

**Notice of a public meeting of
Executive**

To: Councillors Carr (Chair), Aspden (Vice-Chair), Ayre, Gillies, Lisle, Rawlings, Runciman and Waller

Date: Thursday, 29 June 2017

Time: 5.30 pm

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

AGENDA

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 Democratic Services by **4:00 pm** on **Monday 3 July 2017**.

*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. Public Participation

At this point in the meeting members of the public who have registered to speak can do so. The deadline for registering is **5.00pm on Wednesday 28 June 2017**. Members of the public can speak on agenda items or matters within the remit of the committee. To register to speak please contact the Democracy Officer for the meeting, on the details at the foot of the agenda.

Filming, Recording or Webcasting Meetings

Please note this meeting will be filmed and webcast and that includes any registered public speakers who have given their permission. This broadcast can be viewed at <http://www.york.gov.uk/webcasts>.

Residents are welcome to photograph, film or record Councillors and Officers at all meetings open to the press and public. This includes the use of social media reporting i.e. tweeting. Anyone wishing to film, record or take photos at any public meeting should contact the Democracy Officer (whose contact details are at the foot of this agenda) in advance of the meeting.

The Council's protocol on Webcasting, Filming & Recording of Meetings ensures that these practices are carried out in a manner both respectful to the conduct of the meeting and all those present. It can be viewed at http://www.york.gov.uk/download/downloads/id/11406/protocol_f_or_webcasting_filming_and_recording_of_council_meetings_20160809.pdf

3. Minutes (Pages 1 - 10)

To approve and sign the minutes of the last Executive meeting held on 18 May 2017.

4. Forward Plan (Pages 11 - 16)

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

5. Public Health Grant Spending Scrutiny Review Final Report (Pages 17 - 66)

The Chair of the Public Health Grant Spending Scrutiny Review Task Group (Councillor Doughty) to present the final report and ask the Executive to approve the recommendations arising from the review.

- 6. One Planet York Scrutiny Review Final Report**
(Pages 67 - 108)
The Chair of the One Planet York (OPY) Scrutiny Review Task Group (Councillor D'Agorne) to present the final report and ask the Executive to approve the recommendations arising from the review.
- 7. Community Flood Resilience Work** (Pages 109 - 116)
The Assistant Director (Communities and the Equalities) to present a report which proposes measures to create greater community resilience in the event of future flooding and other emergencies within York.
- 8. Minerals and Waste Joint Plan – Proposed Changes**
(Pages 117 - 212)
The Development Officer (Strategy) to present a report updating Members on the outcomes of the consultation on the Publication Draft Minerals and Waste Joint Plan and ask Members to approve the proposed changes to the Joint Plan for the purposes of public consultation.
- 9. Upper and Nether Poppleton Neighbourhood Plan - Examiner's Report and Decision Statement** (Pages 213 - 354)
The Head of Integrated Strategy and the Development Officer (Strategy) to present the Upper and Nether Poppleton Neighbourhood Plan Examiner's Report and ask that the Executive agree the examiner's recommendations to enable the Neighbourhood Plan to proceed to referendum.
- 10. Treasury Management Annual Report & Review of Prudential Indicators** (Pages 355 - 366)
The Deputy Chief Executive & Director of Customer & Corporate Services to present a report providing details of the outturn position for treasury activities and highlighting compliance with the Council's policies previously approved by Members.
- 11. Finance and Performance Outturn 2016/17** (Pages 367 - 396)
The Deputy Chief Executive & Director of Customer & Corporate Services to present a report providing a year end analysis of the overall finance and performance position.

12. Capital Programme Outturn (Pages 397 - 422)

The Deputy Chief Executive & Director of Customer & Corporate Services to present a report setting 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.

13. Urgent Business

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

Democracy Officer:

Name: Laura Clark

Contact Details:

- Telephone – (01904) 554538
- E-mail – Laura.Clark@york.gov.uk

For more information about any of the following, please contact the Democracy Officer responsible for the meeting:

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

Contact details as 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**

City of York Council

Committee Minutes

| | |
|--|--|
| Meeting | Executive |
| Date | 18 May 2017 |
| Present | Councillors Carr (Chair), Aspden (Vice-Chair), Ayre, Gillies, Lisle, Rawlings, Runciman and Waller |
| Other Members participating in the meeting | Councillors Stuart Barnes and Craghill |

PART A - MATTERS DEALT WITH UNDER DELEGATED POWERS

151. 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 they may have in respect of business on the agenda. No additional interests were declared.

152. Exclusion of Press and Public

Resolved: That the press and public be excluded from the meeting during consideration of Annex 2 to Agenda Item 10 (Park and Ride Operator Procurement) on the grounds that it contains information relating to the financial or business affairs of any particular person (including the authority holding that information). This information is classed as exempt under Paragraph 3 of Schedule 12A to Section 100A of the Local Government Act 1972 (as revised by the Local Government (Access to Information) (Variation) Order 2006).

153. Minutes

Resolved: That the minutes of the last Executive meeting held on 27 April 2017 be approved and then signed by the Chair as a correct record.

154. **Public Participation**

It was reported that there had been 3 registrations to speak at the meeting under the Council's Public Participation Scheme and that 1 Member of the Council had also requested to speak. The registrations were in respect of the following items:

Matters Within the Committee's Remit

Tony Fisher, speaking as Chairman of Strensall Parish Council, expressed concern as to the decision taken by the Executive Member for Transport and Planning on 11 May 2017 to approve a pedestrian scheme on York Road Strensall. He raised concern as to the validity of evidence presented at the meeting and stated that the summary of the Parish Council's consultation response had been selective and that the use of funds for this project were not the best investment for the village. He asked that the decision be referred back for further consideration.

In response, the Executive Member for Transport and Planning, stated that the evidence had been heard and he was comfortable with the decision as based on officers' recommended evidence.

Highways Funding Overview

Paul Hepworth, speaking on behalf of Cycling UK and the local Cycle York campaign, expressed support for the cycling elements of the report's proposed expenditure. He welcomed proposals to include carriageway margins as part of the DfT Pothole Spotter trial and the bid to the DfT Challenge Fund to repair and upgrade the riverside National Cycle Network route 65 through York.

Park and Ride Operator Procurement

Dave Merrett challenged the Park and Ride report and spoke of its' failure to advise the Executive on the health issues for York as a result of traffic emissions. He added that proposals should include an evaluation of costs and benefits of measures such as electric buses and that health as well as traffic implications should be considered.

Councillor Andy D'Agorne stated that whilst the proposals outlined within the Park and Ride report were a significant improvement on those previously submitted, they did not meet the zero emissions capability stated in the Council's Air Quality Action Plan. He asked that Members and bus operators commit to a switch off campaign and that there be an upgrade to zero emissions at the earliest opportunity.

155. 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 had been published.

156. Science City York

Members considered a report which had been referred to the Executive from the Shareholder Committee. It proposed that the Council take the necessary steps to enable the remaining Science City York funding to transfer to Make It York so that the funding could be used for its intended purpose.

Members were reassured that funds would be retained for development within the digital technology and creative business sectors and would continue to be reported to the relevant Scrutiny committee.

Resolved: That the Executive accept the recommendation of the Shareholder Committee to agree to the Council withdrawing from membership of Science City York.¹

Reason: To facilitate the residual Science City Funds transferring to Make It York.

Action Required

1. Withdraw from membership of Science City York

CC

157. Highways Funding Overview

Members considered a report which set out a number of highway and transportation improvement schemes as well as details of the wider capital funding sources that were being accessed, the schemes that they were funding and the outcomes that would be achieved.

The individual schemes, their source funding and the benefits realised, outlined at Appendix A, were highlighted. It was clarified that the sum of £1,187,000 against the Public Realm Investment for Economic Growth - Outline Business Case, was not for the development of the business case itself, but used to develop proposals for whole city infrastructure. He stated that the balance of monies left over after developing the business case, would be allocated to the first stages of the replacement programme, should the Executive choose to proceed with the re-development of the City Centre.

It was noted that whilst the cycling schemes outlined were still in the initial stages, the intention was to capitalise on the City's geographic suitability for cycling, promote economic activity and improved air quality, through encouraging behavioural change.

Resolved: That the Executive agree to:

- (i) Approve the proposed allocation of funding as detailed in the report and annex.¹
- (ii) Delegate to the appropriate Executive Members the implementation of decisions as proposed in the report.²
- (iii) Delegate to the Corporate Director of Economy and Place to proceed with the schemes as outlined in the report.³

Reason: To implement the council's transport policy identified in York's third Local Transport Plan, deliver innovative and effective approaches to highway asset management, grow the economy and provide wide ranging improvements to the built and natural environment across the City.

Action Required

- | | |
|---|----|
| 1. Action allocation of funding | SW |
| 2. Note the delegations to Executive members to implement decisions | SW |
| 3. Note the delegation to proceed with the schemes | SW |

158. Budget 2017 Discretionary Rate Relief Policy & Enterprise Zone Policy

Members considered a report which provided details of and sought authorisation for the new policies for discretionary rate relief arising from the Spring Budget 2017 and associated with the new Enterprise Zone in York Central.

It was noted that that there would be a minor amendment to the York Central Enterprise Zone Business Rates Discount Scheme (Annex B), in that an additional paragraph would be added to include the same decision making process set out in the Discretionary Rate Relief Policy (Annex A).

With regards to valuation, it clarified that whilst the methodology was out of the Council's control, businesses could appeal if they felt the valuation was incorrect.

Resolved: That the Executive approves:

- a) The new policy at Annex A of the report for discretionary rate relief for those businesses hardest hit by the business rate revaluation as set out in the Government Spring Budget 2017;¹
- b) The new policy at Annex B for business rate relief in respect of the York Central Enterprise Zone;²
- c) That minor changes can be made (Paragraph 22 of the report) to either policy (Annex A & B) by the Director of Customer & Corporate Services in consultation with the Executive Member for Finance & Performance.³

- Reason:
- a) To provide a transparent process for awarding discretionary rate relief and supporting local businesses.
 - b) To provide a transparent process to encourage businesses to relocate to the Enterprise Zone and grow the York economy.
 - c) To provide flexibility to amend either scheme quickly if required without fundamentally altering the purpose of the policies.

Action Required

- 1. Implement the new policy for discretionary rate relief PS
PS
- 2. Implement the new policy for business rate relief (York Central Enterprise Zone) SW
- 3. Note the delegations to make minor changes to either policy

159. Shared Ownership Affordable Housing Programme

Members considered a report which outlined the capital grant funding awarded to the Council under the Government's Shared Ownership and Affordable Homes Programme, administered through the Homes and Communities Agency.

It was noted that the financial modelling and examples of customer affordability were included in Annexes 1 and 2.

Resolved: That the Executive accepts the Homes and Communities Agency (HCA) grant award of £2.76m, for the delivery of 65 Shared Ownership homes.¹

Reason: So that the Council can formally accept the HCA investment and deliver this affordable home ownership programme as part of the Council's ambition to deliver a wider range of tenure products to meet the housing needs of the city.

Action Required

TB

1. Accept the HCA grant award as agreed

160. Park & Ride Operator Procurement

Members considered a report which provided details of the result of the evaluation of the tenders received for the provision of the Park & Ride bus service.

The new contract introduced 3 electric buses to the Park & Ride network and all diesel buses used on the Park & Ride would be to Euro 6 standards. It was noted that the provision of a successful and efficient Park & Ride service reduced congestion and improved air quality in the City centre and saved 4 million car visits per year. The winning supplier's proposals included the provision of new buses, additional capacity, and improved emissions standards.

An additional recommendation in relation to the pursuit of funding opportunities for low emission and electric vehicles was proposed and agreed and included as recommendation (f).

Resolved: That the Executive approves Option A outlined within the report.

Subject to minor amendments as the result of clarification of terms, the Executive:

- a) Agrees to delegate authority to the Corporate Director of Economy and Place to enter in to contract with the proposed supplier for the provision of Park & Ride services;¹
- b) Agrees to the option for overnight parking arrangements at the Askham Bar and Monks Cross Park & Ride sites;²
- c) Rejects at this time the options to extend the hours of site supervision or to provide extended evening Park & Ride bus services;
- d) Delegates authority to the Corporate Director of Economy and Place for the procurement of a maximum of five days of

additional Sunday opening hours to cater for special events on a case by case basis in consultation with the Executive Member for Transport and Planning.³

- e) Notes the additional future years costs (£85k) will be incorporated as growth within the budget that Council will consider in February 2018.
- f) Agrees that In light of recent Government statements on funding for local authorities for low emission and electric vehicles, the Corporate Director of Economy and Place ensures that the Council works with its' contractor to obtain any funding opportunities that arise within the contract term to minimise the environmental impacts of the Park and Ride Service.⁴

Reason:

This course of action will ensure that the continued successful operation of the York Park & Ride network is guaranteed and which balances the Council's ambitions for improvement with a financially sustainable operating model.

Action Required

- | | |
|---|----|
| 1. Note the delegations to enter into contract with the proposed supplier for the provision of Park & Ride services | AB |
| 2. Implement option for overnight parking arrangements outlined in the report | AB |
| 3. Note the delegation relating to the procurement of a maximum of five days of additional Sunday opening hours as outlined in the report | AB |
| 4. Pursue any funding opportunities that may arise for low emission and electric vehicles | AB |

PART B - MATTERS REFERRED TO COUNCIL

161. Shared Ownership Affordable Housing Programme

Members considered a report which outlined the capital grant funding awarded to the Council under the Government's Shared Ownership and Affordable Homes Programme, administered through the Homes and Communities Agency.

Recommended: That Council agrees a budget of £5.52m for the scheme funded from the HCA grant (£2.76m) and the HRA investment reserve (£2.76m).¹

Reason: So that the Council can formally accept the HCA investment and deliver this affordable home ownership programme as part of the Council's ambition to deliver a wider range of tenure products to meet the housing needs of the city.

Action Required

1. Refer to Council

CT

Cllr D Carr, Chair

[The meeting started at 5.30 pm and finished at 7.10 pm].

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Forward Plan: Executive Meeting: 29 June 2017

Table 1: Items Scheduled on the Forward Plan for the Executive Meeting on 13 July 2017

| Title and Description | Author | Portfolio Holder |
|--|-------------|---|
| <p>York Outer Ring Road Improvements – Approach to Delivery To brief the Executive about the development work on the proposed York Outer Ring Road Improvements and the approach to managing this project. The report informs Executive about current activity leading to design, purchase of land and construction over the coming five years.</p> <p>Executive is asked to (i) Delegate powers to the Executive Member for the purposes of approving consultation with residents, purchase of land, phasing of works and acceptance of tenders; (ii) Approve the making of a Compulsory Purchase Order if required; and (iii) Delegate powers to the Corporate Director of Economy and Place for the purposes of negotiating land purchase and rights over land.</p> | Tony Clarke | Executive Member for Transport & Planning |
| <p>Annual Report of the Financial Inclusion Steering Group 2016/17 To update progress on financial inclusion activities, as supported throughout the year by the Financial Inclusion Steering Group, including FISG funded projects, Council Tax Support, YFAS etc. Executive is asked to receive the report for information.</p> | John Madden | Executive Leader (incorporating Finance & Performance), Executive Member for Adult Social Care and Health |

| | | |
|---|---------------|--|
| <p>York Central Update and Partnership Agreement Update on progress of the York Central Project and to set our Heads of Terms for a legal partnership agreement between York Central Partners which will enable progress with the delivery of the project.</p> <p>Members are asked to: Agree to commit to the Heads of Terms for a partnership agreement with Network Rail and the Homes and Communities Agency and for a detailed partnership agreement to be drafted prior to the final business case being delivered in Autumn 2017.</p> | Tracey Carter | Executive Leader (incorporating Finance & Performance), Executive Member for Economic Development and Community Engagement (Deputy Leader) |
| <p>Corporate Security Services Tender To approve the suppliers for the corporate security services tender.</p> | Ian Asher | Executive Leader (incorporating Finance & Performance) |

Table 2: Items Scheduled on the Forward Plan for the Executive Meeting on 27 July 2017

| Title and Description | Author | Portfolio Holder |
|---|-------------|---|
| <p>Community Stadium Project Report To present an update on the Community Stadium Project and seek Member approval to move forward to financial close.</p> | Mark Wilson | Executive Member for Culture, Leisure & Tourism |

Table 3: Items scheduled on the Forward Plan for the Executive Meeting on 31 August 2017

| Title and Description | Author | Portfolio Holder |
|---|---------------------------------|--|
| <p>Future Management of Allotments Purpose of Report: Report on the future management of allotments by way of a Charitable Incorporated Organisation, which will take on the letting and management of 1,250 allotment plots spread over 18 sites.</p> <p>Executive will be asked to approve the letting of 18 allotment sites to the Trustees of the Charitable Incorporated Organisation.</p> | <p>Tim Bradley / Dave Meigh</p> | <p>Executive Member for Culture, Leisure & Tourism</p> |
| <p>Single Homeless/ Rough Sleepers – Early Intervention and Prevention Outreach Service CYC currently contract a third party to deliver the Single Homeless / Rough Sleepers - Early Intervention and Prevention Outreach Service. In line with procurement rules this contract must be retendered but a new piece of legislation Homeless Reduction Act 2017 puts additional responsibilities on Local Authority to prevent homelessness. In light of this a decision is required regarding to agree delivery of service at end of current contract. Executive will be asked to: Agree if the Service should be brought in house or tendered.</p> | <p>Becky Ward</p> | |

Table 4: Items Slipped on the Forward Plan

| Title & Description | Author | Portfolio Holder | Original Date | Revised Date | Reason for Slippage |
|---|--------------------------|---|----------------------|---------------------|--|
| <p>Future Management of Allotments Purpose of Report: Report on the future management of allotments by way of a Charitable Incorporated Organisation, which will take on the letting and management of 1,250 allotment plots spread over 18 sites.</p> <p>Executive will be asked to approve the letting of 18 allotment sites to the Trustees of the Charitable Incorporated Organisation.</p> | Tim Bradley / Dave Meigh | Executive Member for Culture, Leisure & Tourism | 29/06/17 13/07/17 | 31/08/17 | To allow more time for the proposed Charitable Incorporated Organisation to become legally constituted. |
| <p>Events Strategy Purpose of Report: The report proposes an approach to developing key events in the city.</p> <p>Executive will be asked to approve the strategy and use of appropriate business rates pool funding to support it.</p> | Charlie Croft | Executive Member for Culture, Leisure & Tourism | 18/05/17 | 28/09/17 | The decision date has been deferred from 18 May to 28 September 2017 to allow further time to develop the strategy in light of the current scrutiny review of the Council's role in culture. |

| Title & Description | Author | Portfolio Holder | Original Date | Revised Date | Reason for Slippage |
|--|--------------------|--|-----------------|-----------------|---|
| <p>Community Stadium Project Report To present an update on the Community Stadium Project and seek Member approval to move forward to financial close.</p> | <p>Mark Wilson</p> | <p>Executive Member for Culture, Leisure & Tourism</p> | <p>13/07/17</p> | <p>27/07/17</p> | <p>To ensure appropriate time is available for on going officer due diligence to be concluded before presenting an update to the Executive on the new building contractor costs received through GLL's builder re-procurement exercise, this item has been moved to an additional Executive meeting that will take place on 27 July 2017.</p> |

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Executive

29 June 2017

Health & Adult Social Care Policy & Scrutiny Committee

Public Health Grant Spending Scrutiny Review – Cover Report**Summary**

1. This cover report presents the Final Report from the Public Health Grant Spending Scrutiny Review and asks Executive to approve the recommendations arising from the review.

Review Recommendations

2. In March 2017 the Health & Adult Social Care Policy & Scrutiny Committee considered the Draft Final Report of a Task Group which carried out a Scrutiny Review into Public Health Grant Spending, Appendix 1, and agreed to note the continued challenges on effective delivery of public health services against a background of cuts to the Public Health Grant and endorse the review recommendations listed below for the Executive's consideration:
 - i. Request the Director of Public Health undertake a detailed Health Impact Assessment of the anticipated impact on residents with a further report to Scrutiny to help inform the budget setting process for 2018/19 onwards.

Reason: So that the Council can make informed decisions about how best to spend the public health grant to deliver improved public health outcomes for residents when the ringfence is removed in 2018/19.
 - ii. Ask the Executive to support the recommendation that the Director of Public Health develop a Public Health Strategy for the City that utilises a "Health in All Policies" approach.

Reason: In recognition of the fact that the Council can only deliver its statutory responsibilities for public health by making the task of improving the public's health everyone's business, at the core of

the practice of the wider Council workforce whilst also working proactively with city partners such as education and voluntary sectors and empowering citizens as partners in improving health and wellbeing at the level of the individual, family and community.

- iii. The CYC Public Health Team are asked to strengthen their management of contracts and oversight of delivery of public health services against clearly defined performance and financial targets.

Reason: So that the Council can be assured of value for money in the delivery of public health services and that the statutory responsibilities for public health are met.

- iv. In order that Members are reassured about the level of contract management going forward, the Director Public Health is asked to show the impact on residents' lives. It would be useful for a simple summary to show the breakdown of where funding is allocated this year which could be a template for future years along with specific outcome indicators. This would be for analysis to ensure these are delivered and remedial actions available if they are not.

Reason: To ensure that members are assured about the level of contract management and that contracts are delivered against specific outcome indicators.

Background

3. On 1 April 2013 responsibilities for Public Health were transferred from the NHS to local authorities with implementation of the Health and Social Care Act 2012. Local authorities receive an annual ring-fenced public health grant from the Department of Health which has a core condition attached that it should be used only for the purposes of the public health functions of local authorities. The local authority statutory duties for public health services are mainly outlined in the Health and Social Care Act 2012 legislation which include a duty to improve the public's health through mandated and non-mandated functions. There are additional regulations for the use of the grant for delivery of mandated 0-5 child public health services and delivery of services for alcohol and drug treatment.
4. At a meeting of the Health & Adult Social Care Policy & Scrutiny Committee in June 2015, the former Acting Director of Public Health suggested Members might wish to examine, as part of a scrutiny review,

how the Public Health Grant to Local Government was spent and in July 2015 the Committee received a scoping report on this topic.

5. The Committee agreed to undertake scrutiny review of expenditure on Public Health Grant, with benchmarking against other local authorities, as this would be feasible and would provide useful information to inform resource allocation decisions.
6. The review stalled initially while revised figures from the Department of Health were confirmed then, after gathering the information contained in the Final Report at Appendix 1 during a series of meeting, the Task Group was able to make the review recommendations detailed in paragraph 2, above.

Implications

7. **Financial:** This Scrutiny Review scrutinised financial information which led to the recommendations in the Final Report.
 - **Human Resources (HR):** There are no HR implications
 - **Equalities:** Reducing health inequalities to enabled people to achieve and maintain healthy lives is a consideration of the final report.
 - **Legal:** There are no legal implications
 - **Crime and Disorder:** Spend on crime and disorder is one of the considerations in the final report
 - **Information Technology (IT):** There are no IT implications
 - **Property:** There are no property implications
 - **Other:** No other implications were identified in the final report

Risk management

8. The failure to be able to respond to a reduction in public health budgets while also delivering mandated public health responsibilities is included on the public health risk register rated as a red critical risk. With mitigating actions in place this risk is reduced to an amber medium risk.

Options

9. Having considered the Final Report at Appendix 1 and its associated annex, the Executive may choose to amend and/or approve, or reject the recommendations arising from the review.

Council Plan 2015-19

10. The Final Report at Appendix 1 is linked to A Focus on Frontline Services and A Council That Listens to Residents elements of the Council Plan and supports the key strategic goals that all residents enjoy healthy and independent lives and achieve their full potential.

Recommendation

11. Having considered the final report and its annex, the Executive is asked to approve the recommendations as set out in paragraph 2 above.

Reason: To conclude the Scrutiny review in line with City of York Council scrutiny procedures and protocols.

Contact Details

Author:

Steve Entwistle
Scrutiny Officer
Tel: (01904) 554279
steven.entwistle@york.gov.uk

Chief Officer Responsible for the report:

Andrew Docherty
Assistant Director – Legal & Governance
Tel: (01904) 551004

Report Approved Date 23/05/2017

Wards Affected:

All

For further information please contact the author of the report

Background Papers: None

Appendix

Appendix 1 – Public Health Grant Spending Scrutiny Review Final Report



Health & Adult Social Care Policy & Scrutiny Committee

29 March 2017

Report of the Public Health Grant Spending Scrutiny Review Task Group

Public Health Grant Spending Final Report

Summary

1. This report provides the Health & Adult Social Care Policy & Scrutiny Committee with all the information gathered in support of the scrutiny review into Public Health Grant Spending, together with the review analysis and draft recommendations.

Background

2. On 1 April 2013 responsibilities for Public Health were transferred from the NHS to local authorities with implementation of the Health and Social Care Act 2012. Local authorities receive an annual ring-fenced public health grant from the Department of Health which has a core condition attached that it should be used only for the purposes of the public health functions of local authorities. The local authority statutory duties for public health services are mainly outlined in the Health and Social Care Act 2012 legislation which include a duty to improve the public's health through mandated and non-mandated functions. There are additional regulations for the use of the grant for delivery of mandated 0-5 child public health services and delivery of services for alcohol and drug treatment.
3. At a meeting in June 2015 the former Acting Director of Public Health suggested Members might wish to examine, as part of a scrutiny review, how the Public Health Grant to Local Government was spent and in July 2015 the Committee received a scoping report on this topic.
4. The Committee agreed to undertake scrutiny review of expenditure on Public Health Grant, with benchmarking against other local authorities, as this would be feasible and would provide useful information to inform resource allocation decisions. The Committee agreed a Task Group

comprising Cllrs Doughty, Cannon, Craghill and Cuthbertson carry out the review on their behalf.

Aim and Objectives

5. The Task Group meet for the first time in October 2015 when the following draft aim and objectives were agreed:

Aim:

To identify a comprehensive understanding of York's public health outcomes and spend and establish a knowledge base for joint use with the Health & Wellbeing Board.

Objectives:

- i. To examine and compare York's spends and health and wellbeing outcomes against statistical neighbours
- ii. To examine spends and health and wellbeing outcomes of other agencies e.g. NHS England which contribute to the public health of York's residents
- iii. Identify underachieving areas of activity and spend in York requiring further focus

Information gathered

6. The review stalled slightly while revised figures from the Department of Health were confirmed, but in early February 2016 Task Group members received a report Public Health Expenditure and Outcomes (Annex A) which looked at how public health expenditure in the City of York is spent in relation to the public health outcomes achieved.
7. The report also gave an overview of spend and outcomes in York benchmarked against other local authorities. It highlighted that the average spend per head of the population on public health in York in 2014/15 was £38.34, which is lower than regional, national and deprivation group averages.
8. A total of £7.76 million was spent on public health in York in 2014/15 with the biggest areas of spend being sexual health (£2.7 million) and substance misuse (£2.5 million).

9. The breakdown of public health spend (in £ thousands) in 2014/15 was:

| | | |
|-------------------------------|---------------|-------------|
| • Sexual health | £2,729 | 35% |
| • Substance misuse | £2,516 | 32% |
| • Miscellaneous public health | £916 | 12% |
| • Children 5-19 | £714 | 9% |
| • Smoking | £305 | 4% |
| • Physical activity | £259 | 3% |
| • NHS health check | £155 | 2% |
| • Obesity | £81 | 1% |
| • Public health advice | £72 | 1% |
| • Health protection | £17 | 0% |
| • NCMP | £6 | 0% |
| Total | £7,761 | 100% |

10. Task Group members questioned which services were included in miscellaneous and these include:

- Nutrition initiatives
- Accidents Prevention
- General prevention
- Community safety, violence prevention & social exclusion
- Dental public health
- Fluoridation
- Infectious disease surveillance and control
- Environmental hazards protection
- Seasonal death reduction initiatives
- Birth defect preventions
- Other public health services

11. In York the 12% of public health spend in 2014/15 categorised as miscellaneous is made up of:

- Contribution to adult social care £416,000
- Staffing £392,906
- Dental health contract £43,604
- Soil Association project £41,961
- Share of recharges £20,702

12. The Task Group was disappointed to learn that in early February 2016 the Department of Health confirmed York needed to make further savings in its Public Health budget for 2016/17 of around £70,000. This is in addition to the £508,000 (6.2%) reduction in the city's public health grant allocation in 2015/16.
13. The £508,000 reduction was part of wider Government action on deficit reduction which saw the 2015/16 public health grant to local authorities reduced by £200 million.
14. In 2015/16 the total grant awarded to local authorities amounted originally to £2.8 billion, supplemented by a further £430 million when responsibility for services for children aged 0 – 5 transferred to local authorities from NHS England on 1 October 2015.
15. The further reduction followed the Chancellor's 2015 Autumn Statement which confirmed that Local Authority funding for public health would be reduced by an average of 3.9% per annum in real terms until 2020. This equates to a reduction in cash terms of 9.6% over the same period¹.
16. From a 2015/16 baseline of £3.461 billion (which includes the full year equivalent of the budget for children aged 0-5 and the effect of the in-year saving of £200 million) there was a reduction in the total grant of 2.2 per cent in 2016/17 and a further reduction of 2.5% in 2017/18.
17. While the figures in paragraphs 7-9 and paragraph 11 have been compiled using 2014/15 actual expenditure the Public Health budget is undergoing considerable change. Some key changes in York for 2015/16 were:
- There was a part year increase in grant funding due to the transfer of the commissioning of 0-5 years children's public health services from NHS England to local authorities from 1st October 2015 (£916k).

¹ Department of Health Local Authority circular 11 February 2016 which set out allocations of the local government public health grant for 2016/17.

- There was an in-year grant cut of 509k
- The net impact of the two changes was that the public health grant increased by £407k made up of Children's 0-5 funding (£916k) less the in-year grant cut (£509k).
- There were new items of expenditure: children's 0-5 services (901k); air quality contribution (50k); health protection (12k); housing officer (10k) and suicide prevention (9k).
- There were some reductions in expenditure: tender of sexual health contract saved £549k; end of pharmacy contraception service saved £28k and end of funding for Soil Association project saved £42k (this was a one off project in 2014/15).
- There were some items where existing expenditure increased including staffing (£27k - due to restructure, net figure reduced by vacancies) and Sky Ride (£27k – increased contribution in 2015/16).

18. At a Task Group meeting in March 2016 Members noted that the in-year budget cut of 6.2% in the 3rd quarter of 2015/16 – a total of £509,000 – was largely absorbed by staff vacancies; lower than expected levels of activity in some services and halting planned developments in substance misuse. Budget cuts for 2016/17 of 6.2% and a further 2.2% amounted to £708,000 meaning CYC has lost more than £1.2million of its Public Health budget.

Overview of Public Health budget 2016/17

| Public Health Service Area | Budget Allocated (rounded up) |
|--|-------------------------------|
| Sexual health and contraception | £1,707,500 |
| Drug & alcohol treatment and recovery services | £2,542,657 |
| Healthy child service (health visiting and school nursing) | £2,400,000 |
| Integrated wellness service | £665,640 |
| Dental health | £10,000 |

| | |
|--|--|
| Infection prevention and control / health protection | £50,000 |
| Internal grants to other CYC teams | £466,000 (Adult Social Care & Public Protection) |
| Core CYC public health (pay and non-pay) | £830,000 (including staff training and some software in CYC services) |
| Total | £8,697,097 |
| Income | Public Health grant – £8,400,000 CYC sports and active leisure – £293,000 East Riding Council health visitors – £44,000 Police & Crime Commission (PCC) – £76,421 Youth Offending Team (YOT) – £28,000 |
| Total deducting income | £8,255,675 (leaving £144,325 unallocated as a contingency for one-off costs associated with TUPE transfer of Healthy Child Service) |

19. In order to deliver a balanced public health budget it has been necessary to make changes to commissioned public health services. These changes are detailed in the following paragraphs.

20. Sexual Health & Contraception

Background

- Sexual health and contraception services were re-commissioned via competitive tender in 2015 – City of York now has an integrated sexual health and contraception service
- But still had old PCT primary care contracts and expensive out-of-area treatment costs.

Changes for 2016

- Budget saving of £400,000 made
- Ended primary care contracts and renegotiating joint commissioning with CCG to only pay CYC costs
- Agreed on regional basis CYC will only pay national tariff for out of area genitourinary medicine (GUM) and not pay for contraception

Risks

- Out of area costs cannot be accurately predicted at start of year
- Prescribing cost in primary care.

21. Drug & Alcohol Services

Background

- Contracts date back four years. Originally commissioned for three years and contracts extended for two years to 31st March 2017
- Included primary care contracts of varying quality
- High prescribing costs

Changes for 2016

- £15,000 budget savings to come out of 2016 – working with providers to reduce costs
- Council agreed transitional funding of £26,000 for carers
- Commissioning intention is to go out to competitive tender with the award of a new contract to start in July 2017 with reduced budget.

Risks

- Unable to predict levels of activity at start of year e.g. inpatient detox, prescribing
- We may be unable to award a new contract if value is set too low. Might fail to attract suitable bidder
- Partner expectations of what CYC will fund e.g. Probation, North Yorkshire Police, CCG

22. Healthy Child Service

Background

- Responsibility for 5-19 Healthy Child Programme (school nurse and National Child Measurement Programme) transferred to local authorities in April 2013
- Responsibility for 0-5 Healthy Child Programme transferred to local authorities in October 2015
- In August 2015 CYC Executive made a decision to develop in-house integrated Healthy Child Service 0-19 and TUPE staff.

Changes for 2016

- More than 90 NHS staff transferred from York Teaching Hospital to CYC on 1 April 2016
- Consultation planned on new integrated service in partnership with work on developing a new operating model for early intervention and prevention services
- Model for new integrated Health Child Service to be agreed for implementation from June 2017 and this is on schedule.

Risks

- Anticipate a budget overspend non-recurrently for 2016/17 due to one-off transition costs
- No budget savings proposals for 2016/17 but there are anticipated efficiencies that need to be made

23. Integrated Wellness Service

Background

- Stop smoking service and NHS Health Checks commissioned as separate services until 31 March 2016
- No public health funded activity taking place on mental and emotional wellbeing, weight management prior to 1 April 2016
- Sport and active leisure a separate arms length service sat within public health team

Changes for 2016

- New service to include smoking, NHS Health Checks, physical activity, healthy eating, mental wellbeing, alcohol prevention
- Life course approach (starting well, living well, aging well) working with communities
- Developing tier 3 prevention services in partnership with CCG
- Changes to universal service offer to residents for stop smoking and NHS Health Checks – new focus will be on residents taking more responsibility for own health with interventions targeted to a risk group to reduce health inequalities
- Changes to funding of Nicotine replacement Therapy to deliver savings of £50,000
- Changes to NHS Health Checks to deliver savings of £45,000

Risks

- New service will not be fully operational until early 2017 so there will be a service gap, except for stop smoking which will continue
- Transition from old service to the new and expectations of partners
- Risk of complaints until new service is fully established

24. Dental Health

Background

- CYC inherited a joint York and North Yorkshire contract from the NHS in April 2013
- Health needs assessment and service review undertaken in 2015
- Current service not delivering desired health outcomes or value for money
- Contract ended on 31 March 2016

Changes for 2016

- New service commissioned jointly by NYCC and CYC to reduce budget
- Focused on mandatory dental surgery
- Health promotion on good dental hygiene to be incorporated into new Healthy Child Service

- Delivering savings of £20,000

Risks

- Embedding health promotion into Healthy Child Service during a period of change
- Failure to reduce hospital admissions for tooth extractions under general anaesthetic in children

25. Infection Prevention & Control / Health Protection

Background

- Responsibilities of local authorities for IPC and health protection unclear during and after the transfer of public health to local authorities on April 2013
- CYC has worked with NYCC, North Yorkshire CCGs, NHS England and Public Health England to undertake a review of current service provision and agree roles and responsibilities
- Review completed in February 2016

Changes for 2016

- New IPC service commissioned on a North Yorkshire and York footprint
- CYC is an associate commissioner in this contract
- Investment made into the contract and a small contingency budget set aside for responding to disease outbreaks
- Developing additional health protections expertise in the CYC public health team to ensure all risks are managed and CYC is prepared to respond to disease outbreaks

Risks

- Disease outbreaks cannot be predicted. Therefore CYC needs sufficient capacity for planning and response. Capacity will be limited even with the changes being introduced.

26. Health Promotion Campaigns

Background

- CYC Public Health has not had a planned or co-ordinated to health promotion campaign to date

- Campaigns have been ad hoc and based on national, rather than local, priorities
- There has been no dedicated public health resource for campaigns

Changes for 2016

- Budget has been allocated with the aim of developing a 12-month rolling programme of campaigns linked to local priorities
- Aim is to involve elected members in supporting campaigns in the wards

Risks

- Engaging people in delivery of the campaigns
- Evaluating the impact

27. Internal Grants to other CYC teams

Background

- CYC Public Health has historically made a contribution to adult social care and public protection teams in the council
- It is not clear what impact this contribution is having on health and wellbeing outcomes

Changes for 2016

- Work is to be carried out with adult social care and public protection to understand the services being provided with public health grant monies and evaluate the impact
- A decision can then be made on future funding

Risks

- Engaging other CYC colleagues
- Understanding the impact if public health grant funding were to be withdrawn

28. Since the beginning of the review a number of issues related to public health spending have been considered by the full Health & Adult Social Care Policy & Scrutiny Committee.

Healthy Child Services

- In January 2016 the Committee received a report informing them that as of 1 April the Council would take on responsibility from the School Health Team from York Teaching Hospital NHS Foundation Trust.
- In July 2016 the Committee received an Update Report on the transfer of health visiting, school nursing and the National Child Measurement Programme from York Teaching Hospital NHS Foundation Trust to City of York Council and progress with the development of a new Healthy Child Service.
- In January 2017 the Committee received a further Update Report which noted that a number of efficiencies were being realised.

