)	⇨	Annual	National Data 2018/19 27.00%	Data for 2019/20 will not be released due to COVID19
% of Year 12-13 (academic age 16-17) NEET who possess less than a L2 qualification - (Snapshot)	85.50% (2019/20)	89.4% (2020/21)	⇨	Quarterly	Not available	Q1 2021/22 data available in July 2021
The DoT (Direction of Travel) is calculated on the latest three data points whether they are annual or quarterly. All historic data is available via the Open Data Platform						

43 The number of children in care has been stable throughout 2020/21, with between 278 and 281 children for 11 months of the year. The number of children in care remains above the expected level for York, the increase during 2019/20 reflected recalibration within children's services as progress was made to improve and strengthen practice. As improvement work continues we would expect a second recalibration where the number of children in care reduces.

44 The number of children subject to a child protection plan steadily decreased throughout 2020/21, with 124 plans at the end of the year. The ongoing improvement work in children's services is a key factor. During 2019/20, we saw a predicted increase in the number of children who were the subject of a plan. The second phase of improvement work is contributing to performance levelling off.

45 The number of referrals to children's social care dropped significantly during the initial phase of COVID-19 lockdown. This matched the experience seen nationally and regionally. Referrals peaked in September, exceeding historical monthly averages. The most recent

national lockdown contributed to a drop in referrals, but we are seeing a swifter return to expected levels than we saw last year.

46 The number of contacts to Early Help increased significantly throughout the initial lockdown phase in response to COVID-19. Whilst the number of contacts to Early Help reduced over Q2, they increased again in Q3 with October being the busiest month since April. Q4 saw a similar trend to children's social care, with an initial reduction, followed by a swifter recovery. Work is progressing within the MASH and with the safeguarding partnership to ensure a city-wide and multi-agency response to the increased demand.

Voice of the Child

47 Advocacy casework for children and young people who are in care or leaving care, going through the child protection process or wanting to make a complaint, has continued to be provided throughout this period. Between January and March 2021, Speak Up received a total of 19 referrals for advocacy; 6 referrals for children and young people in care, 7 referrals for young people subject to a Child Protection Plan, 4 referrals for care leavers and 2 referrals for young people falling solely under the remit of making a complaint.

48 Participation work opportunities have continued to be delivered remotely, with young people being engaged virtually via Zoom meetings. Our Children in Care Council (Show Me That I Matter) and Care Leavers Forum (I Still Matter) have continued to meet each month and discussed topics including how the process for accessing case files could be developed, life story work, stigma, celebrating foster carers and the views/experiences of young parents. The groups have also continued to discuss the impact of COVID-19 on children and young people with SMTIM additionally being involved in consultation for the Virtual School regarding the support they feel is needed from education moving forward. Members of the Care Leaver's Forum have also taken part in national discussions with Article 39 and the Department for Education regarding the national review of advocacy provision. A number of young people also took part in personal strengths and confidence sessions virtually as part of the Bright Futures Project.

49 York Youth Council (YYC) meetings have continued to be delivered during this period on a remote basis as a result of the COVID-19 restrictions. In Q4, fortnightly meetings have taken place via Zoom and the youth council have focussed on online campaigns and projects. Since January, formal meetings have taken place on themes such as Rights of the Child, Quizzing the Councillors and Young People's Voice. This quarter, YYC have created and completed a survey of young people and children in York asking them about their rights based on the UNCRC. The data and

results will be used in upcoming work. This quarter's sessions have included guests and consultation work such as North Yorkshire Police to discuss Knife Crime and working with partners on the Make Your Mark results led by the British Youth Council. Some of our YYC members have coordinated, organised and facilitated a virtual Youth Hustings event leading up to the May election for York and North Yorkshire's Police, Fire and Crime Commissioner. This work was led by the North Yorkshire Youth Work Unit and facilitated by YYC staff.

50 YYC have started to plan their future work including re-freshing their Minding Minds award in the autumn term 2021. This scheme was created by YYC members centred around recognising schools that prioritise and invest resource in the mental health of young people and their students. This ties in to their agenda of youth voice and young people's human rights. Mental Health was one of the top issues voted by the UK Make Your Mark youth consultation of 185,000 young people aged 11-18 in the United Kingdom and over 100 young people who voted in York. YYC will look to continue their work on the top 6 Make Your Mark results which were as follows: Support our Mental Health; Take Action on the Climate Emergency; Free University; Domestic Violence; Homelessness and Access to Training and Jobs. YYC are looking forward to working with partners on these topics and are creating awareness resources and a 'where to go for help' information sheet. Young people in YYC are looking forward to building a stronger working relationship with the City of York Safeguarding Children Partnership (CYSCP).

51 Representatives from YYC have continued to take part in a number of virtual regional workshops, conferences and meetings, mainly facilitated by British Youth Council and the Steering Group, enabling them to communicate with different MPs from across the region about current issues, as well as other Youth Councils. This also includes the recent Making A Bigger Mark Event which included the guests Baroness Barron, Young Minds UK, National Union of Students, the Speaker of the Commons, and Friends of the Earth + Greenpeace.

Secondary school persistent absence rate

52 The May 2020 pupil census was cancelled by the Department for Education due to COVID-19. National and local schools attendance data has not yet been released by DfE. It is anticipated that DfE will release a version of the standard attendance performance but the details are not known yet.

% of children who have achieved a Good level of Development (GLD) at Foundation Stage

53 There will be no data available for 2019-20 as the tests were cancelled due to the pandemic.

Education Progression (Average Progress 8 score from KS2 to KS4) and **GCSE Results (% of pupils achieving 9-4 in English and Maths at KS4)**

54 Progress 8 is a measure of the progress made by pupils between Key Stage 2 and Key Stage 4. A positive score represents progress above the average for all pupils and a negative score progress below the average for all pupils.

55 The KS4 landscape is particularly complicated for 2020 due to COVID-19. In 2020, all GCSE, AS and A level exams were cancelled and replaced by a combination of teacher assessment, mock exam results, course work and a standardised calculation.

56 The Department for Education are not planning on releasing data for 2019-20 due to the way in which Key Stage 4 results were calculated due to COVID-19.

% point gap between disadvantaged pupils (eligible for FSM in the last 6 years, looked after and adopted from care) and their peers achieving 9-4 in English and Maths at KS4

57 The DfE are not planning on releasing data for 2019/20 due to the way in which Key Stage 4 results were calculated due to COVID-19.

58 Reducing the attainment gap between disadvantaged pupils and their peers is a key priority in all phases of education across 0-19 years. In 2019, the attainment gap narrowed slightly to 29.4%, against the national average of 27%.

% of 16-17 year olds who are NEET who do not have a L2 qualification

59 The proportion of 16-17 year olds in York who are NEET remains at a similar level to historical trends and there is a correlation with disadvantage, with the majority of young people that are NEET being from the wards with the highest levels of deprivation. At the end of March 2021, 89.4% of young people who were NEET did not have a Level 2 qualification.

A Greener and Cleaner City

A Greener and Cleaner City						
	Previous Data	Latest Data	DoT	Frequency	Benchmarks	Data Next Available
Percentage of household waste sent for reuse, recycling or composting	48.75% (Prov) (Q2 2020/21)	42.61% (Prov) (Q3 2020/21)	⇨	Quarterly	National Data 2019/20 43.50%	Q4 2020/21 data available in August 2021
Residual household waste per household (kg/household)	130kg (Prov) (Q2 2020/21)	121kg (Prov) (Q3 2020/21)	⇨	Quarterly	National Data 2019/20 537.2kg	Q4 2020/21 data available in August 2021
Incidents - Flytipping /Cleansing(includes dog fouling,litter)/Graffiti - On Public/Private Land	1,960 (2019/20) (Flytipping)	2,277 (2020/21) (Flytipping)	⇨	Quarterly	Not available	Q1 2021/22 data available in July 2021
	2,578 (2019/20) Cleansing	1,990 (2020/21) Cleansing	⇨	Quarterly	Not available	Q1 2021/22 data available in July 2021
	385 (2019/20) Graffiti	479 (2020/21) Graffiti	⇨	Quarterly	Not available	Q1 2021/22 data available in July 2021
Citywide KPI on air quality (to be created during CP lifespan)	N/A	In development	N/A	TBC	Not available	Indicator to be created during Council Plan lifespan
Carbon emissions across the city (to be created during CP lifespan)	N/A	In development	N/A	TBC	Not available	Indicator to be created during Council Plan lifespan
Level of CO2 emissions from council buildings and operations (Net emissions) (to be created during CP lifespan)	N/A	In development	N/A	TBC	Not available	Indicator to be created during Council Plan lifespan
Flood Risk properties assesed at lower level than 2019 baseline (to be created during CP lifespan)	N/A	In development	N/A	TBC	Not available	Indicator to be created during Council Plan lifespan
Number of Trees Planted (CYC)	515 (2019/20)	271 (2020/21)	⇨	Quarterly	Not available	Q1 2021/22 data available in July 2021
% of Talkabout panel who think that the council are doing well at improving green spaces	42.14% (2019/20)	44.31% (2020/21)	⇧ Good	Quarterly	Not available	Q1 2021/22 data available in August 2021
The DoT (Direction of Travel) is calculated on the latest three data points whether they are annual or quarterly. All historic data is available via the Open Data Platform						

Percentage of household waste sent for reuse, recycling or composting

60 The latest provisional data of 43% in Q3 2020-21 shows that the amount of household waste sent for reuse, recycling or composting has increased slightly from 42% in the same period in 2019-20. In 2019-20 York performed in the middle quartile compared to other Unitary Authorities (ranked 22nd out of 56 Unitary LA's).

Residual household waste per household (kg/household)

61 Latest provisional residual waste (i.e. non-recyclable) per household data shows a decrease from 128 kg in Q3 2019-20 to 121kg in Q3 2020-21. In 2019-20 York performed in the middle quartile compared to other Unitary Authorities and is ranked 26th out of 56 Unitary LA's.

Incidents - Fly tipping / Rubbish / Cleansing (includes dog fouling, litter and all other cleansing cases) / Graffiti – On Public/Private Land

62 The number of service calls received during 2020-21 due to fly-tipping and graffiti have increased since 2019-20 (fly-tipping from 1,960 to 2,277 and graffiti from 385 to 479) whilst calls received due to cleansing (including dog fouling and litter) have decreased since 2019-20 (from 2,578 to 1,990).

Air Quality

63 All locations in York met the health based air quality objectives for both nitrogen dioxide and articulate matter. Gillygate was equal to set objectives and higher concentrations were recorded on Rougier Street. Although these results will have been affected by the Coronavirus lockdowns, the results indicate a continuing improvement in air quality in

York. A full report on air quality in York in 2020 will be provided in the Air Quality Annual Status report, due for submission to DEFRA in June 2021.

64 During 2020-21, CYC launched its DEFRA funded Low Emission Taxi incentive scheme which offers financial support for eligible CYC registered taxi drivers to upgrade their vehicles to low emission vehicles. A quarter of all York's taxis are now low emission electric hybrids. £21k has been awarded through the scheme to date and another £84k is available until March 2022.

65 Following £300k of DEFRA funding, work has begun on plans for a feasibility study and subsequent pilot scheme to reduce emissions relating to deliveries in York.

Trees Planted

66 During 2020-21, there were 271 trees planted, including 250 whips on Bootham Stray in February and larger trees in streets and parks in March.

% of Talkabout panel who think that the council and partners are doing well at improving green spaces

67 Throughout 2020-21, engagement with residents was replaced with Our Big Conversation (OBC), a wider consultation programme to connect with local communities and gain feedback on residents experiences throughout the pandemic.

68 The results for Q2 2020-21 (the latest available data) showed that 44% of respondents agreed that the Council and its partners are doing well at improving green spaces, an increase from 42% in 2019-20 and from 38% in 2018-19. Whilst the Council would like this percentage to be higher, the question in the survey is around improving green spaces, rather than maintaining them. In 2020-21, 48% of survey respondents thought that the Council and its partners are doing well at improving the quality of streets and public places, and 63% agreed they were doing well conserving York's heritage.

69 Preparations are now underway to resume the resident satisfaction surveys which ask for views on life in York, local area satisfaction, problems faced by residents and opinions on different services delivered by the council. The recruitment of new members to the Talkabout panel has continued to take place and with additional signposting through the OBC initiative, 178 new members signed up compared to 44 in 2019-20.