Substance Misuse

- In July 2016 The Committee considered a pre-decision report on the re-procurement of Substance Misuse and Treatment and Recovery Services prior to an Executive Decision being made. The Committee asked Officers to review the savings proposals for the new contract. The original proposal was to make the bulk of the savings in years 1 and 2 of the new contract. In discussion, the Committee agreed to recommend that the savings be spread more evenly over the length of the contract to minimise the impact of budget cuts through the transition to the new service and reduce the risk to existing customers through the change. As a consequence it was agreed by Executive that the reduction will be phased in over a 5 year period.

29. The Task Group met again in mid November 2016 when members were given updated information of public health spend. The Task Group noted that:

- Substance Misuse accounts for 29% of all Public Health spend in York against the 22% England average.
- In 2014/15 Sexual Health accounted for 35% of the Public Health spend in York (which at the time did not include 0-5 children's services). The comparable percentage in 2016/17 is 25% (sexual health spend out of the public health budget excluding 0-5

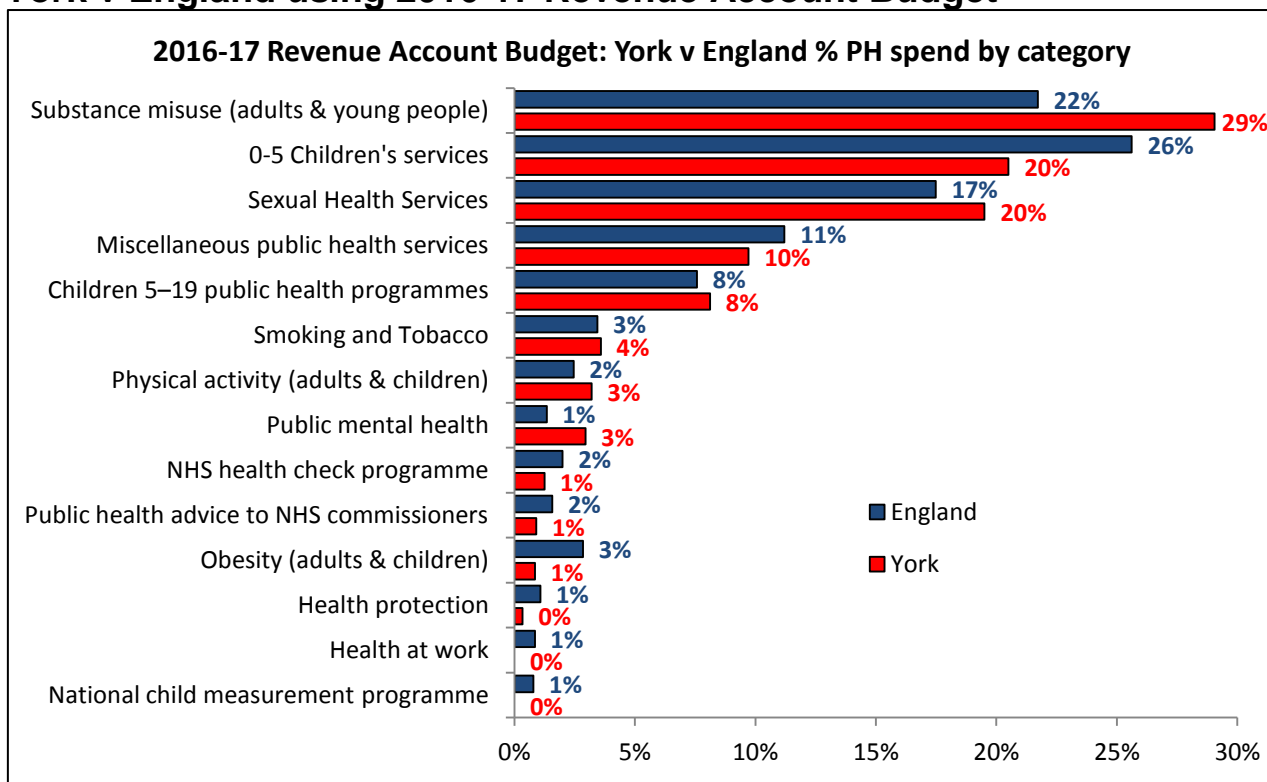
children’s services) so the sexual health budget had been reduced considerably.

- Sexual Health accounts for 20% of all Public health spend in York against the 17% England average
- 0-5 children’s services account for 20% of all Public health spend in York against the 26% England average.

30. The Task Group noted that the phased reduction in the new Substance Misuse contract will bring York into line with the national average. Going forward the recommended assessment of the impact of changes on residents’ lives will evaluate the appropriateness of the national average spend in York.

31. It also accepted that as York has two major universities it has a higher proportion of residents in the 18-24 age bracket so a higher percentage spend on sexual health is entirely appropriate compared to other local authorities. It was also noted that since 2013 CYC had been funding Clinical Commissioning Group (CCG) services, but that extensive negotiations with CCG had resulted in an agreement that they took responsibility for some of these costs.

Percentage breakdown of public Health Spending by Category: York v England using 2016-17 Revenue Account Budget



32. The Task Group accepted that CYC has a savings profile and most of the savings are already planned. This was a case of effectively pruning budgets and looking at ways to deploy resources effectively.
33. And they noted the importance of partnership working. If the Council can adopt a leadership and partnership approach it can lever in additional activity.
34. Members were informed that Public Health England had published a toolkit around Health in All Policies which focuses on specific public health issues such as obesity or mental wellbeing. It was agreed that public health is not just about health care and that work around prevention is increasingly important. Increasing rates of physical activity, stopping smoking, reducing alcohol consumption, reducing the effects of environmental pollution, improving housing conditions and raising the importance of a healthy, balanced diet have important parts to play in improving physical and mental health.
35. It was suggested that partnership working to achieve some of these goals could be linked to the aspirations of One Planet York. One of the 10 principles of One Planet York is to encourage active, sociable and meaningful lives to promote good health and wellbeing.
36. One Planet York notes that: *“where people live and their lifestyle can have significant impacts on their health and wellbeing. Overall health across the city is good, but disparities in outcomes do exist: there is a gap of over six years in male life expectancy between the most and least deprived areas of York.*
37. *Ongoing budget pressures alongside growing demands require a significant change in the way services are planned and delivered. Strong partnerships, effective prevention and early intervention will be vital.*
38. *A sustainable city is one that works to narrow health inequalities, enabling people to achieve and maintain healthy lives. It is important we give people the tools to enable them to be resilient, have good physical and mental wellbeing and feel well connected as part of their local community.”*
39. The Task Group agreed that because of the financial challenges, demand on services and the size of public health budgets there was a need to strengthen joined-up working across different parts of the system and develop a whole council approach to help make best use of resources and formulate policies with the key aim of improving the quality of life for the local population.

40. The finance and performance monitor report considered by the Health & Adult Social Care Policy & Scrutiny Committee in February 2017 noted that within Public Health there are net projected overspends on sexual health contracts (+£41k), substance misuse contracts (+£36k) and the healthy child programme (+£31k) due to one-off transition costs relating to the transfer of the school nurse and health visitor staff from York Hospital.
41. These are offset by a projected underspend on staffing of £108k due to vacancies which were held prior to the implementation of the public health restructure.

Analysis

42. York has a higher percentage of the population who are aged 20-24 compared with the national average (11.1% v 6.6%) and this may be one of the factors accounting for a greater share of the public health budget being spent on sexual health services.
43. The overall public health spend per head of population is lower in York compared with the national average. If the spend per head of population on individual public health programmes for York is compared with the national average there is only one area where York has a higher than average spend and that is on contraception (£4.93 per head v £3.91 per head nationally). City of York Council public health team have been funding some activity for contraception for medical reasons which should have been funded by the CCG and actions have been taken in 2016/17 to address this anomaly and reduce council spending in this area.
44. For some public health programmes in York where clear service user activity data is available, it is possible to calculate the cost per service user of providing the programme. For example, the cost per service user in structured substance misuse treatment services in 2014/15 was £1,858.20 and the cost per service user for smoking cessation services was £623.26. (This figure should not be confused with the 'cost per quitter' figures provided in previous scrutiny reports. For smoking cessation programmes this is the number of people setting a quit date. When looking at outcomes we would look at the number of people actually quitting smoking. The 'cost per quitter' in York is £887 which is double the national and regional averages.) Actions have already been put in place or are being developed to address any anomalies.
45. The continued pressure of the public health budget means it will be important to improve the performance monitoring of public health

contracts to achieve quality of provision and the best possible outcomes in relation to expenditure.

46. A positive rating for physical health expenditure against the ‘active adults’ outcome is a good example of public health working with other departments and agencies to achieve good outcomes despite lower direct public health spend.
47. Changes to the public health budget in 2015/16 include new areas of expenditure on children’s 0-5 services, air quality, health protection, housing and suicide prevention, whilst there were some savings due to the re-tender of the sexual health contract and ending the pharmacy contraception service.
48. Many of the issues perceived as difficulties when the review was first agreed, such as sexual health contracts, substance misuse contracts and the healthy child programme, have since been resolved.
49. The challenges for the Council in relation to Public Health Grant continue and the Department of Health has announced further cuts to local authority Public Health Grant allocations:

| Local Authority Public Health Grant Allocations – cumulative cuts | | |
|--|---------------------|---|
| Year | % Allocation | Comment |
| 2015/16 | 6.2% reduction | |
| 2016/17 | 2.2% reduction | |
| 2017/18 | 2.5% reduction | |
| 2018/19 | 2.6% reduction | Ringfence removed |
| 2019/20 | 2.6% reduction | |
| 2020/21 | 0% | Government will consult on PH services being funded exclusively by business rates |

50. Based on these announcements CYC will have lost £1.6 million from its Public Health Grant allocation by 2020.

Consultation

51. The Task Group has consulted fully with the Director of Public Health during the course of this review and has considered information gathered via the Public Health England Spend and Outcomes Tool (SPOT), which

was able to provide an overview of spend and outcomes for York, benchmarked against other local authorities in England.

Review Recommendations

52. Members of the Health and Adult Social Care Policy and Scrutiny Committee are asked to note the continued challenges on effective delivery of public health services against a background of cuts to the Public Health Grant and:

- i. Request the Director of Public Health undertake a detailed Health Impact Assessment of the anticipated impact on residents with a further report to Scrutiny to help inform the budget setting process for 2018/19 onwards.

Reason: So that the Council can make informed decisions about how best to spend the public health grant to deliver improved public health outcomes for residents when the ringfence is removed in 2018/19.

- ii. Ask the Executive to support the recommendation that the Director of Public Health develop a Public Health Strategy for the City that utilises a “Health in All Policies” approach.

Reason: In recognition of the fact that the Council can only deliver its statutory responsibilities for public health by making the task of improving the public’s health everyone’s business, at the core of the practice of the wider Council workforce whilst also working pro-actively with city partners such as education and voluntary sectors and empowering citizens as partners in improving health and wellbeing at the level of the individual, family and community.

- iii. The CYC Public Health Team are asked to strengthen their management of contracts and oversight of delivery of public health services against clearly defined performance and financial targets.

Reason: So that the Council can be assured of value for money in the delivery of public health services and that the statutory responsibilities for public health are met.

- iv. That the Director Public Health is asked to show the impact of contract management on residents’ lives. It would be useful for a simple summary to show the breakdown of where funding is allocated this year which could be a template for future years, along with specific outcome indicators.

Reason: To ensure that members are assured about the level of contract management, that contracts are delivered against specific outcome indicators and that remedial actions are available if they are not.

Council Plan

53. This report is linked to A Focus on Frontline Services and A Council That Listens to Residents elements of the Council Plan and supports the key strategic goals that all residents enjoy healthy and independent lives and achieve their full potential.

Implications

54. **Financial:** This report is scrutinising financial information.
- **Human Resources (HR):** There are no HR implications
 - **Equalities:** Reducing health inequalities to enable people to achieve and maintain healthy lives is a consideration of this report.
 - **Legal:** There are no legal implications
 - **Crime and Disorder:** Spend on crime and disorder is one of the considerations in this report
 - **Information Technology (IT):** There are no IT implications
 - **Property** There are no property implications
 - **Other**

Risk Management

55. The failure to be able to respond to a reduction in public health budgets while also delivering mandated public health responsibilities is included on the public health risk register rated as a red critical risk. With mitigating actions in place this risk is reduced to an amber medium risk.

Contact Details**Author:**

Steve Entwistle
Scrutiny Officer
Tel: (01904) 554279
steven.entwistle@york.gov.uk

Chief Officer Responsible for the report:

Andrew Docherty
Assistant Director – Legal & Governance
Tel: (01904) 551004

Report Approved **Date** 20/03/2017

Wards Affected:

All

For further information please contact the author of the report

Background Papers: None

Annexes

Annex A – Public Health Spending and Outcomes

Abbreviations

CCG – Clinical Commissioning Group
CYC – City of York Council
GUM – Genitourinary medicine
IPC – Infection Prevention Control
NHS – National Health Service
NYCC – North Yorkshire County Council
PCC – Police and Crime Commission
PCT – Primary Care Trust
TUPE – Transfer of Undertakings (Protection of Employment)
YOT – Youth Offending Team

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Report for Health and Adult Social Care Policy and Scrutiny Committee Task Group

Public Health Expenditure and Outcomes

February 2016

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Introduction

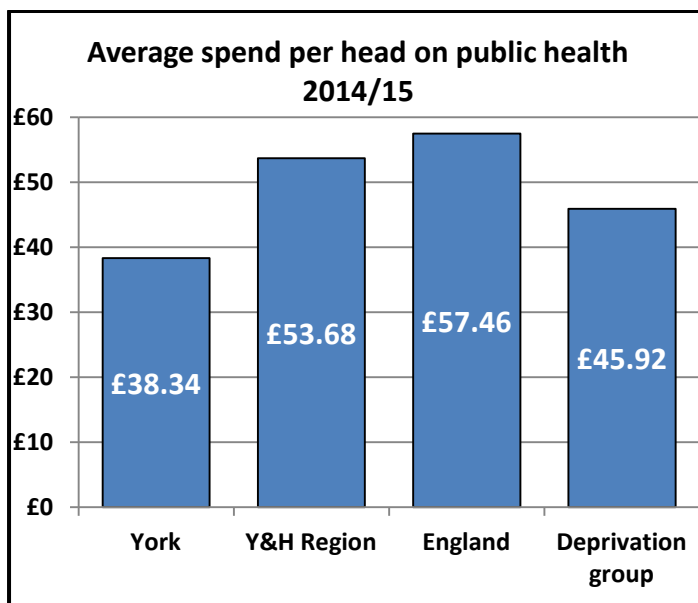
The purpose of this report is to look at the public health expenditure in the City of York Council is spent in relation to the public health outcomes achieved. The report uses the Public Health England (PHE) Spend and Outcomes Tool (SPOT). This gives an overview of spend and outcomes for York, benchmarked against all other local authorities in England. It uses 2014/15 actual spend against the latest public health outcome data. The SPOT tool itself can be found [here](#).

Public Health Spend in York

Average spend per head of population

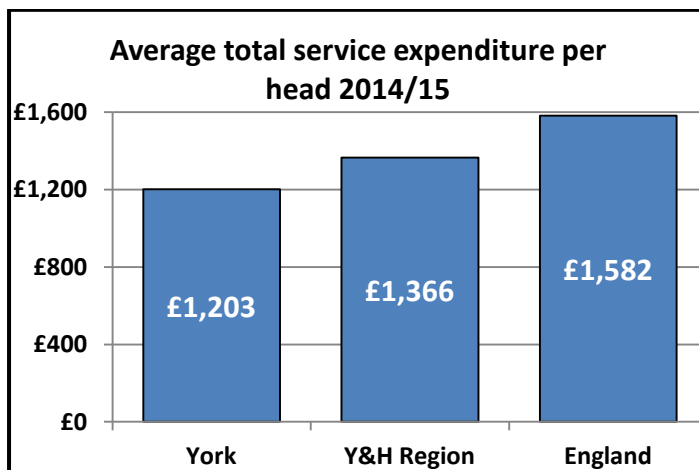
The average spend per head of population on public health in York in 2014/15 was £38.34, which is lower than regional, national and deprivation group averages.

Figure 1: 2014/15 Public Health spend per head.



The expenditure per head of population on all local authority services in York in 2014/15 was £1,203, which is lower than regional and national averages.

Figure 2: 2014/15 Total council spend per head 2014/15



Breakdown of public health expenditure

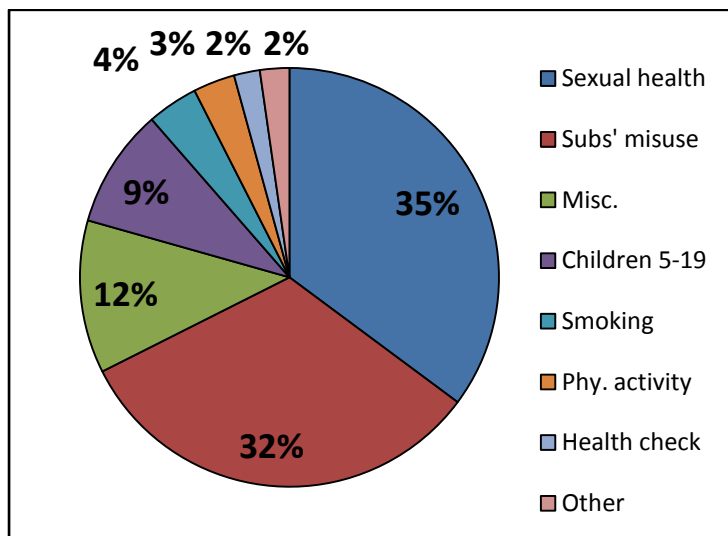
A total of £7.76 M was spent in 2014/15 in York. The biggest areas of spend were sexual health (£2.7M) and substance misuse (£2.5M).

Figure 3: Breakdown of York public health spend 2014/15

| Public Health Area | York Total Spend 2014/15 | |
|----------------------|--------------------------|-------------|
| | £ (thousand) | % |
| Sexual health | £2,729 | 35% |
| Substance misuse | £2,516 | 32% |
| Misc. pub health | £916 | 12% |
| Children 5-19 | £714 | 9% |
| Smoking | £305 | 4% |
| Physical activity | £250 | 3% |
| NHS health check | £155 | 2% |
| Obesity | £81 | 1% |
| Public health advice | £72 | 1% |
| Health protection | £17 | 0% |
| NCMP | £6 | 0% |
| Total | £7,761 | 100% |

It can be seen that about 2/3 of the Public Health Budget was spent on sexual health and substance misuse services.

Figure 4: Percentage breakdown of the public health spend in York in 2014/15



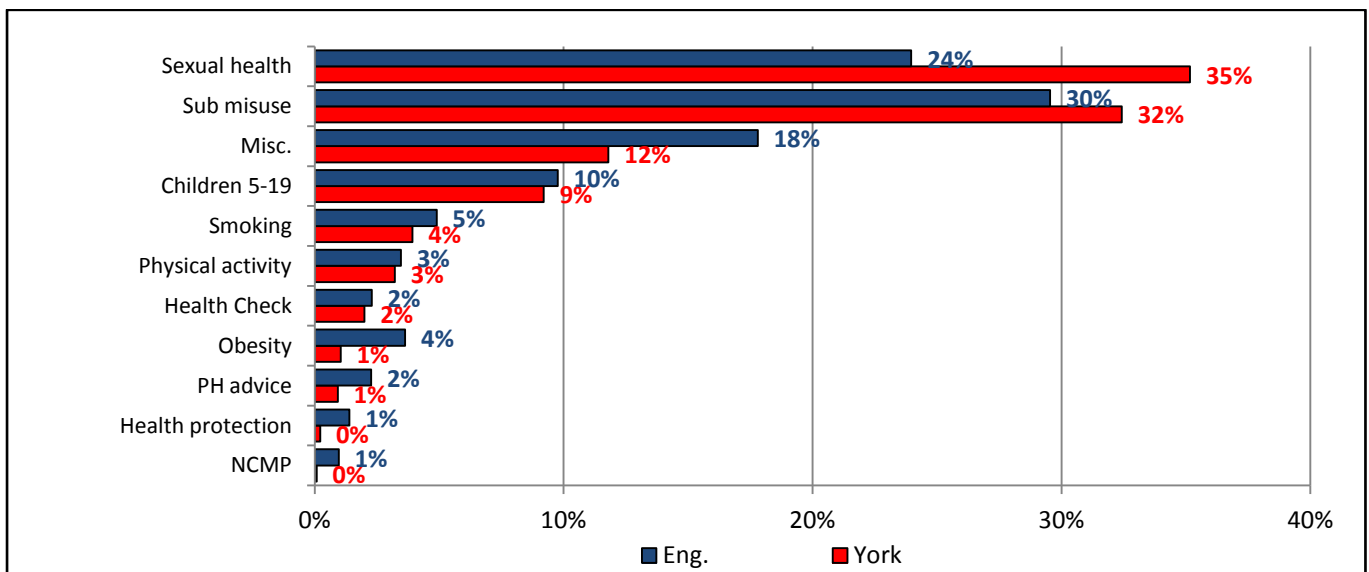
12% of the public health spend (£915,173) was categorised as miscellaneous. This is made up as follows:

- Contribution to Adult Social Care: £416,000
- Staffing: £392,906
- Dental Health Contract: £43,604
- Spend on Soil Association Project: £41,961
- Share of Recharges: £20,702.

Figure 5 shows the proportion of the public health budget spent on each broad area of expenditure for York compared with the national average. Key differences are:

- York spends a higher proportion on sexual health (35% v 24%)
- York spends a slightly higher proportion on substance misuse (32% v 30%)
- York spends a lower proportion on obesity programmes (1% v 4%)
- York spends a lower proportion on miscellaneous programmes (12% v 18%)

Figure 5: Proportion of Public Health Budget spent on each area. 2014-15. York v England.



York has a higher percentage of the population who are aged 20-24 compared with the national average (11.1% v 6.6%) and this may be one of the factors accounting for a greater share of the public health budget being spent on sexual health services.

It has already been noted that the overall public health spend per head of population is lower in York compared with the national average. If the spend per head of population on individual public health programmes for York is compared with the national average there is only one area where York has a higher than average spend and that is on contraception (£4.93 per head v £3.91 per head nationally). It transpires that the City of York Council public health team have been funding some activity for contraception for medical reasons which should have been funded by the CCG and there are plans in place to address this anomaly and reduce council spending in this area.

Public Health expenditure per service user.

For some public health programmes in York where clear service user activity data is available, it is possible to calculate the cost per service user of providing the programme. For example, the cost per service user in structured substance misuse treatment services in 2014/15 was £1,858,20 and the cost per service user for

smoking cessation services was £623,26¹. Monitoring these figures over time will enable us to identify whether the efficiency of particular programmes is improving.

Figure 6: Cost per service user for selected public health programmes 2014/15

| Programme | Spend 2014/15 | Total clients in treatment 14/15 | Spend per client in treatment |
|-------------------------------------|---------------|----------------------------------|-------------------------------|
| Substance Misuse | £2,516,000 | 1,354 | £1,858.20 |
| Smoking | £268,000 | 430 | £623.26 |
| Sexual Health (all patients seen) | £2,729,000 | 8,549 | £319.22 |
| Sexual Health (York residents only) | £2,729,000 | 5,829 | £468.18 |

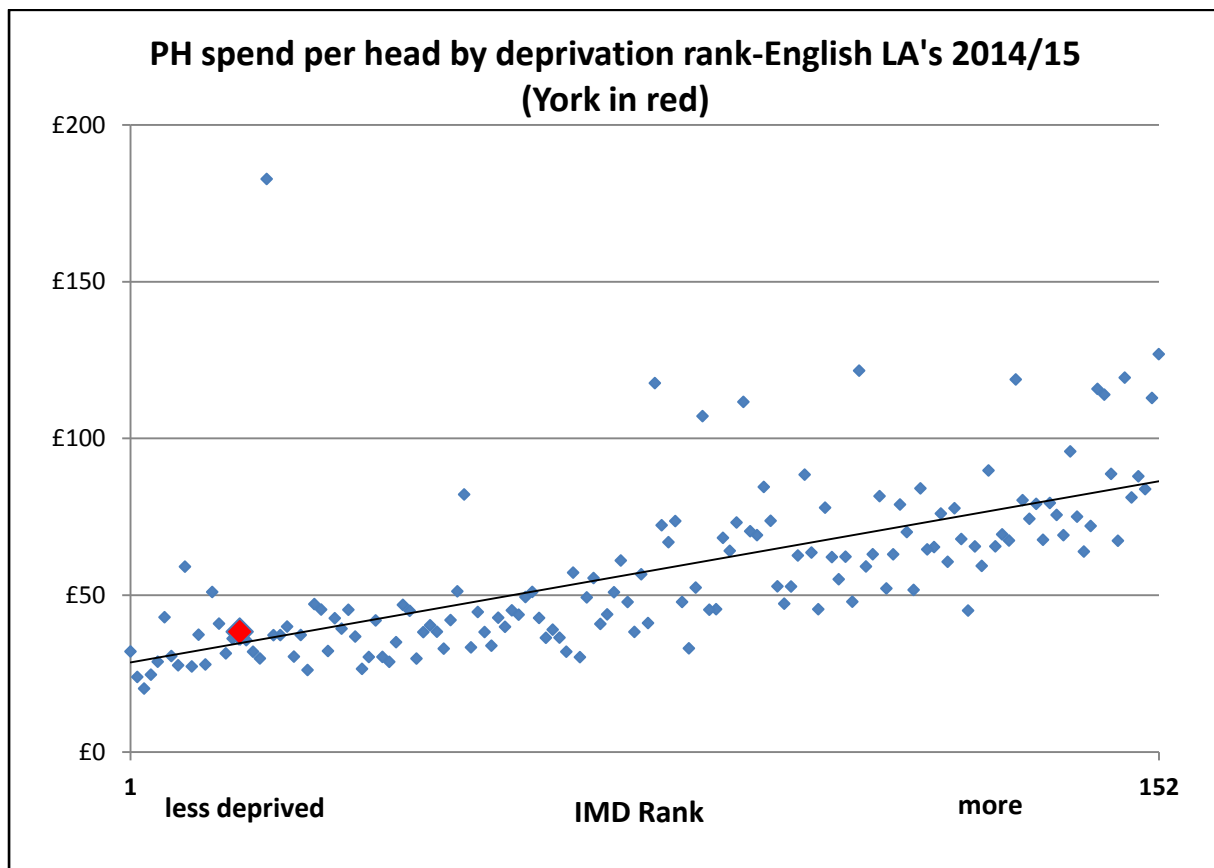
Public health expenditure in relation to deprivation.

If public health expenditure per head for each local authority in England is plotted against the deprivation score for the local authority we can see a pattern whereby spend tends to increase as deprivation increases.

York's position is marked in red on the chart. York is at the 'lower spend-lower deprivation' end of the scale. York has the 40th lowest spend per head and is the 17th least deprived local authority (out of 152).

¹ This figure should not be confused with the 'cost per quitter' figures provided in previous scrutiny reports. For the purposes of this section we are looking at how many service users engage with each programme. For smoking cessation programmes this is the number of people setting a quit date. When looking at outcomes we would look at the number of people actually quitting smoking. The 'cost per quitter' in York is £887 which is double the national and regional averages.

Figure 7: Public Health spend per head by deprivation rank-English LA's 2014/15



It can be seen that there are some local authorities who are 'outliers' in the sense that their spending is disproportionately high compared with their level of deprivation. For example the City of London is the 21st least deprived local authority, only 4 places away from York in the rankings, but around £182 per head is spent on public health compared with the £38 per head spent in York. Many of the outliers are in the London area.

In the SPOT tool York is grouped with 14 other local authorities who have similar levels of deprivation. The average spend is shown below. It can be seen that York's spend is lower than the average however, if the major outlier (City of London) is excluded, York's spend is slightly higher than average.

Figure 8: Public Health expenditure per head of population: York v deprivation decile.

| Spend on public health per head of population 2014/15 | Value |
|--|---------------|
| York | £38.34 |
| Average in deprivation group | £45.92 |
| Average in deprivation group (excl. City of London) | £36.15 |

Spends v Outcomes

Construction of SPOT charts

The charts below illustrate the way SPOT charts are constructed

- Spend information is plotted on the horizontal axis and outcome information on the vertical axis.
- The red vertical line indicates the average outcomes for England the blue horizontal line indicates the average spend for England. The point of intersection is average spend and average outcome for England
- The quadrants of the chart indicate how well a local authority is doing for an individual area of expenditure and a related set of outcomes. For example if a local authority falls in the bottom right quadrant this indicates a higher spend and worse outcomes.

Figure 9: Construction of a SPOT chart

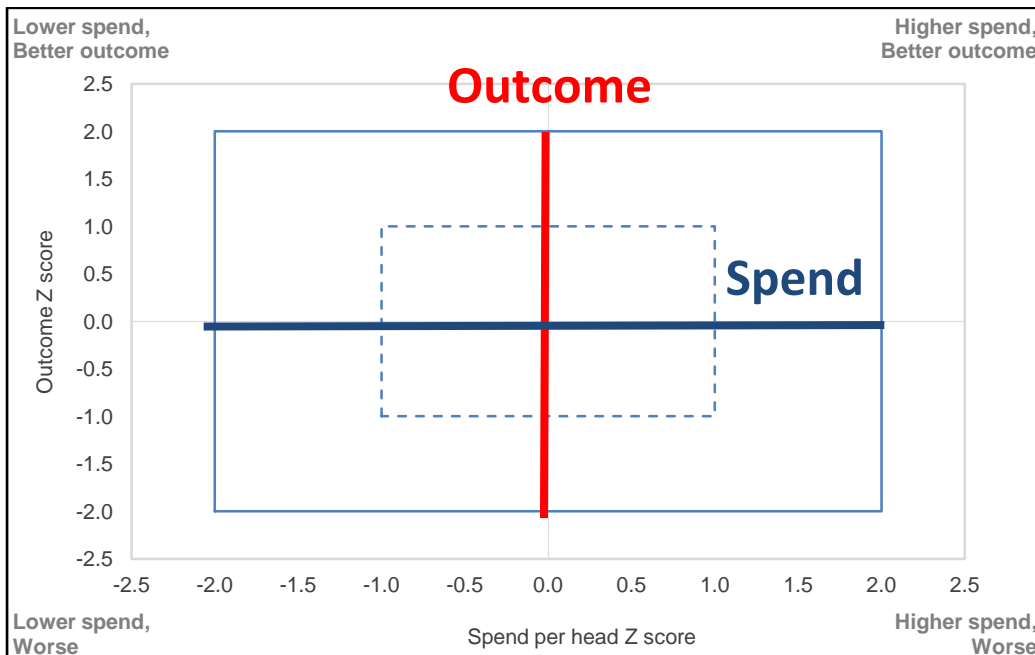
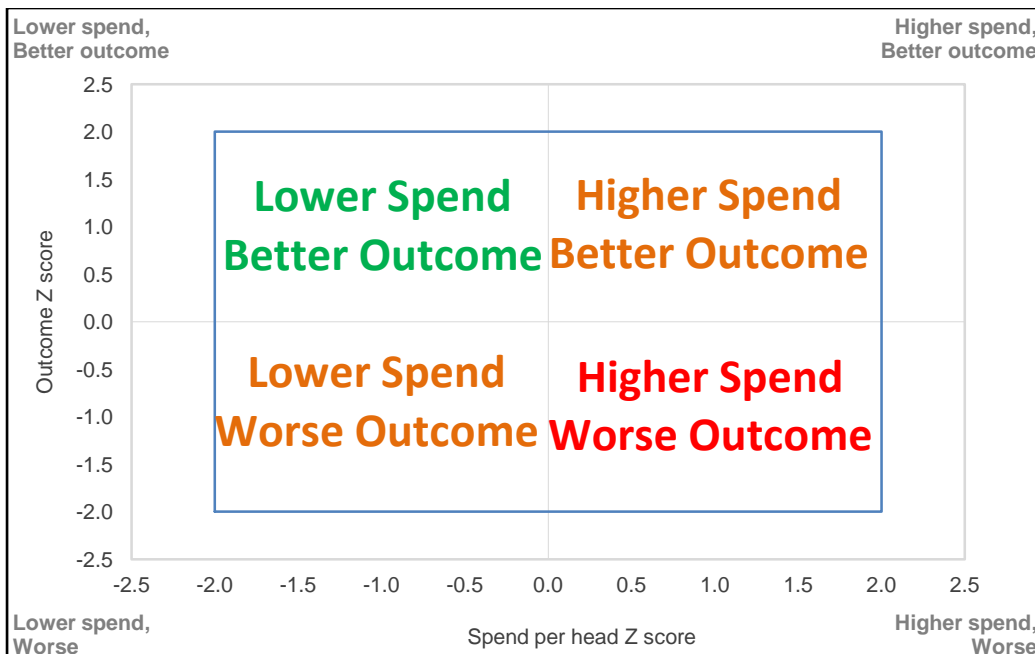


Figure 10: Quadrants of a SPOT Chart

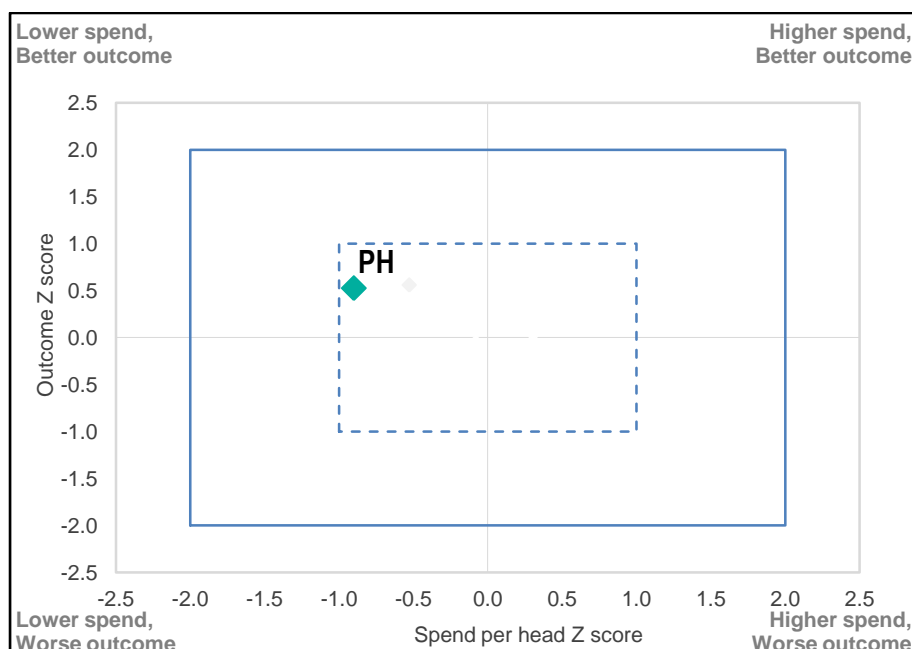


As York has low relative public health expenditure it is likely that we will be on the left hand side of the chart for most spend-outcome combinations.

Public health expenditure v overarching public health indicators

For overall Public Health expenditure and outcomes for 2014/15, York is in the 'lower spend better outcome' quadrant. This was also the case in 2013/14.

Figure 11: Public Health Spend v Outcomes 2014/15

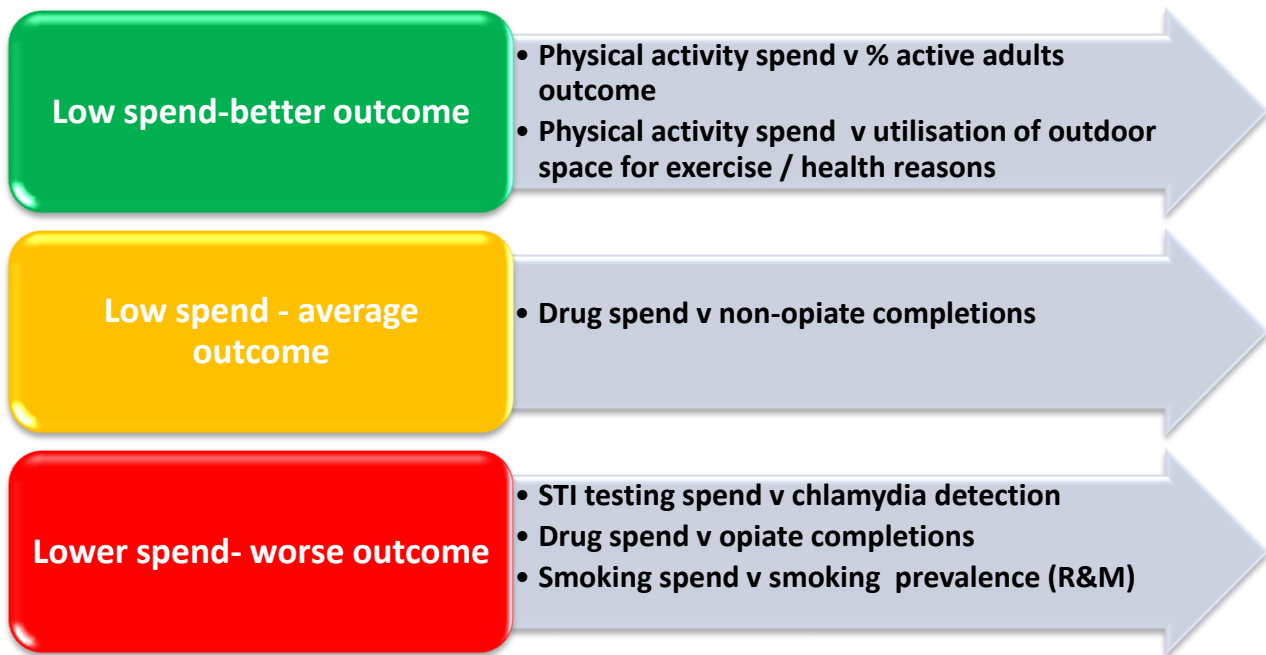


The outcome measures used for this category are life expectancy and healthy life expectancy – the 'overarching' Public health outcomes. Whilst it is a positive finding that York lies in the 'lower spend better outcome' quadrant we know that many things impact on the life expectancy measures as well as spending on public health e.g. the wider determinants of health. It is perhaps more useful to look at specific public health expenditure in relation to specific public health outcomes.

Specific expenditure v specific outcomes

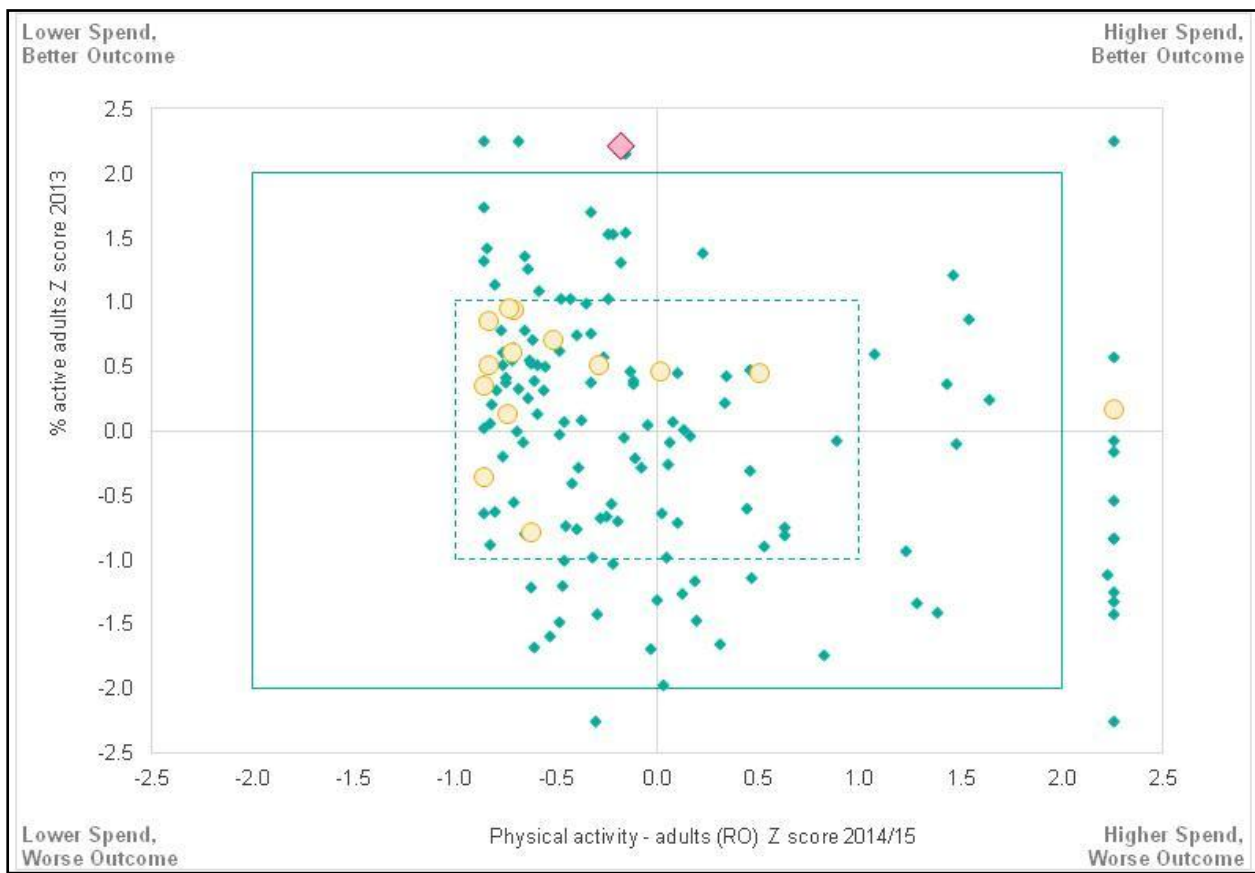
The graphic below shows some examples of public health programmes in York (all of which are classed as lower spend) and whether they have better outcomes, average outcomes or worse outcomes.

Figure 12: Examples of low spend- better outcomes and low spend-worse outcomes programmes in York



As an example, the SPOT chart for expenditure on physical activity in York against the outcome of the percentage of adults in York who are physically active is shown below. The key to the chart is as follows: the large pink diamond shape represents York, the yellow circles show York's deprivation neighbours and the small green diamonds show all the other local authorities in England (the local authorities can all be identified individually on the SPOT tool itself).

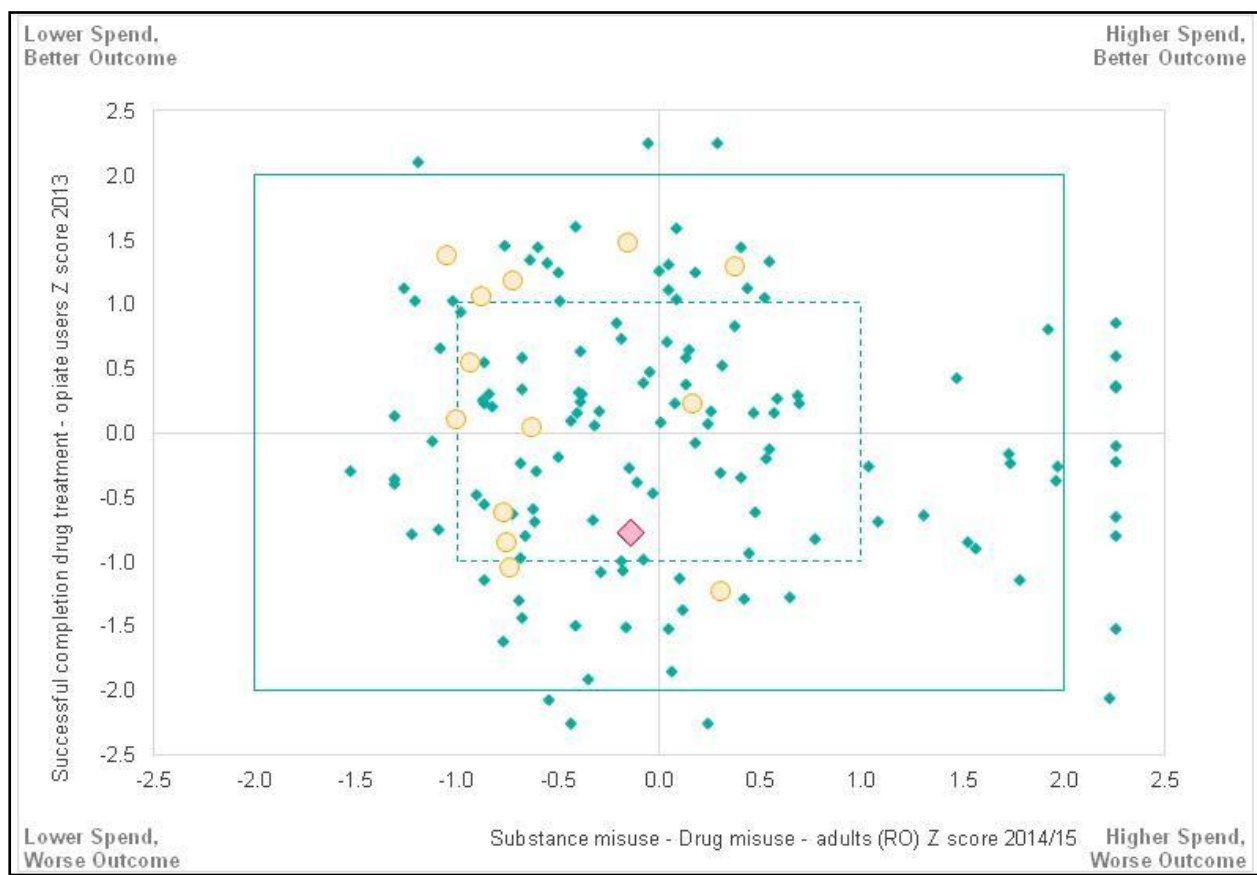
Figure 13: SPOT chart for physical activity expenditure v percentage active adults



The chart shows that York has a slightly lower public expenditure on physical activity but York has one of the best outcomes in the country in terms of adults engaging in physical activity. This is a good example of a 'public health council' in operation as although the direct spend is relatively low, a considerable amount of partnership working and support is provided to other CYC departments and other organisations (e.g. leisure centres, sport clubs, voluntary agencies and universities) to achieve positive outcomes across the city.

Another example is the expenditure on drug treatment against the percentage of opiate users who have a successful completion from drug treatment. York is rated as lower spend, worse outcome.

Figure 14: Adult drug treatment spend v outcomes for opiate users



A practical use of the chart is to identify local authorities with a better rating, for example Calderdale had better outcomes for a lower level of expenditure and it may be useful to contact them regarding their commissioning model as substance misuse service are due to be re-commissioned in York in 2016/17.

Further examples of SPOT charts are shown as appendices.

- Physical activity spend v % Utilisation of outdoor space for health / exercise reasons.
- STI testing spend v chlamydia detection rate
- Smoking cessation spend v smoking prevalence (R&M)
- Overall public health spend v healthy life expectancy for men
- Overall public health spend v healthy life expectancy for women

The SPOT charts can also provide a quick visual representation of York's performance in relation to our deprivation neighbours. For example looking at overall public health expenditure against healthy male life expectancy we do well nationally but less well in relation to our deprivation comparators. For public health expenditure against healthy female life expectancy, however, we do well nationally and also well

in relation to our deprivation comparators (see relevant SPOT charts in the appendices).

With pressures on public health budgets, particularly those programmes which account for the largest share of expenditure such as substance misuse and sexual health it can be seen that there are some risks and challenges. For some areas of these programmes (e.g. chlamydia detection and successful completion of treatment for opiate users) York is already in a lower spend-worse outcome situation so any further reductions in funding could impact negatively on outcomes unless improvements in service design and delivery can be made.

Uses of the SPOT tool

The tool can be used in a number of ways:

- Identifying local authorities who are achieving better outcomes for a similar level of expenditure (or achieving the same outcomes for less money) for specific programmes
- Providing a baseline against which future spend and outcome combinations can be measured
- Identifying risks and challenges i.e. programmes where spends and outcomes are already low and future cuts are planned or necessary.

Caveats about using SPOT tool

- The tool uses current spend against latest indicators. In some cases outcomes may be related more to cumulative expenditure in previous years rather than current expenditure.
- Expenditure on the wider determinants of health e.g. education, housing, leisure, environment etc. also have bearing on health outcomes.
- Some programmes may look less efficient in York due to a smaller population; York can't benefit from economies of scale in programme delivery.
- Local authorities may differ in exactly how they code expenditure so comparison of specific programmes may be flawed. Also the existence of large block contracts for certain programmes may mean that detailed breakdowns

into specific sub-areas of expenditure have to be estimated.

The expenditure data for local authorities used for the SPOT tool is the publically available DCLG General Fund Revenue Account Outturn. To ensure that the public health expenditure is coded in a consistent manner each year it is a recommendation of this report that the Director of Public Health should sign off the public health section of this return.

Changes to public health expenditure: 2015/16

The analysis to date has been done using 2014/15 actual expenditure, however the Public Health budget is undergoing considerable change at present. Some of the key changes in York for 2015/16 are summarised below:

- There was a part year increase in grant funding due to the transfer of the commissioning of 0-5 years children's public health services from NHS England to local authorities from 1st October 2015 (£916k).
- There was an in year grant cut of 509k
- The net impact of the two changes was that the public health grant increased by £407k made up of Children's 0-5 funding (£916k) less the in year grant cut (£509k).
- There were new items of expenditure: children's 0-5 services (901k); air quality contribution (50k); health protection (12k); housing officer (10k) and suicide prevention (9k).
- There were some reductions in expenditure: tender of sexual health contract saved £549k; end of pharmacy contraception service saved £28k and end of funding for soil association project saved £42k (this was a one off project in 2014/15).
- There were some items where existing expenditure increased including staffing (£27k - due to restructure, net figure reduced by vacancies) and Sky Ride (£27k – increased contribution in 2015/16).

Details of the public health grant allocation for 2016/17 are awaited at the time of the report (January 2016).

The key points in relation to future public health spending from the Autumn Statement in November 2015 were as follows:

- The government will make savings in local authority public health spending.
- The government will also consult on options to fully fund local authorities' public health spending from their retained business rates receipts, as part of the move towards 100% business rate retention.
- The ringfence on public health spending will be maintained in 2016-17 and 2017-18.

The continued pressure on the public health budget means it will be important to improve the performance monitoring of public health contracts to achieve quality of provision and the best possible outcomes in relation to expenditure.

Summary and Recommendations

Summary of Key Points

- In 2014/15 York had a lower spend per head of population on public health compared with regional and national averages.
- The expenditure per head of population on all local authority services in York was also lower than regional and national averages.
- A total of £7.76 M was spent directly on public health in York. The biggest areas of spend were sexual health (£2.7M) and substance misuse (£2.5M).
- 2/3 of the budget was spent on sexual health and substance misuse programmes.
- A higher % of the York budget was spent on sexual health compared with the national average, however York has a relatively high 20-24 year old population.
- York had a higher than average spend per head on contraceptive services, but the reasons for this have been identified
- Public health expenditure was broadly linked to deprivation (except for some London councils).
- The SPOT tool looks at the 2014/15 expenditure in relation to the latest public health outcomes and allocates each local authority to a spend outcome 'quadrant' e.g. low spend-worse outcome or low spend-better outcome.

- York is a 'lower spend higher outcome' authority for overall public health expenditure against overarching life expectancy indicators.
- For expenditure on specific public health programme against specific outcomes there are mixed results.
- A positive rating for physical health expenditure against the 'active adults' outcome is a good example of public health working with other departments and agencies to achieve good outcomes despite lower direct public health spend.
- The tool provides an opportunity to identify local authorities who are achieving better outcomes than York for a similar expenditure e.g. Calderdale for drug expenditure against opiate outcomes.
- There are some positive uses of the SPOT tool (e.g. providing a benchmark and identifying risks and challenges) and some caveats with regards to interpreting the outcomes (e.g. budget coding issues and the lag between expenditures and outcomes).
- Changes to the public health budget in 2015/16 include new areas of expenditure on children's 0-5 services, air quality, health protection, housing and suicide prevention, whilst there were some savings due to the re-tender of the sexual health contract and ending the pharmacy contraception service.
- The government announced that there would be further reductions in local authority public health spending in the Autumn statement in 2015.

Recommendations

- To use the current SPOT tool ratings as a baseline for monitoring expenditure in relation to outcomes in the future.
- To identify the local authorities who are achieving better spend outcome combinations for specific programmes and to contact them where appropriate.
- Director of Public Health to sign off the public health section of the General Fund Revenue Account Outturn to ensure public health expenditure is coded in a consistent manner each year.
- To improve consistency in the performance monitoring of public health contracts in order to achieve quality of provision and the best possible outcomes in relation to expenditure.

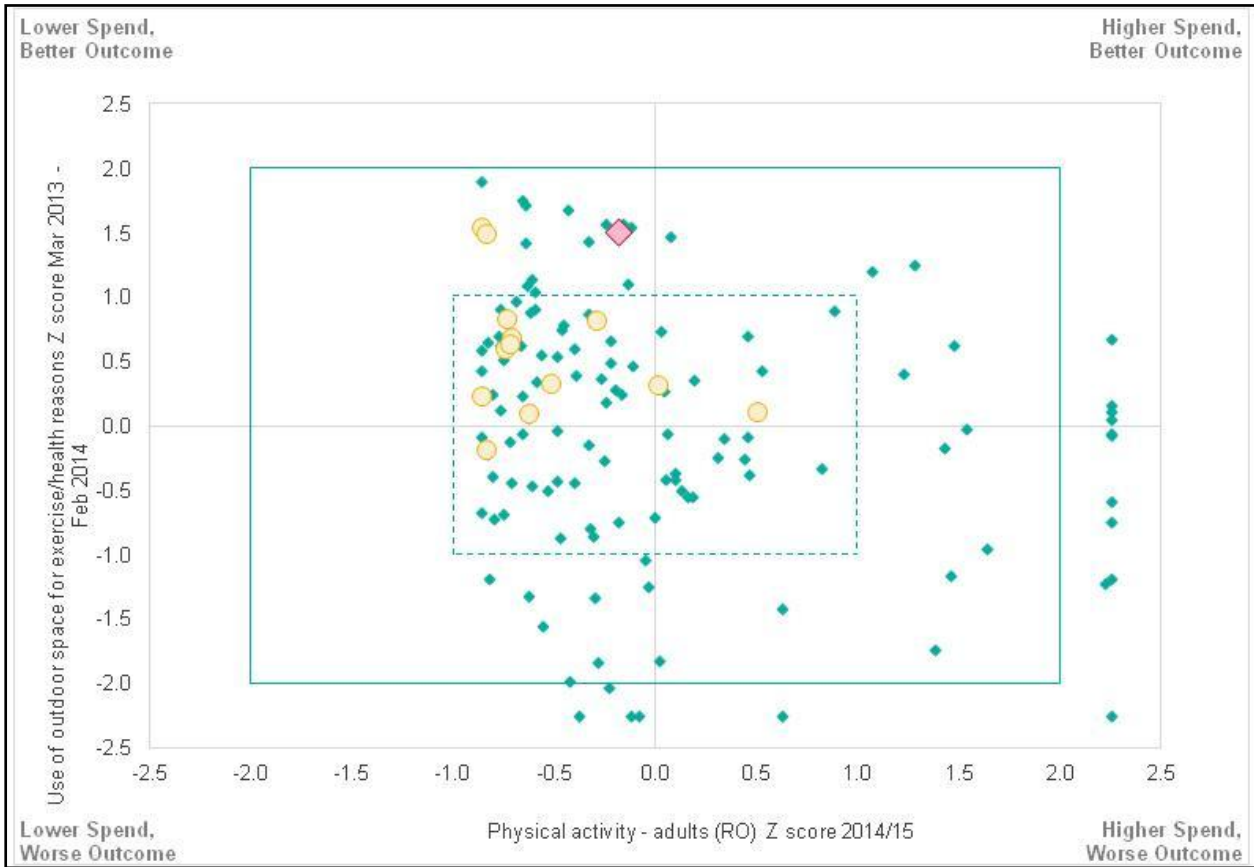
- To be aware of the programme areas currently rated as 'low spend worse outcomes' and to be mindful of the potential implications should further reductions in expenditure on these programmes be required.
- To use the NICE value for money tools and guidance when commissioning public health programmes to ensure that services have a robust evidence base in relation to delivering outcomes against expenditure.

Appendices

Index of Tables and Charts

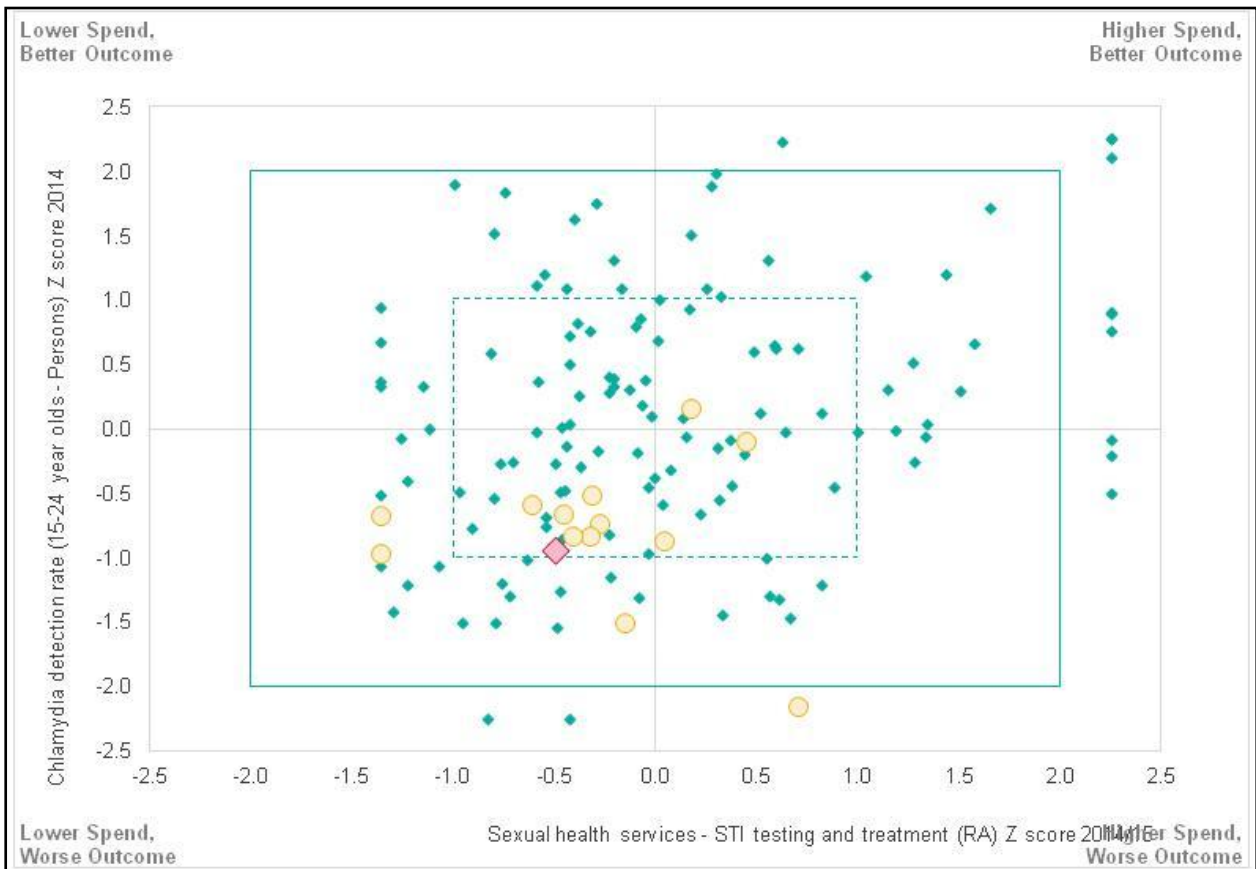
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SPOT chart for Physical Activity spend v % Utilisation of outdoor space for health / exercise reasons.



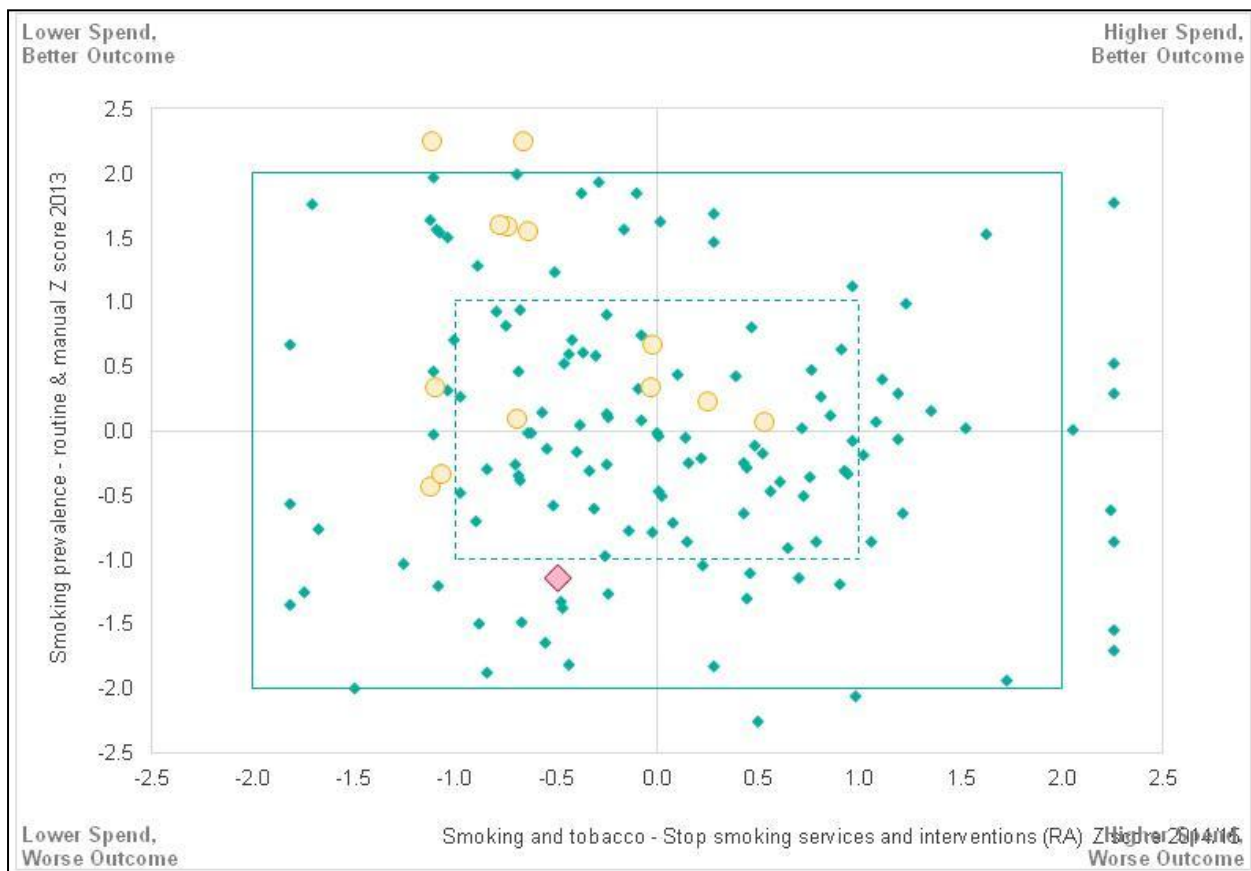
York is rated as 'lower spend, better outcome'.

SPOT chart for STI testing spend v chlamydia detection rate



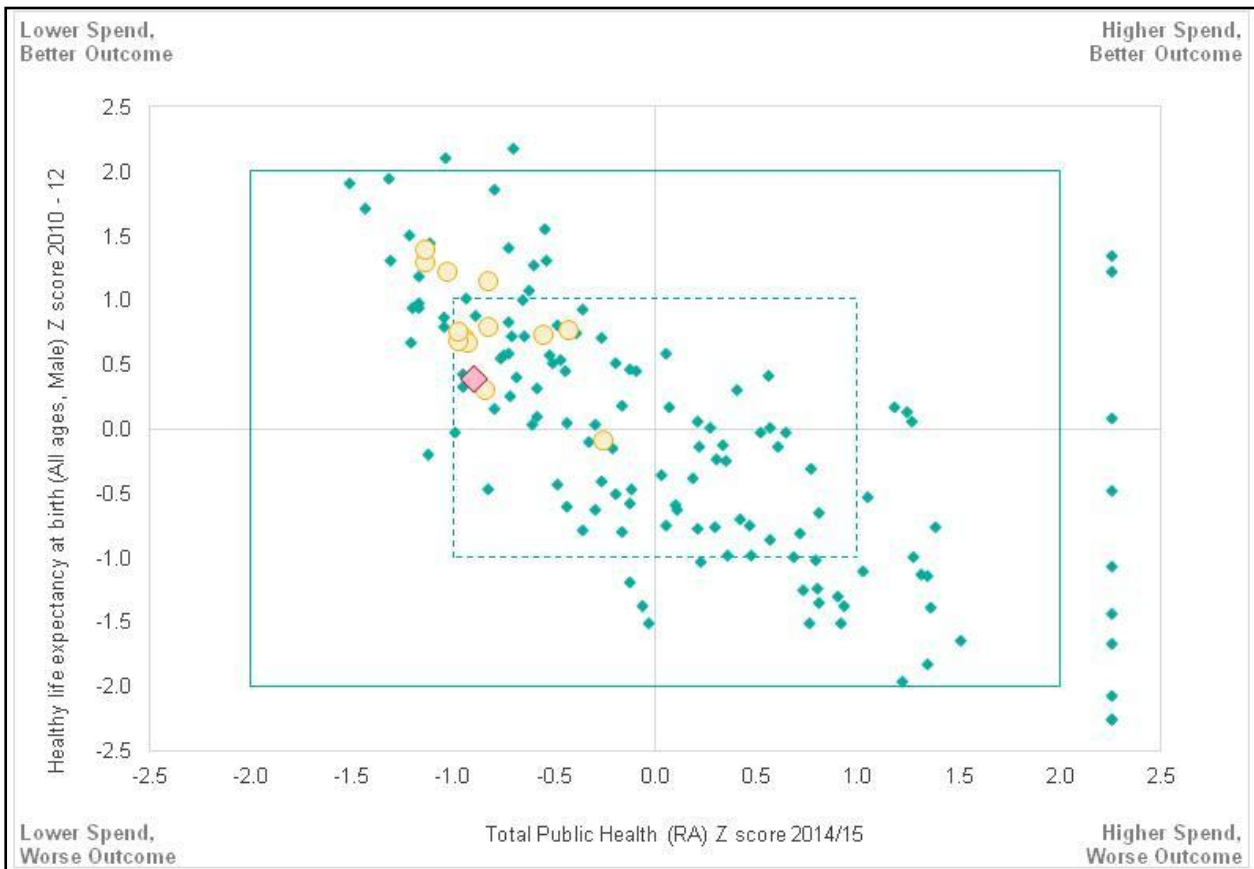
York is rated as 'lower spend, worse outcome'.

SPOT chart for smoking cessation spend v smoking prevalence (R&M)



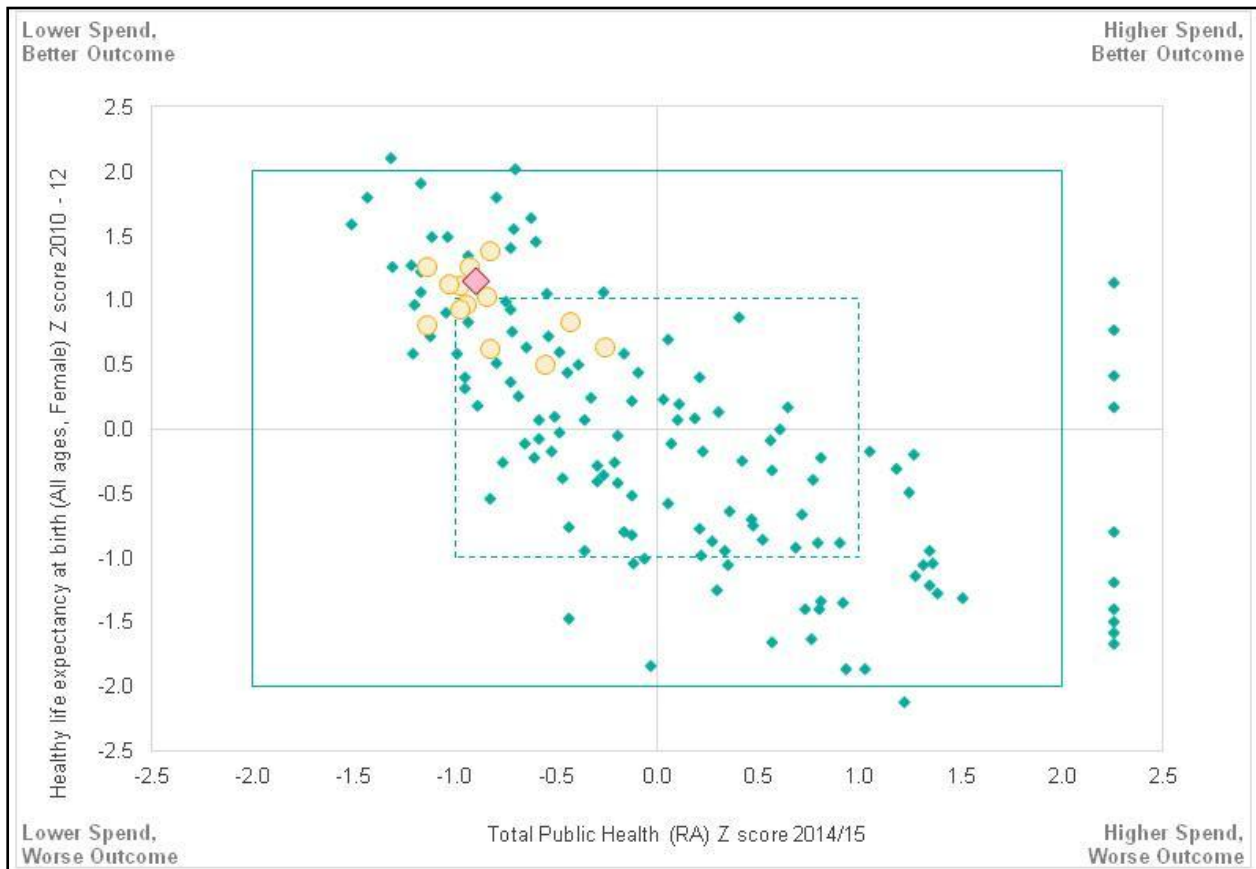
York is rated as 'lower spend, worse outcome'. NB East Riding have better outcomes for similar spend

SPOT chart for overall public health spend v healthy life expectancy for men



York is rated as 'lower spend, better outcome' nationally. But note how deprivation neighbours have better outcomes still.

SPOT chart for overall public health spend v healthy life expectancy for women



York is rated as 'lower spend, better outcome' nationally. York also has good outcomes v deprivation neighbours as well.

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Executive

29 June 2017

Corporate & Scrutiny Management Policy & Scrutiny Committee

One Planet York Scrutiny Review – Cover Report

Summary

1. This cover report presents the Final Report from the One Planet York (OPY) Scrutiny Review and asks Executive to approve the recommendations arising from the review.

Review Recommendations

2. In May 2017 the Corporate & Scrutiny management Policy & Scrutiny Committee (CSMC) considered the Final Report of a Task Group which carried out a scrutiny review into a framework to help achieve the objectives of the One Planet York strategy. The Committee recognised the opportunities that exists within the One Planet York framework and urges the Executive to show its ambition to become a One Planet Council by playing a leading role in further building the OPY network and maintaining a strong focus on the OPY vision. CSMC agreed to endorse the review recommendations, listed below, in relation to the scrutiny review remit, detailed in italics, below:
 - i. *Review what leading sustainable cities and those similar to York are doing in seeking to balance economic, social and environmental needs.*

Recommendation

- a) The Council fully utilises the opportunities presented by the One Planet York framework to drive organisational efficiency and effectiveness through the principles of a One Planet Council and further mobilise the wider city towards a more sustainable and resilient One Planet York future.

ii. Explore potential of the One Planet York framework to:

- *Enable benchmarking with other cities through a new One Planet York 'city scorecard' (basket of measures)*
- *Increase understanding and wider awareness about what makes cities sustainable and resilient.*

Recommendations

- b) Communication of the One Planet York framework, vision and 10 principles are sustained across all media platforms and that widespread use of the One Planet York or One Planet Council logos is encouraged to demonstrate a united commitment in the One Planet York principles by City of York Council and our city partners.
 - c) That progress towards the One Planet York vision is measured via a new city scorecard and that the One Planet Council objectives are measured via a new council scorecard.
 - d) As the city scorecard will be based on the Grant Thornton Vibrant Economy Index, which includes a basket of measures across a range of economic, social and environmental themes, this scorecard is formally reported to CSMC on an annual basis to coincide with the Grant Thornton refresh in November each year.
 - e) That the One Planet York Task Group is reconvened in 12 months' time to review the impact of the Council's emerging service plans within the One Planet Council framework; how Key Performance Indicators align to the One Planet principles and to gauge the efficiency and effectiveness of internal communications.
- iii. Review statutory and local decision making tools, engagement and collaboration methods to help cities best balance economic, social and environmental needs.*

Recommendations

- f) City of York Council supports the full integration of the Better Decision Making Tool in the key decision making process.
 - g) Alongside the full integration of the BDMT, a plan is developed to support officers in the understanding and use of the tool to ensure its effectiveness.
 - h) CSMC review progress on embedding and implementing the BDMT in 12 months' time.
 - i) A specific heading relating to resilience and sustainability is added to the risks and implications section of CYC report templates.
 - j) The Council makes the BDMT available to partner organisations aligned to the One Planet York framework and explores whether a simplified version of the BDMT can be developed to assist ward committees when they consider the allocation of devolved budgets.
 - k) One Planet York notice boards, literature and static presentations are made available for ward committees interested in utilising the framework to further mobilise neighbourhoods / communities to get behind the OPY vision and to stimulate new neighbourhood conversations.
 - l) An elected member toolkit / resource pack is developed to assist ward committees, and is made available to community and voluntary groups to assist in making informed decisions within the One Planet York framework.
 - m) The Council arranges training for ward teams / committees to deliver One Planet York presentations to spread the One Planet message at local level.
- iv. Explore how the city's Urban Living Pilot Project – 'York City Environment Observatory' – could bring new knowledge and insight regarding economic, social and environmental interdependencies.*

Recommendation

- n) That CSMC request a report on the Urban Living Pilot Project once this work has been completed.

Background

3. At a meeting of the Corporate & Scrutiny Management Policy & Scrutiny Committee in early May 2016 the Committee considered a Council motion on a proposed Transatlantic Trade and Investment Partnership (TTIP) which had been referred to the Committee for further consideration. The Committee agreed that parts of the motion be referred back to Council but that more local implications included in the TTIP should be considered for cross-party scrutiny.
4. In June 2016 this was considered as a potential topic for review and Members discussed elements of the TTIP motion to support the work of One Planet York. It was agreed that rather than focus solely on one aspect of One Planet York the review should look at a framework to help achieve the objectives of the strategy.
5. CSMC subsequently appointed a Task Group to carry out this work which, after a series of meetings, made the review recommendations detailed in paragraph 2, above.

Options

6. Having considered the Final Report at Appendix 1 and its associated annex, the Executive may choose to amend and/or approve, or reject the recommendations arising from the review.

Council Plan

7. This report links to the focus on frontline services, a council that listens to residents and a prosperous city for all elements of the Council Plan 2015-19.