70 The next Talkabout survey will be sent to the Talkabout panel in the usual formats during May 2021 and includes all ongoing questions which have been monitored through KPIs since 2016 to track changes in opinions and also includes two additional questions which focus speicifcally on the

councils response to the pandemic. The results of the next survey will be shared in the next version of the Monitor.

Creating Homes and World-class infrastructure

Creating homes and World-class infrastructure						
	Previous Data	Latest Data	DoT	Frequency	Benchmarks	Data Next Available
Net Additional Homes Provided - (YTD)	560 (2019/20)	182 (at Q2 2020/21)	⇨	Quarterly	Not available	2020/21 full year data available in June 2021
Net Housing Consents - (YTD)	3,466 (2019/20)	950 (at Q2 2020/21)	⇨	Quarterly	Not available	2020/21 full year data available in June 2021
Number of homeless households with dependent children in temporary accommodation - (Snapshot)	27 (Q2 2020/21)	19 (Q3 2020/21)	⇩ Good	Quarterly	Not available	Q4 2020/21 data available in August 2021
Average number of days to re-let empty properties (excluding temporary accommodation) - (YTD)	37.46 (2019/20)	66.86 (2020/21)	⇧ Bad	Quarterly	Not available	Q1 2021/22 data available in July 2021
Energy efficiency - Average SAP rating for all Council Homes	70.60 (2018/19)	70.60 (2019/20)	⇨	Annual	Not available	2020/21 data available in November 2021
Number of new affordable homes delivered in York	64 (Q1 2020/21)	19 (Q2 2020/21)	⇧ Good	Quarterly	Not available	Q3 2020/21 data available in June 2021
Average broadband download speed (Mb/s)	56.1 (2019/20)	147.1 (2020/21)	⇨	Annual	National Data 2020/21 68.92	2021/22 data available in December 2021
Superfast broadband availability	93.81% (2019/20)	94.13% (2020/21)	⇨	Annual	National Data 2020/21 94.91%	2021/22 data available in December 2021
The DoT (Direction of Travel) is calculated on the latest three data points whether they are annual or quarterly. All historic data is available via the Open Data Platform						

New Additional Homes Provided

71 Between April and September 2020 there were 182 net additional homes completed. This represents a lower level of completions than anticipated earlier in the year and can largely be attributed to the impact of the COVID-19 pandemic on new working practices and building material supply. Of these additional homes:

- 90.1% were completed on housing sites;
- 10.4% were a result of an off-campus privately managed student accommodation block at York Dance Works;
- Changes of use of existing buildings to residential use and conversions to existing residential properties accounted for 13.7% of all completions;
- 22% were on individual sites that saw the construction of five or less dwellings;
- Development sites including Germany Beck, the provision of a new apartment block at Tower Way and the Former Del Monte Site in Skelton all provided notable completions over the year.

72 Data for the full 2020-21 year will be available in June 2021.

Net Housing Consents

73 Between April and September 2020, there were 950 net housing consents. This represents a continuation of significant levels of housing consents that have taken place over the previous three full years. Levels of consents can fluctuate based on the approval of large developments. Of these consents the most significant approved sites included;

- 607 consents on the Former Gas Works, Heworth Green;
- 62 on the Vacant Site, Eboracum Way.

74 Data for the full 2020-21 year will be available in June 2021.

Number of homeless households with dependent children in temporary accommodation

75 The number of homeless households with dependent children in temporary accommodation remains at a lower level to that seen in previous years. The latest available data shows that there were 19 households with dependent children in temporary accommodation at the end of Q3 2020-21 compared to 27 at the end of Q2 2020-21. It should be noted that these figures are snapshot figures.

Average number of days to re-let empty Council properties (excluding temporary accommodation)

76 The average number of days to re-let empty Council properties (excluding temporary accommodation) increased from 37 days at the end of 2019-20 to 67 days at the end of 2020-21. The increase in days during 2020-21 was mainly due to the repairs team being unable to repair vacant properties due to the COVID-19 restrictions.

Energy efficiency – Average SAP rating for all Council Homes

77 The provisional average SAP rating for all Council homes in 2019-20 is 70.6, which is the same as in 2018-19. At the point of reporting, the Building Services team were in the process of establishing a new method for calculating the SAP figure using a combination of the stock condition data and bulk data from the Landmark EPC register. The figure reported for 2019-20 therefore, was the same as the figure from the stock condition survey carried out in 2019. Data for 2020-21 will be available in November 2021.

Number of new affordable homes delivered in York

78 The number of new affordable homes delivered in York remains high, with 83 delivered during the first six months of 2020-21 (compared to 33 during the same period in 2019-20).

Superfast broadband availability/Average broadband download speed (Mbs)

79 In 2020-21, 94.13% of properties in York had access to superfast broadband, which compares to 94.91% nationally. The average broadband download speed in York in 2020-21 was 147.1Mb/s, which compares to 56.1 Mb/s in 2019-20. This increase can be attributed to the Council's continued work with service providers to improve infrastructure. The national benchmark download speed is 68.92 Mb/s in 2020-21. This

data is provided by an Ofcom panel of consumers so should be treated as an indication rather than actual figures. Data for 2021-22 will be available in December 2021.

Safe Communities and culture for all

Safe Communities and culture for all						
	Previous Data	Latest Data	DoT	Frequency	Benchmarks	Data Next Available
% of Talkabout panel satisfied with their local area as a place to live	84.47% (2019/20)	84.90% (2020/21)	⇨	Quarterly	Community Life Survey 2019/20 75.90%	Q1 2021/22 data available in August 2021
All Crime per 1000 population	66 (2019/20)	52.4 (2020/21)	⇨	Quarterly	National Data 2020/21 75.9	Q1 2021/22 data available in August 2021
Number of Incidents of ASB within the city centre ARZ	1,689 (2019/20)	1,410 (2020/21)	⇩ Good	Quarterly	Not available	Q1 2021/22 data available in July 2021
Visits - All Libraries	1,023,034 (2019/20)	183,706 (2020/21)	⇩ Bad	Quarterly	Not available	Q1 2021/22 data available in July 2021
Visits - York Museums Trust (to be created during CP lifespan)	N/A	In development	N/A	TBC	Not available	Indicator to be created during Council Plan lifespan
% of Talkabout panel who agree that they can influence decisions in their local area	29.06% (2019/20)	27.30% (2020/21)	⇨	Quarterly	Community Life Survey 2019/20 26.80%	Q1 2021/22 data available in August 2021
% of Talkabout panel who give unpaid help to any group, club or organisation	67.17% (2019/20)	71.22% (2020/21)	⇧ Good	Quarterly	Community Life Survey 2019/20 63.60%	Q1 2021/22 data available in August 2021
Parliament Street Footfall	7,873,858 (2019/20)	3,875,940 (2020/21)	⇩ Bad	Quarterly	Not available	Q1 2021/22 data available in July 2021
The DoT (Direction of Travel) is calculated on the latest three data points whether they are annual or quarterly. All historic data is available via the Open Data Platform						

% of Talkabout panel satisfied with their local area as a place to live

80 Results from the Q2 2020-21 Talkabout survey (the latest available data) showed that 86% of the panel were satisfied ***with York*** as a place to live (a decrease from 88% in Q1 2020-21) and 85% ***with their local area*** (a decrease from 87% in Q1 2020-21). Satisfaction for local area continues to perform well against the latest national figures of 76% (Community Life Survey 2019-20) and 87% (Local Government Association Poll June 2020).

81 The next Talkabout survey will be sent to the Talkabout panel in the usual formats during May 2021 and the results will be shared in future Monitors.

All Crime per 1000 population

82 Overall crime levels in York have remained stable during 2020-21 with 11.7 crimes per 1,000 population during Q4 2020-21. Figures for the whole of 2020-21 show that there were 52.4 crimes per 1,000 population, compared to 66 in 2019-20. This figure for 2020-21 is the lowest recorded annual number of crimes per 1,000 population since 2015-16.

Number of Incidents of ASB within the city centre (Alcohol Restriction Zone)

83 The number of incidents of anti-social behaviour within the city centre during 2020-21 (1,410) is a reduction on the number of incidents reported during 2019-20 (1,689) and is the lowest number of reported incidents since data has been collected.

Visits - All Libraries / YMT

84 Due to the global coronavirus pandemic, all libraries in York closed at the end of March 2020 and continued to be affected by national lockdowns during the rest of 2020-21. Across the year, there were 183,706 visits to libraries compared to 1,023,034 during 2019-20. Libraries fully re-opened during April 2021 so visits should start to increase during 2021-22. More positively, due to the library closures, there has been a significant increase in the number of e-books borrowed. During 2020-21, 363,844 e-books were borrowed compared to 45,147 during 2019-20.

% of Talkabout panel who agree that they can influence decisions in their local area

85 Results from the Q2 2020-21 Talkabout survey (the latest available data) found that 27% of panellists agreed that they could influence decisions in their local area which is the same as the latest national figure of 27% (Community Life Survey 2019-20) but a slight decrease from the York Q1 2020-21 figure of 30%.

86 The next Talkabout survey will be sent to the Talkabout panel in the usual formats during May 2021 and the results will be shared in future Monitors.

% of Talkabout panel who give unpaid help to any group, club or organisation

87 The councils 'Our Big Conversation' survey asks residents if they have given unpaid help to any group, club or organisation within the last 12 months. Responses from the two surveys carried out over the first national lockdown and following summer months both reflect that York has seen an increase in volunteering. The results of the latest survey showed that 71% of the respondents give unpaid help to a group, club or organisation which is 4% higher compared to before the pandemic started. The national figure for unpaid help pre-pandemic taken from the government's Community Life Survey 2019-20 was 64%.

Parliament Street Footfall & Secondary Centre Footfall

88 Due to the global coronavirus pandemic, restrictions were placed on movement during 2020-21 and leisure and the vast majority of retail businesses were closed at various points during the year due to national lockdowns. This had a severe impact on the number of visitors to the city centre which mirrored the situation countrywide. Footfall in Parliament Street has decreased from 7,873,858 in 2019-20 to 3,875,940 in 2020-21. With the easing of lockdown restrictions from April 2021 onwards, it is hoped that footfall will increase during 2021-22.

89 Hotel room occupancy rates during Q3 2020-21 were 41%, which are much lower than the levels usually seen in Q3 (79-82%). Visits to large attractions in York during Q3 2020-21 numbered 114,928, again, which are much lower than visits normally seen in Q3 (between 500-700,000).

An open and effective Council

An open and effective Council						
	Previous Data	Latest Data	DoT	Frequency	Benchmarks	Data Next Available
Forecast Budget Outturn (£000s Overspent / -Underspent) - CYC	£1,794 (excluding contingency) (2019/20)	£1,328 (excluding contingency) (2020/21)	⇨	Quarterly	Not available	Q1 2021/22 data available in August 2021
Average Sickness Days per FTE - CYC (Excluding Schools) - (Rolling 12 Month)	11.56 (2019/20)	8.81 (2020/21)	⇨	Quarterly	CIPD Public Sector 2020/21 8	Q1 2021/22 data available in July 2021
Customer Services Waiting Times - Phone / Footfall / Webchat	00:00:21 (Phone) (2019/20)	00:00:16 (Phone) (2020/21)	⇨	Quarterly	Not available	Q1 2021/22 data available in July 2021
	83.78% (Footfall) (2019/20)	90.60% (Footfall) (2020/21)	⇧ Good	Quarterly	Not available	Q1 2021/22 data available in July 2021
	91.20% (Webchat) (2019/20)	96.20% (Webchat) (2020/21)	⇨	Quarterly	Not available	Q1 2021/22 data available in July 2021
Number of days taken to process Housing Benefit new claims and change events (DWP measure)	4.31 (Q1 2020/21)	4.3 (Q2 2020/21)	⇧ Bad	Quarterly	Not available	Q3 2020/21 data available in June 2021
% of complaints responded to within timescales (currently 5 days)	80.79% (Q3 2020/21)	94.00% (Q4 2020/21)	⇧ Good	Quarterly	Not available	Q1 2021/22 data available in July 2021
CYC Apprenticeships	17 (2019/20)	14 (2020/21)	⇨	Quarterly	Not available	Q1 2021/22 data available in July 2021
FOI & EIR - % In time - (YTD)	83.60% (2019/20)	82.17% (2020/21)	⇨	Quarterly	Not available	Q1 2021/22 data available in July 2021
The DoT (Direction of Travel) is calculated on the latest three data points whether they are annual or quarterly. All historic data is available via the Open Data Platform						

Average Sickness Days per FTE - CYC (Excluding Schools)

90 At the end of March 2021, the average number of sickness days per FTE (rolling 12 months) was 8.81 days compared to 11.56 at the end of March 2020. Full details of activity to tackle sickness are within main report.