Implications

8. The implications arising from the review recommendations are detailed in the Final Report at Appendix 1

Risk Management

9. There are no risks attached to the recommendations in the Final Report. However, a failure to press the One Planet York message may lead to missed opportunities to build value into new work across the council and city, to reduce the city's carbon footprint and generate financial savings.

Recommendation

10. Having considered the Final Report and its annex, the Executive is asked to approve the recommendations as set out in paragraph 2, above.

Reason: To conclude the Scrutiny review in line with City of York Council scrutiny procedures and protocols.

Contact Details

Author:

Steve Entwistle
Scrutiny Officer
Tel: (01904) 554279
steven.entwistle@york.gov.uk

Chief Officer Responsible for the report:

Andrew Docherty
Assistant Director – Legal & Governance
Tel: (01904) 551004

Report Approved Date 25/05/2017

Wards Affected:

All

For further information please contact the author of the report

Background Papers: None

Appendix

Appendix 1 – One Planet York Scrutiny Review Final Report

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Corporate & Scrutiny Management Policy & Scrutiny Committee

8 May 2017

Report of the Assistant Director – Legal & Governance

One Planet York Scrutiny Review Final Report

Summary

1. This report presents the Corporate & Scrutiny Management Policy & Scrutiny Committee with all the information gathered in support of the scrutiny review of One Planet York, together with the Task Group's draft recommendations.

Background

2. At a meeting of the Corporate & Scrutiny Management Policy & Scrutiny Committee (CSMC) in early May 2016 the Committee considered a Council motion on a proposed Transatlantic Trade and Investment Partnership (TTIP) which had been referred to the Committee for further consideration. The Committee agreed that parts of the motion be referred back to Council but that more local implications included in the TTIP should be considered for cross-party scrutiny.
3. In June 2016 this was considered as a potential topic for review and Members discussed elements of the TTIP motion to support the work of One Planet York (OPY). It was agreed that rather than focus solely on one aspect of One Planet York the review should look at a framework to help achieve the objectives of the strategy.
4. The Council Plan contains commitments to '*put sustainability at the heart of everything we do*' and to '*work towards One Planet living*'.
5. In March 2016, Executive endorsed the vision of 'a sustainable, resilient and collaborative One Planet York' and agreed to show leadership towards this vision alongside city partners. They also agreed to work towards being a sustainable, resource efficient One Planet Council.

6. In early September 2016 CSMC considered a scoping report on One Planet York. Members agreed there would be value in undertaking a scrutiny review to support this work and appointed a Task Group comprising Cllrs Crisp, D'Agorne, Reid and a Conservative Group representative (later confirmed as Cllr Galvin) to carry out this work.
7. CSMC agreed the review should focus on specific topic areas suggested in the scoping report, namely:
 - Ensuring a balance between economic, social and environmental needs that is right for York and delivery reflects best practice;
 - Ensuring key decisions and strategic plans take account of economic, social and environmental factors;
 - Ensuring decisions and strategic plans are informed by both short term priorities and anticipated longer term impacts.
8. To help formulate the topic areas above CSMC agreed that the Task Group should:
 - i. Review what leading sustainable cities and those similar to York are doing in seeking to balance economic, social and environmental needs
 - ii. Explore potential of the One Planet York framework to:
 - Enable benchmarking with other cities through a new One Planet York 'city scorecard' (basket of measures)
 - Increase understanding and wider awareness about what makes cities sustainable and resilient
 - iii. Review statutory and local decision making tools, engagement and collaboration methods to help cities best balance economic, social and environmental needs
 - iv. Explore how the city's Urban Living Pilot project – 'York City Environment Observatory' – could bring new knowledge and insight regarding economic, social and environmental interdependencies

9. The Task Group met for the first time on 10 November 2016 when Cllr D'Agorne was appointed Chair. The Task Group accepted that to achieve a sustainable and resilient city there must be a balance between economic, environmental and social factors and better recognition and understanding of the interdependencies. However, in creating this balance Members accepted that sometimes one theme can sometimes override others, as economic considerations have since the 2008 financial crash.

Information Gathered

10. One Planet York is a growing network of local organisations and businesses working towards a more sustainable and resilient 'One Planet' future. Action is being taken across 10 key principles:
- i. Zero Carbon – making buildings more energy efficient and delivering all energy with renewable technologies.
 - ii. Zero Waste – reducing waste, reusing where possible, and ultimately sending zero waste to landfill.
 - iii. Sustainable Transport – encouraging low carbon modes of transport to reduce emissions, reducing the need to travel.
 - iv. Sustainable Materials – Using sustainable healthy products, with low embodied energy, sourced locally, made from renewable or waste resources.
 - v. Local and Sustainable Food – choosing low impact, local, seasonal, organic diets and reducing food waste.
 - vi. Sustainable Water – using water more efficiently in buildings and in the produce we buy, tackling local flooding and water course pollution.
 - vii. Land Use and Wildlife – protecting and restoring biodiversity and natural habitats through appropriate land use and integration into the built environment.
 - viii. Culture and heritage – reviving local identity and wisdom, supporting the arts.
 - ix. Equity and Local Economy – creating bioregional economies that support fair employment, inclusive communities and international fair trade.
 - x. Health and Happiness – encouraging active, sociable, meaningful lives to promote good health and well being.

11. At the Task Group meeting in November, Members noted that One Planet York started with 12 city organisations and now 60 were aligned to the vision. The overall concept is not about a new group delivering, but it is about a framework for shared ownership, drawing on things that are already in place and building on capacity.
12. To help understand what leading sustainable cities and those similar to York are doing in seeking to balance economic, social and environmental needs, the Task Group was given information on the world's leading sustainable cities according to the Arcadis Sustainable Cities Index 2016.
13. The index ranks cities on three pillars of sustainability – people, planet and profit. These represent social, environmental and economic sustainability to offer an indicative picture of the health and wealth of cities for the present and the future.
 - Economic Health: The Profit sub-index examines performance from a business perspective, combining measures of transport infrastructure (rail, air and traffic congestion), ease of doing business, tourism, Gross Domestic Product (GDP)¹ per capita, the city's importance in global economic networks, connectivity in terms of mobile and broadband access and employment rates. These indicators can broadly be thought of as capturing “economic health”.
 - Quality of Life: The People sub-index rates health (life expectancy and obesity), education (literacy and universities), income inequality, work-life balance, dependency ratio, crime and housing and living costs. These indicators can be broadly thought of as capturing “quality of life”.
 - High quality built and natural environment: The Planet sub-index ranks cities on energy consumption and renewable energy share, green space within cities, recycling and composting rates, greenhouse gas emissions, natural catastrophe risk, drinking water, sanitation and air pollution.
14. The Task Group learned that the Swiss city of Zurich tops the overall Sustainable Cities Index. Despite leading both the overall ranking and

¹ Gross Domestic Product is a monetary measure of the market value of all final goods and services produced in a period (quarterly or yearly). Nominal GDP estimates are commonly used to determine the economic performance of a whole country or region, and to make international comparisons.

the planet sub-index, and ranking 5th in profit, Zurich appears 27th on the people sub-index; affordability and work-life balance are the primary causes of this disparity. London is rated fifth overall with a rating of 37 for people, nine for planet and three for profit. Edinburgh is ranked 13th, Manchester 25th, Birmingham 31st, Glasgow 36th and Leeds 38th.

15. The Task Group noted that no one city is achieving a perfect balance but some cities are closer than others. Amsterdam, which is ranked 11th overall, is judged to have achieved the best balance, scoring seven for people, 19 for planet and 16 for profit.
16. Many cities do well in two of the people, planet and profit categories, but few do well in all three, indicating the challenge city leaders have in balancing all three needs effectively to ensure a sustainable and resilient future.
17. The Task Group noted that many cities are working hard to be on the top 100 leader board to attract new jobs and investment. In York's One Planet York 2015 baseline assessment the city's strengths were:
 - Strong economy
 - Low unemployment
 - Low inequality
 - High quality natural and build environment
 - Waste and carbon reduction
 - Thriving cultural offer
 - Educational attainment
 - 5 million + visitors a year
 - A 'top 10' place to live in the UK
18. The city's ongoing challenges are:
 - Extreme weather events (flooding)
 - Low pay
 - Disparity in health
 - Air Quality
 - Housing affordability
 - Ambitious carbon and waste targets

19. The Task Group heard that One Planet York is aiming to be a movement led by a broad coalition of city stakeholders as no single organisation is able to address the city challenges on its own.
20. There is uncertainty among York residents about what a sustainable, resilient city looks like and low awareness about what the city is already doing. The One Planet framework has potential to deliver better understanding, increased awareness and wider recognition; in turn leading to more participation, more action and rising aspirations towards a more sustainable and resilient future..
21. At a meeting in early December 2016, the Task Group noted that balance was not necessarily about being top ranked in all three elements of the Sustainable Cities Index, but to strive to achieve balance.
22. To further understand how this can be achieved the Task Group considered the Grant Thornton Vibrant Economy Index (VEI) which ranks the 324 English local authority areas according to their average score across categories closely matching the 10 One Planet York principles
23. Each category is effectively an index in its own right, based on a set of specifically selected economic, social and environmental data sets:
 - **Prosperity** – are we producing wealth and creating jobs?
 - **Dynamism and opportunity** – are we developing an entrepreneurial and innovative culture to drive future growth?
 - **Inclusion and equality** – is everyone benefiting from economic growth?
 - **Health, wellbeing and happiness** – are our people living healthy, active and fulfilling lifestyles?
 - **Resilience and sustainability** – is our economy having a negative impact on the natural environment?
 - **Community, trust and belonging** – are we embracing the community, and living lively and creative cultural lives?
24. The Vibrant Economy Index provides:
 - businesses with an understanding of their local economy and the issues that will affect investment decisions both within the business and externally;

- policy-makers and place-shapers with an overview of the strengths and opportunities, challenges and weaknesses of individual places as well as the dynamic between different areas;
- citizens with an accessible insight into how their place is doing, so that they can contribute to shaping local discussions about what is important to them.

25. The ambition of the Vibrant Economy Index is to create a ‘gold standard’ measurement for the UK economy which benefits all parts of society.

How York compares using the Vibrant Economy Index (x/324)

| Authority and overall rating | Prosperity (rating) | Dynamism & Opportunity | Inclusion & Equality | Health, Wellbeing / Happiness | Resilience & Sustainability | Community Trust & Belonging |
|------------------------------|---------------------|------------------------|----------------------|-------------------------------|-----------------------------|-----------------------------|
| 1. Cambridge | 30 | 1 | 110 | 246 | 21 | 7 |
| 2. Oxford | 15 | 2 | 170 | 50 | 116 | 1 |
| 23. Bath | 106 | 35 | 144 | 43 | 19 | 24 |
| 28. Warwick | 43 | 79 | 70 | 70 | 70 | 43 |
| 48. York | 107 | 23 | 123 | 80 | 56 | 97 |
| 67. Harrogate | 93 | 67 | 75 | 48 | 144 | 114 |
| 72. Leeds | 27 | 61 | 279 | 176 | 5 | 132 |
| 93. Chester | 70 | 92 | 154 | 146 | 25 | 226 |
| 168. East Riding | 245 | 214 | 58 | 22 | 237 | 261 |
| 177. North Yorks | 171 | 180 | 184 | 158 | 51 | 270 |
| 219. Richmondshire | 318 | 289 | 158 | 18 | 311 | 46 |

26. The Task Group noted that to take a lead in the development of One Planet York, the Executive, in March 2016, approved the Council becoming a One Planet Council (OPC).

27. The OPC programme aims to:

- balance and minimise negative economic, social and environmental impacts of its actions

- reduce the council's carbon footprint whilst increasing efficiency / generating operational savings
- identify and embed new 'one planet' opportunities and add value to the work we do (and plan to do in the future), and
- coordinate action and foster greater collaboration and innovation across the council.

28. The Task Group noted that to support a One Planet Council Action Plan and to help draft a OPC scorecard, an Integrated Impact Assessment Tool (IIAT), also known as a Better Decision Making Tool (BDMT) (Annex 1), has been developed which aims to streamline decision-making processes and make it easier to assess a variety of statutory and Council Plan requirements. The aim is to consider a range of things that are important to the Council in one assessment. The IIAT is an amalgamation of:

- i. Communities Impact Assessment
- ii. Equalities Impact Assessment
- iii. Sustainability Impact Assessment

29. The purpose of this IIAT is to help officers make good balanced decisions and to mitigate, early on in the decision making process, any foreseen negative economic, social or environmental impacts. It aims to get officers to think about and record any positive and negative impacts that a proposed new service, project, programme of policy is likely to have on Council priorities. It will also ensure CYC meets its statutory requirements and embeds economic, social and environmental sustainability into everything the Council does.

30. The Task Group were disappointed to note that when implications are considered in standard Council reports these cover financial; human resources; equalities; legal; crime and disorder; IT; property and other. Sustainability is included in the "other" category and the Task Group considers that it merits a category of its own.

31. They agreed that the IIAT presents the Council with the opportunity to have a closer look at procurement so that local job opportunities can be taken into account thereby reducing environmental impacts as the IIAT forces thinking towards OPY principles.

32. To promote joint thinking and a joint understanding the Task Group suggested the IIAT be shared with city partners. And they asked about

the possibility of a simplified version of the IIAT being developed for wards and communities as this would help in considering ward priorities and spending.

33. At a meeting in late January 2017 the Task Group considered how best to try to balance the economic, social and environmental aspects of place to help mobilise the city and its citizens towards a more sustainable, resilient and collaborative future. The CYC Head of Communities and Equalities and the Principal Neighbourhood Management Officer also attended the meeting to help with this work.
34. The Task Group noted that the current approach to neighbourhood working is through ward committees, which have their own budgets to spend on local priorities. Led by ward councillors they are a way of bringing together local groups, residents, service providers and council departments to work in partnership to tackle issues at local level, using local knowledge, supporting data and available resources.
35. The Task Group was interested to note how ward budget decisions can be matched to the OPY vision and how these can make an individual or collective impact. They also noted that:
 - No organisation is able to deliver a sustainable, resilient city on its own and there is a need for partnership and mobilisation;
 - A lot of amazing things are happening around the OPY vision and the network of organisations involved is constantly growing;
 - People are switching on to the OPY agenda with high and growing levels of support;
 - Many of York's leading organisations have well defined policies and plans that put their operations, products and services on a more sustainable and resilient footing;
 - A One Planet Council is the CYC organisational plan towards OPY;
 - The OPC policy asks that whatever CYC does, it does in a way that actively supports, where possible, the 10 One Planet principles and does not work against or despite them.

36. The Task Group agreed that wards / neighbourhood working offers opportunities to align the OPY vision to ward / neighbourhood profiles to support the community resilience agenda.
37. It was also agreed a OPY toolkit or resources pack could be made available for Members as a way of presenting information and OPY logos can be used to help brand actions. A OPY app is already available to focus on waste and recycling. The app alerts users of their next bin collection date, lets them scan products to see if they can be recycled and shows them the nearest waste and recycling centres for larger items. Planet points are earned each time the app is used and a leader board indicates the most active users. As users register post codes it can assess which wards are most active.
38. Members also felt it would be useful if a notice board or display outlining the OPY vision was available for ward committee meetings and these could also be set up in libraries, community centres etc to spread the OPY message. Many wards have some difficult issues to address and trying to solve these issues within the OPY framework might make things easier. Ward budgets could be used to promote different priorities that fit the ward demographics.
39. It was suggested that OPY approach could be tested in pilot wards to gauge customer reaction. However, the Task Group agreed that to engage people you need to have outcomes which show that by taking part they are saving resources. There are city-wide examples of progress towards priorities such as sustainable food and reducing water usage and these need to be replicated at neighbourhood level.
40. The Task Group also agreed not to explore the city's Urban Living Pilot Project at this stage. The York City Environment Observatory pilot might bring new knowledge and insight regarding the economic, social and environmental interdependencies, but is only four months into a 15-month project.
41. This will see the University of York and City of York Council looking at the viability of a unique City Environment Observatory to further our understanding of how health, wellbeing and economic issues are linked to the quality of the environment. Over 18 months (August 2016 to approximately February 2018) the project team will develop an observatory design prototype to be implemented in the next five years if further funded by Research Council UK.

42. The project is fully funded by the Research Council UK and Innovate UK Urban Living Partnership scheme. York is one of five cities, along with Birmingham, Bristol, Leeds, Newcastle chosen to take part and this project will bring together 23 project partners, including businesses, local government, national agencies and research institutes. There are five work packages:
- Understand the impact of the natural, cultural, social and built environments on the health and well-being of citizens;
 - The expansion of the York Open Data platform to host the city's environmental data, provided by the projects partners;
 - Understand the needs of current city challenges for information from academics/partners data and knowledge;
 - Building and designing a system to generate real-time data to improve our understanding of the environment of York and other cities;
 - Designing models of Environmental Observatory for future Research Council bid.

Analysis

43. A sustainable city is one that meets the needs of the present without compromising the ability of future generations to meet their own needs.
44. Cities across the globe share common challenges in the areas of job creation, environmental resilience and improving the quality of life of local residents. A key challenge for city leaders is finding ways to balance the demand for a strong economy and an attractive place to live whilst also limiting damage to the environment. It is clear no utopian city exists, yet some cities are more advanced in their sustainability journeys than others.
45. CYC cannot transition York to a sustainable economy on its own. The council needs to work with businesses, academia and citizens, and across geographical boundaries to gain the skills, knowledge and contacts required for success.
46. The key to developing a sustainable local economy – a resilient “One Planet” city – is growing the circular economy to keep money flowing around the city as much as possible by procuring, spending and trading locally. To move sustainable economy opportunities forward it is

important that this is not seen in isolation as a “green” issue but more widely as a key contributor to quality of life and economic development.

47. In order to improve sustainability, city leaders need to put people at the heart of their sustainability plans.
48. York residents and CYC have been proactive in diverting waste away from landfill. Almost 44% of household waste was reused, recycled or composted in 2013/14 compared to just 15% 10 years ago. Over the same period household waste sent to landfill for disposal reduced from 84.6% to 56.4%.
49. Because of the amounts of carbon dioxide (CO₂) we generate our climate is changing. This is likely to lead to more frequent and severe weather events bringing significant risk of damage and disruption to the city. York has a history of flooding and it is likely to experience more extensive flooding more often in the future. York’s total CO₂ emissions currently stand at 1.1million tonnes. York has committed to tackling climate change and to becoming more resilient by reducing CO₂ emissions by 40% by 2020. Since 2005, total CO₂ emissions have fallen 16% with the council reducing its own emissions by an estimated 25%.
50. York’s compact size and flat terrain make sustainable travel a realistic option for many, with a higher proportion of trips by bicycle than many other UK cities. In 2013 York was ranked the third best cycling city in England (DETR). The large foot streets area is popular and the extensive bus network covers most areas. York’s nationally regarded Park & Ride service is one of the most effective in the country providing 4 million passenger trips each year.
51. There is pressure on the housing market with high values and rents. A programme of new council homes alongside award winning sustainable developments like Derwenthorpe will further underpin York’s economy.
52. Almost 90% of residents are satisfied with York as a place to live. Low crime, green space and health services are the things residents value most. Overall health and wellbeing levels are good but disparities in health outcomes persist. There is a gap of several years in life expectancy for males between the most and least deprived communities in York while more people die prematurely in York each year due to poor air quality than from obesity and road accidents combined. The main source of poor air quality is traffic emissions.

53. York is at the very heart of one of the most diverse food producing regions in the UK. It has been a recognised Fair Trade city since 2004 with regular city centre local food fairs and markets. The York Food and Drink festival showcases the wealth of quality Yorkshire produce that can be found in the region.
54. Ward committees can play a key role in advancing the OPY vision by bringing together local groups, residents, service provider and council departments and adapting the OPY 10 principles framework to fit the ward demographic. This could stimulate neighbourhood conversations to help improve understanding about what makes a place sustainable and resilient, increase awareness about what actions are underway to make the area/city more sustainable and resilient and increase recognition for those already doing great things.
55. A simplified version of the Integrated Impact Assessment Tool can be developed for wards and communities to help in considering neighbourhood and community priorities.

Consultation

56. This report has been compiled with the support of CYC's Strategic Manager – sustainability and transformation. The proposals for One Planet York emerged via a sustained period of community consultation and co-design with a range of local stakeholders. Initial framework design was informed by a resident's survey. Draft proposals were tabled at a sold-out summit event in March 2015 that attracted over 70 participants and these received strong backing. Ongoing input and advice has been received from York Environment Forum, St Nicholas Fields, Stockholm Environment Institute (University of York), the UK Sustainable Cities Network and Bioregional. Internally, the One Planet approach has received support from senior officers who see clear alignment between their own emerging strategies and plans.

Conclusions

57. Leading sustainable and resilient cities are striking a balance between economic, social and environmental needs. They often to work to a strong vision and are organised, determined and collaborative in their approach. Many local organisations are already showing firm leadership across the 10 OPY principles.

58. Many of the issues involved are interlinked with no one organisation in a position to tackle them alone. The Council can, however, act to encourage action. The OPY shared platform would enable partnerships to drive change, harnessing the enthusiasm and commitment of city stakeholders.
59. The OPY framework offers potential to increase understanding about what a sustainable and resilient city and neighbourhood looks like and in doing so set out a vision of a future that people and organisations can aspire to and work towards.
60. The One Planet York principles provide a new tool for elected members as they lead area profiling and the identification of ward priorities. There is the opportunity to align the drive for more active citizen involvement within a localised 'sustainable and resilient neighbourhood' narrative.
61. There is also the opportunity of utilising the OPY framework to further mobilise neighbourhoods / communities and stimulate new neighbourhood conversations. The framework could also be used to help decision making in relation to devolved budget allocation.

Review Recommendations

62. That the Committee recognises the opportunities that exist within the One Planet York framework and urges the Executive to show its ambition to become a One Planet Council by playing a leading role in further building the OPY network and maintaining a strong focus on the OPY vision. CSMC is asked to endorse the following recommendations in relation to the remit in paragraph 8 and repeated in italics.
 - i. *Review what leading sustainable cities and those similar to York are doing in seeking to balance economic, social and environmental needs.*

Recommendation

- a) The Council fully utilises the opportunities presented by the One Planet York framework to drive organisational efficiency and effectiveness through the principles of a One Planet Council and further mobilise the wider city towards a more sustainable and resilient One Planet York future.

ii. Explore potential of the One Planet York framework to:

- *Enable benchmarking with other cities through a new One Planet York 'city scorecard' (basket of measures)*
- *Increase understanding and wider awareness about what makes cities sustainable and resilient.*

Recommendations

- b) Communication of the One Planet York framework, vision and 10 principles are sustained across all media platforms and that widespread use of the One Planet York or One Planet Council logos is encouraged to demonstrate a united commitment in the One Planet York principles by City of York Council and our city partners.
 - c) That progress towards the One Planet York vision is measured via a new city scorecard and that the One Planet Council objectives are measured via a new council scorecard.
 - d) As the city scorecard will be based on the Grant Thornton Vibrant Economy Index, which includes a basket of measures across a range of economic, social and environmental themes, this scorecard is formally reported to CSMC on an annual basis to coincide with the Grant Thornton refresh in November each year.
 - e) That the One Planet York Task Group is reconvened in 12 months' time to review the impact of the Council's emerging service plans within the One Planet Council framework; how Key Performance Indicators align to the One Planet principles and to gauge the efficiency and effectiveness of internal communications.
- iii. Review statutory and local decision making tools, engagement and collaboration methods to help cities best balance economic, social and environmental needs.*

Recommendations

- f) City of York Council supports the full integration of the Better Decision Making Tool in the key decision making process.
 - g) Alongside the full integration of the BDMT, a plan is developed to support officers in the understanding and use of the tool to ensure its effectiveness.
 - h) CSMC review progress on embedding and implementing the BDMT in 12 months' time.
 - i) A specific heading relating to resilience and sustainability is added to the risks and implications section of CYC report templates.
 - j) The Council makes the BDMT available to partner organisations aligned to the One Planet York framework and explores whether a simplified version of the BDMT can be developed to assist ward committees when they consider the allocation of devolved budgets.
 - k) One Planet York notice boards, literature and static presentations are made available for ward committees interested in utilising the framework to further mobilise neighbourhoods / communities to get behind the OPY vision and to stimulate new neighbourhood conversations.
 - l) An elected member toolkit / resource pack is developed to assist ward committees, and is made available to community and voluntary groups to assist in making informed decisions within the One Planet York framework.
 - m) The Council arranges training for ward teams / committees to deliver One Planet York presentations to spread the One Planet message at local level.
- iv. Explore how the city's Urban Living Pilot Project – 'York City Environment Observatory' – could bring new knowledge and insight regarding economic, social and environmental interdependencies.*

Recommendation

- n) That CSMC request a report on the Urban Living Pilot Project once this work has been completed.

Council Plan

63. This report links to the focus on frontline services, a council that listens to residents and a prosperous city for all elements of the Council Plan 2015-19. The OPY programme directly supports the Council Plan's aims to embed sustainability into everything we do and work towards 'One Planet' living. It has direct links to ambitions to enhance York's economy, improve health and wellbeing, protect York's green spaces, increase the percentage of waste recycled, cut carbon emissions, improve air quality, focus on cost and efficiency and make the most of commercial opportunities.

Implications

64. **Financial** – There are no particular financial implications or risks arising from this report. The only issue to note is that this will create additional work for staff already at capacity and therefore it may come at the expense of other priorities.

The cost of preparing and designing three sets of displays to satisfy recommendation (k) is estimated at £1,00; to prepare and design an elected member took kit - £500; to arrange training for ward teams, 4 x 2 hour sessions - £450

- **Human Resources (HR)** – There are no HR implications
- **Equalities** – There are no equalities implications
- **Legal** – There are no legal implications
- **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

65. There are no risks attached to the recommendations in this report. However, a failure to press the One Planet York message may lead to missed opportunities to build value into new work across the council and city, to reduce the city's carbon footprint and generate financial savings.

Contact Details

Author:

Steve Entwistle
Scrutiny Officer
Tel: (01904) 554279
steven.entwistle@york.gov.uk

Chief Officer Responsible for the report:

Andrew Docherty
Assistant Director Governance and ICT
Tel: (01904) 551004

Report Approved



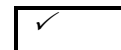
Date 25/04/2017

Specialist Implications Officer

Paul McCabe
Strategic Manager – Sustainability
and Transformation
Tel : (01904) 554527

Wards Affected:

All



For further information please contact the author of the report

Annexes

Annex 1 – Draft Better Decision making Tool

Abbreviations

BDMT – Better Decision making Tool
CSMC – Corporate & Scrutiny Management Policy & Scrutiny Committee
CYC – City of York Council
DETR – Department of the Environment, Transport and the Regions
GCSE – General Certificate of Education
GDP – Gross Domestic Product
GVA – Gross Value Added
IIAT – Integrated Impact Assessment Tool

LA – Local Authority

OPC – One Planet City

OPY – One Planet York

NEET – Not in Education, Employment or Training

R&D – Research and Development

VEI – Vibrant Economy Index

TTIP – Transatlantic Trade and Investment Partnership

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| Integrated Impact Assessment – informing our approach to fairness, sustainability and resilience | | | | | |
|--|--|--|-------------------------------------|---------------|--|
| Service | Service submitting the proposal | Name and job title of person completing the assessment | person completing assessment | Date created | <i>date assessment complete</i> |
| Directorate | <i>Service directorate</i> | | | Date approved | <i>date checked by service manager</i> |

When completing this assessment, please refer to **Guidance on completing an Integrated Impact Assessment** found in the [All About Projects](#) pages of Colin.


Part 1 of this form should be started as you commence your project, to be completed by Gateway 3.
Part 2 of this form should be completed by Gateway 5.

The Integrated Impact Assessment Tool (IAAT) should be completed for any proposal to change services, policies and strategies. The purpose of this new tool is to ensure that every proposal is the best it can be, proposals based on evidence and where the impacts are understood and fair, essentially a tool that delivers decisions we have confidence in.





| Section 2 : Evidence | |
|----------------------|--|
| 2.1 | <p>What data is available in relation to this proposal to understand its likely impact? (e.g. hate crime figures, obesity levels, recycling statistics)</p> |
| | |
| 2.2 | <p>What evidence (including all engagement and co design feedback) has been used to support this proposal? Is further evidence or consultation needed to fully understand its impact? (e.g. consultation with specific communities of identity)</p> |
| | |







| Section 3 : Impacts of the proposal | | | | | | |
|--|---------------------------------|---------|----------|--------|--|--|
| Summarise the likely positive impacts / new opportunities and any negative impacts that may arise from your proposal on staff or service users. | | | | | | |
| <p><i>Use this section to consider the impact of your proposal on:</i></p> <ul style="list-style-type: none"> • OnePlanetYork priorities • Health priorities • Equalities requirements (3.1 to 3.17 below) | Positive | Neutral | Negative | Unsure | Evidence and Ref | Commentary on the impacts (What are the impacts and how do you know?) |
| | please tick ✓ one impact column | | | | please ✓ If you have evidence and give a reference | |
|  Equity and local economy | | | | | | |
| 3.1 Helping to deliver the objectives in York’s Economic Strategy? | | | | | | |
| 3.2 The impact on the business community in York? | | | | | | |
| 3.3 Additional employment or training opportunities in the city? | | | | | | |






|   Health and Happiness and Culture and Community | | | | | | |
|---|--|--|--|--|--|--|
| <p>3.4 Support healthy, safe and inclusive communities?</p> <p>Improve the physical health or emotional wellbeing of staff or customers?</p> <p>Help improve health inequalities?</p> <p>Discourage risky behaviours such as taking drugs or irresponsible drinking?</p> <p>Reduce crime or fear of crime?</p> <p>Improve the safety or confidence of staff or customers?</p> <p>Improve access to services for people especially those who need it the most?</p> <p>Help bring people and communities together?</p> | | | | | | |




|   Zero Carbon and Sustainable Water | | | | | | |
|--|--|--|--|--|--|--|
| 3.5 Minimising the amount of energy or water we use and reducing the amount or energy or water we pay for in the future? | | | | | | |
| 3.6 Opportunities to generate energy from renewable/low carbon technologies? | | | | | | |
| 3.7 Opportunities to increase York’s resilience to future climate change by considering how our climate might change and what we can do to minimising these threats? | | | | | | |
|  Zero Waste | | | | | | |
| 3.8 Reducing waste and the amount of money we pay to dispose of waste by maximising reuse and/or recycling of materials? | | | | | | |
|  Sustainable Transport | | | | | | |




| | | | | | | |
|--|--|--|--|--|--|--|
| <p>3.9 Encouraging the use of sustainable, low cost transport such as walking, cycling, ultra low emission vehicles and public transport?</p> | | | | | | |
|  <p>Sustainable Materials</p> | | | | | | |
| <p>3.10 Reducing the environmental impact of the goods and services we buy and help create buildings, and services, which are cheaper to run in the future in terms of energy, water and waste expenditure?</p> | | | | | | |
|  <p>Local and Sustainable Food</p> | | | | | | |
| <p>3.11 Maximising opportunities to support local food initiatives?</p> | | | | | | |
|  <p>Land use and wildlife</p> | | | | | | |
| <p>3.12 Maximising opportunities to conserve and enhance the natural environment?</p> | | | | | | |
| <p>3.13 Creating sustainable new developments?</p> | | | | | | |



| | | | | | | |
|---|--|---------|----------|--------|---|--|
| 3.14 Maintaining and improving a quality built environment? | | | | | | |
| 3.15 Maintaining and improving the cultural heritage of York and preserve the character and setting of the historic city of York? | | | | | | |
|  Equality and Human Rights | | | | | | |
| 3.16 Will the proposal help advance equality or foster good relations between people in the ‘communities of identity’ and other groups. <i>(Consider how the proposal impacts on the ‘communities of identity’)</i> | Positive | Neutral | Negative | Unsure | <i>If there is evidence please tick ✓ the relevant column and include a reference</i> | Commentary on the impacts <i>what are impacts and how do you know? The quality of life indicators help considering impact.</i> |
| | <i>please tick ✓ one impact column</i> | | | | | |
| Age | | | | | | |
| Disability | | | | | | |
| Gender | | | | | | |
| Gender reassignment | | | | | | |
| Marriage and civil partnership | | | | | | |
| Pregnancy and maternity | | | | | | |
| Race | | | | | | |
| Religion or belief | | | | | | |
| Sexual orientation | | | | | | |
| Carer | | | | | | |



| | | | | | | |
|--|--|--|--|--|--|--|
| Lowest income groups | | | | | | |
| Veterans, Armed forces community | | | | | | |
|  Human Rights: <i>Consider how a human rights approach is evident in the proposal.</i> | | | | | | |
| Right to education | | | | | | |
| Right not to be subjected to torture, degrading treatment or punishment | | | | | | |
| Right to a fair and public hearing | | | | | | |
| Right to respect for private and family life, home and correspondence | | | | | | |
| Freedom of expression | | | | | | |
| Right not to be subject to discrimination | | | | | | |
| Other Right | | | | | | |

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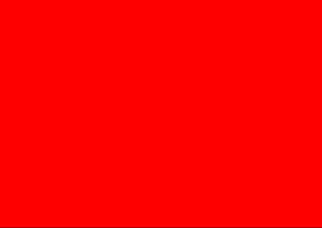

3.17 Continuation of the commentary on the Impacts

| | |
|--|--|
| | |
|--|--|



| | |
|-------------|---|
| 3.18 | What could be changed to improve the impact of the proposal? Have you any ideas how these changes might be achieved? |
| | |



| | | | | | |
|--------------------|---|---|---|---|---|
| <p>3.19</p> | <p>Taking into consideration your responses about the impacts, what would you consider the overall impact to be on creating a fair, healthy, sustainable and resilient city? <i>Please include a brief comment.</i></p> | | | | |
| | <p>Strongly positive</p> | <p>Moderately positive</p> | <p>Roughly neutral</p> | <p>Moderately negative</p> | <p>Strongly negative</p> |
| |  |  |  |  |  |



PART 2

This part builds on the impacts you indentified in PART 1 of the Integrated Impact Assessment. It focuses on developing further the understanding of the impacts this proposal will have on the priorities of the council and the wider city.

| Section 4: Developing understanding | |
|-------------------------------------|--|
| 4.1 | For the areas in Part 1 where you were unsure of the potential impact, what have you done to clarify the situation? |
| 4.2 | What changes have you made to the proposal to increase positive impact or reduce negative impact? |
| 4.3 | Are there any emerging issues or initiatives which will produce a combined impact with this proposal? <i>(e.g. are the same communities of identity also impacted by a different project or policy being implemented?)</i> |



Section 5 Planning for improvement

5.1 What are the outstanding actions needed to maximise benefits or mitigate negative impacts in relation to this proposal? *Please include the action, the person responsible and the date it will be completed*

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5.2

Taking into consideration everything you know about this proposal and any changes that have been made, what would you consider the overall impact to be on creating a fair, healthy, sustainable and resilient city? *Please include a brief comment*

| Strongly positive | Moderately positive | Roughly neutral | Moderately negative | Strongly negative |
|-------------------|---------------------|-----------------|---------------------|-------------------|
| | | | | |

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Executive

29 June 2017

Report of the Assistant Director Communities and Equalities
Portfolio of the Executive Member for Environment

Community Flood Resilience**Summary**

1. This report proposes measures to create greater community resilience in the event of future flooding and other emergencies within York.

Recommendations

2. The Executive is asked to:
 - a) Agree to use of contingency funding of £122.4k to fund the proposals set out in paragraphs 7, 12 and 19
 - b) Agree in principle the proposed restructure of the Flood Risk Management function and delegate to the Director of Economy and Place responsibility to deliver this within existing resources
 - c) Note the *Ready for Anything* programme and encourage relevant wards to take this up where it meets their needs

Reason: to increase community resilience in the event of future flooding incidents in York.

Background

3. At its February meeting the Executive agreed its response to the independent flood inquiry. The Executive committed to deliver a range of actions and the Council and Environment Agency (EA) action plans are now in place. The Executive also agreed to consider further reports with a view to allocating one-off funding to progress relevant actions, working closely with the Environment Agency and other key partners.
4. The city has a wide array of flood defence assets that reduce the risk of flooding in all but the greatest flood events. We are also working with the EA to use government funding provided for the further improvement and enhancement of these assets so that we

are better able to manage future flood events especially in the light of climate change. However, the risk of future flooding from our rivers can never be fully removed. Furthermore, intense rainfall can cause surface water flooding of highways and property in any part of the city since the design capacity for drainage systems can be overwhelmed during intense, localised storms. It is important that the city is prepared for such events. This report covers principally those aspects of preparedness for future flooding events that relate to community resilience.

5. All of us need to understand the causes of and risks associated with flooding and to be better prepared to protect ourselves and our property. Reflecting this, the concept of flood resilience runs through the core of the independent inquiry's report and a range of recommendations are identified concerning ways in which organisations, businesses, residents and visitors in the city could be better prepared for flooding and reduce its impacts.

Way Forward

6. It is now proposed to develop a flood resilience work programme in the city, working alongside partners and communities. Five elements are proposed:
 - a) Establishment of a Flood Resilience Role,
 - b) Restructure of the Flood Risk Manager function,
 - c) Enhancement of the Council's Emergency Planning function,
 - d) The *Ready for Anything* programme,
 - e) Hosting a Flood Defence Foundation Degree student.
7. **Community Resilience Role:** To take forward a programme to enhance community resilience, meeting a range of the recommendations made by the independent inquiry, it is proposed to establish a fixed-term Community Resilience Officer post. The post holder will develop programmes of work with all partners and communities. The proposed outcomes for the role are:
 - Engagement with communities and partners, including Flood Action Groups, Flood Wardens, and Local Resilience Forums
 - Promotion and increased take up of flood warden roles
 - More communities preparing community action plans
 - Promotion and increased take up the EA flood warning service, development of our flood recovery role, collation of flood incident data to support EA flood warning improvements

- Effective partnership working through enhanced relationships between the community, the local authority and key partners including the Environment Agency
 - Increased flood risk awareness promoting individual and collective action
 - Raised community awareness and empowerment through a programme of engagement, training and trial emergency exercises
 - Focus on the financial impacts of flooding on vulnerable groups
 - Development of wider awareness of flood risk insurance opportunities for residents and businesses
 - Working with schools and community youth organisations to develop learning packages
 - Awareness raising through flood fairs and themed campaigns
 - Support communities and businesses in the identification of effective flood resilience and resistance measures that can better prepare their property against the impacts of future flood events
 - Work with the Council and EA in the development of the York five year flood plan outputs
8. These outcomes will make a major contribution to ensuring that communities and businesses in York are more resilient to flood risk and are enabled proactively to manage flood risk and minimise the impact of future flooding. The post will work alongside broader Council initiatives that seek to support people to maintain their independence in their communities and homes through actively identifying the assets skills and knowledge of people and their support networks. For example, Adult Social Care staff are working to use the strengths of local communities and voluntary sector organisations to create new social bonds that will actively sustain and support people. The opportunity to identify and help people prepare for and, where possible, avoid crises arising not only from issues of personal health and social care, but also from the environment or their homes, will be extremely important to the aim of supporting resilient residents in the future.
9. It is proposed that the role is fixed-term for 18 months by which time it is expected that all the independent inquiry recommendations will have been delivered. At the end of this period an assessment will be made of how those recommendations that require long- term sustained delivery with communities will continue to be progressed

and a further report will be made to members with recommendations for the future.

10. **Flood Risk Management Function:** It is proposed to restructure the Flood Risk Manager role to increase it from a 0.5 FTE post to a full-time post. The Lead Local Flood Authority (LLFA) role was established by the Flood & Water Management Act (2010) and places duties on unitary and county level local authorities. The demands placed upon LLFAs require close liaison with all other Risk Management Authorities as well as internal and external partners to deliver solutions to manage current and future flood risks. The wide programme of works associated with the recommendations of the York Flood Inquiry, together with the significant additional flood risk and regeneration investment targeted on the city represent a significant commitment for the role of Flood Risk Manager. Providing sufficient capacity within the role will be key to successful delivery of these programmes.
11. The current Flood Risk Manager also functions as Highways Asset Manager. This role is key to developing local and national funding bids (attracting more than £10m in additional capital funding to the service in the next 5 years), developing policy, ensuring performance, implementing new methods (e.g. the innovative highways digital data collection trials currently being supported by DfT, and protecting the Council's position in legal proceedings. This role therefore warrants a full-time post and it is proposed to restructure to create full-time roles of both Flood Risk Manager and Highway Asset Manager. This will be achieved within existing revenue and capital budgets. The Flood Risk Manager will work alongside the EPU reporting to the Assistant Director (Assistant Director Transport Highways and Environment).
12. **Emergency Planning Unit (EPU):** The major floods experienced in 2012 and 2015 revealed a lack of resilience within the EPU with its two officers being required to work 14 hour shifts at key times. Whilst this was managed in the case of those events, an incident lasting for any longer period would render this arrangement unsustainable. Furthermore, should an incident occur when one of the officers was on leave the ability of the Unit to maintain an emergency planning officer presence within a Silver Command or tactical coordination group would be compromised.
13. To address this it is proposed that both the Community Resilience Officer (see above) and the Flood Risk Manager are added to the EPU rota. This will require the Community Resilience Officer post to

be established at a level where it is capable of functioning as an emergency planning assistant. This will increase the rota to 4 individuals, providing a satisfactory level of resilience and ensuring that the Council is able to meet its statutory obligations as a “Category One Responder”.

14. The independent inquiry recommended that a trial be conducted of training reserve emergency planning officers. It is considered that the measures proposed here to enhance the core EPU rota will provide a more robust solution than relying on staff who are already fully committed to current roles and lack the capacity to attend the regular training that would be required. It will also be more cost - effective, obviating the need for extensive on-call payments to a significant number of staff. Notwithstanding this, measures will be taken to provide enhanced emergency planning training for appropriate service managers. This will provide increased resilience in the event of an emergency, complementing rather than substituting for the core EPU competence in the first instance.
15. It is recommended that the proposed arrangements for EPU are established on a trial basis for 18 months. At the end of this period a review will be undertaken as set out in paragraph 9 above. This review will include the continued need for the Community Resilience Officer post and the impact on the EPU’s resilience of any new arrangements that may replace this post. The review will consider how successful training of service managers in the EPU role has proved and the potential of this arrangement over the long-term for enhancing EPU’s resilience.
16. **The *Ready for Anything* programme:** Following on from the good work of volunteers, community groups and businesses who responded to the Boxing Day 2015 floods, York CVS, supporting by the MIRT team, set up a programme to help provide a coordinated volunteering response in the event of future floods or other major incident. Residents and organisation that originally registered to help were contacted to sign up and attend training. This provision is now in place and CVS are ready to move on to address community resilience, building resources in areas which may be hit by flooding again. They plan to engage and support community groups to create local emergency plans and relay practical advice and support to households at risk of future floods, supporting community groups to:
 - Create emergency plans for their own neighbourhood using planning templates and adapting best practice to suit their needs
 - Distribute information in the community on flood readiness

- Identify and support neighbourhood champions to maintain two-way contact with statutory organisations in an emergency
 - Identify and publicise a local hall to be a meeting place and temporary shelter in an emergency
 - Purchase necessary equipment such as torches and hi-vis vests for community groups
 - As part of a wider programme to engage young people, create story sacks to reassure and inform young children on flooding.
17. CVS's initiative targets specific streets within the wards hit hardest by the 2015 floods. Working closely with the Council, the Major Incident Response Team (MIRT) and the Two Ridings Community Foundation and listening to community groups they have identified the practical measures which would be of real benefit to residents. A bespoke emergency process will be devised and implemented locally. This would mean a faster response to households affected by flooding or other emergencies. Residents would benefit from access to household emergency plans in a format appropriate to them enabling them to take measures to protect themselves and their property in a flood.
18. This package, which is available for Guildhall, Heworth, Huntington and New Earswick, Fishergate and Micklegate wards, is exactly the type of locally tailored solution meeting local priorities for which ward budgets were created and it is expected that wards will want to use their budgets for this purpose.
19. **Flood Defence Foundation Degree student:** The Council has hosted a student in the past on a placement that combines work based learning with block release to university. The enhanced Flood Risk Manager role would provide a staff resource to mentor such a student in conjunction with the EPU. This initiative would provide a further resource during the 2 years that the student would be with us creating greater resilience in the FRM and EPU, as well as a trained and competent person who could fill any future flood risk roles that may be available. Part funding by the Regional Flood and Coastal Committee is being explored. It is proposed that officers explore this possibility further including whether this could be formally recognised as a Council apprenticeship opportunity.

Council Plan

20. This initiative furthers a number of Council Plan priorities including:
- Local businesses can thrive

- Residents live and thrive in a city which allows them to contribute fully to their communities and neighbourhoods
- Residents are encouraged and supported to live healthily
- Residents are protected from harm

Implications

21. **Financial:** The proposals contained in this paper have the following costs:

Community Resilience Officer:

- Salary including on-costs over 18 months: £50k
- Operational budgets over two financial years:
 - Event and promotional materials – leaflets, posters, mapping, DVDs etc. £20k
 - Event delivery £10k
 - Development of communication and awareness materials e.g. flood awareness stickers on bins, GIS/computer visualisations, linkages with museum exhibits, branded dry bags for valuable documents, demonstration homes/displays for flood resilient products £30k

Flood Risk Management Function restructure: This will be funded within existing budget resources.

The *Ready for Anything* programme: This is available for wards for them to buy into if they wish using their ward budgets.

Flood Defence Foundation Degree student: The cost to the authority would be £12,400 spread over two financial years. Part funding by the Regional Flood and Coastal Committee is being investigated.

The total one-off costs arising over two years total £122.4k including the full costs of the student.

The 2017/18 budget report identified that community resilience was a potential drawdown from the contingency. The contingency budget approved within the 17/18 budget is £500k; however elsewhere on the agenda it is recommended to carry forward £549k of unallocated contingency from 16/17. This would make the contingency £1,049k. If the recommendations of this report are accepted this would be reduced to £926.6k.

Any future ongoing recurring costs would need to be considered by Members through the annual Budget reports

22. The Better Decision Making tool has been used to identify impacts. These impacts are very positive; however, the need is highlighted for careful engagement with all communities of identity in York alongside geographical communities.

Risk Management

23. In compliance with the Council's risk management strategy the main risks that have been identified associated with the proposals contained in this report are those which could lead to the inability to meet business objectives and to deliver services, leading to damage to the Council's reputation and failure to meet stakeholders' expectations. The level of risk is assessed as "Low". This is acceptable but means that regular monitoring is required of the operation of the new arrangements.

Contact Details

| | | | |
|--|---|--|--------------|
| Author: | | Chief Officer responsible: | |
| Charlie Croft Assistant Director Communities and the Equalities | | Neil Ferris Corporate Director Economy and Place | |
| Report Approved | ✓ | Date | 15/06/17 |
| Specialist Implications Officers: Patrick Looker | | | |
| Wards Affected: | | | All ✓ |
| For further information please contact the author of the report | | | |

Background papers: None

Annexes: None



Executive

29 June 2017

Report of the Corporate Director Economy and Place

Minerals and Waste Joint Plan – Proposed Changes

Purpose of the Report

1. To update Members on the outcomes of the consultation on the Publication draft Minerals and Waste Joint Plan and ask Members to approve the Proposed Changes to the Joint Plan for the purposes of public consultation.

Summary

2. Following approval by Executive on 13 October 2016, and equivalent approval by North Yorkshire County Council and the North York Moors National Park Authority, the Minerals and Waste Joint Plan (Joint Plan) was published for representations under Regulation 19 of the Town and Country Planning (Local Planning) (England) (Amendment) Regulations 2012 on 9 November 2016.
3. A six week period for representations was provided, closing at 5pm on 21 December 2016. Within that period a total of 1,470 specific comments were received from 200 respondents. The majority of responses relate to the policy approach for hydrocarbons (oil and gas) development. A summary of the representations is attached at Annex A.
4. In accordance with the Regulations, the purpose of publishing the Joint Plan was to provide an opportunity for those interested in the Plan to make representations on matters of soundness (i.e. whether the Joint Plan meets the tests of soundness for local plans as established in national planning policy and whether it complies with relevant legislation including the statutory Duty to Cooperate on strategic cross-boundary issues).

5. Representations received on the published Joint Plan need to be provided to the Planning Inspectorate alongside the Plan, when it is submitted for independent Examination in Public (EiP). These representations, together with any changes proposed by the Joint Plan authorities, will need to be considered by the Inspector appointed to conduct the EiP.
6. In the light of representations received and other relevant matters such as updates in national policy, a draft schedule of proposed changes to the published Joint Plan, has been prepared in discussion with officers of North Yorkshire County Council and the North York Moors National Park Authority. This is contained in Annex A. Following legal advice, it was agreed that this Schedule of Proposed Changes should be subject to public consultation before any changes are submitted for Examination.
7. The Schedule of Proposed Changes attached at Annex B has been approved for consultation by Members at North Yorkshire County Council on 7 March 2017 and North York Moors National Park Authority on 20 April 2017.
8. Officers have made some further minor changes to reflect the importance of York's draft Green Belt. The Schedule of Proposed Changes attached at Annex A will be reported to City of York Council Local Plan Working Group on 27 June with a recommendation that they are recommended for approval for consultation by Executive on 29 June 2017. The consultation would take place during summer 2017.
9. Following consultation, the full Minerals and Waste Joint Plan (MWJP) and representations received will be reported again to Local Plan Working Group and Executive for consideration. Subject to the outcome of that consultation, the Executive may be invited to recommend to Full Council (and the equivalents at the joint authorities) that the MWJP be submitted for examination in Public by an independent planning inspector.

Recommendations

10. Members are asked to:

- i) Note the representations received on the Publication Minerals and Waste Joint Plan for North Yorkshire, York and the North York Moors National Park (Annex A);

Reason:- For information and to provide a context to the proposed changes.

- ii) Approve the draft Minerals and Waste Joint Plan for York, North Yorkshire and North York Moors National Park Schedule of Proposed Changes (Annex B) for the purposes of consultation;

Reason:- So that an NPPF compliant Joint Waste and Minerals Plan can be progressed

- iii) Agree that the Director of Economy and Place in consultation with the Executive Member for Transport and Planning be authorised to make non-substantive editorial changes to the Schedule of Proposed Changes (Annex B) and other supporting documents proposed to be published alongside the Plan;

Reason:- So that an NPPF compliant Joint Waste and Minerals Plan can be progressed

Background

11. The City of York Council as a unitary authority is also a waste and minerals planning authority and to satisfy the provisions in Planning Policy Statement 10 and the National Planning Policy Framework, it must develop the necessary policies for minerals and waste. This statutory responsibility effectively involves identifying all waste arising in the area from all sources, such as, household, commercial, hazardous and agricultural, and demonstrating how this is dealt with spatially. With regard to minerals it is necessary to identify the requirement for minerals including aggregates and how these will be sourced. Both these tasks have to be addressed for the lifetime of any development plan.
12. City of York is currently preparing a Local Plan with strategic policies on minerals and waste and a separate joint minerals and waste

development plan document with North Yorkshire County Council and the North York Moors National Park Authority. This is known as the Minerals and Waste Joint Plan.

13. The Joint Plan addresses a range of issues relating to the future supply of minerals and needs for waste infrastructure over the period to 31 December 2030. Key issues include:

- Planning for the future supply of aggregates minerals such as sand and gravel and crushed rock, as well as other minerals currently worked in the area;
- Developing policy to respond to newer forms of development such as shale gas;
- Identifying requirements for additional waste management capacity needed to fill any capacity 'gaps' in the existing network of facilities;
- Addressing requirements for safeguarding minerals resources and important infrastructure;
- Developing a range of new development management policies to help determine planning applications for minerals and waste development;
- Identifying a range of site allocations for minerals and waste development where development would be regarded as acceptable in principle (see Appendix 1 to the Preferred Options consultation document).

14. The Minerals and Waste Joint Plan has involved a number of key public consultation stages to ensure there is every opportunity for community involvement. The key stages include:

- First Consultation (completed May/June 2013)
- Issues and Options Consultation (Completed March/April 2014)
- Additional or Revised Sites Consultation (Completed January/February 2015)
- Preferred Options Consultation (Completed November 2015 - January 2016)
- Publication stage (Completed November - December 2016)
- **Post-Publication Proposed Changes Consultation** (Scheduled for July 2017)
- Submission stage (Anticipated early 2018)
- Examination in Public (Anticipated Spring 2018)
- Adoption (Anticipated Summer 2018)

15. The dates above show some departure from the City of York Council's Local Development Scheme (LDS) published in July 2016. The LDS currently states submission in April 2017, Examination in June/July 2017, Adoption in October/November 2017. The slippage reflects the additional stage of consultation on the Proposed Changes ahead of Submission as proposed in this report. A revised LDS will be reported to Members alongside the final documents ahead of Submission in due course. Officers are currently reviewing the timetable with colleagues at NYCC and NYM to see if it is possible to move forward more quickly.

16. Annex A provides an overview of the main points raised in representations to the Publication draft Plan. Whilst a wide range of matters have been raised in representations, key matters include:
 - hydrocarbons - concerns about impacts from shale gas development and related fracking in the area and whether the policies go far enough in providing robust protection to the environment and local communities;
 - whether the policies place unreasonably onerous restrictions on oil and gas development and are not sufficiently consistent with national policy and legislation in this respect;
 - whether further consultation should have taken place on the proposed approach for hydrocarbons prior to finalisation of the Plan for publication;
 - whether the proposed approach to planning for specific types of minerals, particularly aggregates, silica sand and potash is appropriate;
 - whether the proposed approach to policy relating to protection of National Parks/AONBS and the Green Belt are appropriate;
 - the approach to safeguarding of minerals resources, waste sites and minerals and waste transport infrastructure;
 - concerns about particular sites proposed for allocation, or discounted from allocation.

Legislation and Guidance

17. In considering the proposed approach to submission of the Joint Plan, it is important to have regard to the following legislation and guidance. Section 20 of the Planning and Compulsory Purchase Act 2004 as amended requires that the plan must not be submitted unless relevant

regulations have been complied with and the authority considers that the document is ready for examination.

18. National Planning Practice Guidance indicates that the authority should submit a plan with 'any proposed changes it considers appropriate', the documents made available at publication stage, details of who was consulted and how the main issues are addressed, details of representations following publication and a summary of the main issues raised. It does not give any further detail on the procedure relating to proposed changes.
19. Procedural Practice in the Examination of Local Plans, published by the Planning Inspectorate in 2016, emphasises that the publication plan should be the plan it intends to submit for examination. It indicates that if the authority wishes to make changes to the publication plan those changes should be prepared as an addendum to the plan and should be subject to further consultation/sustainability appraisal before submission. It highlights that changes post submission are to cater for the unexpected – it is not to allow the authority to complete or finalise preparation of the plan. Main modifications will only be considered necessary to make the plan sound or compliant with the Regulations.
20. This guidance also states that where an addendum of focussed changes is submitted with the plan the Inspector will need to assess it – whether there is a change to strategy and whether there has been consultation. If satisfied on these points the addendum can be considered as part of the submitted plan. If this is not the case the Inspector may treat these as other main modifications at post submission/pre hearing stage. Authorities can make minor modifications to a plan on adoption and will be accountable for the scope of these.

Proposed Changes

21. As stated above, the Publication version of the Plan should be the Plan that the Authorities should consider to be sound and ready to submit and any changes post-publication must not be used to complete or finalise the Plan. Therefore, the changes included in the Schedule of Changes are:
 - to clarify policies/supporting text following the submission of representations which highlighted the lack of clarity or understanding

- to correct typographical errors
- to provide factual updates i.e. to reflect new guidance or policy or change in name of organisations etc
- to align our definitions/policies to the national approach.

22. In response to representations received on the Publication draft, and to deal with some other more minor issues, legal advice has been obtained and a draft Schedule of Proposed Changes has been prepared. This Schedule has been agreed following discussions with officers from North Yorkshire County Council and the North York Moors National Park Authority and is provided as Annex B.
23. The Proposed Changes do not change the direction of policy previously agreed by Members as part of the Publication draft Joint Plan. Instead, they provide further clarification of matters addressed in the Plan and put forward a number of other revisions in response to matters raised in representations, some of which affect the wording of policy. The changes also update on any relevant factual changes and correct minor typographical or formatting issues with the text of the Joint Plan.
24. The more significant changes relate to the hydrocarbon policies where a number of clarifications have been made to supporting text, for example, to clarify various aspects of the nature of development and production of conventional and unconventional gas, and to clarify the current regulatory requirements.
25. A Sustainability Appraisal and Strategic Environmental Assessment (SA/SEA) has been carried out for the Proposed Changes and it is not considered that any of the proposed changes will have any negative significant effects. The SEA is attached at Annex C.
26. It is considered that the proposed changes, individually and in combination, are generally relatively minor in nature and would not result in any revision to the overall strategy contained in the published Joint Plan. However, taking into account the guidance summarised in paragraphs 15 to 18 above, and the lack of any specific criteria to determine the significance of the proposed changes in the context of the EiP process, further legal advice has been sought jointly on behalf of the three Authorities on the appropriate process for dealing with the proposed changes in the lead up to submission of the Plan, including whether it would be appropriate to consult on them prior to submission.

27. In summary, the legal advice stated that:

- (1) There was no legal requirement to consult on changes made to the “Preferred Options” version of the draft Plan before it was published.
- (2) However, it is necessary to consult on the changes now proposed to the published draft Plan before it is submitted for examination.
- (3) After the consultation on the changes to the published draft Plan has been completed, then if no further changes are then considered necessary, it will not be necessary to undertake yet another consultation on a “composite” version of the draft Plan.
- (4) If there are such further changes to be made at that stage, it is considered that a further consultation on those changes alone is highly likely to be required, before the draft Plan is submitted, if those changes are material. However, it is not possible to be definitive at this stage about what will be required until those further changes, if any, are known.

28. The purpose of consulting on the proposed changes prior to submission is to enable the Council to consider representations as to whether further changes are required. If no further changes are required, consideration of the consultation responses will demonstrate for the Inspector the rationale behind the Submission Draft and Proposed Schedule of Changes. If this consultation stage is not undertaken, it risks delay in the Examination, which would be likely to be stayed pending further consultation.

Financial Implications

29. The estimated costs related to this stage of the production of the Minerals and Waste Joint Plan are outlined in the table below. The costs will need to be contained within budgets across the directorate that support the Local Plan and Waste Strategy.

| Stage/task | Estimated total cost | CYC cost* (55:25:20) | Comment |
|---|-----------------------------|-----------------------------|---|
| 2017/18 | | | |
| Consultation on proposed changes (printing/document distribution) | £1,000 | £250 | Estimate based on equivalent costs at Publication stage |
| Preparation/printing/ | £8,000 | £2,000 | Estimate based on |

| | | | |
|--|----------------|----------------|---|
| press notice for submission documents | | | equivalent costs at Publication stage |
| EiP Programme Officer costs | £5,000 | £1,250 | Estimate based on maximum requirement for 50 days total time (half before Examination) input at contracted rate |
| EiP legal costs | £3,000 | £750 | Assumed at 2 days input (pre examination) at £1,500 per day |
| Total for 2017/18 | £17,000 | £4,250 | |
| 2018/19 | | | |
| EiP Programme Officer costs | £5,000 | £1,250 | Estimate based on maximum requirement for 50 days total time (half during Examination) input at contracted rate |
| EiP legal costs | £12,000 | £3,000 | Assumed at 8 days input at £1,500 per day |
| Other EiP costs (venue etc) | £5,000 | £1,250 | Assumed need to hire venue for 10 days at £500/day. Use of internal venue would avoid this cost |
| PINS costs (EiP Inspector) ¹ | £40,000 | £10,000 | Estimate based on assumed total Inspector time requirement of 40 days at c.£1,000/day (local plans examinations fee regs) |
| Adoption costs (press notices, printing) | £4,000 | £1,000 | Estimate based on equivalent costs at Publication stage |
| Total for 2018/19 | £66,000 | £16,500 | |
| Total | £83,000 | £20,750 | |

*CYC has agreed to pay 25% of the total costs of the Joint Plan.

Council Plan

30. Under the 2015-2019 Council Plan objectives the project will assist in the creation of a Prosperous City for All, and be a Council that listens to residents particularly by ensuring that:
- i. Everyone who lives in the city can enjoy its unique heritage and range of activities.*
 - ii. Residents can access affordable homes while the greenbelt and unique character of the city is protected.*
 - iii. Visitors, businesses and residents are impressed with the quality of our city.*
 - iv. Local businesses can thrive.*
 - v. Efficient and affordable transport links enable residents and businesses to access key services and opportunities.*
 - vi. Environmental Sustainability underpins everything we do.*
 - vii. We are entrepreneurial, by making the most of commercial activities.*
 - viii. Engage with our communities, listening to their views and taking them into account.*

Implications

31. The following implications have been assessed.

- **Financial** – These are detailed in paragraph 28 above.
- **Human Resources (HR)** – The production of a Minerals and Waste Joint Plan and associated evidence base requires the continued implementation of a comprehensive work programme that will predominantly, although not exclusively, need to be resourced within EAP.
- **One Planet Council / Equalities** - Better Decision Making Tool attached at Annex D.
- **Legal** – The statutory process must be followed in preparing and consulting upon the joint plan and decisions must be taken by each of the separate Authorities involved in their own constitutional decision making processes. The statutory duty to co-operate applies (created by S110 Localism Act 2011). If the Minerals and Waste Joint Plan is adopted by all three Councils, it will eventually become part of the statutory development plan for York along with the emerging York Local Plan. The Plans should therefore be in conformity particularly in relation to any site allocations and

safeguarded areas proposed within the York area in the Joint Minerals and Waste Plan.

- **Information Technology (IT)** - There are no IT implications
- **Crime and Disorder** – None.
- **Information Technology (IT)** – None
- **Property** – The Plan includes land within Council ownership.
- **Other** – None

Risk Management

32. In compliance with the Council's risk management strategy, the main risks in producing a Minerals and Waste Plan are as follows:
- The need to steer, promote or restrict minerals and waste development across its administrative area:
 - The potential damage to the Council's image and reputation if a development plan is not adopted in an appropriate timeframe; and
 - Risks arising from failure to comply with the laws and regulations relating to Planning and the SA and Strategic Environmental Assessment processes and not exercising local control of developments.
33. Measured in terms of impact and likelihood, the risks associated with this report have been assessed as requiring frequent monitoring.

Next Steps

34. Should all Members from the three authorities approve this Plan for consultation purposes, it is anticipated that an 8 week consultation will run July to September 2017 to allow people to make representations on the Proposed Changes (this extended period is to take account of the summer holiday period, as required by the Council's SCI). This consultation will be in compliance with the adopted City of York Statement of Community Involvement as well as the other Joint Authorities' SCIs.
35. The Submission draft Plan, the Proposed Changes and any representation received will then be presented to Local Plan Working Group and Executive for consideration. If no further changes are required it will be recommended to Full Council that the Schedule of Changes and Plan be submitted to the Secretary of State. Approval of the Plan for Submission and for Examination in Public is a function of

Full Council which will also be required from North Yorkshire County Council and North York Moors National Park Authority.

36. The Submission documents will include those that were made available at the Publication stage (updated as necessary), including details of who was consulted when preparing the Joint Plan (at Regulation 18 stage) and how the main issues raised have been addressed. Details of the representations made following publication of the Joint Plan and a summary of the main issues raised will also be included. A copy of the Proposed changes and any representation received will also be included. A Statement of Representations Procedure will be published alongside the submission version of the Joint Plan.
37. A pre-examination meeting, Examination in Public and Inspector's report will follow in Spring 2018, with an anticipated adoption of the Joint Plan in Summer 2018.

Options

38. Officers request that Members consider the following options:

Option 1: *That they approve the Minerals and Waste Joint Plan Schedule of Proposed Changes for the purpose of public consultation;*

Option 2: *That they approve the Minerals and Waste Joint Plan Schedule of Proposed Changes for the purpose of public consultation subject to amendments agreed at this meeting;*

Option 3: *That that they reject the Minerals and Waste Joint Plan Schedule of Proposed Changes and request that further work is undertaken or an alternative approach is taken.*

Analysis

39. It is considered that the best option is to approve the Minerals and Waste Joint Plan Proposed Changes documents for consultation in July-September 2017 as per Option 1. This will ensure that the industry and public are given the opportunity to view the proposed changes to the Plan ahead of Submission.

40. The option outlined above accords with the following priorities from the Council Plan:

- A prosperous city for all.
- A council that listens to residents.

Contact Details

Author:

Rebecca Harrison
Development Officer
Strategic Planning

(01904) 551667

Chief Officer Responsible for the report:

Mike Slater
Assistant Director Planning and Public
Protection

Tel: (01904) 551300

Executive Member Responsible for the Report:

Cllr Ian Gillies

**Report
Approved**

✓

Date 15/06/2017

Specialist Implications Officer(s):

Patrick Looker, Finance Manager
Alison Hartley, Senior Solicitor, Planning

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

For further information please contact the author of the report

Background Papers: None

Annexes:

- Annex A: Summary of responses received during consultation
[Online]
- Annex B: Schedule of Proposed Changes
- Annex C: SEA of Proposed Changes
- Annex D: Better Decision Making Tool

Glossary of Abbreviations

- EiP – Examination in Public
- MWJP – Minerals and Waste Joint Plan
- LDS – Local Development Scheme
- AONB – Area of Outstanding Natural Beauty
- SA/SEA – Sustainability Appraisal / Strategic Environmental Assessment
- CYC – City of York Council
- PINS – Planning Inspectorate
- SCI – Statement of Community Involvement
- NPPF – National Planning Policy Framework

Addendum of Proposed Changes to Publication Draft of the Minerals and Waste Joint Plan

Key

Example: New Text

Example: Deleted Text

Example: Text in bold is Policy wording

Part A - Proposed changes initiated by the LPAs

| PC No. | Page Number | Policy Ref/Paragraph Number/Reference point | Change proposed | Reason |
|--------|-------------|---|---|---|
| PC01 | 2,3 | Sub-heading 'About this Document' | Delete sub-heading About this Document and all subsequent text on pages 2 and 3. | To reflect the closure of the publication phase of the Plan |
| PC02 | 25 | Para. 2.54 16 th line | ...were publisjhed by... | To correct a typographical error |
| PC03 | 78 | Para. 5.108 2 nd line | Please note that the references to 'DECC' in Figure 13 should now be read as references to DBEIS as its successor | To correct a typographical error |
| PC04 | 84 | Policy M16 d) i) 3 rd line | ... the policies map or is are otherwise considered... | To correct a typographical error |
| PC05 | 86 | Para. 5.121 5 th sentence | ... reference to their special qualities can be found in the relevant Management Management Plan for the area. | To correct a typographical error |
| PC06 | 87 | Para. 5.125 5 th Sentence | This includes the need to take account of any Impact Risk Zones identified by Natural England for SACs, SPAs, Ramsar sites and SSSIs , via the requirements ... | To correct a typographical error |
| PC07 | 102 | Potash, Polyhalite and Salt Section | Replace section heading Potash, Polyhalite and Salt with Potash and Salt | For consistency with proposed modifications to paras. 5.171 and 5.172 |
| PC08 | 102 | Para 5.171 | Replace current para. 5.171 " There are various forms of potassium-bearing minerals which can be mined for potash including sylvinite, polyhalite and carnalite. Potash is mainly used as a fertiliser. Rock salt may occur in association with | To clarify terminology relevant to potash and salt mineral resources |

| | | | | |
|------|-----|---|---|--|
| | | | <p>potash and is commonly used for de-icing roads. Both potash and salt occur at substantial depths below the eastern part of the plan area, where existing extraction takes place. Identified resources lie mainly beneath the North York Moors National Park.”</p> <p>with:</p> <p><u>Potash is the generic term for potassium bearing minerals and has an important economic value for fertiliser. Within the Plan area it takes the form of sylvinitite, which can be processed to create ‘muriate of potash’, and polyhalite, which although lower in terms of potassium content, also includes other important plant nutrients, particularly sulphur. Rock salt may occur in association with potash and is commonly used for de-icing roads. Both potash and salt occur at substantial depths below the eastern part of the Plan area, where existing extraction takes place. Identified resources lie mainly beneath the North York Moors National Park.</u></p> | |
| PC09 | 102 | Policy M22 1 st para. 1 st line | Revise first line: Proposals for the extraction of potash, and salt or polyhalite from new sites.... | To clarify terminology relevant to potash and salt mineral resources |
| PC10 | 102 | Policy M22 2 nd para. 2 nd line | Revise second line: Proposals for new surface development and infrastructure associated with the existing permitted potash, polyhalite and salt mine sites in the National Park, | To clarify terminology relevant to potash and salt mineral resources |
| PC11 | 103 | Para 5.172 | <p>Replace current para. 5.172</p> <p>Potash is identified as a mineral of local and national importance in the NPPF, which requires policies to be included for its extraction. There is however no requirement within national policy to maintain a certain level of potash reserves. Potentially viable and accessible resources of potash are understood to lie mainly beneath the North York Moors National Park. Where proposals for new potash (including polyhalite) mining activities are located within the National Park they will need to be considered in accordance with the requirements of the major development test (Policy D04). This includes extensions to the operating period or renewal applications for the existing mine sites at Boulby and Doves Nest Farm. For these reasons it is not considered appropriate to allocate proposed sites in the Joint Plan but to consider any new proposals against the policy requirements set out above.</p> | To clarify terminology relevant to potash and salt mineral resources |

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| | | | <p>with:</p> <p><u>In planning terms, the differentiation between the two forms of potash is important, in relation to the policy requirements of the major development test relating to need assessment. There is an existing national requirement for the sylvinite form of potash, whereas polyhalite is new to the global fertiliser market and is not yet an established product. Planning permission for Boulby Mine allows for the extraction of 'potash', covering both sylvinite and polyhalite (and also rock salt), whereas the 2015 permission for Sirius Minerals at Doves Nest is restricted to polyhalite only. Another important distinction is the fact that sylvinite requires processing and therefore has significant additional infrastructure requirements, whereas when polyhalite is mined the entire ore is used with only the need for granulation. In Policy M22, the term 'potash' means all forms of the mineral unless where otherwise explicitly stated.</u></p> | |
| PC12 | 115 | Policy W02 4) | ... where they would be in line with the requirements of Policies <u>Policies W10 and W11.</u> | To correct a typographical error |
| PC13 | 121 | Policy W03 2) | ... with the site locational and identification principles in Policies <u>Policies W10 and W11 will be permitted.</u> | To correct a typographical error |
| PC14 | 135 | Para. 6.94 last sentence | ... under Policies W10 and W11 and other relevant policies <u>policies</u> in the Joint Plan as appropriate. | To correct a typographical error |
| PC15 | 145 | Para. 7.12 3 rd Sentence | ... constitute permitted development under the Town and Country Planning (General Permitted Development) <u>(England) 2015 Order</u> 1995 (as amended). | To update sentence to refer to the current legislation |
| PC16 | 146 | Policy I02 2) | <u>In addition, within the City of York area, development of ancillary minerals infrastructure will also <u>only</u> be permitted provided the following criteria are met:</u> | To clarify the meaning of the policy. |
| PC17 | 149 | Policy S01 1 st paragraph of Part 2) | <u>Potash and (including polyhalite) resources within the Boulby Mine licensed permitted area ...</u> | To clarify the status of the relevant area |
| PC18 | 151 | Para. 8.17 6 th line | Revise 3 rd sentence: ...However, it would be appropriate to safeguard reserves and resources within the area licensed for extraction from that part of the Boulby Mine <u>permission area indicated on the Policies Map (the only active potash</u> | To clarify the status of the relevant area |

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| | | | mine in the Plan area), along with those resources forming part of the York Potash project that have been identified with a higher degree of confidence (i.e. the indicated and inferred resources). This will ... | |
| PC19 | 155 | Para. 8.30 3 rd line | ... due, for example, to noise, dust, odour or ... | To correct a typographical error |
| PC20 | 166 | Policy D04 Final sentence of final paragraph of Part 1) | Revise final sentence of final paragraph of Part 1): Appropriate and practicable compensation will be required for any avoidable unavoidable effects which cannot be mitigated. | To correct a typographical error |
| PC21 | 175 | Para. 9.53 5 th line | Revise sentence: ..the development of enhanced ecological networks to improve reliance <u>resilience</u> and help to ... | To correct a typographical error |
| PC22 | 178 | Para. 9.63 | Add a return at end of paragraph to distinguish from para. 9.64 | To improve presentation of the document |
| PC23 | 188 | Key links to other relevant policies and objectives | Strategic Policies <u>Policies</u> in Chapter 5, 6 and 7 and Policies D07, D09, D10, D13 | To correct a typographical error |
| PC24 | 194 | Text following Para. 10.1 | Delete: Note: when providing a response relating to a specific site please ensure the site reference number is included with the relevant comments. | To reflect the closure of the publication phase of the Plan |
| PC25 | 30, 45, 82, 85 and 89 of Appendix 1 | Reasons for allocating site | ... supply of aggregates (Policy M01) and the provision of crushed road <u>rock</u> (Policies M05 and M06) and could contribute to ... | To correct a typographical error on these 5 pages |
| PC26 | 137 and 144 of Appendix 1 | 'Submitted by' row | Revise: Stephenson & Son (on behalf of Mr W R Smith <u>E Wilkin</u>) | To correct a factual error on these 2 pages |
| PC27 | 159 of Appendix 2 | Safeguarded Waste Site Contents list | Insert new safeguarded waste transfer (non-hazardous) site into table: <u>Showfield Lane, Malton</u> Revise waste facility type description for Knapton Quarry to : Composting, <u>transfer, treatment and recycling</u> | Consequential change arising from response to consultation |
| PC28 | 159 of | Waste Site Name column | Revise ... | To correct typographical errors |

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| | Appendix 2 | at start of Appendix 2 | Unit 8, Marsden <u>Marston</u> Business Park Genta Environmental, Marsden <u>Marston</u> Business Park ... Tofts Road, Kirkby <u>Kirby</u> Misperton ... Dalkia Bio Energy Ltd <u>Stobart Group</u> Burnistion <u>Burniston</u> ... Cauklands <u>Caulklands</u> /Thornton-le-Dale ... | and an operator name change |
| PC29 | 169 of Appendix 2 | Site Name on Plan | Unit 8 Marsden Moor <u>Marston</u> Business Park, Tockwith | To correct a typographical error |
| PC30 | 170 of Appendix 2 | Site Name on Plan | Genta Environmental, Marsden Moor <u>Marston</u> Business Park, Tockwith | To correct a typographical error |
| PC31 | 182 of Appendix 2 | Page 182 | Delete page 182 and <u>re-number following pages</u> | To remove a duplicate of the plan already shown on page 181 |
| PC32 | 198 of Appendix 2 | Site Name on Plan | Stonefall, Weatherby <u>Wetherby</u> Road, Harrogate | To correct a typographical error |
| PC33 | 201 of Appendix 2 | Boundary of safeguarded site for Skipton HWRC | Revise boundary to reflect allocated area WJP17 | For consistency |
| PC34 | 209 of Appendix 2 | In Site Name column | Dalkia waste site <u>Stobart Group</u> | To update an operator name change |
| PC35 | 226 of Appendix 2 | Site name on Plan | Whirtby <u>Whitby</u> Port | To correct a typographical error |
| PC36 | 227 of | Site name on Plan | Queens Stairhes <u>Staithe</u> | To correct a typographical error |