Customer Services Waiting Times (Phone / Footfall / Webchat etc)

91 Our customer centre is the main point of contact for residents and business visitors. During Q4 2020-21, the number of calls received increased to 44,615 (43,698 in Q3 2020-21), with 76.8% of calls answered within 20 seconds. In addition, approximately 1,232 people contacted Customer Service for support due to the impact of COVID-19.

92 During Q4, 2 customers required an appointment with Customer Service at West Offices (prior to the introduction of national restrictions) and a further 74 ‘dropped by’ between 3 and 11 January and received support. This figure includes Probation Services, Registrars and Blue Badge assessments. The majority of people ‘dropping in’ can access services without having to come to West Offices. In addition to speaking to customers over the phone, the customer service team also responded to 12,876 e-mails (a decrease from 13,968 in the previous quarter). Customers are now opting to access services using alternative means:

- 1,925 customers made payments using the auto payments facility
- 16,079 people used the auto operator
- 63% of street lighting and street cleansing issues were reported by customers on-line
- There were around 2 million pages of the CYC website reviewed

- Web chat is now available for Council Tax customers, with 2,510 customers using the chat service during Q4, 96% of customers waited no more than 20 seconds for their chat to be answered and 87% said they were satisfied with the service.

Number of days to process Benefit claims (currently Housing Benefit)

93 Due to improvements in digital processes, performance in this area remains consistently strong in York, with the average number of days taken to process a new Housing Benefit claim, or a change in circumstance, being just over four days during Q2 2020-21 (the latest available data). York performance is higher than the national average of 6.9 days (Q1 2019-20). Performance has deteriorated since the end of Q4 2019-20 where HB claims took 1.7 days on average to process, but due to the global coronavirus pandemic, changes to ways of working have been implemented which have impacted on timescales. Compared to other Unitary Authorities, York performs in the top quartile and is ranked 2nd best out of 56 Unitary LAs.

% of complaints responded to within timescales

94 In Q4 2020-21, the council received 100 stage 1 complaints and responded to 94% of complaints within five days. This shows a significant and maintained improvement in the timeliness of responses to stage 1 complaints received during the reporting year (an increase from 69% in Q1 2020-21), especially given that there has been resources diverted due to contingency plans for responding to COVID-19. From April 2021, the team are working to new corporate procedures for complaints, concerns, comments and compliments – the 4Cs.

CYC Apprenticeships

95 The number of CYC apprenticeships has remained fairly stable over the past few years and the council has continued to actively recruit new apprentices into the organisation and has been more diverse with the types and levels of apprenticeships offered. This has included encouraging higher level apprenticeships and standards.

FOI & EIR - % In time

96 In Q4 2020-21, the council received 503 FOIs (Freedom of Information requests) and EIRs (Environmental Information Regulations requests) and 30 SARs (Subject Access to records requests). CYC achieved 83.5% in-time compliance for FOIs and EIRs and 90% for SARs. This shows a significant improvement in the timeliness of SAR responses from Q1 2020-21 which was 63%, and reflects the successful work done with service areas to improve compliance with response timescales.

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Executive **24 June 2021**

Report of the Chief Finance Officer
Portfolio of the Executive Member for Finance and Performance

Capital Programme Outturn 2020/21 and Revisions to the 2021/2–2025/26 Programme

Report Summary

1. The purpose of this report is to set out the capital programme outturn position including any under or over spends, overall funding of the programme and an update as to the impact on future years of the programme.

2. The report contains details of the capital investment made during 2020/21 and how this has supported delivery of the Council Plan. Key areas of investment are listed below with further details contained in the body of the report.

- £8.6m of housing repairs
- £2.2m on aids and adaptions to peoples homes
- £3.9m creating 49 new units in our independent living schemes
- £19.7m on the provision of new homes and the shared ownership scheme.
- £1.9m to create a community woodland
- £2.8m on a Centre of Excellence for disabled children at Lincoln Court
- £2.1m on an extension at Marjorie Waite Court
- Investment of £6m to improve highways
- £2.5m on a range of measures under the Local Transport Plan
- £1.9m on hyper Hub charging stations
- £2.7m on continued works to deliver York Central
- £7.2m on work to deliver a comprehensively refurbished and renewed Guildhall
- Commercial Property acquisition of £3.9m

- £2.9m on Vehicle Replacement
- Investment of £2m to deliver significant ICT developments and improvements

3. Some of the direct outcomes from this investment include:

- the granting of planning consent for the Station Gateway Scheme
- bus stop improvements (including new bus shelters) across the city
- installation of Pay-on-Exit systems at Marygate and Piccadilly car parks
- installation of electric vehicle charging infrastructure in five car parks (with further sites being progressed in early 2021/22)
- upgrades to traffic signals at seven locations across the city;
- trial road closures in The Groves area to reduce traffic levels; installation of new pedestrian crossings at Haxby Road, Green Dykes Lane, and York Road Haxby;
- measures to improve safety at Lord Deramore's school; improvements to the zebra crossing on Hull Road (near Owston Avenue)
- completion of the maintenance works at Blue Bridge.
- The purchase of 155 acres of land at Knapton to create a community woodland.
- The completion of the Centre of Excellence for disabled children
- The completion of a major extension at Archbishop Holgate Academy, delivering a new three storey classroom block, together with the conversion of some existing classrooms into specialist teaching facilities for Science, ICT and Graphics.
- 49 new Independent Living Scheme units have been created at Lincoln Court and Marjorie Waite Court and James House has created 160 bed spaces within this 57 room hostel
- Rapid deployment of ICT services to enable effective remote working for members and officers

4. The report shows an outturn of £92.395m compared to an approved budget of £119.859m, an overall variation of £27.462m.

5. The net variation of -£27.462m is made up as follows:

- Requests to re-profile budgets of a net -£37.575m of schemes from 2020/21 to future years (currently approved budgets in the capital programme but requires moving to or from future years in line with a changing timetable of delivery for individual schemes)

- Adjustments to schemes increasing expenditure by a net £10.113m, mainly due to additional grant funding being received.

6. The level of re profiling reflects the scale of the capital programme, and in particular that it contains a number of major and complex projects. The overall capital programme continues to operate within budget, due to careful management of expenditure against the budget.

7. The main areas of re-profiling included within the £37.575m include:

- £5.168m – Lowfield Housing
- £3.741m - Guildhall
- £2.409m – Highway Schemes
- £2.083m – Local Transport Plan (LTP)
- £2.066m – Community Stadium
- £1.976m – Shared Ownership Scheme
- £1.714m – York Central Infrastructure
- £1.377m – Major Repairs & Modernisation of LA Homes
- £1.257m – LA Homes Energy Efficiency Programme
- £0.965m – Smarter Travel Evolution Programme

Recommendations

8. The Executive is requested to
   - Note the 2020/21 capital outturn position of £92.397m and approve the requests for re-profiling totalling £37.575m from the 2020/21 programme to future years.
   - Note the adjustments to schemes increasing expenditure in 2020/21 by a net £10.113m
   - Recommend to Full Council the restated 2021/22 to 2025/26 programme of £600.778m as summarised in Table 3 and detailed in Annex A
   - Approve that an additional £73k is released from capital contingency to allow the construction of the new crematorium waiting room
   - To approve the revised leisure offer at the community stadium of a Children's Play area

9. Reason: to enable the effective management and monitoring of the Council's capital programme

10. Reason: to ensure that mourners attending the crematorium and waiting to enter can be treated with dignity through appropriate and proper waiting facilities.

Summary of Key Issues

11. Table 1 outlines the variances reported against each portfolio area.

Department	Current Approved Budget £m	Projected Outturn £m	Increase (decrease) £m	Reprofile £m	Total Variance £m	Paragraph Ref
Children, Education & Communities	13.231	10.792	**0.224**	**(2.663)**	**(2.439)**	12 – 26
Health, Housing & Adult Social Care – Adult Social Care	3.867	2.603	**(0.096)**	**(1.168)**	**(1.264)**	27 – 31
Health, Housing & Adult Social Care – Housing & Community Safety	45.050	35.622	**2.289**	**(11.717)**	**(9.428)**	32 – 69
Economy & Place – Transport, Highways & Environment	33.342	22.963	**0.657**	**(11.036)**	**(10.379)**	70 - 83
Economy & Place – Regeneration & Asset Management	17.675	16.727	**6.001**	**(6.949)**	**(0.948)**	84 – 90
Community Stadium	2.219	1.349	**1.196**	**(2.066)**	**(0.870)**	99 -101
Customer & Corporate services	2.108	0.354	**(0.163)**	**(1.591)**	**(1.754)**	91 – 97
IT Development Plan	2.367	1.987	**0.005**	**(0.385)**	**(0.380)**	98
Total	**119.859**	**92.397**	**10.113**	**(37.575)**	**(27.462)**	

Table 1 – Summary of capital outturn by department

Children, Education & Communities

12. Capital Expenditure within the Children, Education & Communities service area totalled £10.792m in 2020/21.

13. The majority of this expenditure was incurred under three major scheme headings where there was significant work and progress in 2020/21. These schemes were: The Centre of Excellence for Disabled Children; Schools Basic Need Accommodation works, and Schools Condition and Maintenance Works.

14. Expenditure on smaller schemes within the Basic Need scheme totalled £406k in 2020/21. This was almost entirely spent (£403k) on a scheme at Millthorpe School to provide classrooms for satellite provision for SEND pupils. This scheme is now complete with only a final payment outstanding.

15. The first phase of the Fulford Expansion work is the installation of a temporary 4 classroom block which was completed in time for the September 2020 intake at a cost of just over £488k. Further expenditure has been and continues to be incurred on the preparations for Stage 2, the permanent expansion of the school, which is moving into the planning stage. An amount of £103k requires reprofiling into 2021/22

16. The All Weather Pitch at Southbank is now completed with only smaller associated works to be carried out and minor payments outstanding. The remaining budget of £311k requires reprofiling into 2021/22 to fund the remaining works and some further improvements.

17. The major expansion at Archbishop Holgate Academy which has been funded by the local authority and managed by Pathfinder Multi-Academy Trust is now complete. This scheme has delivered a new three storey classroom block, together with the conversion of some existing classrooms into specialist teaching facilities for Science, ICT and Graphics. Spend of £4,218k with remaining £90k to be paid in 2021/22.

18. Only a small number of critical schemes within the School Maintenance programme were prioritised during this financial year due to the issues created by the impact of the Coronavirus lockdown at the point in the year when schemes would normally be tendered, with work normally planned over the summer holidays.

19. The two urgent large schemes which were carried out were at Dringhouses and Westfield Primaries. At Dringhouses Primary alterations were carried out to allow the Out of School Club to be accommodated within the schools. At Westfield Primary the KS1 playground was completely resurfaced and some emergency pipework was carried out. A number of minor urgent repairs have also been carried out at a small number of schools.

20. Expenditure in 2020/21 totalled £589k, resulting in net reprofiling of £731k into 2021/22 (made up of £331k of Condition and Maintenance funding) and £400k of CRAM funding). This funding will fund outstanding payments and retentions with any remainder available to fund further works in 2021/22 and future years.

21. The main project carried out within the SEND Expansion of facilities scheme in 2020/21 is the provision of a modular building to host a satellite provision for Applefields School at a budgeted cost of £410k. This work is now almost complete, however payments are still outstanding on this scheme and together with the unallocated amount of the budget result in reprofiling of £339k.

22. Work is progressing at All Saints School which currently has the most critical issues in the city related to accessibility. Phase 1 was carried out in 2020/21 at a cost of £167k. Expenditure of £148k was incurred in 2020/21, with the remaining £352k requiring reprofiling into 2021/22 to fund outstanding payments and Phase 2 which will now be carried out in summer 2021.

23. The Centre of Excellence for Disabled Children project is fully complete with only minor payments outstanding. The remaining 2021/22 budget of £171k needs reprofiling into 2021/22.

24. Funding of £500k was paid to the Theatre Royal in April 2020 to contribute to their overall capital investment plans.

25. Phase 2 of the Energise roof works has been substantially completed with expenditure of £72k by the end of 2020/21. The remaining £58k needs reprofiling to 2021/22 to fund the remaining expenditure.

26. The urgent roof works at Explore Central library have been carried out, with £187k paid by the end of 2020/21. The remaining £34k will be required in 2021/22 to fund the remaining contract payments.

Health, Housing & Adult Social Care – Adult Social Care

27. Capital expenditure within the Adult Social Care service area totalled £2.603m in 2020/21.

28. The development of the community hall is part of the final phase of the Marjorie Waite Court construction project. The project was delayed in the early stages due to asbestos removal in the old community centre building and a delayed electricity connection to the new plant room. Both of which meant that the community centre building could not demolished as expected. All of this work is now completed and the community hall (and the rest of the development) are on schedule for completion in July. A procurement exercise has been launched to appoint a community operator for the café and community hall at Marjorie Waite Court. The operator should be appointed by June, with arrangements in place to open the hall for community bookings when it is complete

29. The transfer of Haxby Hall to Yorkare Homes was completed on 31 March 2021. All residents and staff have transferred maintaining resident's homes and continuation of care and employment. Yorkare Homes have planning approval for a programme of redevelopment to extend and modernise the care home to provide modern en-suite bedrooms and a range of enhanced communal facilities, this work is expected to begin in Autumn 2021. The Council have secured beds in the care home for all existing residents on their existing funding terms and 9 beds at Actual Cost of Care in the future. The remaining budget has been slipped to fund the potential purchase of the ambulance station should it become available as agreed by Executive in January 2020.

30. The last financial year has seen significant works on site at Ashfield, including seeding of all the pitches and nearing completion of the pavilion. However, the access road works have been delayed due to ongoing negotiations with BP the neighbouring land owner. These have instead been moved into the next financial year, along with the final pavilion works. All remaining works will be completed in the 2021/22 financial year.

31. Implementation of this capital scheme has been delayed due to Covid as trialling innovative technology would have been impractical and difficult during the thick of the pandemic. Heads of Service are now looking to establish the technology to be trialled in 2021/22 and identify

which service areas would potentially most benefit from the use of this technology

Health, Housing & Adult Social Care – Housing & Community Safety

32. Capital expenditure on schemes within the Housing & Community Safety service area totalled £35.622m in 202/210. The capital budget has been used to cover an array of schemes including maintenance and modernisation of the existing housing stock, adapting homes so tenants can remain in their homes for longer, building and extending new properties to expand the stock level and meet the needs and demand for appropriate, affordable accommodation across the city. This includes £8.6m of housing repairs, £2.2m on aids and adaptations to people's homes, £3.9m creating 49 new units in our independent living schemes and £19.7m on the provision of new homes and the shared ownership scheme.

33. Phase 1 of the new council house building programme is nearing completion with 66 general needs units being completed across sites at Beckfield Lane, Pottery Lane, Fenwick Street, Lindsey House, Hewley Avenue and Newbury Avenue. Furthermore an additional 61 Independent Living Scheme units have been created at Glen Lodge and Marjorie Waite Court and James House has created 160 bed spaces within this 57 room hostel. In addition the shared ownership schemes will create a further 65 affordable homes across the city upon completion of this programme.

34. There are just two schemes which will complete in the summer of 2021, these being Marjorie Waite Court and the Shared Ownership programme.

35. Work to develop apartments, bungalows and a community hall at Marjorie Waite Court is progressing well and the project is scheduled to be completed in July 2021. The structural block and brick work is complete and the internal fit out of the apartments and communal spaces is ongoing. Kitchens have been fitted in the apartments, including a number specifically designed for those living with dementia.

36. Initial works on site revealed additional asbestos which led to increased cost and extension of time to allow for its removal. In addition an extension of time was incurred when the installation of the

new electrical supply was delayed. The opportunity has also been taken to review the designs which has enabled the inclusion of one additional apartment in the scheme, increasing the number of units from 33 to 34. Work to create new communal lounge area and a community café has begun. These delays and costs and the inclusion of the additional apartment and a commercial kitchen have led to a requirement for a further £330k budget for the project. The additional costs of the scheme can be funded from the use of additional £99k of RTB receipts and £231k being funded from the balance of the £20m Phase 1 investment reserve.

37. The conversion of James House to temporary homeless accommodation comprising of 57 apartments, interview rooms, public reception and staff office was completed in April 2020. The benefits of a purpose built facility delivering support as well as accommodation have been clear since opening, with numerous plaudits from residents and professionals. The design of the building is working well and homeless households – many with children – are able to live in temporary accommodation that is safe, modern and befitting of a service that supports people in the most challenging of personal circumstances

38. The project was, however, hindered by cost and time overruns and disputes with the main contractor over the quality of their work. The completed scheme was £2.776m over budget and completed 15 months later than forecast. The reasons for this overspend relate primarily to three elements: increased construction costs, delay costs and increases in professional fees.

39. Increases in construction costs and delays to completing the project were a source of ongoing dispute between the council and contractor. From the council's perspective there were examples of legitimate cost increases due to design and specification changes, but the majority of the increases were considered the responsibility of the contractor.

40. On site challenges included poor quality work that needed constant pressure to be rectified, a high turnover of sub-contractor and contractor staff, disputed contractor documentation and disputes over responsibility for specification and design changes.

41. Concerns regarding the time and cost overruns led to the council engaging internal audit and appointing specialist construction lawyers to protect the council's position in a formal dispute with the contractor.

Independent programming and quantity surveying experts were also appointed to scrutinise the time and cost claims of the contractor alongside those of the contract administrator. These appointments were vindicated when the contractor triggered the dispute resolution clause in the contract which meant the final construction costs were determined by an independent adjudicator.

42. The adjudicator determined that the final construction cost was £2.383m more than the original contract sum. This was considerably lower than the £3.945m increase that the contractor was claiming. The remaining cost increase is largely accounted for in professional fees which are a calculated as a percentage of the contract sum.

43. The adjudicator determined it was design changes that led to most of the legitimate increased construction costs. These changes came about as a result of an early start date to the project before the end of March 2018 when some design elements were incomplete. The driver for this start date was the risk of losing Homes England grant funding of £2.8m if the project start slipped to the new financial yea

44. The additional costs have been significant compared to the original budget and the service is undertaking a review as to the reasons for the additional costs in order that many of the issues that have occurred are not repeated.

45. An overspend of £1,782k was reported in the 2019/20 outturn report. The additional overspend reported at this time of £994k at James House will be funded from the balance on the Phase 1 Investment Reserve.

46. The table below shows that of the £20m originally set aside for the Phase 1 progamme there is a balance of £3.1m remaining which will be used to fund the pressures at Marjorie Waite Court and James House. The balance, is higher than forecast due to the drawdown of time limited commuted sums utilised earlier in the programme, which replaced the need for investment reserve funding. The revised balance of £1.9m will be transferred to the Phase 2 Council House Building programme as part of the £20m HRA investment.

Phase 1 CYC Council House Building - £20m Investment Reserve		
	£'000	£'000
Original Budget	20,000	
Utilised	16,857	
Available		3,143
Funding required for programme pressures Marjorie Waite Court James House		 -231 -994
To transfer to Phase 2 programme		1,918

47. The phase 1 programme also includes the Shared Ownership Scheme. In 2020/21 we acquired 27 shared ownership homes across the city and equity sales on 27 properties were completed. The shared ownership portfolio now totals 58 properties with 5 further properties in the pipeline to be purchase and 2 customers still looking for new properties. The scheme has now been closed to new applicants as the programme was to purchase 65 shared ownership properties in total.

48. The budget for this scheme is modelled on 50% of each home being funded by the HRA and resources from Homes England funding. The matched funding is received as a capital receipt when the purchaser buys an equity share of the property, as such the receipts from the sale of the 12 shared ownership homes in quarter 4 are required to be reinvested back in to the programme and will increase the budget by £1,217k of which, £1,976k should be reprofiled to 2020/21.

49. Within the Local Authority Homes Phase 2 Scheme, the project to develop 35 modern accessible independent living apartments at Lincoln Court, was completed in October 2020. During the project the design was amended to create fully accessible open plan kitchens in the refurbished apartments to improve access, additional asbestos was found in the building, drainage issues and weather conditions and the COVID pandemic all lead to an extension of time for the works, which all contributed to additional expenditure totalling £360k. All 35 apartments are now occupied and feedback from tenants about the design, warmth and quality of the building has all been really positive. The project has delivered the types of homes that our older residents have asked for and are helping tenants to live well independently.

50. The scheme is now in retention and the final scheme costs is expected to be £5,153k, £360k above budget, £127k of these costs will be charged in 2021/22. This overspend is to be funded from a

combination of HRA resources of £320k from the Phase 2 Homes Building Programme and £40k RTB 1-4-1 receipts.

51. The budget within the Phase 2 House Building Programme is for future housing delivery schemes not included in the first phase of 8 sites, it has also been used to make purchases of one off properties for social rent to increase the housing stock and maximise the 1-4-1 Right to Buy receipts which are time limited. Two such properties have been purchased in 2020/21. £84k of RTB receipts have been used to fund these purchases and £197k budget is to be profiled from 2021/22 to 2020/21 to fund the costs which total £281k.

52. The purchase of the Duncombe Barracks site was completed in August 2019 and work is at the pre-construction stage. £510k has been spent on this scheme in 20/21 as design work has progressed significantly and a planning application for 34 homes and commercial/community space on the site was approved by committee on the 30th March 2021. Detailed design work has continued with Mikhail Riches as lead designer, and a full pack of information is now ready for procurement of a main contractor in June 2021.

53. Work continues to progress well at Lowfield Green, with total expenditure of £11,332k in 20/21. Homes are being constructed to a high standard, achieving EPC A ratings and NHBC warranty certification. The first sales phase has achieved £1.8m income in the first 4 weeks of release, up to 10th June 2021, and the remaining properties are all reserved. The second phase properties were released to the market in April 2021, with a priority period for local key workers on the shared ownership properties – these are all now reserved.

54. The large village green and play area will be completed and open to the public in the summer 2021 providing valuable community focus and amenity space for residents of Lowfield Green and the surrounding area.

55. House prices have risen since the valuations undertaken in 2018 and the current property valuations indicate that there is likely to be an increase in sales income across the Lowfield site of c£3m, this is reflected in an increase in the sales income from phase 1 of c £0.5m above the 2018 forecast.

56. This additional forecasted income allows the flexibility to assist the Housing Adaptations team who struggled to find appropriate accommodation within the existing CYC housing stock for a large family with specific accessibility needs. The Lowfield Green development is able to meet this familiy's identified housing need by substituting a 4 bed market sales property at Lowfield Green into the social rented provision and making adaptations to the property to ensure it is wheelchair accessible at a lower cost to the HRA than purchasing a property on the open market. A 3 bed social rent property will be exchanged for market sale, reducing the original forecasted capital receipts income by £0.1m.

57. The Lowfield Green development has seen some delay and subsequent increased costs throughout 2020/21, mainly as a result of highways and statutory service delays (electricity supply services and drainage). Much of the impact was due to the pressure from the COVID pandemic, including delays from services subcontractors being placed on furlough for extended periods and the realities of working in new ways to remain COVID secure. These costs are outlined in the table below.

	£'000
Changes to original specification	155
Costs relating to highways works	565
Costs relating to drainage, weather, highways & COVID-19 delays	752
Contingency to cover possible ground works (£200k), movement of services (£250k), additional surveys, extended period consultant costs, etc (£178k)	628
	2,100

58. This increase in expenditure requires an increase to the project budget from £26.6m to £28.7m which can be funded from the increase in market sales values. This requires no additional HRA funding although there is a slight risk in the future sales values going forward. The slippage of £5,168k in 2020/21 is to be reprofiled to 2021/22.

59. Capital expenditure at the Burnholme scheme totalled £1,142k in 20/21. The site is still in the pre-construction stage. Detailed design work has progressed significantly and a planning application for 83 homes on the site was approved by committee on the 21st April 2021. Preparation of the construction information and tender documentation has continued with Mikhail Riches as lead designer, with a full pack of

information now ready for procurement of a main contractor in June 2021. The £182k budget is to be reprofiled to 2021/22.

60. The progression of the Ordnance Lane & Hospital Fields Road scheme has seen an extremely successful participatory engagement process with several successful events where the design team have developed the design together with local stakeholders. The design is now ready to progress to the planning stage however, current costs indicate a viability gap because of a number of site abnormal costs and the costs associated with achieving the mandated Housing Delivery Programme standards. The team are currently undergoing a value engineering exercise and have applied to One Public estate for Brownfield Land Release Funding to meet the abnormal costs and are engaging with Homes England to source additional grant funding for the scheme. The team are looking to progress to planning in summer 2021.