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| | Appendix 2 | | | |
| PC37 | 229 of Appendix 2 | In Site Name column | Outgang Lane, Oswaldkirk <u>Osaldwick</u> ... Ricall <u>Riccall</u> Airfield ... | To correct typographical errors |
| PC38 | 249 of Appendix 2 | Site name on Plan | Outgang Lane, Oswaldkirk <u>Osaldwick</u> | To correct a typographical error |
| PC39 | 257 of Appendix 2 | Site name on Plan | Ricall <u>Riccall</u> Airfield | To correct a typographical error |
| PC40 | 264 of Appendix 3 | Indicator 5 'Action Required if Trigger Point hit' column : | Review of provision of crushed rock site allocations if <u>if</u> -necessary | To correct a typographical error |
| PC41 | Policies Map | Map | Include <u>Areas of Search polygons</u> on the policies map | To correct an omission |
| PC42 | Policies Map | Map Key | Revise references in Key to potash or polyhalite in the supporting justification to <u>potash and salt</u> | For consistency with the text of the Plan |

Part B - Proposed changes in response to representations

| PM No. | Page Number | Policy Ref/Paragraph Number/Reference point | Change proposed | Reason |
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| PC43 | 18 | Para. 2.26 2 rd line | Revise para: The NPPF also places emphasis upon conserving important landscape and heritage assets by requiring that landbanks of non-energy minerals are, <u>as far as is practical</u> , provided outside National Parks, AONBs ... | To reflect consistence with national policy |
| PC44 | 18 | Para. 2.26 4 th sentence | Revise para: The NPPF advises that in considering planning applications substantial weight should be given to any harm to the Green Belt but <u>inappropriate development is by definition harmful to the Green Belt and should not be approved except in very special circumstances.</u> It also advises that minerals extraction is not considered to be inappropriate development within the Green Belt, provided the development <u>it preserves openness and</u> would not conflict with the purposes of including land within it. <u>Harm to assets, including landscape and heritage assets, relevant to the purpose of Green Belt designation equate to harm to the purposes of Green Belt designation.</u> <u>Green Belt policy</u> This is addressed further ... | To clarify the national policy context relating to Green Belt. |
| PC45 | 25 | Para. 2.54 16 th line | Revise para: ...Plan period. Marine Plans for the East Inshore and East Offshore areas, covering the area south of Flamborough Head, were published by DEFRA <u>the Marine Management Organisation</u> in April 2014. These recognise ... | To correct a factual error |
| PC46 | 25 | Para. 2.54 | Add new sentence at end of Para. 2.54: <u>For the area north of Flamborough Head, and pending finalisation of a North East Marine Plan, reference should be made to the national Marine Policy Statement, which also highlights the importance of marine aggregates in supplying the construction industry.</u> | To clarify the status of marine planning in the area |
| PC47 | 29 | Para. 2.68 last sentence | Revise last sentence of para. 2.68: These imports, <u>other than clear glass grade silica sand</u> , are thought to relate ... | To clarify the specific position relating to silica sand |
| PC48 | 33 | Para. 2.88 2 nd bullet point | Revise 2 nd bullet point: Cross boundary supply issues relating to silica | To more closely align the text |

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| | | | sand, which is a mineral of national significance <u>importance</u> . | with national policy |
| PC49 | 46 | Para. 4.11 3 rd bullet point, part c) | Add additional text to end of 3 rd bullet point, part c): ... in the Plan area <u>or other significant regulatory changes relevant to the development of local planning policy</u> | To further clarify where review may be required |
| PC50 | 55 | Policy M06 1 st para. | A minimum overall landbank of 10 years will be maintained for crushed rock throughout the plan period. A separate minimum 10 year landbank will be identified and maintained for Magnesian Limestone crushed rock <u>throughout the plan period</u>. | To clarify the proposed approach |
| PC51 | 64 | Para. 5.55 15 th line | ... East Coast Inshore and Offshore Marine Plans (DEFRA <u>MMO</u> 2014) should help ... | To correct a factual error |
| PC52 | 68 | Para. 5.68 4 th sentence | Revise 4 th sentence: Neither of <u>Sites within</u> the other two MPAs in England <u>with reserves of silica sand</u> currently has do not have a 10 year landbank <u>as required by the NPPF national policy</u> , although both are ... | To more closely align the text with national policy |
| PC53 | 68 | Para. 5.72 | <p>Replace existing para. 5.72</p> <p>A further relevant consideration in respect of Blubberhouses Quarry is that the Local Transport Plan for North Yorkshire has identified the need to realign the A59 road at Kex Gill, near Blubberhouses Quarry, to avoid recurring issues of land instability. A definitive proposed realignment is not yet available and there is no safeguarded route. However, there is potential for this project to overlap with the Blubberhouses quarry site. In this scenario there would be a need to ensure that the potential for conflict between the road alignment and the quarry is reflected in the design of both schemes and the potential for any cumulative impacts taken into account where necessary.</p> <p>with:</p> <p><u>A further relevant consideration in respect of Blubberhouses Quarry is that the County Council (within its Local Transport Plan 4: strategy and strategic transport prospectus) and the York and North Yorkshire & East Riding Local Enterprise Partnerships (within its strategic economic plan) have identified the need to realign the A59 road at Kex Gill, near Blubberhouses quarry, as a key strategic priority. The existing alignment</u></p> | To reflect the evolving situation in relation to proposals for realignment of the A59 near Blubberhouses |

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| | | | <u>of the A59 in the Kex Gill area is subject to poor land stability issues, resulting in several road closures taking place on this regionally important strategic trans Pennine route over the past 15 years. A definitive proposed realignment is not yet available and there is no safeguarded route. Work is currently on going identifying options, however there is potential for this project to overlap with the Blubberhouses quarry site. In this scenario there would be a need to ensure that the potential for conflict between road realignment and the quarry is reflected in design of both schemes and the potential for any cumulative impact taken into account where necessary.</u> | |
| PC54 | 75 | Para. 5.93 2 nd sentence | Revise 2 nd sentence: This is a highly relevant issue for the Plan area following the announcement by Government in late 2015 of new oil and gas exploration and development licences ... | To reflect the fact that PEDL licenses are now awarded by the Oil and Gas Authority |
| PC55 | 75 | Para. 5.94 1 st sentence | Revise 1 st sentence: The Government <u>Oil and Gas Authority</u> awards PEDLs ... | To reflect the fact that PEDL licenses are now awarded by the Oil and Gas Authority |
| PC56 | 78 | Para. 5.107 1 st bullet | Revise last sentence of 1 st bullet point: For unconventional hydrocarbons, exploratory drilling activity may take considerably longer, especially ... | To clarify that it is aspects of unconventional gas development other than drilling which may mean that development activity takes place over longer periods |
| PC57 | 78 | Para. 5.107 3 rd bullet | Revise last sentence of 3 rd bullet point: The production stage <u>may involve re-fracturing of existing wells and</u> is likely to require the periodic maintenance of wells, which may require use of drilling equipment. | To clarify the expected nature of development at production stage |
| PC58 | 80 | Para. 5.111 | Add new text at end of para. 5.111: ...appropriately located. <u>Hydrocarbon development typically involves temporary and intermittent activity particularly during the early stages of development. Depending on the nature of the development, it is likely that there will generally be a lesser degree of activity during any production phase.</u> | To provide further clarification of the expected nature of development that could come forward |
| PC59 | 81 | Para. 5.112 | Add new text after end of 5 th sentence: ... health and safety. <u>The Environment Agency has an important regulatory role in relation to the management of returned water and</u> | To clarify the important regulatory role of the Environment Agency in this |

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| | | | <u>Naturally Occurring Radioactive Materials (NORM)</u> . In accordance with ... | matter |
| PC60 | 81 | Para. 5.116 2 nd line | Replace reference to DBEIS in 2 nd line with <u>Oil and Gas Authority</u> | To correct a factual inaccuracy |
| PC61 | 83 | Para. 5.118 | Revise para. 5.118: Planning guidance and case law makes clear that Minerals Planning Authorities do not need to carry out their own assessments of potential impacts which are controlled by other regulatory bodies. <u>focus on the control of processes or emissions themselves where these are subject to approval under pollution control regimes.</u> It states that they can determine planning applications having considered the advice of those <u>the relevant regulatory</u> bodies without having to wait for other approval processes to be concluded. | To more closely align the text with national policy and guidance |
| PC62 | 83 | Para. 5.119 | Revise para. 5.119 d): 'Conventional hydrocarbons' include oil and gas found within geological 'reservoirs' with relatively high porosity/permeability, extracted using conventional drilling and production techniques. Revise para. 5.119 e): 'Unconventional hydrocarbons' include hydrocarbons such as coal bed and coal mine methane and shale gas, extracted using unconventional techniques, including hydraulic fracturing in the case of shale gas, as well as the exploitation of in-situ coal seams through underground coal gasification. Revise para. 5.119 g): In planning terms it is <u>considered that relevant distinctions can be drawn between the specific nature and/or scale of activities associated with certain stages of development for conventional hydrocarbons and those used for unconventional hydrocarbons. These differences may include the potential requirement for a larger number of well pads and individual wells, the volume and pressures of fluids used for any hydraulic fracturing processes and the specific requirements for any related plant and equipment and the management of related wastes.</u> important to distinguish between: i) The use of unconventional techniques to extract hydrocarbons such as hydraulic fracturing, underground gasification and coal bed methane extraction; and The use of more conventional, less complex drilling and production techniques to extract hydrocarbons | To clarify the distinctions between development activity associated with conventional and unconventional resources |

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| PC63 | 86 | Para. 5.122 | <p>ii) Revise para. 5.122: While the Infrastructure Act 2015 and secondary legislation address hydraulic fracturing which occurs underground, the Government has also consulted on <u>introduced</u> further restrictions, in the form of a prohibition on high-volume hydraulic fracturing operations from taking place <u>being carried out</u> from new or existing wells that are drilled at the surface in specified protected areas, although they are not yet in force. As proposed The restrictions would will principally affect apply to surface development for unconventional hydrocarbons involving high-volume hydraulic fracturing <u>that is used for the carrying out of “associated hydraulic fracturing” the definition of which is contained in section 4B(1) of the Petroleum Act 1998. The Government has stated that, in addition, these restrictions will apply where an operator is required to get consent from the Secretary of State for hydraulic fracturing that is not “associated hydraulic fracturing”, and that the Secretary of State intends to require that such consent be obtained for operations which use more than 1,000 cubic metres of fluid at any single stage, or expected stage, unless an operator can persuasively demonstrate why requiring such consent would not be appropriate in their case.</u> The areas proposed for protection <u>protected</u> through this means are National Parks, AONBs, World Heritage Sites, Groundwater Source Protection Zone 1, SSSIs, Natura 2000 sites (SPAs and SACs) and Ramsar sites. Although these areas all benefit from strong national policy protection in their own right, the proposed restrictions would do not, in themselves, constitute planning policy as they would <u>will</u> be implemented though the oil and gas licensing regime.</p> | To more accurately reflect the current regulatory position relating to the Government’s Surface Protections for hydraulic fracturing |
| PC64 | 86 | Para. 5.123 3 rd sentence | Furthermore, whilst the proposed surface restrictions would <u>will</u> provide ... | To more accurately reflect the current regulatory position relating to the Government’s Surface Protections for hydraulic fracturing |

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| PC65 | 86 | Para. 5.124 1 st sentence | An additional consideration is that the new Regulations and proposed surface protections <u>restrictions</u> would <u>will</u> only apply to ... | To more accurately reflect the current regulatory position relating to the Government's Surface Protections for hydraulic fracturing |
| PC66 | 86 | Para. 5.124 | Revise last sentence of para. 5.124 and add new text at end: Similarly, it is considered that where hydraulic fracturing is proposed for the purposes of supporting the production of conventional gas resources, <u>there is potential for this to give rise to a generally similar range of issues and potential impacts, although it is acknowledged that fracturing for stimulation of conventional gas production would be likely to involve generally lower volumes and/or pressures. In these circumstances it is therefore appropriate that such development is subject to the same policy approach. However, it is not the intention of the Mineral Planning Authorities to unreasonably restrict activity typically associated with production of conventional resources, which is a well-established industry in the Plan area and they will therefore apply the policy accordingly and reasonably based on the specific circumstances of the proposal under consideration</u> this should be subject to the same policy approach that is applied to hydraulic fracturing for unconventional gas, as the range of issues and potential impacts are likely to be similar. | To clarify the intended approach and ensure appropriate flexibility in the Plan |
| PC67 | 87 | Para. 5.127 15 th line | Revise 7 th sentence: Such equipment may only be present on site for relatively short periods, or potentially a number of months, or intermittently <u>over a period of years at established well pads where successive wells are drilled or refracturing of existing wells takes place.</u> | To reflect the potential position |
| PC68 | 88 | Para. 5.130 | Add new text at end of para. 5.130: <u>In some parts of the Plan area affected by PEDLs, areas of locally important landscapes have been identified in District and Borough local plans. Where these continue to form part of the statutory development plan, and are relevant to a proposal which falls to be determined by North Yorkshire County Council as Minerals and Waste Planning Authority, regard will be had to the requirements of any associated local plan policy.</u> | To reflect the presence of other potentially relevant designations in district local plans and to ensure that appropriate links are made |
| PC69 | 88 | Footnote 16 | Revise text of footnote 16: For the purposes of interpreting this and | To further clarify the intended |

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| | | | other Policies in the P lan, the term 'local communities' includes <u>residential areas as well as</u> residential institutions such as ... | approach |
| PC70 | 89 | Policy M17 2) ii) a) | Revise text: The proximity of a proposed new well pad site to other existing, planned-permitted or unrestored well pads, ... | To clarify the proposed approach |
| PC71 | 91 | Para. 5.131 9 th line | Insert new sentence after '... movements.': <u>Vehicle movements also have the potential to impact on air quality, particularly in locations where Air Quality Management Areas have been identified and this will also be a relevant consideration in identifying suitable traffic routes, via a Transport Assessment.</u> It is therefore ... | To reflect the potential for vehicle movements to impact on air quality |
| PC72 | 92 | Para 5.137 | Revise 1 st sentence and add new sentence between 1 st and 2 nd sentences: To give an indication at this stage, however, it is considered unlikely that proposals which would lead to a total development density, including operational and restored sites, of more than 10 well pads per 100km ² PEDL area (pro-rata for PEDLs of less than 100km²) would be compatible with the purpose of this element of the policy. <u>Where an area being developed by an operator comprises a PEDL or licence block area of less, or more, than 100km² the density guideline will be applied pro-rata.</u> | To clarify the approach to preventing unacceptable cumulative impact |
| PC73 | 92 | Para 5.137 7 th line | Revise 2 nd sentence: For PEDLs located in the Green Belt or where a relatively high concentration of other land use constraints exist, including significant access constraints, a lower density <u>and/or number</u> may be appropriate. | To clarify the approach to preventing unacceptable cumulative impact |
| PC74 | 93 | Para. 5.143 | Revise 1 st sentence: Whilst oil and gas <u>hydrocarbon</u> development has the potential ... | For consistency |
| PC75 | 94 | Para. 5.147 | Revise text to state: In considering appropriate noise limits at sensitive receptors, operators will as a minimum be expected to meet the suggested <u>required</u> limits set out in the <u>NPPF and</u> national Planning Practice Guidance, with the objective of ensuring a high standard of protection for local amenity. Site lighting ... | To improve consistency with national policy and guidance |
| PC76 | 94 | Para. 5.148 3 rd sentence | Although evidence suggests that any earth tremors that could be induced are likely to be of very low magnitude, it <u>It</u> will be important to ensure that development which could give rise to induced seismicity is located in areas of suitable geology. | To more accurately reflect the available evidence |

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| PC77 | 94 | Para. 5.149 | Revise 1 st sentence: The potential for emissions to water or air is also a key issue, particularly for proposals involving hydraulic fracturing hydrocarbon development . | To clarify that these issues may also be relevant to other forms of hydrocarbon development |
| PC78 | 95 | Para. 5.151 | Replace reference in 2 nd sentence to DBEIS with Oil and Gas Authority | To correct a factual inaccuracy |
| PC79 | 96 | Policy M18 2) i) | Revise text of 2) part i): Following completion of the operational phase of development, or where wells are to be suspended pending further hydrocarbon development, any wells will be decommissioned so as to prevent the risk of any contamination of ground and surface waters and emissions to air; and ... | To more accurately reflect the relevant regulatory requirements relating to decommissioning of wells |
| PC80 | 96 | Para. 5.153 | Revise 1 st sentence: A significant issue with hydrocarbon development, particularly development involving hydraulic fracturing, is the need to manage the various forms of waste water that may be returned to the surface via a borehole. Revise 4 th sentence: Water constituting waste and requiring management as waste Such waste can arise in substantial volumes and may contain Naturally Occurring Radioactive Materials (NORM) and other contaminants. | To clarify that water arising on site may not always constitute waste |
| PC81 | 97 | Para. 5.156 16 th line | Revise text: ... potentially leading to very small scale induced seismic activity (earth tremors). Proposals for this ... | To clarify the position |
| PC82 | 102 | Policy M22 2 nd para. | Add new sentence at end of 2 nd paragraph: ... the development. Proposals for new surface development and infrastructure which are considered to represent major development will be assessed against the criteria for major development set out in Policy D04. | To clarify the proposed policy approach in relation to proposals which are considered to represent major development |
| PC83 | 140 | Policy W11 parts 1), 2), 3) and 5) | Revise text of part 1) to: 1) Siting facilities for the preparation for the re-use, recycling, transfer and treatment of waste (excluding energy recovery or open composting) on previously developed land, industrial and employment land, or at <u>or adjacent to</u> existing waste management sites ... Make equivalent changes to parts 2), 3) and 5) | To improve consistency of the policy with Policy W10 |
| PC84 | 154 | Policy S03 key links to | Add reference in key links: W10 | To clarify this important link |

| | | other policies and objectives | | |
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| PC85 | 155 | Para. 8.30 | Revise Para. 8.30 by inserting new text at end of paragraph: <u>It is acknowledged that in some cases, including at the former mine sites in the Plan area, there are other extant proposals for redevelopment which are matters for determination by the relevant local planning authority and that such proposals could overlap with land proposed for safeguarding in the Joint Plan. In these circumstances the Minerals and Waste Planning Authority will seek to work constructively with the relevant local planning authority and developers to ensure that a proportionate approach to implementing safeguarding of minerals and waste infrastructure requirements is taken.</u> | To emphasise the need for a pragmatic approach to implementing safeguarding requirements |
| PC86 | 156 | Para.8.33 | Add new text at end of Para. 8.33: <u>It is recognised that rail transport infrastructure at former mine sites in the Plan area are important for their potential to serve other existing or proposed rail-linked uses. It is not the intention in safeguarding them for minerals and waste transport to prevent other such beneficial uses from taking place but to ensure that their potential significance in providing opportunities for modal shift in transport of minerals and waste is taken into account in other development decisions. In these circumstances the Minerals and Waste Planning Authority will seek to work constructively with the relevant local planning authority and developers to ensure that a proportionate approach to implementing safeguarding of minerals and waste infrastructure requirements is taken.</u> | To emphasise the need for a pragmatic approach to implementing safeguarding requirements |
| PC87 | 156 | Para. 8.34 | Add new sentence at end of Para. 8.34: <u>The East Coast marine Plan (Policy PS3) supports the protection and expansion of port and harbour capacity.</u> | To emphasise the linkage between marine and terrestrial planning |
| PC88 | 159 | Para. 8.47 Safeguarding exemption criteria list | Revise 11 th bullet point: Applications for development on land which is already allocated in an adopted local plan where the plan took account of minerals, and waste <u>and minerals and waste transport infrastructure</u> safeguarding requirements | To reflect the fact that minerals and waste transport infrastructure is also safeguarded in the plan |
| PC89 | 164 | Para. 9.16 | Revise final sentence: Vehicle movements can have a range of impacts, including cumulative impacts, such as on local amenity and in some cases | To reflect the potential for vehicle movements to impact on |

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| | | | on the landscape and tranquillity. <u>Air quality can also be adversely affected, particularly in locations where Air Quality Management Areas have been identified</u> and other development management policies in the Joint Plan will therefore be relevant in some circumstances. | air quality |
| PC90 | 165 | Para. 9.21 | Add new text after the end of para. 9.21: <u>The primary purpose of AONB designation is to conserve and enhance natural beauty. In pursuing the primary purpose of designation, account should be taken of the needs of agriculture, forestry and other rural industries and of the economic and social needs of communities. Particular regard should be paid to promoting sustainable forms of social and economic development that in themselves conserve and enhance the environment. Recreation is not an objective of designation, but the demand for recreation should be met so far as this is consistent with the conservation of natural beauty and the needs of agriculture, forestry and other uses.</u> | To further clarify the purposes of AONB designation |
| PC91 | 171 | Para. 9.42 | Add new sentence at end of Para. 9.42: <u>In some parts of the Plan area, areas of locally important landscapes have been identified in other local plans. Where these continue to form part of the statutory development plan, and are relevant to a proposal which falls to be determined by the relevant minerals and waste planning authority, regard will be had to the requirements of any associated local plan policy.</u> | To reflect the presence of other potentially relevant designations in district local plans and to ensure that appropriate links are made. |
| PC92 | 167 | Policy D05 part 1) | Proposals for minerals and waste development within the York and West Yorkshire Green Belts will be supported where it would <u>be consistent with the purposes of Green Belt identified in national policy including</u> preserve the openness of the Green Belt and, where the development would be located within the York Green Belt, would preserve the historic character and setting of York. | To more closely reflect the requirements of national policy |
| PC93 | 168 | Policy D05 part 2) 2 nd paragraph | Substantial weight will be given to any harm to the Green Belt and inappropriate waste development in the Green Belt will only be permitted in very special circumstances, which must <u>will need to be demonstrated by the applicant in which the harm by reason of inappropriateness, or any other harm, is clearly outweighed by other considerations.</u> <u>order to outweigh harm caused by inappropriateness, or any other harm.</u> | To more closely reflect the requirements of national policy |

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| PC94 | 179 | Policy D09 3) 2 nd sentence | Revise 2 nd sentence to read: Development which would lead to an unacceptable risk of, or be at an unacceptable risk from, all sources of flooding (i.e. surface and groundwater flooding and groundwater flooding from rivers and coastal waters) will not be permitted. | To correct a typographical error |
| PC95 | 183 | Policy D10 1) i) | Replace existing text of D10 1) i) with: <u>Applicants are encouraged to discuss proposals at an early stage with local communities and other relevant stakeholders and where practicable reflect the outcome of those discussions in submitted schemes.</u> | To more closely reflect the requirements of national policy |
| PC96 | 184 | Policy D10 Part 2) viii) | Revise to read: Promoting the delivery of Achieving significant net gains for biodiversity and the establishment of a <u>which help create</u> coherent and resilient ecological networks, based on contributing. Where practicable, towards established objectives including the creation of Biodiversity Action Plan habitats <u>proposals should contribute significantly to the creation of habitats of particular importance in the local landscape and seeking to delivering</u> benefits at a landscape scale. <u>This includes wet grasslands and fen in the Swale and Ure valleys and species-rich grassland on the Magnesian limestone ridge.</u> | To clarify the proposed approach and reflect the diminishing significance of biodiversity action plans |
| PC97 | 190 | Policy D12 2 nd paragraph, 2 nd sentence | Revise 2 nd sentence: Development which would disturb or damage soils of high environmental value, such as <u>intact peat</u> or other soil contributing to ecological connectivity or carbon storage, will not be permitted. | To provide further flexibility in the policy recognising that all soils could make some contribution to ecological connectivity or carbon storage. |
| PC98 | 17 of Appendix 1 | MJP06 Development requirements criteria | Insert new bullet point: <u>Applications should be supported by a comprehensive archaeological assessment</u> | To adequately reflect the significance of heritage assets at this site |
| PC99 | 21 of Appendix 1 | MJP07 Development requirements criteria | Insert new bullet point: <u>Applications should be supported by a comprehensive archaeological assessment</u> Revise final bullet point: An appropriate restoration scheme using opportunities for habitat creation <u>and reconnecting the henges to their landscape setting</u> , but which is also appropriate to location within a birdstrike safeguarding zone | To adequately reflect the significance of heritage assets at this site |

| | | | | |
|-------|-------------------|--|---|---|
| PC100 | 25 of Appendix 1 | MJP33 Development requirements criteria | Revise 5 th bullet point: Appropriate site design to ensure protection of the aquifer and the River Swale which lies immediately adjacent to the site | To reflect the proximity of the site to the River Swale |
| PC101 | 34 of Appendix 1 | MJP21 Development requirements criteria | Revise last bullet point: An appropriate restoration scheme using opportunities for habitat creation and connectivity , but which is also appropriate to location within a birdstrike safeguarding zone | To recognise the opportunities arising at this site |
| PC102 | 35 of Appendix 1 | MJP21 Site Plan | Revise site boundary of allocation MJP21 to exclude land nearest to the Killerby Hall Stable Block listed building | To reduce the harm to the setting of the listed building |
| PC103 | 37 of Appendix 1 | MJP17 Development requirements criteria | Revise last bullet point: An appropriate restoration scheme using opportunities for habitat creation and connectivity , but which is also appropriate to location within a birdstrike safeguarding zone ... | To recognise the opportunities arising at this site |
| PC104 | 39 of Appendix 1 | MJP17 Site Plan | Revise site boundary of allocation MJP17 to exclude land nearest to Rudd Hall and Ghyll Hall listed buildings | To reduce the harm to elements which contribute to the significance of the listed buildings |
| PC105 | 70 of Appendix 1 | WJP15 Development requirements criteria | Revise last bullet point: An appropriate restoration scheme using opportunities for habitat creation and connectivity | To recognise the opportunities arising at this site |
| PC106 | 78 of Appendix 1 | MJP55 Key sensitivities and Development requirements | Revise 1 st bullet point of Key Sensitivities to include York and Selby Cycle Track SINC Revise 1 st bullet point of Development Requirements to include York and Selby Cycle Track SINC | To reflect that the potential significance of this constraint |
| PC107 | 120 of Appendix 1 | WJP06 Key sensitivities and Development requirements | Revise 1 st bullet point of Key Sensitivities to include York and Selby Cycle Track SINC Revise 1 st bullet point of Development Requirements to include York and Selby Cycle Track SINC | To reflect that the potential significance of this constraint |
| PC108 | 140 of Appendix 1 | 1 st Column text: Estimated date of commencement | Revise this text to read: Estimated Date of commencement | To reflect that the planning permission for this development has been implemented |
| PC109 | 140 of Appendix | 2 nd Column text relating to date of commencement | Revise this text to read: By April 2017 (base on requirement for implementation specified in decision notice for planning application | To reflect that the planning permission for this development |

Annex B

| | | | | |
|-------|-------------------|--|---|---|
| | 1 | | 12/03385/FULM November 2016 | has been implemented |
| PC110 | 179 of Appendix 2 | Southmoor Energy Centre safeguarded site | Revise plan to only show core site and principal access to the highway | To reflect the fact that there are proposals for other development on the former Kellingley Colliery site |
| PC111 | 186 of Appendix 2 | Knapton Quarry safeguarded site Facility Type | Revise reference to facility type to: Composting, transfer, treatment and recycling | To more accurately reflect the current role of the site |
| PC112 | 217 of Appendix 2 | Kellingley Colliery safeguarding plan | Revise plan by deleting area of safeguarded site that lies outside the Plan area | To correct a factual error |
| PC113 | Appendix 2 | Safeguarded waste sites | Insert new safeguarded waste transfer (non-hazardous) site: Showfield Lane, Malton | To reflect the significant role currently played by this site in the Ryedale area |

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Mineral and Waste Joint Plan

Sustainability Appraisal Report (Publication Draft) –
Addendum

April 2017

St John's House
Queen Street
Manchester
M2 5JB
UK
T +44 (0)161 832 4542
F +44 (0)161 835 2038

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| Mar 17 | North Yorkshire County Council | Liz Small | (e) | 1 |

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1 Introduction

- 1.1.1 This report forms part of the Sustainability Appraisal (SA) for the North Yorkshire County Council (NYCC), the City of York Council (CYC) and the North York Moors National Park Authority (NYMNP) Mineral and Waste Joint Plan (the ‘Joint Plan’). The Publication Stage Joint Plan and SA are available on the NYCC website¹.
- 1.1.2 The three planning authorities have come together to produce the Joint Plan. This plan includes policies about where minerals and waste development should take place and how it should be carried out. The plan also identifies a number of specific locations for future development, called site allocations.
- 1.1.3 Following publication in December 2016 a number of proposed changes to the Joint Plan have been identified through representations. It is intended that the proposed changes will be included alongside the Joint Plan when it is submitted for public examination.
- 1.1.4 This report details proposed changes to the Joint Plan and how they have been considered within the SA. To do this a two-step process has been applied to the proposed changes:
- 1) **Screening of changes** – proposed changes have been assessed to consider if they will result in changes to the SA. If a change will not affect the outcome of the SA they are not considered further and are ‘screened out’. Changes that have the potential to affect the SA have been assessed further at Step 2.
 - 2) **Appraisal of changes** – where proposed changes have the potential to affect the SA they have been considered further, and where necessary, re-appraised against the SA objectives.
- 1.1.5 The report also provides updates to the Sustainability Scoping Report (October 2016) in Chapter 3, the Strategic Flood Risk Assessment (SFRA) in Appendix 2 and Historic Impact Assessment (HIA) in Appendix 3.

¹ North Yorkshire County Council, 2017 [Online]. Available at <http://www.northyorks.gov.uk/article/26218/Minerals-and-waste-joint-plan>. Accessed March 2017.

2 Proposed Changes to the Joint Plan – Screening Exercise

- 2.1.1 As stated in Planning Practice Guidance (PPG)² a SA environmental report does not necessarily need to be amended following responses to consultation, with changes considered where appropriate and proportionate. In order to make this decision a screening exercise has been undertaken of the changes proposed to the Joint Plan and any updated conclusions drawn.
- 2.1.2 The PPG states that changes that are not significant will not require further SA work. The guidance defines significant changes as those that ‘substantially alters the draft plan and/ or is likely to give rise to significant environmental effects’. However, minor changes have also been screened for significant impacts within this addendum.
- 2.1.3 Proposed changes to the Joint Plan are identified in the following way:
- Deletions: strikethrough
 - Additional text: *italics*
- 2.1.4 The following minor proposed changes have not been subject to the screening process:
- Changes aimed at improving presentation
 - Correction of typographical errors, omissions and duplications
 - Operator name change
 - Correction of a factual error that does not relate to the SA
 - To reflect the closure of the publication phase of the Joint Plan i.e. deleting subheadings, notes.
- 2.1.5 The screening exercise identified a large number of proposed changes which were considered not to affect the SA and were subsequently ‘screened out’. The screened out Joint Plan proposed changes and screening summary are provided in Table A1 and Table A2 in Appendix 1.
- 2.1.6 Proposed changes that have been ‘screened in’ are provided below in Table 2-1 with a summary of implications for the SA. Where this has resulted in a change to the SA score given at the publication stage this is provided in Chapter 3.

² Planning Practice Guidance, 2017 [online]. Available at <https://www.gov.uk/guidance/strategic-environmental-assessment-and-sustainability-appraisal>. Accessed March 2017.

Table 2-1 Screened In Changes

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|--|---|
| Minerals and Waste Joint Plan | | | | |
| Paragraph 5.124 | 86 | <p>Revise last sentence of paragraph 5.124 and add new text at end:</p> <p>Similarly, it is considered that where hydraulic fracturing is proposed for the purposes of supporting the production of conventional gas resources, <i><u>there is potential for this to give rise to a generally similar range of issues and potential impacts, although it is acknowledged that fracturing for stimulation of conventional gas production would be likely to involve generally lower volumes and/or pressures. In these circumstances it is therefore appropriate that such development is subject to the same policy approach. However, it is not the intention of the Mineral Planning Authorities to unreasonably restrict activity typically associated with production of conventional resources, which is a well-established industry in the Plan area and they will therefore apply the policy accordingly and reasonably based on the specific circumstances of the proposal under</u></i></p> | To clarify the intended approach and ensure appropriate flexibility in the Plan. | <p>The policy justification revision outlines a proportional approach to the application of the policy to hydraulic fracturing for the purposes of conventional gas production. While this may affect the application of the policy to the industry of conventional gas production, it is not considered to change the SA scoring as proposals are still required to apply the policy 'reasonably based on the specific circumstances of the proposal under consideration'. Therefore it is expected that the policy will be applied appropriately to hydraulic fracturing proposals to support conventional gas resources.</p> <p>No changes to the SA score.</p> |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|--|---|
| | | <i>consideration</i> this should be subject to the same policy approach that is applied to hydraulic fracturing for unconventional gas, as the range of issues and potential impacts are likely to be similar. | | |
| Paragraph 5.131 9th line | | Insert new sentence after ‘... movements.’: <u><i>Vehicle movements also have the potential to impact on air quality, particularly in locations where Air Quality Management Areas have been identified and this will also be a relevant consideration in identifying suitable traffic routes, via a Transport Assessment.</i></u> It is therefore ... | To reflect the potential for vehicle movements to impact on air quality. | The requirement within the policy justification section specifically refers to potential air quality impacts from vehicle movements moving to and from hydrocarbon developments. The text strengthens protection to air quality impacts outlining that they will be considered as part of a Transport Assessment. However the revision is not considered to affect the SA scores applied to the policy, which is assessed as having a Moderate positive effect on SA Objective 4 (Air). Although it strengthens the policy there is still the potential for some negative air quality impacts and therefore cannot be considered a Major positive effect. No change to the SA score. |
| Policy M22 | 102 | Add new sentence at end of 2nd paragraph: | To clarify the | The SA scores have been applied with |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|--|--|
| 2nd paragraph | | ... the development. <u>Proposals for new surface development and infrastructure which are considered to represent major development will be assessed against the criteria for major development set out in Policy D04.</u> | proposed policy approach in relation to proposals which are considered to represent major development. | consideration of Policy D04 major development requirements and therefore no change to the SA scores is recorded. However, it is noted the additional text to clarify how Policy D04 is applied is beneficial for interpreting the policy. No further SA required. |
| Policy W11 parts 1), 2), 3) and 5) | 140 | Revise text of part 1) to: 1) Siting facilities for the preparation for the re-use, recycling, transfer and treatment of waste (excluding energy recovery or open composting) on previously developed land, industrial and employment land, or at <u>or adjacent to</u> existing waste management sites ... Make equivalent changes to parts 2), 3) and 5) | To improve consistency of the policy with Policy W10. | The addition of siting facilities on land adjacent to existing waste management facilities is expected to change the scoring of SA Objectives 1 and 5. See Table 3-2 for updated SA scores and justification for the changes. |
| Policy D10 Part 2) viii) | 184 | Revise to read: Promoting the delivery of <u>Achieving</u> significant net gains for biodiversity and the establishment of a <u>which help create</u> coherent and resilient ecological networks, based on contributing. <u>Where practicable,</u> | To clarify the proposed approach and reflect the diminishing | The proposed policy revision is beneficial for biodiversity as it requires proposals for site restoration to achieve net gains for biodiversity and identifies specific habitat types for restoration in the Swale and Ure valleys and |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|---|--|
| | | <p>towards established objectives including the creation of Biodiversity Action Plan habitats <u>proposals should contribute significantly to the creation of habitats of particular importance in the local landscape</u> and seeking to delivering benefits at a landscape scale. <u>This includes wet grasslands and fen in the Swale and Ure valleys and species-rich grassland on the Magnesian limestone ridge.</u></p> | <p>significance of biodiversity action plans.</p> | <p>on the Magnesian limestone ridge. Although the policy has been strengthened in relation to biodiversity there is no change to the SA score as it already identifies a Major positive effect in relation to SA Objective 1 (Biodiversity/ Geo-diversity).</p> <p>No change to the SA score.</p> |
| Policy D12 2nd paragraph, 2nd sentence | 190 | <p>Revise 2nd sentence: Development which would disturb or damage soils of high environmental value, such as <u>intact</u> peat or other soil contributing to ecological connectivity or carbon storage, will not be permitted.</p> | <p>To provide further flexibility in the policy recognising that all soils could make some contribution to ecological connectivity or carbon storage.</p> | <p>The text revision provides more flexibility in the application of development proposals in relation to soil. However, it is not considered to affect the score applied to SA Objective 5 (Soil and Land) – Major positive. The policy is still considered to have a Major positive effect on soil and land by requiring reclamation schemes to protect and enhance soils and agricultural land in areas of best and most versatile agricultural land and to consider the long term potential to create areas of best and most versatile land during reclamation of a site.</p> <p>No change to SA score.</p> |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|---|---|
| Minerals and Waste Joint Plan, Appendix 1 | | | | |
| MJP06 Development requirements criteria | 17 | Insert new bullet point: <u>Applications should be supported by a comprehensive archaeological assessment</u> | To adequately reflect the significance of heritage assets at this site. | The additional development requirement strengthens protection of buried archaeology by requiring an archaeological assessment prior to submission of a planning application. However, there is still the potential for a minor negative effect on SA Objective 10 (historic environment) through the disturbance of buried archaeology. Therefore there is no change to the SA score. No change to the SA score. |
| MJP07 Development requirements criteria | 21 | Insert new bullet point: <u>Applications should be supported by a comprehensive archaeological assessment</u> Revise final bullet point: An appropriate restoration scheme using opportunities for habitat creation <u>and reconnecting the henges to their landscape setting</u> , but which is also appropriate to location within a birdstrike safeguarding zone | To adequately reflect the significance of heritage assets at this site | The addition of the requirement to undertake an archaeological assessment prior to submitting a planning application strengthens the protection of buried archaeology at the site. The recognition of an appropriate restoration scheme to reconnect the henges to their landscape setting will reduce the expected effect in the long term from Moderate to Minor negative. Change to SA objective 10 (historic |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|--|--|
| | | | | environment) score from Moderate to Minor Negative in the long term (see Table 3-3). |
| MJP33 Development requirements criteria | 25 | Revise 5th bullet point: Appropriate site design to ensure protection of the aquifer <u>and the River Swale which lies immediately adjacent to the site</u> | To reflect the proximity of the site to the River Swale | The addition of appropriate site design to protect the River Swale strengthens mitigation to the water environment if the site were to be developed. However, there is still the potential that pollution could enter the water environment if the site is developed, therefore the score is considered to be Minor negative in the short, medium and long term. No change to the SA score. |
| MJP21 Development requirements criteria | 34 | Revise last bullet point: An appropriate restoration scheme using opportunities for habitat creation <u>and connectivity</u> , but which is also appropriate to location within a birdstrike safeguarding zone | To recognise the opportunities arising at this site | The additional development requirement is beneficial for habitat connectivity, however, it is not considered to change the SA scores at the site. No change to the SA score. |
| MJP21 Site Plan | 35 | Revise site boundary of allocation MJP21 to exclude land nearest to the Killerby Hall Stable Block listed building. There would be a reduction in the overall area of the site from 213ha to 207ha, with a | To reduce the harm to the setting of the listed building | There would be a proportionate increase of the site area within flood zones 2 and 3 from approximately 35% to 40% of the site, as a result of the loss of land outside of these |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|--------|---|
| | | subsequent sand and gravel reserve reduction of 1 million tonnes. | | <p>zones. This would increase in size due to the effects of climate change in the long term.</p> <p>Land removed from the site is ALC Grade 3 and therefore an additional 6ha agricultural land would be preserved from development, benefitting agricultural land lost to climate change in the long term.</p> <p>The above changes are not considered to result in a change to the SA score applied to SA Objective 7 (To respond and adapt to the effects of climate change).</p> <p>There would be a reduction in 1 million tonnes of virgin sand and gravel removed from the site due to the reduction in area of the site. Therefore preserved sand and gravel would be available for future use.</p> <p>This is not considered to result in a change to the SA score applied to SA Objective 8 (To minimise the use of resources and encourage their re-use and safeguarding).</p> <p>The revision of the site boundary to exclude land nearest to Killerby Hall Stable Block listed</p> |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|-----------------|--------|--|
| | | | | <p>building would affect the SA Objective 10 score (historic environment).</p> <p>Change to SA Objective 10 score (historic environment). See Table 3-4 below for updated score and justification.</p> <p>The amount of sand and gravel extracted from the site would be reduced from 11.37 to 10.37 million tonnes. Reducing the sites contribution to the construction sector.</p> <p>Overall the change is considered negligible in relation to achieving SA Objective 12 (Achieve sustainable economic growth and create and support jobs), and therefore no change has been applied.</p> <p>There would be a proportionate increase of the site area within flood zones 2 and 3 from approximately 35% to 40% of the site, as a result of the loss of land outside of these zones. This is not considered to affect the SA score applied to SA objective 16 (flood risk). See updated SFRA in Appendix 2.</p> <p>No change to SA Objective 16 score.</p> |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|--|----------------|---|---|---|
| MJP17 Development requirements criteria | 37 | Revise last bullet point: An appropriate restoration scheme using opportunities for habitat creation <u>and connectivity</u> , but which is also appropriate to location within a birdstrike safeguarding zone ... | To recognise the opportunities arising at this site | The additional development requirement is beneficial for habitat connectivity, however, it is not considered to change the SA scores at the site. No change to the SA score. |
| WJP15 Development requirements criteria | 70 | Revise last bullet point: An appropriate restoration scheme using opportunities for habitat creation <u>and connectivity</u> | To recognise the opportunities arising at this site | The additional development requirement is beneficial for habitat connectivity, however, it is not considered to change the SA scores at the site. No change to the SA score. |
| MJP55 Key sensitivities and Development requirements | 78 | Revise 1st bullet point of Key Sensitivities to include <u>York and Selby Cycle Track SINC</u> Revise 1st bullet point of Development Requirements to include <u>York and Selby Cycle Track SINC</u> | To reflect that the potential significance of this constraint | The additional development requirement is beneficial for the protection of the York and Selby Cycle Track SINC, however, it is not considered to change the SA scores at the site. No change to the SA score. |
| WJP06 Key sensitivities and Development | 120 | Revise 1st bullet point of Key Sensitivities to include <u>York and Selby Cycle Track SINC</u> Revise 1st bullet point of Development Requirements to include <u>York and Selby Cycle Track SINC</u> | To reflect that the potential significance of this constraint | The additional development requirement is beneficial for the protection of the York and Selby Cycle Track SINC, however, it is not considered to change the SA scores at the |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|-----------------|--------|-------------------------------------|
| requirements | | | | site. No change to the SA score. |