61. The major repairs & modernisation of local authority homes programme has total capital expenditure of £8.636m in 2020/21. The service have undertaken works during the year on major damp issues, replacement kitchens, bathrooms and roofs and upgrading of external door entry systems to flats, asbestos removals and installation programmes. There have been additional contributions of £34k from leaseholder income. An underspend of £1.377m has been re-profiled to 2021/22.

62. During 2020/21 two new contractors were utilised who completed major works to 48 homes suffering from standing water issues, a 30% increase on the previous year. This was particularly notable given that for 4 months work was restricted due to the Covid-19 pandemic. In addition minor works were completed on a further 156 properties

63. Historically, c30% of tenants have annually declined Tenants Choice work, mainly on the grounds of their inability to cope with what is quite a disruptive process of having new heating, a re-wire, new kitchen and new bathroom fitting all in a short space of time. As such, when these tenants vacate the property, Building Services take the opportunity to do the Tenants Choice work while the property is empty, there has been an increase in such voids during the pandemic time.

64. Four contractors are now assisting the Building Services team to complete void properties with a total of 79 properties requiring major

works in 2020/21, of which 36 properties had standing water issues and 43 had new kitchens, bathrooms and rewires.

65. Following a slow start to the year due to the pandemic, 155 tenants choice works in customer's homes were completed, these mainly benefiting from new kitchens, bathrooms and rewires. In addition 17 new kitchens have been fitted in 2020/21 using the early kitchen failure budget and 27 new bathrooms have been installed from the early bathroom failure budget and includes the installation of a wet wall system. These are where the kitchen or bathroom needed replacing earlier than programmed due to being beyond repair or due to damp in the property and these have been paid from the £120k budget allocated for this works

66. 521 households benefitted from new gas central heating systems in 2020/21 including five properties that were part of the Warm Homes green deal scheme and which changed from electric storage heaters to gas central heating. Two air source heat pumps have also been installed.

67. During 2020/21 Executive Members approved the pilot project to significantly improve the energy efficiency of 60 council homes and extract the learning from the project to inform subsequent energy efficiency projects and the development of our Housing Energy Efficiency Strategy. The proposals were also approved by the board of West Yorkshire Combined Authority giving us access to their Energy Efficiency Accelerator funding which will provide 5% of the total project costs in kind via design consultancy for the project. Survey and design work will take place during spring of 2021 with work on site due to commence in the summer and complete by December 2021. The work will be delivered through the Better Homes Yorkshire contract. The underspend of £1,257k is to be reprofiled to 2021/22.

68. Home Upgrade Grant (LAD1B) is a new capital scheme for 2021/22. The Council has successfully obtained £535k from BEIS (Business, Energy and Industrial Strategy) to deliver a range of energy efficiency schemes aimed at improving poor private sector homes in York, Harrogate, Selby and Craven. The schemes will support the Council's ambitions to reduce carbon emissions, address fuel poverty and support low carbon jobs. In York, the scheme will concentrate on poorly insulated "rooms in roof" .This will be initially offered to residents in fuel poor wards identified by our Building Research Establishment report in 2015. In addition, across all 4 councils there

will be an offer to all fuel poor householders who have inadequate /no loft insulation, an opportunity to receive free insulation and across all measures to carry out draught proofing

69. The disabled facilities grant programme is for adaptations to allow private residents to stay in their own homes for longer. It has been a difficult year for all during the first lockdown as all major adaptations were put on hold with a focus on supporting the council's wide efforts to support residents during the pandemic. Only services to support swift hospital discharge such as the installation of grab rails or key safes were completed. Key services such as the falls prevention team also continued to provide advice and information over the phone. As the city and the country eased out of the first lock down the number of referrals for all service increased quickly and were higher than the number of referrals for the same period in the previous year (36% in the second quarter). Despite missing over a quarter of the year and two subsequent lockdowns a significant number of installations were completed.

Economy & Place – Transport, Highways & Environment

70. Capital expenditure on various schemes within Transport, Highways & Environment totalled £22.963m in 2020/21.

71. Despite a very challenging year due to the pandemic and associated restrictions there has been significant progress in delivering transport and highway schemes across the city. Important milestones, such as the granting of planning consent for the Station Gateway Scheme, have also been achieved for some of the Major Projects in the programme.

72. Progress on schemes was affected by the impact of the lockdown measures introduced in March 2020 due to the COVID-19 pandemic. Implementation of schemes in early 2020/21 was delayed as it was not possible for the work to be done while complying with lockdown requirements such as social distancing, and feasibility and design work on new schemes was also delayed as staff resources were focussed on the COVID-19 measures and the schemes included in the Emergency Active Travel Fund programme.

73. However, as the lockdown restrictions were reduced over the year, it was possible to progress and implement schemes as planned.

Schemes that have been completed in 2020/21 include bus stop improvements (including new bus shelters) across the city; completion of the CCTV Upgrades programme; installation of Pay-on-Exit systems at Marygate and Coppergate car parks; installation of electric vehicle charging infrastructure in five car parks (with further sites being progressed in early 2021/22); upgrades to traffic signals at seven locations across the city; trial road closures in The Groves area to reduce traffic levels; installation of new pedestrian crossings at Haxby Road, Green Dykes Lane, and York Road Haxby; measures to improve safety at Lord Deramore's school; improvements to the zebra crossing on Hull Road (near Owston Avenue); and completion of the maintenance works at Blue Bridge.

74. Some of the proposed pedestrian and cycle schemes were delayed due to the focus on the implementation of Emergency Active Travel Fund measures in summer 2020, and feasibility and design work on some of the safety schemes was deferred as it was not possible to review accident levels and traffic speeds during the lockdown periods where traffic levels were greatly reduced.

75. Progress on the major schemes was also affected by the impact of the lockdown measures, but it has been possible to carry out some of the planned works in 2020/21. Work to install hostile vehicle mitigation measures at York Racecourse was completed, which included the installation of bollards to protect pedestrian areas, and amendments to the road layout to slow vehicles. Grant funding has been awarded to bus companies for work to improve emissions from their bus fleets so that all buses now comply with the city centre Clean Air Zone restrictions, and all of the new electric buses for the Park & Ride service are now in use. The Tadcaster Road scheme funded by DfT has commenced with the award of the professional services contract to AECOM which started late October 2020. As part of the initial workstage AECOM have developed a programme of works for delivery of the project through to a contract award and commencement of the construction period in 2021/22.

76. The construction of the new Hyper Hub at Monks Cross has progressed well, and the site is expected to open in summer 2021. Work on the Poppleton Bar Hyper Hub was delayed due to the use of the site as a COVID-19 testing centre, but construction work was able to start on site in April 2021. The initial plans for the Hyper Hubs project included a third Hub at York Hospital, but it was not possible to progress this scheme due to land ownership issues, and an alternative

site at Union Terrace car park is now proposed, which will be developed further in 2021/22.

77. Feasibility and design work on the planned improvements to cycle routes on the approaches to Scarborough Bridge Footbridge was completed, and the schemes will be implemented in early 2021/22.

78. Although work on the Smarter Travel Evolution Programme has continued throughout the year, some of the aspects of the programme were not completed in 2020/21, and the remaining work on the data platform and communications upgrades will be completed in 2021/22.

79. Work to develop the Station Frontage scheme has progressed throughout 2020/21, including the confirmation of funding from the Transforming Cities Fund for the scheme, and an agreement for LNER to provide funding for the station works. Approval was granted to proceed with enabling (utility diversions) works and the Canada Life land purchase, and full planning/ Listed Building Consent was granted for the scheme. The utility diversion works will be carried out later in 2021/22, with the main works expected to start on site in early 2022.

80. Following the granting of funding from the DfT the York Outer Ring Road upgrade (A19 – A64 Little Hopgrove) is now being progressed as a single dualling scheme comprising junction and link upgrades. The public consultation process undertaken in 2020 is currently being evaluated. This will be presented to the Executive in the early summer of 2021 and it is planned to submit a planning application soon after. Other ongoing concurrent activity in 2021/22 is the completion of the detailed design, acquisition of land by private agreement and further development of the business case. Construction is expected to commence in mid-2023.

81. The schemes in the Emergency Active Travel Fund programme were implemented earlier in 2020/21, included creating more space for pedestrians at pinchpoints, extension of the Footstreets area, extension of Park & Cycle facilities at Park & Ride sites, improvements to cycle facilities between Park & Ride sites and the city centre, and additional cycle parking in the city centre. The programme was reviewed in autumn 2020, and some of the temporary measures were amended/removed, while the Coppergate one-way closure and the extension of the Footstreets area were extended and consultation will be carried out on proposals to make these measures permanent.

82. The council was awarded £658k from Tranche 2 of the government's Active Travel Fund to allow further improvements for pedestrians and cyclists to be implemented. Initial feasibility and design work has been carried out on the proposed schemes, including improvements to cycle facilities on Ouse Bridge (A1237), a new pedestrian/ cycle crossing on Tower Street, and a new off-road cycle route linking Wheldrake and Heslington, which will be progressed in 2021/22.

83. A number of highway and drainage schemes were reprioritised due to covid 19 and were scheduled for later in the year, however as the early part of 2021 was effected by the surge in covid 19, a longer winter season and the impact of flooding which all impacted resource availability these schemes are delayed until 2021/22 including works to Colliergate, Church Street, Burton Stone Lane, Kent Street and Melbourne Street. Despite the pandemic 91% of planned carriageway works and 86% of planned footway works were completed in 2020/21

Economy & Place – Regeneration & Asset Management

84. Capital expenditure on various schemes within Regeneration & Asset Management totalled £16.727m in 2020/21.

85. The Guildhall project has make strong progress on site in the first quarter of 2021, despite high river levels in the early part of the year, which did have some impact on the progress of the works. The substructure to the new north annex has been completed and the steel frame erected. Re-roofing works to the Guildhall were completed and are well progressed on the council chamber along with the conservation repairs to the riverside elevation. The installation of new M&E services including the green energy river water source heat pump is well progressed and the rebuilding of the south range accommodation is almost complete with the substructure for the link to the Guildhall also completed.

86. The early project challenges associated with the underpinning, piling, high river levels and archaeology, which extended the contract period and costs were report last November, along with the agreed mitigation measures and budget support. There is ongoing budget pressure in relation to the projected contract out-turn and this will continue to be repeated through future monitoring reports. However, the project is on track to deliver the agreed outcomes and the lease agreement with

University of York Science Park Ltd should be concluded in the next quarter, securing the agreed income generation.

87. Planning permission was granted for Castle Mills in December 2020 and St George's Field multi-storey car park (MSCP) in January 2021, forming the first phase of the Castle Gateway regeneration. Castle Mills will provide new apartments, a riverside park and pedestrian cycle bridge in addition to a commercial return to help cross fund the wider public benefits of the masterplan. The procurement of a contractor to undertake the RIBA stage 4 design and to provide a tender price for construction is underway, with an Executive decision to proceed based on the tender price due in October 2021. This would allow a start on site in early 2022.

88. A decision on whether to proceed with the St George's Field MSCP will also take place in October 2021 based on the outcome of the ongoing strategic review of city centre access and parking which will conclude in September. St George's Field would consolidate two large surface level car parks in to a new modern land efficient MSCP, and allow the closure of Castle Car Park to be transformed in to new public realm for the city and to enhance the historic setting of Clifford's Tower and the Castle complex. The planning application for this new public realm will be submitted in the summer of 2021 and external funding bids are currently being prepared for submission.

89. The council purchased 155 acres of land at Knapton in October 2020 for £1.6m to create a community woodland. Work is progressing to set out the infrastructure and tree planting on the site.

90. Following approval at Executive (26 November 2020) the council bought the freehold of the Eco Business Centre at Clifton Moor in February 2021 for £3.9m. This investment will allow the council to address some long-term maintenance issues and consider green energy initiatives.

Customer and Corporate Services

91. Capital expenditure on various schemes within Customer and Corporate Services totalled £354k in 2020/21.

92. The council approved the construction of a new waiting room at York Crematorium in the 2019/20 capital programme. Property Services

provided an estimate of £250k at the time of submission. The pressure of work in Property and the covid-19 pandemic mean that the costs of construction this summer have only just been received.

93. The construction costs including the contingency fee and C&D fee increase the construction costs to £323K an increase of £73K. This report asks for the additional funding to be released from capital contingency so the works can be expedited and the current temporary marquee removed before winter 21/22

94. The CDFM team, in conjunction with the Health & Safety partner, have agreed a number of asbestos surveys to be completed this year which will inform a programme of asbestos removal works. These works will now continue in 21/22.

95. The work to replace the Cremators was completed in August 2020 and the final retention will be settled in 2021/22.

96. Work on phase 2 of the Hazel Court installation of Photovoltaic Panels has been completed during 2021/21.

97. The Hazel Court Welfare facilities scheme will see the reconfiguration of existing internal accommodation at Hazel Court, to improve the staff welfare facilities within the Amenity Block. Although work was planned for 2021, due to the absence of a key member of staff, work has been delayed and the tender has not progressed as planned. Work on this scheme is now expected to be completed in 21/22

Customer and Corporate Services - IT

98. The ICT development plan has a total outturn position of £1.987m in 2020.21. Significant work has been carried out in response to Covid-19 that has seen personnel being rapidly redeployed away from other planned work into the enabling of flexible and homeworking, including:

- The quick roll out of Skype for Business to over 2400 users enabling video and audio communication and collaboration tools such as screen sharing etc.
- Purchased, configured, set up and deployed Zoom for use where Skype was not able to meet needs, for example large public facing council meetings.

- Made use of relationships with service areas and schools, sourced, built, tested and issued hundreds of extra laptops to increase home and remote working capacity at a time when usual supply routes were not available and we know other councils struggled.
- Millions of potentially harmful scam emails were blocked and dealt with over the last 9 months
- Worked with colleagues to provide the ICT services required for a number of different projects including but not limited to:
  - connecting the hub sites within the City
  - Commissioning Peppermill Court which provides Covid19 Patients a step down location between hospital and home to recuperate safely.
  - Identifying and commissioning a waste booking system to enable the reopening of the waste recycling centres. This was provided via the website where we took the precaution to provide additional capacity to ensure the system was not overwhelmed by requests as we know has happened at other authorities.
  - helping Age UK to identify grants and secure equipment to digitally support their customers.
  - providing wireless connectivity coverage at the coronavirus testing facility at Poppleton Bar Park & Ride as part of the government's UK-wide testing drive.
  - provided devices and internet connectivity to residents within our assisted living communities enabling them to have contact with the outside world, from careworkers, doctors, friends & family to giving them the ability to order online food shopping and video calling. This supports our existing work in advancing digital inclusion.
  - supported the commissioning of the Nightingale hospital in the Harrogate Convention Centre
- designed, built, tested and deployed a new Cloud based Connection Gateway to allow faster upgrading and patching of remote laptops without impacting the connectivity over Direct Access.
- upgraded the learning network to a new operating system and Office system
- migrated nearly 2000 smartphones to Microsoft Intune and Microsoft Azure rights management
- migrated 2000 plus users to Exchange online
- set up 600 plus Skype Enterprise Voice telephony solutions
- upgraded over 3500 users to the new Citrix Receiver remotely

The team have delivered or are working on the following:

- City Centre – overnight work to deliver a full fibre service to Stonegate, Swinegate, Church Street, Grape Lane, Goodramgate has taken place this year. Businesses in Swinegate Court East now have access to the fibre broadband.
- Shambles Market – Final work to install wi-fi for market traders was completed during November. Funded through DCMS gigabit voucher money, the cost of the installation is paid for and traders will access the wi-fi for their card transactions, online ordering and social media etc at no cost.
- Fossgate & Walmgate – Funded through Digital Enterprise, marketing has now taken place to promote fibre delivery with great take up so far. Further work required to sign more businesses up and put each business through the funding process.
- Elvington & Wheldrake – A bid to the value of £1.2million has been made to the DCMS complex funding stream to provide access to significantly improved Broadband for residents and Businesses.
- Digital Enterprise – A further £5million has been secured with a change request extending the programme through to summer 2023. This funding, shared within the Leeds city region, is for all three strands of the programme:- Digital Growth, Digital Knowledge exchange and connectivity.
- Superfast West Yorkshire & York – this is the rural broadband programme, and CYC have recently awarded 'Contract 3' to a company called Quickline. For York this means approx 1000 rural premises are set to benefit from upgraded broadband by summer 2022.
- Ultra Fibre Optic (UFO) - the expansion of the cities fibre based broadband network continues under the new ownership and direction of CityFibre following their FibreNation acquisition, and coverage levels within the city has now surpassed 60% of all premises and this year has also seen a number of infill areas being revisited and connected

Community Stadium

99. The community stadium capital scheme showed an outturn of £1.349m in 2020/21 which was an underspend of £0.87m in the year. A detailed update was provided at Executive (11 February 2021) where the budget was increased by £1.2m (that increase is reflected in the figures in Table 1). The major construction work is complete and there

remains a £2.066m budget to cover residual works and retentions. The NHS have opened up a number of services at the facility. The Leisure Centre reopened to the public in April 2021 and we are working with partners to open up the other parts of the stadium complex.

100. The New Stadium Leisure Complex procurement, which began in 2012, included in it a space next to the leisure centre which was originally proposed to be an outdoor ropes area. In 2021, outdoor ropes is not a commercially viable leisure proposal, is seasonal, is heavy on staffing, costs and maintenance and secures minimal revenue. This area if developed as high ropes would be a loss leader with little ability to even break even. Given there is already an outdoor high ropes facility only a short distance away under a commercial operator, this proposal has for some time been considered unviable for GLL. The alternative proposal is to provide a free to use children's play area, which incorporates an element of high ropes play (rather than supervised restricted climbing). This area would not require a staffing presence and could provide a free use element on a site which is lacking in this, especially on the Vangarde development.

101. GLL's proposal is for a children's play area with an additional outdoor gym area. This outdoor gym area would provide flexibility in the space and would enable GLL, during times of potential lockdown or pandemic, to carry on providing classes and fitness equipment outside, when operations within a building are not permitted. This proposal has no financial implications and will be delivered by GLL as part of the capital budget agreed.

Funding the 2020/21 Capital Programme

102. The 2020/21 capital programme of £92.397m has been funded from £25.860m external funding and £66.537m of internal funding. The internal funding includes resources such as revenue contributions, Supported Capital Expenditure, capital receipts and reserves.

103. The overall funding position continues to be closely monitored to ensure the overall capital programme remains affordable and is sustainable over the 5 year approved duration.

Update on the 2021/22 – 2025/26 Capital Programme

104. The restated capital programme for 2021/22 to 2025/26 split by portfolio is shown in table 3. The individual scheme level profiles can be seen in Annex 1.

		2021/22 Budget	2022/23 Budget	2023/24 Budget	2024/25 Budget	2025/26 Budget	Total Budget
		£m	£m	£m	£m	£m	£m
CEC	Children's, Education & Communities	27.329	3.000	-	-	-	**30.329**
HH & ASC	Adult Social Care & Adult Services Commissioning	2.297	0.638	0.660	0.682	0.705	**4.982**
HH & ASC	Housing & Community Safety	58.205	43.032	36.218	32.944	25.854	**196.253**
E&P	Transport, Highways & Environment	88.113	46.722	27.765	8.316	10.600	**181.516**
E&P	Regeneration & Asset Management	35.892	80.850	51.770	0.500	0.500	**169.512**
CCS	Community Stadium	2.066	-	-	-	-	**2.066**
CCS	Customer & Corporate Services	3.445	0.200	0.200	0.200	0.200	**4.245**
CCS	IT	3.195	2.420	2.420	1.670	2.170	**11.875**
	Total	**220.542**	**176.862**	**119.033**	**44.312**	**40.029**	**660.778**

Table 3 – Restated Capital Programme 2022/22 to 2025/26

105. Table 4 shows the projected call on Council resources going forward.

	2021/22 Budget	2022/23 Budget	2023/24 Budget	2024/25 Budget	2025/26 Budget	Total £m
Gross Capital Programme	**220.542**	**176.862**	**119.033**	**44.312**	**40.029**	**660.778**
Funded by:						
External Funding	74.355	112.001	60.279	5.680	5.680	**257.995**
Council Controlled Resources	146.187	64.861	59.754	38.632	34.349	**342.783**
Total Funding	**220.542**	**176.862**	**119.033**	**44.312**	**40.029**	**660.778**

Table 4 – 2021/22 –2025/26 Capital Programme Financing

106. The Council controlled figure is comprised of a number of resources that the Council has ultimate control over. These include Right to Buy receipts, revenue contributions, supported (government awarded) borrowing, prudential (Council funded) borrowing, reserves (including Venture Fund) and capital receipts.

107. In financing the overall capital programme the Chief Finance Officer will use the optimum mix of funding sources available to achieve the best financial position for the Council. Therefore an option for any new capital receipts would be to use these to replace assumed borrowing, thereby reducing the Councils' borrowing levels and associated revenue costs.

Consultation

108. Not applicable

Options

109. Not applicable

Council Plan

110. The information contained in this report demonstrates progress in achieving the priorities set out in the Council Plan.

Implications

111. This report has the following implications:

- **Financial -** are contained throughout the main body of the report
- **Human Resources (HR)** – There are no HR implications as a result of this report
- **One Planet Council/ Equalities** – The capital programme seeks to address key equalities issues that affect the Council and the public. Schemes that address equalities include the Disabilities Support Grant, the Schools Access Initiative, the Community Equipment Loans Store (CELS) and the Disabilities Discrimination Act (DDA) Access Improvements. All individual schemes will be subject to Equalities Impact Assessments

- **Legal Implications -** Whilst this report itself does not have any legal implications, the schemes within the capital programme will themselves will be in receipt of legal advice where necessary
- **Crime and Disorder -** There are no crime and disorder implications as a result of this report.
- **Information Technology –** The information technology implications are contained within the main body of the report,
- **Property -** The property implications of this paper are included in the main body of the report which covers the funding of the capital programme from capital receipts.
- **Other –** There are no other implications

Risk Management

112. There are a number of risks inherent in the delivery of a large scale capital programme. To mitigate against these risks the capital programme is regularly monitored as part of the corporate monitoring process, and the project management framework. This is supplemented by internal and external audit reviews of major projects.

Contact Details

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<tr><td colspan="4"></td></tr>
<tr><td colspan="4">Wards Affected: All</td><td></td></tr>
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</table>

Specialist Implications:
Legal – Not Applicable
Property – Not Applicable
Information Technology – Not Applicable