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3 Changes to the Sustainability Appraisal

3.1 Sustainability Appraisal Scoring

3.1.1 The scoring used to appraise the Joint Plan policies and sites is shown in Table 3-1.

Table 3-1 SA Scoring

| Score | Description |
|-------|--|
| ++ | The option is predicted to have higher positive effects on the achievement of the SA objective. For example, this may include a highly significant contribution to issues or receptor of regional or wider significance, or to several issues or receptors of local significance. |
| m+ | The option is predicted to have moderate positive effects on the achievement of the SA objective. For example, this may include a positive, but not highly positive contribution to issues or receptor of more than local significance, or to several issues or receptors of local significance. |
| + | The option is predicted to have minor positive effects on achievement of the SA objective. For example, this may include a significant contribution to an issue or receptor of more local significance. |
| 0 | The option will have no effect on the achievement of the SA objective ³ . |
| - | The option is predicted to have minor negative effects on the achievement of the SA objective. For example, this may include a negative contribution to an issue or receptor of local significance. |
| m- | The option is predicted to have moderate negative effects on the achievement of the SA objective. For example, this may include a negative, but not highly negative contribution to an issue or receptor of more than local significance. |
| -- | The option is predicted to have higher negative effects on the achievement of the SA objective. For example, this may include a significant negative contribution to an issue or receptor of more than local significance. |
| ? | The impact of the option on the SA objective is uncertain. |

³ This includes where there is no clear link between the site SA objective and the site.

3.2 Updated Strategic Flood Risk Assessment (SFRA) and Historic Impact Assessment (HIA)

3.2.1 Following proposed changes to the site boundary at allocated site MJP21 Land at Killerby the SFRA and HIA have been updated for this site. A summary is provided below with the full updated SFRA provided in Appendix 2 and HIA in Appendix 3.

- MJP21 SFRA – a decrease in area of 6ha has not resulted in a change to the sequential test result or ranking of the site.
- MJP21 HIA – the removal of the area of land south of the Killerby is expected to reduce the overall effect from minor negative to negligible following the proposed restoration measures.

3.3 Joint Plan Policies Matrices

3.3.1 The screening exercise detailed in Chapter 2 identified changes to the SA score of Policy W11: Waste site identification principles following the proposed changes to the Joint Plan.

3.3.2 The appraisal matrices in Table 3-2 contain a summary of the changes made to the SA objective scores 1 and 5.

Table 3-2 Post Publication change to SA Score – Policy W11: Waste site identification principles

| SA Objectives | SA Score – Sustainability Appraisal (Publication Draft) | | | Changes to the SA following consultation on the Joint Plan | | | |
|--|---|-------------|-----------|--|-------------|-----------|---|
| | Short term | Medium term | Long term | Short term | Medium term | Long term | Justification |
| SA Objective 1. Protect and enhance biodiversity and geodiversity and improve habitat connectivity. | - | - | - | m- | m- | m- | Changes to the policy allow additional siting of waste management facilities at sites adjacent to existing to existing waste management facilities. This may result in waste management facilities being located on undeveloped land potentially affecting habitats and land of biodiversity value. Therefore the SA score for this objective has been changed from a Minor negative to a Moderate negative. |
| | 0 | 0 | 0 | 0 | 0 | 0 | |
| | + | + | + | + | + | + | |
| SA Objective 5. Use soil and land efficiently and safeguard or enhance their quality. | ++ | ++ | ++ | m+ | m+ | m+ | Changes to the policy allow additional siting of waste management facilities at sites adjacent to existing waste management facilities. This increases the overall land available to site facilities and may result in waste management facilities being located on undeveloped land with subsequent loss of soil resources and agricultural land. Whilst it is considered the policy is beneficial for soils and land as it largely directs development towards previously developed land and agricultural land of lower quality, overall the SA score has been reduced from a Major positive to a Moderate positive as a result of the change. |

3.4 Allocated Site Matrices

- 3.4.1 The screening exercise detailed in Chapter 2 identified changes to the SA score at allocated sites MJP21 Land at Killerby and MJP07 Oaklands, near Well, following proposed changes to the Joint Plan.
- 3.4.2 The appraisal matrices in Table 3-3 and Table 3-4 contain a summary of the changes made to the SA objective scores at these sites post publication of the Joint Plan.

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Table 3-3 Post Publication change to SA Score – MJP07 Oaklands, near Well

| SA Objectives | SA Score – Sustainability Appraisal (Publication Draft) | | | Changes to the SA following consultation on the Joint Plan | | | |
|--|---|-------------|-----------|--|-------------|-----------|--|
| | Short term | Medium term | Long term | Short term | Medium term | Long term | Justification |
| 10. To conserve or enhance the historic environment and its setting, cultural heritage and character | m- | m- | m- | m- | m- | - | The development requirement to provide a restoration scheme that reconnects the henges to their landscape setting would help to mitigate the impact of the development in the long term. The long term score has therefore been changed from Moderate to Minor negative. |

Table 3-4 Post Publication change to SA Score – MJP21 Land at Killerby

| SA Objectives | Sustainability Appraisal (Publication Draft) | | | Changes to the SA following consultation on the Joint Plan | | | |
|--|--|-------------|-----------|--|-------------|-----------|---|
| | Short term | Medium term | Long term | Short term | Medium term | Long term | Justification |
| 10. To conserve or enhance the historic environment and its setting, cultural heritage and character | - | - | - | - | - | 0 | The removal of an area of the MJP21 site south of the Listed Building at Killerby would not affect the SA score in the short, to medium term which remains a Minor negative effect due to removal of agricultural landscape context and increased industrialisation in the general area potentially detracting from the designation. In the long term, the SA score is likely to reduce to negligible following restoration, with an element of uncertainty depending on the final restoration scheme implemented. |
| | | | ? | | | ? | |

3.5 Updated Sustainability Appraisal Scoping Report (October 2016)

- 3.5.1 Following the publication stage of the Joint Plan, a policy statement and report have been included within the Sustainability Appraisal Scoping Report (October 2016), Appendix II: Plans, Policies, Programmes, Strategies and Initiative's (PPPSI).
- 3.5.2 PPPSI's have informed the key sustainability issues of relevance to the Joint Plan. A summary of the additional PPPSI's is provided in Table 3-5.

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Table 3-5 Update to Sustainability Appraisal Scoping Report (October 2016) - PPPSI's

| Key Objectives, targets and indicators relevant to the Joint Plan and SA | Implications for the Joint Plan | Implications for SA |
|--|---|--|
| National Context | | |
| Shale gas and oil policy statement by Department for Energy and Climate Change (DECC) and Department for Communities and Local Government (DCLG 2015) | | |
| Sets out the Government's view that there is a national need to explore and develop our shale gas and oil resources in a safe, sustainable and timely way, and the steps it is taking to support this. The policy statement sets out the safety and environmental protection framework for the shale gas and oil developments in planning decisions and plan-making. | The plan should take into the Government's view that there is a national need to explore and develop shale gas and oil. | The SA will need to recognise the Government's view on shale gas and oil exploration being undertaken in a safe and sustainable way. |
| Committee on Climate Change (CCC 2016) – Onshore Petroleum, the compatibility of UK onshore petroleum with meeting the UK's carbon budgets. | | |
| The Committee for Climate Changes' report finds that the implications of UK shale gas exploitation for greenhouse gas emissions are subject to considerable uncertainty. It also finds that exploitation of shale gas on a significant scale is not compatible with UK carbon budgets, or the 2050 emissions reduction target under the Climate Change Act (2008). | The joint plan and SA should seek to reduce carbon emissions to ensure that consideration for climate change is factored into the assessment process. | The SA should recognise the uncertainties surrounding greenhouse gas emissions of shale gas exploitation and that the tests outlined in the report would need to be met to achieve carbon budgets. |

4 Cumulative Effects

- 4.1.1 Cumulative effects are where effects, that may not in themselves be significant, are, when taken together with other effects, significant.
- 4.1.2 Following the change in SA score to Policy W11 and site allocations MJP07 and MJP21 it is considered that the cumulative assessment undertaken for the Sustainability Appraisal (Publication Draft) has not significantly changed in response to the proposed changes. This is due to the proposed changes themselves not leading to significant changes to the overall results of the SA.

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Appendix 1 – Proposed Changes to the Joint Plan - Screened Out

Table A1 – Local Planning Authority Representations Screened Out

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|---|---|
| Minerals and Waste Joint Plan | | | | |
| Potash, Polyhalite and Salt Section | 102 | Replace section heading: Potash, Polyhalite and Salt with <u>Potash and Salt</u> | For consistency with proposed changes to paragraphs 5.171 and 5.172. | There is no change to the SA appraisal. Potash is a generic term for potassium bearing minerals that includes polyhalite (see clarification in paragraphs 5.171 and 5.172). SA score for Policy M22: Potash, polyhalite and salt supply, remains the same. Screened out – no further SA required. |
| Paragraph 5.171 | 102 | Replace current paragraph 5.171 with: <u>Potash is the generic term for potassium bearing minerals and has an important economic value for fertiliser. Within the Plan area it takes the form of sylvinitite, which can be processed to create 'muriate of potash', and polyhalite, which although lower in terms of</u> | To clarify terminology relevant to potash and salt mineral resources. | This is a change to clarify terminology relating to potash and does not affect the SA. Screened out – no further SA required. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|---|--|
| | | <u>potassium content, also includes other important plant nutrients, particularly sulphur. Rock salt may occur in association with potash and is commonly used for de-icing roads. Both potash and salt occur at substantial depths below the eastern part of the Plan area, where existing extraction takes place. Identified resources lie mainly beneath the North York Moors National Park.</u> | | |
| Policy M22 1st paragraph, 1st line. | 102 | Revise first line: <u>Proposals for the extraction of potash, and salt from new sites...</u> | To clarify terminology relevant to potash and salt mineral resources. | This is a change to clarify terminology relating to potash and does not have implications for the SA. Screened out – no further SA required. |
| Policy M22 2nd paragraph, 2nd line. | 102 | Revise second line: <u>Proposals for new surface development and infrastructure associated with the existing permitted potash and salt mine sites in the National Park, ...</u> | To clarify terminology relevant to potash and salt mineral resources. | This is a change to clarify terminology relating to potash and does not have implications for the SA. Screened out – no further SA required. |
| Paragraph 5.172 | 103 | Replace current paragraph 5.172 with: <u>In planning terms, the differentiation between the two forms of potash is important, in relation to the policy requirements of the</u> | To clarify terminology relevant to potash | This is a change to clarify terminology relating to potash and does not have implications |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|---|--|
| | | <i>major development test relating to need assessment. There is an existing national requirement for the sylvinite form of potash, whereas polyhalite is new to the global fertiliser market and is not yet an established product. Planning permission for Boulby Mine allows for the extraction of 'potash', covering both sylvinite and polyhalite (and also rock salt), whereas the 2015 permission for Sirius Minerals at Doves Nest is restricted to polyhalite only. Another important distinction is the fact that sylvinite requires processing and therefore has significant additional infrastructure requirements, whereas when polyhalite is mined the entire ore is used with only the need for granulation. In Policy M22, the term 'potash' means all forms of the mineral unless where otherwise explicitly stated.</i> | and salt mineral resources. | for the SA. Screened out – no further SA required. |
| Paragraph 7.12 3rd Sentence | 145 | ... constitute permitted development under the Town and Country Planning (General Permitted Development) <u>(England) 2015 Order 1995 (as amended)</u> . | To update sentence to refer to the current legislation. | An update to refer to the latest legislation does not have any implications for the SA. Screened out – no further SA required. |
| Policy S01 1st paragraph of Part 2) | 149 | Potash and (including polyhalite) resources within the Boulby Mine licensed <u>permitted</u> area ... | To clarify the status of the relevant area. | Clarification of the relevant area, no changes to the SA. Screened out – no further SA required. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|--|---|
| | | | | required. |
| Paragraph 8.17 6th line | 151 | However, it would be appropriate to safeguard reserves and resources within the area licensed for extraction from <i>that part of the Boulby Mine permission area indicated on the Policies Map</i> (the only active potash mine in the Plan area), along with those resources forming part of the York Potash project that have been identified with a higher degree of confidence (i.e. the indicated and inferred resources). This will ... | To clarify the status of the relevant area. | Clarification of the relevant area, no changes to the SA. Screened out – no further SA required. |
| Text following Paragraph 10.1 | 194 | Note: when providing a response relating to a specific site please ensure the site reference number is included with the relevant comments. | To reflect the closure of the publication phase of the Plan. | Closure of the publication phase of the Plan, no changes to the SA. Screened out – no further SA required. |
| Minerals and Waste Joint Plan, Appendix 2 | | | | |
| Appendix 2 | 159 | Insert new safeguarded waste transfer (non-hazardous) site into table: <u>Showfield Lane, Malton</u> | Consequential change arising from response to consultation. | Policy S03 seeks to safeguard waste management facilities on the Policies Map, under certain conditions. The addition of the Showfield Lane site, Malton does not affect the SA scores applied to Policy S03. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|------------------|--|
| | | <p>Revise waste facility type description for Knapton Quarry to : Composting, <u>transfer, treatment and recycling</u></p> | | <p>Screened out – no further SA required.</p> <p>Policy S03 seeks to safeguard waste management facilities on the Policies Map, under certain conditions. The revision of the Knapton Quarry site does not affect the SA scores applied to Policy S03.</p> <p>Screened out – no further SA required.</p> |
| Appendix 2 | 201 | Revise boundary to reflect allocated area WJP17 | For consistency. | <p>Amendment of safeguarded waste management facility site – Skipton Home Waste Recycling Centre site map, to show the correct location of the HWRC.</p> <p>The amendment to the site map has no implications to the SA of Policy S03 or allocated Site WJP17, which has</p> |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|--|--|
| | | | | appraised the correct location of the HWRC. Screened out – no further SA required. |
| Policies Map | | | | |
| Policies Map Map Key | | Revise references in Key to potash or polyhalite in the supporting justification to potash and salt | For consistency with the text of the Plan. | This is a change to clarify terminology relating to potash and does not have implications for the SA. Screened out – no further SA required. |

Table A2 – Other Representations Screened Out

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|--|---|
| Minerals and Waste Joint Plan | | | | |
| Paragraph 2.26 2nd line | 18 | The NPPF also places emphasis upon conserving important landscape and heritage assets by requiring that landbanks of non-energy minerals are, <i>as far as is practical</i> , provided outside National Parks, AONBs ... | To be consistent with national policy. | Clarifies national policy within the Plan. The requirements of the NPPF are recognised within the SA. Screened out – no further SA required. |
| Paragraph 2.26 4th sentence | 18 | The NPPF advises that in considering planning applications substantial weight should be given to any harm to the Green Belt but <i>inappropriate development is by definition harmful to the Green Belt and should not be approved except in very special circumstances.</i> It also advises that minerals extraction is not considered to be inappropriate development within the Green Belt, provided the development <i>it preserves openness and</i> would not conflict with the purposes of including land within it. <i>Harm to assets, including landscape and heritage assets, relevant to the purpose of Green Belt designation equate to harm to the purposes of Green Belt designation. Green Belt policy</i> This is addressed further ... | To clarify the national policy context relating to Green Belt. | SA Objective 11 – Protect and enhance the quality and character, seeks to, ‘Protect the purposes and ‘positive use’ of the Green Belt’. This is in line with national policy and therefore no changes to the SA are required. Screened out – no further SA required. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|---|---|
| Paragraph 2.54 | 25 | Add new sentence at end of Paragraph 2.54: <i><u>For the area north of Flamborough Head, and pending finalisation of a North East Marine Plan, reference should be made to the national Marine Policy Statement, which also highlights the importance of marine aggregates in supplying the construction industry.</u></i> | To clarify the status of marine planning in the area. | This is a clarification of marine planning in the Joint Plan area and does not affect the SA. The Marine Policy Statement has been considered during the development of objectives at the SA scoping stage. Screened out – no further SA required. |
| Paragraph 2.68 Final sentence | 29 | Revise last sentence of paragraph 2.68: These imports, other <i><u>than clear glass grade silica sand</u></i> , are thought to relate ... | To clarify the specific position relating to silica sand. | Clarification within the Joint Plan that does not affect the SA. Screened out – no further SA required. |
| Paragraph 2.88 2nd bullet point | 33 | Revise 2nd bullet point: Cross boundary supply issues relating to silica sand, which is a mineral of national significance <i><u>importance</u></i> . | To more closely align the text with national policy. | Amendment does not affect the SA. Screened out – no further SA required. |
| Paragraph 4.11 | 46 | Add additional text to end of 3rd bullet point, part c): ... in the Plan area <i><u>or other significant regulatory changes relevant to the</u></i> | To further clarify where review may | Additional text does not affect the SA. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|---|--|
| 3rd bullet point, part c) | | <u>development of local planning policy</u> | be required. | Screened out – no further SA required. |
| Policy M06 1st paragraph | 55 | A minimum overall landbank of 10 years will be maintained for crushed rock throughout the plan period. A separate minimum 10 year landbank will be identified and maintained for Magnesian Limestone crushed rock <u>throughout the plan period.</u> | To clarify the proposed approach. | Additional text does not affect the SA. Screened out – no further SA required. |
| Paragraph 5.68 4th sentence | 68 | Revise 4th sentence: Neither of Sites within the other two MPAs in England <u>with reserves of silica sand</u> currently has <u>do not have</u> a 10 year landbank as required by the NPPF <u>national policy</u> , although both are ... | To more closely align the text with national policy. | Text revision does not affect the SA. Screened out – no further SA required. |
| Paragraph 5.72 | 68 | Replace existing paragraph 5.72 with: <u>A further relevant consideration in respect of Blubberhouses Quarry is that the County Council (within its Local Transport Plan 4: strategy and strategic transport prospectus) and the York and North Yorkshire & East Riding Local Enterprise Partnerships (within its strategic economic plan) have identified the need to realign the A59 road at Kex Gill, near Blubberhouses quarry, as a key strategic priority. The existing alignment of the A59 in the Kex Gill area is subject to poor land stability issues, resulting in several road closures taking place on this regionally important strategic trans Pennine route over the past 15 years.</u> | To reflect the evolving situation in relation to proposals for realignment of the A59 near Blubberhouses. | Text revision does not affect the SA. Screened out – no further SA required. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|--|--|
| | | <i><u>A definitive proposed realignment is not yet available and there is no safeguarded route. Work is currently on going identifying options, however there is potential for this project to overlap with the Blubberhouses quarry site. In this scenario there would be a need to ensure that the potential for conflict between road realignment and the quarry is reflected in design of both schemes and the potential for any cumulative impact taken into account where necessary.</u></i> | | |
| Paragraph 5.93 2nd sentence | 75 | Revise 2nd sentence: This is a highly relevant issue for the Plan area following the announcement by Government in late 2015 of new oil and gas exploration and development licences ... | To reflect the fact that a Petroleum Exploration and Development Licence (PEDL) is now awarded by the Oil and Gas Authority. | Text revision does not affect the SA. Screened out – no further SA required. |
| Paragraph 5.94 1st sentence | 75 | Revise 1st sentence: The Government <u>Oil and Gas Authority</u> awards PEDLs ... | To reflect the fact that PEDL licenses are now awarded by the Oil and Gas Authority. | Text revision does not affect the SA. Screened out – no further SA required. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|---|--|
| Paragraph 5.107 1st bullet | | Revise last sentence of 1st bullet point: For unconventional hydrocarbons, exploratory drilling <u>activity</u> make take considerably longer, especially ... | To clarify that it is aspects of unconventional gas development other than drilling which may mean that development activity takes place over longer periods. | Text revision does not affect the SA. Screened out – no further SA required. |
| Paragraph 5.107 3rd bullet | 78 | Revise last sentence of 3rd bullet point: The production stage <u>may involve re-fracturing of existing wells and</u> is likely to require the periodic maintenance of wells, which may require use of drilling equipment. | To clarify the expected nature of development at production stage. | Text revision does not affect the SA. Screened out – no further SA required. |
| Paragraph 5.111 | 80 | Add new text at end of paragraph 5.111: ...appropriately located. <u>Hydrocarbon development typically involves temporary and intermittent activity particularly during the early stages of development. Depending on the nature of the development, it is likely that there will generally be a lesser degree of activity during any production phase.</u> | To provide further clarification of the expected nature of development that could come forward. To clarify the important | Text revision does not affect the SA. Screened out – no further SA required. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|--|--|
| | | | regulatory role of the Environment Agency in this matter. | |
| Paragraph 5.112 | 81 | Add new text after end of 5th sentence: ... health and safety. <i>The Environment Agency has an important regulatory role in relation to the management of returned water and Naturally Occurring Radioactive Materials (NORM).</i> In accordance with ... | To clarify the important regulatory role of the Environment Agency in this matter. | Text revision does not affect the SA. Screened out – no further SA required. |
| Paragraph 5.118 | 83 | Revise paragraph 5.118: Planning guidance and case law makes clear that Minerals Planning Authorities do not need to carry out their own assessments of potential impacts which are controlled by other regulatory bodies. <i>focus on the control of processes or emissions themselves where these are subject to approval under pollution control regimes.</i> It states that they can determine planning applications having considered the advice of these <i>the relevant regulatory</i> bodies without having to wait for other approval processes to be concluded. | To more closely align the text with national policy and guidance. | Text revision does not affect the SA. Screened out – no further SA required. |
| Paragraph | 83 | Revise paragraph 5.119 d): | To clarify the | Text revision does not affect |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|---|---|
| 5.119 | | <p>‘Conventional hydrocarbons’ include oil and gas found within geological ‘reservoirs’ with relatively high porosity/permeability, extracted using conventional drilling and production techniques.</p> <p>Revise paragraph 5.119 e):</p> <p>‘Unconventional hydrocarbons’ include hydrocarbons such as coal bed and coal mine methane and shale gas, extracted using unconventional techniques, including hydraulic fracturing in the case of shale gas, as well as the exploitation of in-situ coal seams through underground coal gasification.</p> <p>Revise para. 5.119 g):</p> <p>In planning terms it is <u>considered that relevant distinctions can be drawn between the specific nature and/or scale of activities associated with certain stages of development for conventional hydrocarbons and those used for unconventional hydrocarbons. These differences may include the potential requirement for a larger number of well pads and individual wells, the volume and pressures of fluids used for any hydraulic fracturing processes and the specific requirements for any related plant and equipment and the management of related wastes.</u> important to distinguish between:</p> <p>i) The use of unconventional techniques to extract hydrocarbons such as hydraulic fracturing, underground</p> | <p>distinctions between development activity associated with conventional and unconventional resources.</p> | <p>the SA.</p> <p>Screened out – no further SA required.</p> |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|---|--|
| | | <p>gasification and coal bed methane extraction; and The use of more conventional, less complex drilling and production techniques to extract hydrocarbons.</p> | | |
| Paragraph 5.122 | 86 | <p>Revise paragraph 5.122: While the Infrastructure Act 2015 and secondary legislation address hydraulic fracturing which occurs underground, the Government has also consulted on <u>introduced</u> further restrictions, in the form of a prohibition on high-volume hydraulic fracturing operations from <u>taking place</u> being carried out from new or existing wells that are drilled at the surface in specified protected areas, although they are not yet in force. As proposed The restrictions would <u>will principally affect</u> apply to surface development for <u>unconventional hydrocarbons involving high volume hydraulic fracturing that is used for the carrying out of “associated hydraulic fracturing” the definition of which is contained in section 4B(1) of the Petroleum Act 1998. The Government has stated that, in addition, these restrictions will apply where an operator is required to get consent from the Secretary of State for hydraulic fracturing that is not “associated hydraulic fracturing”, and that the Secretary of State intends to require that such consent be obtained for operations which use more than 1,000 cubic metres of fluid at any single stage, or expected stage, unless an operator can</u></p> | To more accurately reflect the current regulatory position relating to the Government’s Surface Protections for hydraulic fracturing. | Text revision does not affect the SA. Screened out – no further SA required. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|---|--|
| | | <u>persuasively demonstrate why requiring such consent would not be appropriate in their case. The areas proposed for protection protected through this means are National Parks, AONBs, World Heritage Sites, Groundwater Source Protection Zone 1, SSSIs, Natura 2000 sites (SPAs and SACs) and Ramsar sites. Although these areas all benefit from strong national policy protection in their own right, the proposed restrictions would <u>do</u> not, in themselves, constitute planning policy as they would will be implemented though</u> | | |
| Paragraph 5.123 3rd sentence | 86 | Furthermore, whilst the proposed surface restrictions would <u>will</u> provide ... | To more accurately reflect the current regulatory position relating to the Government's Surface Protections for hydraulic fracturing. | Text revision does not affect the SA. Screened out – no further SA required. |
| Paragraph 5.124 1st sentence | 86 | An additional consideration is that the new Regulations and proposed surface protections <u>restrictions</u> would <u>will</u> only apply to ... | | Text revision does not affect the SA. Screened out – no further SA required. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|---|--|
| Paragraph 5.127 15th line | 87 | Revise 7th sentence: Such equipment may only be present on site for relatively short periods, or potentially a number of months, or intermittently <u>over a period of years at established well pads where successive wells are drilled or refracturing of existing wells takes place.</u> | To reflect the potential position. | Text revision does not affect the SA. Screened out – no further SA required. |
| Paragraph 5.130 | 88 | Add new text at end of paragraph 5.130: <u>In some parts of the Plan area affected by PEDLs, areas of locally important landscapes have been identified in District and Borough local plans. Where these continue to form part of the statutory development plan, and are relevant to a proposal which falls to be determined by North Yorkshire County Council as Minerals and Waste Planning Authority, regard will be had to the requirements of any associated local plan policy.</u> | To reflect the presence of other potentially relevant designations in district local plans and to ensure that appropriate links are made. | Local level landscape plans have been considered within the SA. Screened out – no further SA required. |
| Policy M17 2) ii) a) | 89 | Revise text: The proximity of a proposed new well pad site to other existing, planned <u>permitted</u> or unrestored well pads, ... | To clarify the proposed approach. | Text revision does not affect the SA. Screened out – no further SA required. |
| Paragraph 5.137 | 92 | Revise 1st sentence and add new sentence between 1st and 2nd sentences: To give an indication at this stage, however, it is considered | To clarify the approach to preventing unacceptable | Text revision does not affect the SA. Screened out – no further SA required. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|---|--|
| | | unlikely that proposals which would lead to a total development density, including operational and restored sites, of more than 10 well pads per 100km ² PEDL area (pro-rata for PEDLs of less than 100km²) would be compatible with the purpose of this element of the policy. <i>Where an area being developed by an operator comprises a PEDL or licence block area of less, or more, than 100km² the density guideline will be applied pro-rata.</i> | cumulative impact. | required. |
| Paragraph 5.137 7th line | 92 | Revise 2nd sentence: For PEDLs located in the Green Belt or where a relatively high concentration of other land use constraints exist, including significant access constraints, a lower density <u>and/or number</u> may be appropriate. | To clarify the approach to preventing unacceptable cumulative impact. | Text revision does not affect the SA. Screened out – no further SA required. |
| Paragraph 5.143 | 93 | Revise 1st sentence: Whilst oil and gas <u>hydrocarbon</u> development has the potential ... | For consistency. | Text revision does not affect the SA. Screened out – no further SA required. |
| Paragraph 5.147 | 94 | Revise text to state: In considering appropriate noise limits at sensitive receptors, operators will as a minimum be expected to meet the suggested <u>required</u> limits set out in the <u>NPPF and</u> national Planning Practice Guidance, with the objective of ensuring a high standard of | To improve consistency with national policy and guidance. | Text revision does not affect the SA. Screened out – no further SA required. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|--|--|
| | | protection for local amenity. Site lighting ... | | |
| Paragraph 5.148 3rd sentence | 94 | Although evidence suggests that any earth tremors that could be induced are likely to be of very low magnitude, it <i>It</i> will be important to ensure that development which could give rise to induced seismicity is located in areas of suitable geology. | To more accurately reflect the available evidence. | Text revision does not affect the SA. Screened out – no further SA required. |
| Paragraph 5.149 | 94 | Revise 1st sentence: The potential for emissions to water or air is also a key issue, particularly for proposals involving hydraulic fracturing <u>hydrocarbon development</u> . | To clarify that these issues may also be relevant to other forms of hydrocarbon development. | Text revision does not affect the SA. Screened out – no further SA required. |
| Paragraph 5.151 | 95 | Replace reference in 2nd sentence to DBEIS with <u>Oil and Gas Authority</u> | To correct a factual inaccuracy. | Text revision does not affect the SA. Screened out – no further SA required. |
| Policy M18 2) i) | 96 | Revise text of 2) part i): Following completion of the operational phase of development, or where wells are to be suspended pending further hydrocarbon development, any wells will be decommissioned so as to prevent the risk of any contamination of ground and surface waters and | To more accurately reflect the relevant regulatory requirements relating to decommissioning of | Text revision does not affect the SA. Screened out – no further SA required. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|--|--|
| | | emissions to air; and ... | wells. | |
| Paragraph 5.153 | 96 | Revise 1st sentence: A significant issue with hydrocarbon development, particularly development involving hydraulic fracturing, is the need to manage the various forms of waste water that may be returned to the surface via a borehole. Revise 4th sentence: <u>Water constituting waste and requiring management as waste</u> Such waste can arise in substantial volumes and may contain Naturally Occurring Radioactive Materials (NORM) and other contaminants. | To clarify that water arising on site may not always constitute waste. | Text revision does not affect the SA. Screened out – no further SA required. |
| Paragraph 5.156 16th line | 97 | Revise text: ... potentially leading to very small scale induced seismic activity (<u>earth tremors</u>). Proposals for this ... | To clarify the position. | Text revision does not affect the SA. Screened out – no further SA required. |
| Policy I02 Part 2) | 146 | <u>In addition</u> , within the City of York area, development of ancillary minerals infrastructure will also <u>only</u> be permitted provided the following criteria are met: | To clarify the position. | Text revision does not affect the SA. Screened out – no further SA required. |
| Policy S03 key links to | 154 | Add reference in key links: <u>W10</u> | To clarify this important link. | Text revision does not affect the SA. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|---|--|
| other policies and objectives | | | | Screened out – no further SA required. |
| Paragraph 8.30 | 155 | Revise Paragraph 8.30 by inserting new text at end of paragraph: <i><u>It is acknowledged that in some cases, including at the former mine sites in the Plan area, there are other extant proposals for redevelopment which are matters for determination by the relevant local planning authority and that such proposals could overlap with land proposed for safeguarding in the Joint Plan. In these circumstances the Minerals and Waste Planning Authority will seek to work constructively with the relevant local planning authority and developers to ensure that a proportionate approach to implementing safeguarding of minerals and waste infrastructure requirements is taken.</u></i> | To emphasise the need for a pragmatic approach to implementing safeguarding requirements. | Text addition does not affect the SA. Screened out – no further SA required. |
| Paragraph 8.33 | 156 | Add new text at end of Paragraph 8.33: <i><u>It is recognised that rail transport infrastructure at former mine sites in the Plan area are important for their potential to serve other existing or proposed rail-linked uses. It is not the intention in safeguarding them for minerals and waste transport to prevent other such beneficial uses from taking place but to ensure that their potential significance in providing opportunities for modal shift in</u></i> | To emphasise the need for a pragmatic approach to implementing safeguarding requirements. | Text addition does not affect the SA. Screened out – no further SA required. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|---|---|
| | | <i>transport of minerals and waste is taken into account in other development decisions. In these circumstances the Minerals and Waste Planning Authority will seek to work constructively with the relevant local planning authority and developers to ensure that a proportionate approach to implementing safeguarding of minerals and waste infrastructure requirements is taken.</i> | | |
| Paragraph 8.34 | 156 | Add new sentence at end of Paragraph 8.34: <i>The East Coast marine Plan (Policy PS3) supports the protection and expansion of port and harbour capacity.</i> | To emphasise the linkage between marine and terrestrial planning. | Text addition does not affect the SA. Screened out – no further SA required. |
| Paragraph 8.47 Safeguarding exemption criteria list | 159 | Revise 11th bullet point: Applications for development on land which is already allocated in an adopted local plan where the plan took account of minerals, and waste <i>and minerals and waste transport infrastructure</i> safeguarding requirements | To reflect the fact that minerals and waste transport infrastructure is also safeguarded in the plan. | Text addition does not affect the SA. Screened out – no further SA required. |
| Paragraph 9.16 | 164 | Revise final sentence: Vehicle movements can have a range of impacts, including cumulative impacts, such as on local amenity and in some cases on the landscape and tranquillity. <i>Air quality can also be adversely affected, particularly in locations where Air Quality Management</i> | To reflect the potential for vehicle movements to impact on air quality. | Identification of Air Quality Management Areas has been undertaken within the SA. Vehicle movements have been considered in relation to air |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|---|---|
| | | <i>Areas have been identified</i> and other development management policies in the Joint Plan will therefore be relevant in some circumstances. | | quality impacts. Screened out – no further SA required. |
| Paragraph 9.21 | 165 | Add new text after the end of paragraph 9.21: <i><u>The primary purpose of AONB designation is to conserve and enhance natural beauty. In pursuing the primary purpose of designation, account should be taken of the needs of agriculture, forestry and other rural industries and of the economic and social needs of communities. Particular regard should be paid to promoting sustainable forms of social and economic development that in themselves conserve and enhance the environment. Recreation is not an objective of designation, but the demand for recreation should be met so far as this is consistent with the conservation of natural beauty and the needs of agriculture, forestry and other uses.</u></i> | To further clarify the purposes of AONB designation. | Text addition does not affect the SA. Screened out – no further SA required. |
| Paragraph 9.42 | 171 | Add new sentence at end of paragraph 9.42: <i><u>In some parts of the Plan area, areas of locally important landscapes have been identified in other local plans. Where these continue to form part of the statutory development plan, and are relevant to a proposal which falls to be determined by the relevant minerals and waste planning authority, regard will be had to the</u></i> | To reflect the presence of other potentially relevant designations in district local plans and to ensure that | Local landscape designations have been considered within the SA. Screened out – no further SA required. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|--|--|
| | | <u>requirements of any associated local plan policy.</u> | appropriate links are made. | |
| Policy D05 part 1) | 167 | Proposals for minerals and waste development within the York and West Yorkshire Green Belts will be supported where it would <u>be consistent with the purposes of Green Belt identified in national policy including</u> preserve the openness of the Green Belt and, where the development would be located within the York Green Belt, would preserve the historic character and setting of York. | To more closely reflect the requirements of national policy. | Text revision does not affect the SA. Screened out – no further SA required. |
| Policy D05 part 2) 2nd paragraph | 168 | Substantial weight will be given to any harm to the Green Belt and inappropriate waste development in the Green Belt will only be permitted in very special circumstances, which must <u>will need to be demonstrated by the applicant in which the harm by reason of inappropriateness, or any other harm, is clearly outweighed by other considerations. order to outweigh harm caused by inappropriateness, or any other harm.</u> | To more closely reflect the requirements of national policy. | Text revision does not affect the SA. Screened out – no further SA required. |
| Policy D10 1) i) | 183 | Replace existing text of D10 1) i) with: <u>Applicants are encouraged to discuss proposals at an early stage with local communities and other relevant stakeholders and where practicable reflect the outcome of those discussions in submitted schemes.</u> | To more closely reflect the requirements of national policy. | Text revision does not affect the SA. Screened out – no further SA required. |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|--|---|---|
| Minerals and Waste Joint Plan, Appendix 1 | | | | |
| 1st Column text: Estimated date of commencem ent | 140 | Revise this text to read: Estimated d <u>Date</u> of commencement | To reflect that the planning permission for this development has been implemented. | Clarification does not affect the SA score. Screened out – no further SA required. |
| 2nd Column text relating to date of commencem ent | 140 | Revise this text to read: By April 2017 (base on requirement for implementation specified in decision notice for planning application 12/03385/FULM) <u>November 2016</u> | To reflect that the planning permission for this development has been implemented. | Clarification does not affect the SA score. Screened out – no further SA required. |
| Minerals and Waste Joint Plan, Appendix 2 | | | | |
| Southmoor Energy Centre safeguarded site | 179 | Revise plan to only show core site and principal access to the highway | To reflect the fact that there are proposals for other development on the former Kellingley Colliery site. | Clarification does not affect the SA. Screened out – no further SA required. |
| Knapton | 186 | Revise reference to facility type to: Composting, <i>transfer, treatment</i> | To more accurately | Clarification does not affect the |

| Policy Ref/ Paragraph Number/ Reference point | Page Number | Change Proposed | Reason | Sustainability Appraisal Screening |
|---|----------------|---|--|---|
| Quarry safeguarded site Facility Type | | <u>and recycling</u> | reflect the current role of the site. | SA. Screened out – no further SA required. |
| Safeguarded waste sites | | Insert new safeguarded waste transfer (non-hazardous) site: <u>Showfield Lane, Malton.</u> | To reflect the significant role currently played by this site in the Ryedale area. | Clarification does not affect the SA. Screened out – no further SA required. |

Appendix 2 – Updated SFRA

MJP21 Land at Killerby

DRAFT

Appendix 3 – Updated Historic Impact Assessment

MJP21 Land at Killerby

DRAFT



'Better Decision Making' Tool
 Informing our approach to sustainability, resilience and fairness

The 'Better Decision Making' tool should be completed when proposing new projects, services, policies or strategies.