Annexes

Annex A – Capital Programme by year 2020/21 – 2025/26

	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26	Total Capital Programme 2021/22-2025/26
	£000	£000	£000	£000	£000	£000	£000
CEC - CHILDREN, EDUCATION & COMMUNITIES							
Basic Need	411	9,564	0	0	0	0	**9,564**
Fulford School Expansion 2020 Phase 1 and 2	706	5,303	1,000	0	0	0	**6,303**
Libraries as Centres of Learning and Opportunity for all: Acomb & Clifton	2	2,000	2,000	0	0	0	**4,000**
Schools Essential Building Work	0	2,558	0	0	0	0	**2,558**
Schools Essential Mechanical & Electrical Work	0	2,551	0	0	0	0	**2,551**
Children in Care Residential Commissioning Plan	0	1,358	0	0	0	0	**1,358**
Expansion and Improvement of Facilities for Pupils with SEND	193	839	0	0	0	0	**839**
DfE Maintenance	600	831	0	0	0	0	**831**
Haxby Library Reprovision	11	734	0	0	0	0	**734**
Improving School Accessibility	148	352	0	0	0	0	**352**
Southbank Expansion	599	311	0	0	0	0	**311**
Centre of Excellence for Disabled Children (Lincoln Court)	2,892	241	0	0	0	0	**241**
Westfield Multi Use Games Area	0	200	0	0	0	0	**200**
Family Drug & Alcohol Assess/Recovery Facility	0	100	0	0	0	0	**100**
Adaptions to Foster Carer Homes	0	100	0	0	0	0	**100**
Healthy Pupils Capital Fund	0	93	0	0	0	0	**93**
Archbishop Holgate's School Expansion	4,218	90	0	0	0	0	**90**
Energise Roof	72	58	0	0	0	0	**58**
Explore Central Library Urgent Roof repairs	187	34	0	0	0	0	**34**
Children & Young Peoples services & Building based provision review	0	12	0	0	0	0	**12**
York Theatre Royal	500	0	0	0	0	0	**0**
NDS Devolved Capital	224	0	0	0	0	0	**0**
Westfield Primary School Kitchen and Dining Facilities Expansion	4	0	0	0	0	0	**0**
National Centre for Early Music	25	0	0	0	0	0	**0**
ADULT SOCIAL CARE & ADULT SERVICES COMMISSIONING							**0**
Telecare Equipment and Infrastructure	357	276	259	267	275	283	**1,360**
Disabled Support Grant	178	268	240	250	260	270	**1,288**
Major Items of Disability Equipment	125	160	139	143	147	152	**741**
OPA-Community Space at Marjorie WaiteCourt	460	557	0	0	0	0	**557**
OPA-Ashfield Estate Sports Pitches	636	393	0	0	0	0	**393**
Proof of Concept for robotics & AI within social care	0	200	0	0	0	0	**200**
OPA-Haxby Hall	542	170	0	0	0	0	**170**
OPA-Lowfields Enabling Work	16	141	0	0	0	0	**141**
OPA - the Centre@Burnholme including enabling works	5	73	0	0	0	0	**73**
OPA-Burnholme Sports Facilities	126	59	0	0	0	0	**59**
S106 Sports Development	158	0	0	0	0	0	**0**
HOUSING & COMMUNITY SAFETY							
Local Authority Homes - New Build Project	0	9,250	9,900	18,343	20,000	12,579	**70,072**
Major Repairs & Modernisation of Local Authority Homes	8,636	11,911	8,763	8,462	8,769	8,720	**46,625**
LA Homes - Burnholme	1,141	7,182	11,000	3,945	0	0	**22,127**
Lowfield Housing	11,332	12,230	2,600	0	0	0	**14,830**
Disabled Facilities Grant (Gfund)	1,762	2,119	2,106	2,236	2,375	2,375	**11,211**
Duncombe Barracks	510	2,089	5,500	1,362	0	0	**8,951**
Local Authority Homes - Phase 2	281	3,610	1,103	0	0	0	**4,713**
Local Authority Homes - Project Team	209	683	680	830	1,000	1,370	**4,563**
Assistance to Older & Disabled People	462	728	610	620	630	640	**3,228**
Shared Ownership Scheme	5,532	2,169	0	0	0	0	**2,169**
LA Homes Energy Efficiency Programme	52	1,607	250	250	0	0	**2,107**
Extension to Marjorie Waite Court	2,123	1,307	0	0	0	0	**1,307**
IT Infrastructure	133	1,070	0	0	0	0	**1,070**
Housing Environmental Improvement Programme	43	363	170	170	170	170	**1,043**
LA Homes - Hospital Fields/Ordnance Lane	729	592	0	0	0	0	**592**
LAD1B	0	536	0	0	0	0	**536**
Water Mains Upgrade	0	120	350	0	0	0	**470**
James House	811	183	0	0	0	0	**183**
Lincoln Court Independent Living Scheme	1,847	127	0	0	0	0	**127**
Willow House Housing Development	0	120	0	0	0	0	**120**
Empty Homes (Gfund)	0	100	0	0	0	0	**100**
Extension to Glen Lodge	0	88	0	0	0	0	**88**
Local Authority Homes - Phase 1	19	21	0	0	0	0	**21**
ECONOMY & PLACE - TRANSPORT, HIGHWAYS & ENVIRONMENT							
York Outer Ring Road - Dualling	1,507	21,590	24,055	16,938	0	0	**62,583**
Highway Schemes	5,546	10,994	7,377	7,377	5,780	7,280	**38,808**
WYTF - Station Frontage	403	14,069	11,550	0	0	0	**25,619**
Local Transport Plan (LTP) *	2,507	4,399	1,570	1,570	1,570	1,570	**10,679**
Highways - Tadcaster Road	160	4,840	0	0	0	0	**4,840**
Drainage Investigation & Renewal	670	981	700	700	700	900	**3,981**
Waste Vehicle Replacement	2,905	3,695	0	0	0	0	**3,695**
Replacement Vehicles & Plant	0	3,513	0	0	0	0	**3,513**
Flood Allevition Schemes including Germany Beck	0	3,300	0	0	0	0	**3,300**
Replacement of Unsound Lighting Columns	404	618	644	644	66	550	**2,522**
York City Walls Restoration Programme	437	1,292	376	336	0	300	**2,304**
Fleet Acquisition	257	2,151	0	0	0	0	**2,151**
Highways & Transport - Ward Committees	397	1,730	250	0	0	0	**1,980**
Electric charging Infrastructure	0	1,800	0	0	0	0	**1,800**
Smarter Travel Evolution Programme	694	1,500	0	0	0	0	**1,500**
Flood Scheme Contributions	0	1,500	0	0	0	0	**1,500**
Built Environment Fund - Hostile Vehicle Mitigation	429	1,329	0	0	0	0	**1,329**

Hyper Hubs	1,973	1,326	0	0	0	0	**1,326**
Essential Bridge Maintenance	0	1,100	0	0	0	0	**1,100**
Highways Drainage Works	0	274	200	200	200	0	**874**
EV Charging Asset Replacement	968	524	0	0	0	0	**524**
Special Bridge Maintenance (Struct maint)	456	515	0	0	0	0	**515**
Fordlands Road Flood Defences	0	486	0	0	0	0	**486**
Clean Air Zone	1,167	463	0	0	0	0	**463**
City Fibre Network	0	410	0	0	0	0	**410**
National Cycle Network 65 Targeted Repairs	31	378	0	0	0	0	**378**
Fleet & Workshop Compliance	78	338	0	0	0	0	**338**
Flood Defences	0	317	0	0	0	0	**317**
Better Bus Area Fund	0	312	0	0	0	0	**312**
Better Play Areas	44	272	0	0	0	0	**272**
Litter Bin Replacement Programme	1	241	0	0	0	0	**241**
Traffic control/ reduction and public realm improvements in Bishophill/ Mic	0	230	0	0	0	0	**230**
Knavesmire Culverts	0	227	0	0	0	0	**227**
Flood Sign Renewal and Rainfall monitoring	0	200	0	0	0	0	**200**
Scarborough Bridge	408	178	0	0	0	0	**178**
CCTV Asset Renewal	157	157	0	0	0	0	**157**
River Bank repairs	18	149	0	0	0	0	**149**
Stonegate Natural Stone Renewal	29	123	0	0	0	0	**123**
Wayfinding	162	122	0	0	0	0	**122**
Rowntree Park Lodge	0	121	0	0	0	0	**121**
Non Illuminated Structural asset renewal	30	116	0	0	0	0	**116**
Access Barrier Review	0	100	0	0	0	0	**100**
Wheeled Bins in Back Lane and Terraced Areas	0	62	0	0	0	0	**62**
Car Park Improvements	244	38	0	0	0	0	**38**
Hazel Court conversion of storage area to operational hub	3	17	0	0	0	0	**17**
Public Realm footpaths	4	16	0	0	0	0	**16**
A1079 Drainage Improvements (A64 to Kexby Roundabout)	713	0	0	0	0	0	**0**
Osbaldwick Beck Maintenance	60	0	0	0	0	0	**0**
Gully Repair Engineering works	50	0	0	0	0	0	**0**
A19 Flood Alleviation Scheme	51	0	0	0	0	0	**0**
ECONOMY & PLACE - REGENERATION & ASSET MANAGEMENT							
York Central Infrastructure	2,749	22,252	80,000	51,120	0	0	**153,372**
Guildhall	7,288	7,791	0	0	0	0	**7,791**
Castle Gateway (Picadilly Regeneration)	713	2,828	0	0	0	0	**2,828**
Climate Change schemes including Northern Forest	1,957	965	600	400	250	250	**2,465**
Asset Maintenance + Critical H&S Repairs	84	356	250	250	250	250	**1,356**
Holgate Park Land – York Central Land and Clearance	0	397	0	0	0	0	**397**
LCR Revolving Investment Fund	0	300	0	0	0	0	**300**
29 Castlegate	0	270	0	0	0	0	**270**
Commercial Property Acquisition incl Swinegate	3,922	196	0	0	0	0	**196**
Shambles Modernisation - Power	0	180	0	0	0	0	**180**
Community Asset Transfer	0	175	0	0	0	0	**175**
York Central	0	75	0	0	0	0	**75**
Air Quality Monitoring (Gfund)	1	74	0	0	0	0	**74**
Built Environment Fund - Shopping Area Improvements	2	17	0	0	0	0	**17**
Shambles Health & Safety	11	16	0	0	0	0	**16**
CUSTOMER & CORPORATE SERVICES - COMMUNITY STADIUM							
Community Stadium	1,349	2,066	0	0	0	0	**2,066**
CUSTOMER & CORPORATE SERVICES							
Project Support Fund	0	607	200	200	200	200	**1,407**
Covid ecovery Fund	0	1,000	0	0	0	0	**1,000**
Capital Contingency	0	802	0	0	0	0	**802**
Crematorium Waiting Room	8	242	0	0	0	0	**242**
Removal of Asbestos	15	237	0	0	0	0	**237**
West Offices - Major repairs	0	237	0	0	0	0	**237**
Hazel Court welfare facilities	4	96	0	0	0	0	**96**
Fire Safety Regulations - Adaptations	0	77	0	0	0	0	**77**
Registry office Phase 2 Refurbishment	7	73	0	0	0	0	**73**
Photovoltaic Energy Programme	139	34	0	0	0	0	**34**
Mansion House Restoration	22	24	0	0	0	0	**24**
Replacement of 2 Cremators	159	16	0	0	0	0	**16**
CUSTOMER & CORPORATE SERVICES - IT							
IT Development plan	1,987	3,075	2,420	2,420	1,670	2,170	**11,755**
IT Superconnected Cities	0	120	0	0	0	0	**120**
GROSS EXPENDITURE BY DEPARTMENT							
CEC - CHILDREN, EDUCATION & COMMUNITIES	**10,792**	**27,329**	**3,000**	**0**	**0**	**0**	**30,329**
HH&ASC - ADULT SOCIAL CARE & ADULT SERVICES COMMISSION	**2,603**	**2,297**	**638**	**660**	**682**	**705**	**4,982**
HH&ASC - HOUSING & COMMUNITY SAFETY	**35,622**	**58,205**	**43,032**	**36,218**	**32,944**	**25,854**	**196,253**
ECONOMY & PLACE - TRANSPORT, HIGHWAYS & ENVIRONMENT	**22,963**	**88,113**	**46,722**	**27,765**	**8,316**	**10,600**	**181,516**
ECONOMY & PLACE - REGENERATION & ASSET MANAGEMENT	**16,727**	**35,892**	**80,850**	**51,770**	**500**	**500**	**169,512**
CUSTOMER & CORPORATE SERVICES - COMMUNITY STADIUM	**1,349**	**2,066**	**0**	**0**	**0**	**0**	**2,066**
CUSTOMER & CORPORATE SERVICES	**354**	**3,445**	**200**	**200**	**200**	**200**	**4,245**
CUSTOMER & CORPORATE SERVICES - IT	**1,987**	**3,195**	**2,420**	**2,420**	**1,670**	**2,170**	**11,875**
TOTAL BY DEPARTMENT	**92,397**	**220,542**	**176,862**	**119,033**	**44,312**	**40,029**	**600,778**
TOTAL GROSS EXPENDITURE	**92,397**	**220,542**	**176,862**	**119,033**	**44,312**	**40,029**	**600,778**
TOTAL EXTERNAL FUNDING	**25,860**	**74,355**	**112,001**	**60,279**	**5,680**	**5,680**	**257,995**
TOTAL INTERNAL FUNDING	**66,537**	**146,187**	**64,861**	**58,754**	**38,632**	**34,349**	**342,783**

Executive **24th June 2021**

Report of the Chief Finance Officer
Portfolio of the Executive Member for Finance & Performance

Treasury Management Annual Report and Review of Prudential Indicators 2020/21

Summary

1. The Council is required by regulations issued under the Local Government Act 2003 to produce an annual treasury management review of activities and the actual prudential and treasury indicators for 2020/21. This report meets the requirements of both the CIPFA Code of Practice on Treasury Management, (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities, (the Prudential Code).

2. The regulatory environment places responsibility on members for the review and scrutiny of treasury management policy and activities. This report provides details of the outturn position for treasury activities and highlights compliance with the Council's policies previously approved by members.

3. This report also confirms that the Council has complied with the requirement under the Code to give prior scrutiny to treasury management reports by Audit & Governance Committee.

Recommendations

4. Executive is asked to:

   Note the 2020/21 performance of treasury management activity and prudential indicators outlined in annex A.

   Reason: to ensure the continued performance of the treasury management function can be monitored and to comply with statutory requirements.

Background and analysis

The Economy and Interest Rates

5. Investment returns which had been low during 2019/20, plunged during 2020/21 to near zero or even into negative territory. Most local authority lending managed to avoid negative rates and one feature of the year was the growth of inter local authority lending. The expectation for interest rates within the treasury management strategy for 2020/21 was that Bank Rate would continue at the start of the year at 0.75 % before rising to end 2022/23 at 1.25%. This forecast was invalidated by the Covid-19 pandemic which caused the Monetary Policy Committee to cut Bank Rate in March, first to 0.25% and then to 0.10%, in order to counter the impact of the national lockdown on the economy. The Bank of England and the Government also introduced new programmes of supplying the banking system and the economy with cheap credit so that banks could help businesses to survive the lockdown. The Government also supplied huge amounts of finance to local authorities to pass on to businesses. This meant that for most of the year there was much more liquidity in financial markets than there was demand to borrow, with the consequent effect that investment earnings rates plummeted.

Overall treasury position as at 31 March 2021

6. The Council's year end treasury debt and investment position for 2020/21 compared to 2019/20 is summarised in the table below:

Debt	31/03/2021 £m	Average Rate %	31/03/2020 £m	Average Rate %
General Fund debt	151.6	3.32	110.1	3.83
Housing Revenue Account (HRA) debt	146.4	3.23	146.4	3.31
PFI	45.2	n/a	46.3	n/a
Total debt	343.2	3.27	302.8	3.54
Investments				
Councils investment balance	8.3	0.17	13.9	0.74

Table 1 summary of year end treasury position as at 31 March 2021

Borrowing requirement and debt

7. The Council's underlying need to borrow to finance capital expenditure is termed the Capital Financing Requirement (CFR).

	31 March 2021 Actual £m	31 March 2021 Budget £m	31 March 2020 Actual £m
CFR General Fund	249.9	304.0	225.1
CFR HRA	146.4	146.4	146.4
PFI	45.2	49.2	46.3
Total CFR	441.5	499.6	417.8

Table 2 capital financing requirement

Borrowing outturn for 2020/21

8. During 2020-21, the Council maintained an under-borrowed position. This meant that the capital borrowing need, (the Capital Financing Requirement), was not fully funded with loan debt, as cash supporting the Council's reserves, balances and cash flow was used as an interim measure. This strategy was prudent as investment returns were low and minimising counterparty risk on placing investments also needed to be considered.

9. A cost of carry remained during the year on any new long-term borrowing that was not immediately used to finance capital expenditure, as it would have caused a temporary increase in cash balances; this would have incurred a revenue cost – the difference between (higher) borrowing costs and (lower) investment returns.

10. The policy of avoiding new borrowing by running down spare cash balances, has served well over the last few years. However, this was kept under review to avoid incurring higher borrowing costs in the future. These spare cash balances have now been used and therefore we are starting to borrow again, as was outlined in the 2020/21 budget reports in February 2020.

11. During 2020/21 the following new loans were taken. The total of new loans was £51.5m. This borrowing was anticipated and is as a result of the progress made in delivering the capital programme. The associated revenue implications were included in the annual budget setting process.

Lender	Issue Date	Repayment Date	Amount £	Rate	Duration
PWLB	28/05/2020	28/05/2032	5,000,000	2.110%	12.00
PWLB	29/09/2020	16/04/2035	5,000,000	2.340%	14.54
PWLB	30/10/2020	15/04/2036	5,000,000	2.380%	15.46

PWLB	29/01/2021	15/04/2037	5,000,000	1.500%	16.21
PWLB	12/02/2021	15/04/2038	5,000,000	1.750%	17.17
PWLB	22/02/2021	15/04/2039	5,000,000	1.930%	18.14
PWLB	26/02/2021	15/06/2040	6,500,000	2.120%	19.30
PWLB	22/03/2021	15/07/2031	10,000,000	1.790%	10.31
PWLB	31/03/2021	15/07/2042	5,000,000	2.080%	21.29

Table 3 – New loans in 2020/21

12. During 2020/21 the following existing loans matured. The total of maturing loans was £10.0m

Lender	Issue Date	Repayment Date	Amount £	Rate	Duration
PWLB	25/05/2010	05/05/2020	5,000,000	3.700%	9.95
PWLB	07/11/2011	07/11/2020	5,000,000	3.140%	9.00

Table 4 – Maturing loans in 2020/21

13. No rescheduling was done during the year as the average 1% differential between PWLB new borrowing rates and premature repayment rates made rescheduling unviable.

Investment outturn for 2020/21

14. The Council's investment policy is governed by MHCLG guidance, which has been implemented in the annual investment strategy approved by the Council on 27th February 2020. This policy sets out the approach for choosing investment counterparties, and is based on credit ratings provided by the three main credit rating agencies, supplemented by additional market data, (such as rating outlooks, credit default swaps, bank share prices etc.). The Council will also consider environmental, social and governance issues when placing investments through the use of the FTSE4Good index. The investment activity during the year conformed to the approved strategy, and the Council had no liquidity difficulties.

15. The Council maintained an average investment balance of £15.690m in 2020/21 compared to £48.699m in 2019/20. The surplus funds earned an average rate of return of 0.17% in 2020/21 compared to 0.74% in 2019/20. Again, this has been a planned reduction of average balances held. As outlined in paragraph 10 above cash supporting the Council's reserves,

balances and cash flow was used as an interim measure. This strategy was prudent as investment returns were low and minimised counterparty risk.

16. The comparable performance indicator for the Councils investment performance is the average London Inter Bank Bid Rate (LIBID) which represents the average interest rate at which major London banks borrow from other banks. Table 3 shows the rates for financial year 2020/21 and shows that for all cash holdings the rate of return exceeds the levels of the usual 7 day and 3 month benchmarks.

Benchmark	Benchmark Return	Council Performance
7 day	-0.07	0.17
3 month	0.015	0.17

Table 4 – LIBID vs. CYC comparison

Consultation

17. The report has been reviewed and scrutinised by Audit and Governance Committee on 16th June 2021.

Options

18. Not applicable.

Council Plan

19. Effective treasury management ensures the Council has sufficient liquidity to operate, safeguards investments, maximises return on those investments and minimises the cost of debt. This allows more resources to be allocated for delivering the Council's priorities as set out in the Council Plan.

Implications

20. This report has the following implications:

- **Financial** are contained throughout the main body of the report.
- **Human Resources (HR)** There are no HR implications.
- **One Planet Council / Equalities** There are no One Planet Council or equalities implications.
- **Legal** Treasury management activities have to conform to the Local Government Act 2003, which specifies that the Council is required to

adopt the CIPFA Prudential Code and the CIPFA Treasury Management Code of Practice.

- **Crime and Disorder** There are no crime and disorder implications.
- **Information Technology (IT)** There are no IT implications.
- **Property** There are no property implications.
- **Other** There are no other implications.

Risk Management

21. The treasury function is a high-risk area due to the large value transactions that take place. As a result, there are strict procedures set out as part of the treasury management practices statement. The scrutiny of this and other monitoring reports is carried out by Audit and Governance Committee as part of the Council's system of internal control.

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<tr><td colspan="3">Wards Affected: List wards or tick box to indicate all</td><td>All</td><td>✓</td></tr>
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Background Papers:
None

Annexes:
Annex A: Prudential Indicators 2020/21

List of Abbreviations Used in this Report

CIPFA - Chartered Institute of Public Finance & Accountancy
CYC – City of York Council
MRP - Minimum Revenue Provision
CFR - Capital Financing Requirement
MPC - Monetary Policy Committee

PWLB - Public Works Loan Board
MHCLG – Ministry of Housing, Communities and Local Government
LIBID – The London Interbank Bid Rate

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Annex A

Prudential Indicators 2020/21 Outturn

	Prudential Indicator		2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
1	**Capital expenditure** To allow the authority to plan for capital financing as a result of the capital programme and enable the monitoring of capital budgets.	GF HRA PFI Total	£58.8m £33.9m £0.0m £92.4m	£164.6m £56.0m £0.0m £220.6m	£135.9m £40.9m £0.0m £176.8m	£85.1m £34.0m £0.0m £119.0m	£13.7m £30.6m £0.0m £44.3m	£16.6m £23.5m £0.0m £40.1m
2	**CFR** Indicates the Council's underlying need to borrow money for capital purposes. The majority of the capital programme is funded through government support, government grant or the use of capital receipts. The use of borrowing increases the CFR.	GF HRA Other LT Total	£249.9m £146.4m £45.2m £441.5m	£331.1m £146.4m £44.0m £521.5m	£343.9m £146.4m £47.1m £537.4m	£355.1m £146.4m £46.0m £547.5m	£347.3m £146.4m £44.9m £538.6m	£341.8m £150.0m £43.7m £535.5m
3	**Ratio of financing costs to net revenue stream** An estimate of the cost of borrowing in relation to the net cost of Council services to be met from government grant and council taxpayers. In the case of the HRA the net revenue stream is the income from rents. *Note that in future years some of the forecast debt will be directly funded by business rates income and a number of other self financing schemes, where income is generated to meet the cost of investment in the scheme. Therefore the actual figure will be lower than shown here.*	GF HRA Total	9.89% 13.85% 10.66%	12.86% 13.74% 13.03%	16.70% 13.39% 16.05%	17.68% 13.09% 16.76%	18.80% 12.79% 17.58%	19.22% 12.54% 17.84%
4	**External debt** To ensure that borrowing levels are prudent over the medium term the Council's external borrowing, net of investments, must only be for a capital	Gross Debt Invest Net Debt	£343.2m £8.3m £334.9m	£432.0m £10.0m £422.0m	£462.1m £10.0m £452.1m	£487.0m £10.0m £477.0m	£493.9m £10.0m £483.9m	£506.7m £10.0m £496.7m

Annex A

	Prudential Indicator		2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
	purpose and so not exceed the CFR.							
5 a	**Authorised limit for external debt** The authorised limit is a level set above the operational boundary in acceptance that the operational boundary may well be breached because of cash flows. It represents an absolute maximum level of debt that could be sustained for only a short period of time. The council sets an operational boundary for its total external debt, gross of investments, separately identifying borrowing from other long-term liabilities.	Borrowing / Other long term liabilities	£509.6m £30.0m £539.6m (£539.6m set at 2020/21 Strategy)	£526.1m £30.0m £556.1m (£556.1m set at 2021/22 Strategy)	£547.3m £30.0m £577.3m (Based on current CFR projection)	£557.5m £30.0m £587.5m (Based on current CFR projection)	£548.6m £30.0m £578.6m (Based on current CFR projection)	£545.5m £30.0m £575.5m (Based on current CFR projection)
5 b	**Operational boundary for external debt** The operational boundary is a measure of the most likely, prudent, level of debt. It takes account of risk management and analysis to arrive at the maximum level of debt projected as part of this prudent assessment. It is a means by which the authority manages its external debt to ensure that it remains within the self-imposed authority limit. It is a direct link between the Council's plans for capital expenditure; our estimates of the capital financing requirement; and estimated operational cash flow for the year.	Borrowing / Short Term Liquidity Requirement	£499.6m £10.0m £509.6m (£509.6m set at 2020/21 Strategy)	£516.1m £10.0m £526.1m (£526.1m set at 2021/22 Strategy)	£537.3m £10.0m £547.3m (Based on current CFR projection)	£547.5m £10.0m £557.5m (Based on current CFR projection)	£538.6m £10.0m £548.6m (Based on current CFR projection)	£535.5m £10.0m £545.5m (Based on current CFR projection)

Annex A

6	**Maturity structure of fixed rate borrowing** To minimise the impact of debt maturity on the cash flow of the Council. Over exposure to debt maturity in any one year could mean that the Council has insufficient liquidity to meet its repayment liabilities, and as a result could be exposed to risk of interest rate fluctuations in the future where loans are maturing. The Council therefore sets limits whereby long-term loans mature in different periods thus spreading the risk.	Maturity profile of debt against approved limits	**Maturity Profile**	**Debt (£)**	**Debt (%)**	**Approved Minimum Limit**	**Approved Maximum Limit**	
			Less than 1 yr	£12.0m	4%	0%	30%	In line with the TMSS Lobo loans are shown as due at their next call date as this is the date the lender could require payment.
			1 to 2 yrs	£4.7m	2%	0%	30%	
			2 to 5 yrs	£33.1m	11%	0%	40%	
			5 to 10 yrs	£63.0m	21%	0%	40%	
			10 yrs and above	£185.2m	62%	30%	90%	
			Total	£298.0m	100%	-	-	
7	**Upper limit for total principal sums invested for over 364 days** The Council sets an upper limit for each forward financial year period for the level of investments that mature in over 364 days. These limits reduce the liquidity and interest rate risk associated with investing for more than one year. The limits are set as a percentage of the average balances of the investment portfolio.		£15m	£15m	£15m	£15m	£15m	£15m

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