This integrated impact assessment tool was designed to help you to consider the impact of your proposal on social, economic and environmental sustainability, and equalities and human rights. The tool draws upon the priorities set out in our Council Plan and will help us to provide inclusive and discrimination-free services. The purpose of this new tool is to ensure that the impacts of every proposal are carefully considered and balanced and that decisions are based on evidence.

Part 1 of this form should be completed as soon as you have identified a potential area for change and when you are just beginning to develop a proposal. If you are following the All About Projects Framework it should be completed before going through Gateway 3.

Part 2 of this form should be filled in once you have completed your proposal and prior to being submitted for consideration by the Executive. If you are following the All About Projects Framework it should be completed before going through Gateway 4. Your answer to questions 1.4 in the improvements section must be reported in any papers going to the Executive and the full 'Better Decision Making' tool should be attached as an annex.

Guidance to help you complete the assessment can be obtained by hovering over the relevant text or by following this link to the 'Better Decision Making' tool on Colin.

Guidance on completing this assessment is available by hovering over the text boxes.

Please complete all fields (and expand if necessary).

Introduction

| | |
|--|---------------------|
| Service submitting the proposal: | Strategic Planning |
| Name of person completing the assessment: | Rebecca Harrison |
| Job title: | Development Officer |
| Directorate: | Economy and Place |
| Date Completed: | 13/06/2017 |
| Date Approved: form to be checked by service manager | |

Part 1

Section 1: What is the proposal?

| | |
|-----|--|
| 1.1 | Name of the service, project, programme, policy or strategy being assessed? Minerals and Waste Joint Plan - Proposed Changes |
|-----|--|

| | |
|-----|--|
| 1.2 | What are the main aims of the proposal? The Minerals and Waste Joint Plan includes a series of policies and sites which will provide the framework for future minerals and waste development in the joint plan area (City of York Council, North Yorkshire County Council and North York Moors National Park). The main purpose of the report is to request that Members approve the Schedule of Proposed Changes for consultation purposes. |
|-----|--|

| | |
|-----|--|
| 1.3 | What are the key outcomes? To ensure that the Minerals and Waste Joint Plan can be progressed. |
|-----|--|

Section 2: Evidence

| | |
|--|--|
| | What data / evidence is available to understand the likely impacts of the proposal? (e.g. hate crime figures, obesity levels, recycling statistics) |
|--|--|

| | |
|-----|--|
| 2.1 | The Minerals and Waste Joint Plan uses an extensive evidence base to support its policies. This includes Demographic and Economic Evidence, an Equalities Impact Assessment, Community Impact Assessment. A full list is available on the Joint Plan website: www.northyorks.gov.uk/mwjjointplan |
|-----|--|

| | |
|-----|---|
| 2.2 | What public / stakeholder consultation has been used to support this proposal? |
| | <p>Extensive public consultation has been undertaken throughout the development of the Joint Plan.</p> <ul style="list-style-type: none"> • First Consultation (completed May/June 2013) • Issues and Options Consultation (Completed March/April 2014) • Additional or Revised Sites Consultation (Completed January/February 2015) • Preferred Options Consultation (Completed November 2015 -January 2016) <ul style="list-style-type: none"> • Publication stage (Completed November - December 2016) • Post-Publication Proposed Changes Consultation (Scheduled for July 2017) |

| | |
|-----|---|
| 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?) |
| | The Joint Plan has been developed alongside an emerging City of York Local Plan. The consultees in the York local authority area will also be consulted on as part of the Local Plan process. |

Part 1

Section 3: Impact on One Planet principles

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 the 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? | Positive | Businesses in York will be affected by proposals for minerals and waste development. Especially those directly related to these industries. |
| 3.2 | Provide additional employment or training opportunities in the city? | Positive | The policies of the neighbourhood plan support new business development on established businesses where they provide car parking. |
| 3.3 | Help individuals from disadvantaged backgrounds or underrepresented groups to improve their skills? | Neutral | There are no specific policies relating to individuals from disadvantaged backgrounds. |

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 staff or residents? | Neutral | The Joint Plan includes policies to reduce impact of M&W development on the communities nearby. However, the perceived negative impact on people's health can not be reduced by planning policies. |
| 3.5 | Help reduce health inequalities? | Neutral | The Joint Plan includes policies to reduce impact of M&W development on the communities nearby. However, the perceived negative impact on people's health can not be reduced by planning policies. |
| 3.6 | Encourage residents to be more responsible for their own health? | Neutral | There are no policies which specifically relate to this issue. |
| 3.7 | Reduce crime or fear of crime? | Neutral | There are no policies which specifically relate to crime. |
| 3.8 | Help to give children and young people a good start in life? | Neutral | There are no policies which specifically relate to this issue. |

Culture & Community

| | Does your proposal? | Impact | What are the impacts and how do you know? |
|------|--|---------|--|
| 3.9 | Help improve community cohesion? | Neutral | There are no policies which specifically relate to this issue. |
| 3.10 | Improve access to services for residents, especially those most in need? | Neutral | There are no policies which specifically relate to this issue. |
| 3.11 | Improve the cultural offerings of York? | Neutral | There are no policies which specifically relate to this issue. |
| 3.12 | Encourage residents to be more socially responsible? | Neutral | There are no policies which specifically relate to this issue. |

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, or reduce the amount of energy we will use/pay for in the future? | Positive | A specific policy which is to be applied to all types of M&W development covers sustainable design, construction and operation of development. This includes reducing energy consumption. |

| | | | |
|------|--|----------|--|
| 3.14 | Minimise the amount of water we use or reduce the amount of water we will use/pay for in the future? | Positive | A specific policy which is to be applied to all types of M&W development covers sustainable design, construction and operation of development. This includes reducing water consumption. |
| 3.15 | Provide opportunities to generate energy from renewable/low carbon technologies? | Positive | A specific policy which is to be applied to all types of M&W development covers sustainable design, construction and operation of development. This includes the generation of renewable energy. |

Zero Waste

| Does your proposal? | | Impact | What are the impacts and how do you know? |
|---------------------|--|----------|---|
| 3.16 | Reduce waste and the amount of money we pay to dispose of waste by maximising reuse and/or recycling of materials? | Positive | One of the main objectives of the Joint Plan is to promote the management of waste further up the hierarchy i.e. Reducing the amount going to landfill and encouraging the re-use, recycling, composting and recovery of waste as well as supporting an overall reduction in the generation of waste. |

Sustainable Transport

| Does your proposal? | | Impact | What are the impacts and how do you know? |
|---------------------|---|----------|--|
| 3.17 | Encourage the use of sustainable transport, such as walking, cycling, ultra low emission vehicles and public transport? | Positive | The Joint Plan has a whole chapter which considers issues relating to M&W transport infrastructure which encourages the development of rail, water, pipeline or conveyor transport infrastructure. |
| 3.18 | Help improve the quality of the air we breathe? | Positive | Several policy make reference to the need to mitigate against air pollution. |

Sustainable Materials

| Does your proposal? | | Impact | What are the impacts and how do you know? |
|---------------------|---|----------|--|
| 3.19 | Minimise the environmental impact of the goods and services used? | Positive | Several policies include criteria to minimise the environmental impact of M&W development. |

Local and Sustainable Food

| Does your proposal? | | Impact | What are the impacts and how do you know? |
|---------------------|---|---------|--|
| 3.20 | Maximise opportunities to support local and sustainable food initiatives? | Neutral | There are no policies which specifically relate to this issue. |

Land Use and Wildlife

| Does your proposal? | | Impact | What are the impacts and how do you know? |
|---------------------|--|----------|--|
| 3.21 | Maximise opportunities to conserve or enhance the natural environment? | Positive | There is a specific policy which seeks to protect and enhance the biodiversity and geodiversity in the plan area. |
| 3.22 | Improve the quality of the built environment? | Positive | There is a specific policy which seeks to protect and enhance the historic environment in the plan area. |
| 3.23 | Preserve the character and setting of the historic city of York? | Positive | There is a specific policy which covers Green Belt and specifically refers to the historic character and setting of York. |
| 3.24 | Enable residents to enjoy public spaces? | Positive | There is a policy which covers local amenity and cumulative impact related to M&W development. It states that there must be no unacceptable impact of public open space. |

| | | | |
|------|---|--|--|
| 3.25 | Additional space to comment on the impacts | | |
| | | | |

Part 1

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? | Relevant quality of life indicators | |
|------|----------------------------------|---|-------------------------------------|-----|
| 4.1 | Age | Neutral | None deemed likely | N/A |
| 4.2 | Disability | Neutral | None deemed likely | N/A |
| 4.3 | Gender | Neutral | None deemed likely | N/A |
| 4.4 | Gender Reassignment | Neutral | None deemed likely | N/A |
| 4.5 | Marriage and civil partnership | Neutral | None deemed likely | N/A |
| 4.6 | Pregnancy and maternity | Neutral | None deemed likely | N/A |
| 4.7 | Race | Neutral | None deemed likely | N/A |
| 4.8 | Religion or belief | Neutral | None deemed likely | N/A |
| 4.9 | Sexual orientation | Neutral | None deemed likely | N/A |
| 4.10 | Carer | Neutral | None deemed likely | N/A |
| 4.11 | Lowest income groups | Neutral | None deemed likely | N/A |
| 4.12 | Veterans, Armed forces community | Neutral | None deemed likely | N/A |

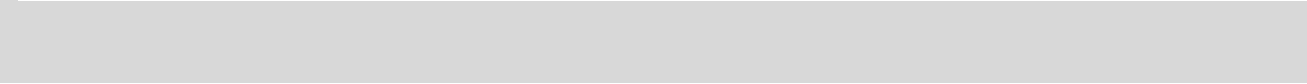
Human Rights

Consider how a human rights approach is evident in the proposal

| | neutral | What are the impacts and how do you know? | |
|------|---|---|--------------------|
| 4.13 | Right to education | neutral | None deemed likely |
| 4.14 | Right not to be subjected to torture, degrading treatment or punishment | neutral | None deemed likely |
| 4.15 | Right to a fair and public hearing | neutral | None deemed likely |
| 4.16 | Right to respect for private and family life, home and correspondence | neutral | None deemed likely |
| 4.17 | Freedom of expression | neutral | None deemed likely |
| 4.18 | Right not to be subject to discrimination | neutral | None deemed likely |

| | | | |
|------|---------------------|---------|--------------------|
| 4.19 | Other Rights | neutral | None deemed likely |
|------|---------------------|---------|--------------------|

| | | | |
|------|---|--|--|
| 4.20 | Additional space to comment on the impacts | | |
| | | | |



Part 1

Section 5: Developing Understanding

Based on the information you have just identified, please consider how the impacts of your proposal could be improved upon, in order to balance social, environmental, economic, and equalities concerns, and minimise any negative implications.

It is not expected that you will have all of the answers at this point, but the responses you give here should form the basis of further investigation and encourage you to make changes to your proposal. Such changes are to be reported in the final section.

Taking into consideration your responses about all of the impacts of the project in its current form, what would you consider the overall impact to be on creating a fair, healthy, sustainable and resilient city?

5.1 Given the wide range of policy areas covered by the Minerals and Waste Joint Plan and its over all vision which responds to the issues, opportunities and challenges facing the area it is considered that the plan will have a positive impact overall on creating a fair, healthy, sustainable and resilient city.

What could be changed 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)

5.2 None.

What could be changed 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)

5.3 No mixed or negative impacts on equality and human rights are considered likely.

Section 6: Planning for Improvement

What further evidence or consultation is needed to fully understand its impact? (e.g. consultation with specific communities of identity, additional data)

6.1 The Joint Plan has been subject to extensive public consultation. This particular report requests that Members approve the latest document for public consultation purposes.

What are the outstanding actions needed to maximise benefits or minimise negative impacts in relation to this proposal?
Please include the action, the person(s) responsible and the date it will be completed (expand / insert more rows if needed)

| Action | Person(s) | Due date |
|--------|-----------|----------|
| | | |
| | | |
| | | |
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| | |
|-----|--|
| 6.3 | Additional space to comment on the impacts |
| | |

Part 2

Section 1: Improvements

Part 2 builds on the impacts you identified in Part 1. Please detail how you have used this information to make improvements to your final proposal.

Please note that your response to question 1.4 in this section must be reported in the One Planet Council implications section of reports going to the Executive.

| | |
|-----|--|
| 1.1 | <p>For the areas in the 'One Planet' and 'Equalities' sections, where you were unsure of the potential impact, what have you done to clarify your understanding?</p> |
| | <p>Given the wide ranging policy areas covered in the plan and the process taken so far in preparing the plan there are inherent links and good understanding of the one planet principles and equalities.</p> |

| | |
|-----|---|
| 1.2 | <p>What changes have you made to your proposal to increase positive impacts?</p> |
| | <p>No changes considered necessary.</p> |

| | |
|-----|---|
| 1.3 | <p>What changes have you made to your proposal to reduce negative impacts?</p> |
| | <p>No negative impacts anticipated.</p> |

| | |
|-----|---|
| 1.4 | <p>Taking into consideration everything you know about the proposal <u>in its revised form</u>, what would you consider the overall impact to be on creating a fair, healthy, sustainable and resilient city?</p> <p>Your response to this question must be input under the One Planet Council implications section of the Executive report. Please feel free to supplement this with any additional information gathered in the tool.</p> |
| | <p>Given the wide range of policy areas covered by the Joint Plan and its over all vision which responds to the issues, opportunities and challenges facing the Joint Plan area it is considered that the plan will have a positive impact overall on creating a fair, healthy, sustainable and resilient city.</p> |

| | |
|--|-------------------------------------|
| | <p>Any further comments?</p> |
|--|-------------------------------------|

1.5



Executive

29 June 2017

Report of the Corporate Director Economy and Place
Portfolio of the Executive Member for Planning and Transport

Upper and Nether Poppleton Neighbourhood Plan – Examiner’s Report**Summary**

1. The Upper and Nether Poppleton Neighbourhood Plan Examiner’s Report is attached at Annex A to this report. Annex B sets out a Decision Statement which includes the Council’s proposed response to the examiner’s recommended modifications. This report requests that the Executive agree the examiner’s recommendations to enable the Neighbourhood Plan to proceed to referendum.

Recommendations

2. The Executive is asked to:

- i) Agree the Examiner’s modifications and the further minor modifications set out at Annex B to the Upper and Nether Poppleton Neighbourhood Plan and that subject to those modifications the Neighbourhood Plan meets the Basic Conditions and other legislative requirements.

Reason: To allow the Neighbourhood Plan to progress in line with neighbourhood planning legislation.

- ii) Agree that the Upper and Nether Poppleton Neighbourhood Plan as modified by recommendation i) proceeds to a local referendum based on the geographic boundary of the parishes of Upper and Nether Poppleton as recommend by the Examiner.

Reason: To allow the Neighbourhood Plan to progress in line with neighbourhood planning legislation.

- (iii) To approve the Decision Statement attached at Annex B to be published on the City of York Council's website.

Reason: To allow the Neighbourhood Plan to progress in line with neighbourhood planning legislation.

Background

3. The Localism Act 2011 introduced new powers for community groups to prepare neighbourhood plans for their local areas. The Council has a statutory duty to assist communities in the preparation of Neighbourhood Plans and to take plans through a process of Examination and Referendum. The local authority is required to take decisions at key stages in the process within time limits that apply, as set out in the Neighbourhood Planning (General) Regulations 2012 as amended in 2015 and 2016 ("the Regulations").
4. The Upper and Nether Poppleton Neighbourhood Plan has been prepared jointly by both Upper Poppleton Parish Council and Nether Poppleton Parish Council with on-going engagement with the local community and City of York Council. Prior to Examination it has been through the following stages of preparation:
 - Designation as a Neighbourhood Area (October 2014)
 - Consultation on a Pre-Submission version (March 2015)
 - Consultation on a 2nd Pre-submission version (May 2016)
 - Submission to City of York Council (November 2016)
 - Submission consultation (December 2016)
5. Following the close of Submission consultation and with the consent of the two Parish Councils, Mr Andrew Ashcroft BA (Hons) MA, DMS, MRTPI was appointed via the Neighbourhood Planning Independent Examiner Referral Scheme to undertake an Independent Examination of the Neighbourhood Plan. The purpose of the Examination is to consider whether the Plan complies with various legislative requirements and meets a set of "Basic Conditions" set out in paragraph 8(2) of Schedule 4B of the Town and Country Planning Act 1990. The Basic Conditions are:

- i) To have regard to national policies and advice contained in guidance issued by the Secretary of State;
 - ii) To contribute to the achievement of sustainable development;
 - iii) To be in general conformity with the strategic policies contained in the development plan for the area; and
 - iv) To not breach, and be otherwise compatible with, EU and European convention on Human Rights obligations.
6. The Examiner can make one of three overall recommendations on the Neighbourhood Plan namely that it can proceed to referendum (i) with modifications; (ii) without modification; or (iii) that the Plan cannot be modified in a way that allows it to meet the Basic Conditions or legal requirements and should not proceed to referendum.
7. Modifications can only be those that the Examiner considers are needed to:
- a) make the plan conform to the Basic Conditions
 - b) make the plan compatible with the Convention rights
 - c) make the plan comply with definition of a neighbourhood plan and the provisions that can be made by a neighbourhood plan or
 - d) to correct errors.
8. If a recommendation to go to a referendum is made, the Examiner must also recommend whether the area for the referendum should go beyond the Neighbourhood Area, and if so what the extended area should be.
9. The Regulations presume that Neighbourhood Plans will be examined by way of written evidence only, with a requirement for a hearing only in cases where the Examiner feels the only way to properly assess a particular issue is via a discussion with all parties. The Examiner decided that examination by written representations and an unaccompanied visit to the Neighbourhood Area was appropriate in this case and provided his final report on 16th May 2017.
10. Overall, the Report concluded “On the basis of the findings in this report I recommend to the City of York Council that subject to the incorporation of the modifications set out in this report that the Poppleton Neighbourhood Plan should proceed to referendum”

Examiner's Recommendations

11. Table 1 of Annex A sets out all of the Examiner's detailed modifications to the Neighbourhood Plan as identified in his Report. In summary, the key modifications relate to:
 - Policy PNP1 Green Belt
12. A series of modifications are suggested in relation to PNP1 (Green Belt policy) to reflect the policy context to York's Green Belt. In particular, the modifications take account of national advice on the principle of the identification of detailed Green belt boundaries whilst safeguarding the general application of this important and nationally-recognised planning tool.
13. The Examiner recommends that the Neighbourhood Plan continues to apply the approach to the identification of the Green Belt as set out currently in the RSS and the Fourth Set of Changes to the City of York Draft Local Plan (approved for development management purposes in 2005) on an interim basis until such times as the emerging City of York Local Plan is adopted. He states that this will ensure that the preparation of the emerging City of York Local Plan is used as the mechanism for the detailed identification of the York Green Belt boundaries in accordance with national planning policy. He also recognises that this will also provide full and proper opportunity for developers and land owners to contribute to this debate both in general terms and to provide the agreed levels of development for the City.
 - Policy PNP6A Housing (Housing Allocations)
14. For the same reasons as set out within the context of Policy PNP 1, the Examiner states that it is not within the remit of the Neighbourhood Plan to allocate land within the general extent of the Green Belt for residential purposes. He makes it clear that this is properly a role for the emerging City of York Local Plan.
15. The Examiner highlights that this position is further reinforced given the current lack of certainty over the allocation of housing sites in the emerging City York Local Plan. He acknowledges that the Preferred Sites Consultation was approved by the Council for public consultation only and at this point the document does not represent the Council's position in relation either to levels of housing and employment growth or to the draft portfolio of sites identified to meet that need. He recognises that within this context several other sites within the Neighbourhood

Plan area are also being promoted for residential development and have been highlighted as part of the representation process.

16. On this basis, the Examiner recommends that a modification is made to this part of the policy to delete reference to site H4 (Civil Service Sports Ground). He states, for clarity to all parties, it is emphasised that this recommendation has been made simply on the basis of national policy and the processes that follow. In doing so, the Examiner makes no comments on the appropriateness or otherwise of this site coming forward as a housing allocation in the emerging City of York Local Plan. He clarifies that this will properly be a judgement for City of York Council which will also come to its own judgement on the other sites currently within the general extent of the Green Belt that are being promoted for residential development. Ultimately the City of York Local Plan will be subject to its own examination based on the tests of soundness.
 - Policy PNP 7B: Business and Employment (allocation of Wyevale Garden Centre for employment uses)
17. The Examiner states that the consideration of this policy overlaps significantly with policies PNP 1 (Green Belt) and PNP 6 (Housing). He recognises that the submitted Plan has proactively sought to bring forward sustainable development and has used common evidence with the City of York Council to do so. Nevertheless, he states that national policy is clear that it is the role of the City of York Local Plan to identify the spatial extent of the Green Belt. In this case, Wyevale Garden Centre site is within the general extent of the Green Belt as identified in the 2005 draft Local Plan. On this basis, the Examiner recommends the deletion of the policy.

Next Steps

18. The next stage of the relevant legislation requires the Council to:
 - Consider each of the recommendations made by the Examiner's Report (and the reasons for them), and
 - Decide what action to take in response to each recommendation.
19. If the LPA is satisfied that the Neighbourhood Plan meets the Basic Conditions, is compatible with the Convention rights, and complies with the definition of an NP and the provisions that can be made by a NP or can do so if modified (whether or not recommended by the Examiner), then a referendum must be held.

20. The Council must publish its decision and its reasons for it in a 'Decision Statement'. The Decision Statement must be published within 5 weeks beginning with the day following receipt of the Examiner's Report unless an alternative timescale is agreed with the Parish Councils. The Parish Councils have agreed to extend the of the decision to 30 June 2017.
21. The Examiner's recommendations on the Neighbourhood Plan are not binding on the Council, who may choose to make a decision which differs from the Examiner's. However, any significant changes from the Examiner's recommendations would require a further period of public consultation, along with a statement from the Council setting out why it has taken this decision.
22. A decision to refuse the Neighbourhood Plan proposal could only be made on the following grounds:
 - the LPA is not satisfied that the Neighbourhood Plan meets the Basic Conditions;
 - the LPA does not believe that with modification Neighbourhood Plan can meet the Basic Conditions;
 - the LPA considers that the Neighbourhood Plan constitutes a repeat proposal; or
 - the LPA does not believe the qualifying body is authorised or
 - that the proposal does not comply with that authorisation.
23. The Examiner's Report concludes that the Neighbourhood Plan meets the Basic Conditions required by legislation, and that subject to the modifications proposed in his report, the Neighbourhood Plan should proceed to a referendum to be held within the Neighbourhood Area. Officers have considered all of the recommendations and the Examiner's reasons for them and have set out the Councils response as part of the Decision Statement in Annex B.
24. Table 2 of the Decision Statement (Annex B) sets out a list of some further minor modifications to the general text agreed by the Council and Upper and Nether Poppleton Parish Councils for the purpose of achieving consistency with the modified policies or to correct typographical errors. As this is not a different view to the Examiner's, it

is not necessary for the Council to re-consult on those minor modifications.

25. It is recommended that all of the Examiner's recommended modifications and all of the additional minor modifications in be made as set out in Table 1 and Table 2 at Annex B. The Officer recommendation is that subject to those modifications the Plan meets the Basic Conditions, is compatible with the Convention Rights and complies with the provisions that can be made by a neighbourhood plan. Subject to the Executive's agreement of the Decision Statement, the Neighbourhood Plan will be amended accordingly and the Neighbourhood Plan will proceed to local referendum.

Referendum

26. The Council must organise a referendum on any Neighbourhood Plan that meets the legislative requirements. This ensures that the community has the final say on whether a Neighbourhood Plan comes into force.
27. The Examiner's Report confirms that the referendum area should be the same as the Neighbourhood Area designated by the Council, which are the parishes of Nether and Upper Poppleton. The Neighbourhood Planning (Referendum) Regulations 2012 as amended require the Local Planning Authority to hold the referendum within 56 days of the date that a decision to hold one has been made.. Assuming the Executive endorse the recommendations in this report, it is anticipated that the referendum will be held on or before 24th August 2017, within the 56 day period set out in the amended Regulations. The date for the referendum and further details will be publicised once a date is set by the Council. This is currently being discussed with colleagues in Electoral Services.
28. If over 50% of those voting in the referendum vote in favour of the Neighbourhood Plan, then under the legislation the Council must bring it into force within 8 weeks of the result of referendum (unless there are unresolved legal challenges). If the referendum results in a "yes" vote a further report will be brought to Executive with regard to the formal adoption of the Neighbourhood Plan as part of the statutory Development Plan.

Decision making

29. As the Neighbourhood Plan is now at an advanced stage, its policies where relevant have legal weight in decision making with regard to any planning applications to be determined within Upper and Nether Poppleton Parishes. This is reflected in a provision in The Neighbourhood Planning Act 2017 which, once brought into effect provides that, when determining an application, a LPA must have regard to “a post examination draft neighbourhood development plan as far as material to the application”. If a LPA make a decision to allow a draft neighbourhood plan with modifications to proceed to referendum, then the modifications recommended must also be taken into account.

Consultation

30. As mentioned earlier in the report, the Upper and Nether Poppleton Neighbourhood Plan has been through several stages of consultation. These are: consultation on the Neighbourhood Area boundary (October 2014), consultation on a Pre-Submission version of the Plan (March 2015 and May 2016), consultation on a Submission version (November 2016) and a consultation on a revised SEA (April 2017).
31. A Consultation Statement accompanied the submission version of the Neighbourhood Plan and sets out all the consultation undertaken. All the consultation undertaken by City of York Council has been carried out in accordance with the Council’s Statement of Community Involvement.

Options

32. Officers request that Members:
- i) endorse the recommendations in paragraph 2 of this report and agree with the Examiner’s Recommendations and approve the Decision Statement attached at Annex B to enable the Upper and Nether Poppleton Neighbourhood Plan to proceed to Referendum.

Analysis

33. As both Parish Councils have accepted all of the recommended modifications of the Examiner, and the Examiner has concluded that this will then satisfy the Basic Conditions, the Council has an obligation, under Schedule 4B of the 1990 Town and Country Planning Act, to arrange a local referendum, unless the Examiner’s recommended modifications and/or conclusions are to be challenged.

The Officer recommendation to Members is that the modifications made by the Examiner are well justified and that, with these modifications, the Neighbourhood Plan proposals will meet the legislative requirements. The Council must organise a referendum on any Neighbourhood Plan that meets the legislative requirements. This will give the local community the opportunity to vote on whether they deem the Neighbourhood Plan to meet the needs and aspirations for the future of their neighbourhood.

Alternative Options and Reasons for Rejection

34. The following alternative options have been identified and rejected for the reasons as set out below

ii) That the Executive provide modified recommendations to those made by the Examiner and, if considered to be significant, agree that these will be subject to further consultation along with a statement explain why the decision differs from the Examiner's;

This option is not considered appropriate as the proposed modifications make the Neighbourhood Plan more robust and enable it to meet the Basic Conditions.

iii) That the Executive reject the Examiner's recommendations and refuse the Neighbourhood Plan proposal. This decision can only be justified on the grounds listed under paragraph 22 .

This option can only be justified if the Examiner recommends that the Plan should not proceed to a referendum, or the Council is not satisfied that the plan has met the procedural and legal requirements. This option is not considered appropriate.

Financial Implications

35. The responsibility and therefore the costs of the Examination and Referendum stages of the Neighbourhood Plan production lie with the City of York Council. Table 1 below sets out a breakdown of the non-staffing costs of producing the Poppleton neighbourhood Plan to date and also sets out the costs associated with the Examination and Referendum.

Table 1

| Stage | Cost |
|-----------------------------|----------------|
| Designation consultation | £500 |
| Submission consultation | £500 |
| NP grant to Parish Councils | £3000 |
| Examination | £8,600 |
| SEA consultation | £500 |
| Referendum | £5,460 |
| Total | £18,560 |

36. There is also a significant level of officer costs required throughout the process to provide the required support to each of the Neighbourhood Planning Bodies. A significant level of officer input at an appropriate level is needed throughout the process to ensure legal conformity, appropriate plan content, technical advice, including provision of mapping and assistance with Strategic Environmental Assessment (SEA) and Habitat Regulation Assessment (HRA).
37. Financial support from Central Government is available for Local Planning Authorities (LPAs) involved with Neighbourhood Plans. Some LPAs can claim £5,000 for the designation of neighbourhood areas. Whilst this was claimed for the designation of the Upper and Nether Poppleton Neighbourhood Plan in 2014, it is no longer available for neighbourhood areas in York as more than 5 neighbourhood areas are designated. LPAs can also claim £20,000 once they have set a date for a referendum following a successful examination. This will be available for the Upper and Nether Poppleton Neighbourhood Plan.
38. The City of York Council Budget 2016/17 included a recurring budget item of £33,000 for Neighbourhood Planning which is to be distributed as £3,000 per Parish Council or Neighbourhood Forum to be used to develop a Neighbourhood Plan. This is for the neighbourhood planning body to spend independent to the Council.
39. Communities with Neighbourhood Plans in place can also benefit financially should York adopt a Community Infrastructure Levy (CIL). They can benefit from 25% of the revenues from the CIL arising from the development that takes place in their area.

Implications

40. The following implications have been assessed:

- **Financial**– The examination and referendum will be funded by City of York Council. Once a date for the referendum is set the Council can apply for a government grant of £20,000 towards the costs of the Councils involvement in preparing the Plan (including the costs of the Examination and referendum). Any shortfall will need to be accommodated within existing resource.
- **Human Resources (HR)** - none
- **One Planet Council / Equalities** - Better Decision Making Tool attached at Annex D.
- **Legal** - The Legal implications are set out within the body of this report. The decision to proceed to referendum is, like all decisions of a public authority, open to challenge by Judicial Review. The risk of any legal challenge to the Neighbourhood Plan being successful has been minimised by the thorough and robust way in which it has been prepared and tested.
- **Crime and Disorder** - None
- **Information Technology (IT)** None
- **Property** - None
- **Other** – None

Risk Management

41. In compliance with the Council's risk management strategy, the main risks associated with the Poppleton Neighbourhood Plan are as follows:
 - Risks arising from failure to comply with the laws and regulations relating to Planning and the SA and Strategic Environmental Assessment processes and not exercising local control of developments.

Contact Details

Author:

Rebecca Harrison
Development Officer
Strategic Planning
Tel: (01904) 551667

Chief Officer Responsible for the report:

Mike Slater
Assistant Director – Planning & Public
Protection

Report
Approved



Date 15-06-17

Specialist Implications Officer(s) List information for all

Financial Implication:
Patrick Looker
Finance Manager
(01904) 551633

Legal Implication:
Sandra Branigan
Senior Solicitor
(01904) 551040

Wards Affected: Rural West

For further information please contact the author of the report

Background Papers:

Upper and Nether Poppleton Neighbourhood Plan documents

https://www.york.gov.uk/info/20051/planning_policy/706/upper_and_nether_poppleton_neighbourhood_plan

Annexes

- Annex A Upper and Nether Poppleton Neighbourhood Plan Examiner's Report
- Annex B Decision Statement
- Annex C Upper and Nether Poppleton Neighbourhood Plan (Examination version)
- Annex D Better Decision Making Tool

Abbreviations

BA (Hons) MA, DMS, MRTPI – Bachelor of Arts, Masters, Diploma in Management Studies, Member of the Royal Town Planning Institute.

EU – European Union

PNP (as in Policy PNP1 etc) – Poppleton Neighbourhood Plan

LPA – Local Planning Authority

NP – Neighbourhood Plan

SEA – Strategic Environmental Assessment

HRA – Habitats Regulation Assessment

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Upper and Nether Poppleton Neighbourhood Plan 2016-2036

**A report to York City Council on the Upper and
Nether Poppleton Neighbourhood Plan**

**Andrew Ashcroft
Independent Examiner
BA (Hons) MA, DMS, MRTPI**

Director – Andrew Ashcroft Planning Limited

Executive Summary

- 1 I was appointed by the City of York Council in January 2017 to carry out the independent examination of the Upper and Nether Poppleton Neighbourhood Plan.
- 2 The examination was undertaken by written representations. I visited the neighbourhood plan area on 3 February 2017.
- 3 The Plan proposes a series of policies and seeks to bring forward positive and sustainable development in the plan area. Its focus is on facilitating strategic housing growth whilst retaining the status and role of the York green belt. It also includes positive policies for the protection of its conservation areas and securing good design.
- 4 The Plan has been significantly underpinned by community support and engagement. It is clear that all sections of the community have been actively engaged in its preparation.
- 5 Subject to a series of recommended modifications set out in this report I have concluded that the Neighbourhood Plan meets all the necessary legal requirements and should proceed to referendum.
- 6 I recommend that the referendum should be held within the neighbourhood plan area.

Andrew Ashcroft
Independent Examiner
16 May 2017

1 Introduction

- 1.1 This report sets out the findings of the independent examination of the Upper and Nether Poppleton Neighbourhood Plan 2016-2036 ('the Plan').
- 1.2 The Plan has been submitted to City of York Council (CYC) by both Upper Poppleton Parish Council and Nether Poppleton Parish Councils in their joint capacity as the qualifying body responsible for preparing the neighbourhood plan.
- 1.3 Neighbourhood plans were introduced into the planning process by the Localism Act 2011. They aim to allow local communities to take responsibility for guiding development in their area. This approach was subsequently embedded in the National Planning Policy Framework in 2012 and which continues to be the principal element of national planning policy.
- 1.4 This report assesses whether the Plan is legally compliant and meets the Basic Conditions that apply to neighbourhood plans. It also considers the content of the Plan and, where necessary, recommends changes to its policies and supporting text.
- 1.5 This report also provides a recommendation as to whether the Plan should proceed to referendum. If this is the case and that referendum results in a positive outcome the Plan would then be used to assist in the determination of planning applications within the plan area and will sit as part of the wider development plan.

2 The Role of the Independent Examiner

- 2.1 The examiner's role is to ensure that any submitted neighbourhood plan meets the relevant legislative and procedural requirements.
- 2.2 I was appointed by CYC, with the consent of the Parish Councils, to conduct the examination of the Plan and to prepare this report. I am independent of both CYC and the Parish Councils. I do not have any interest in any land that may be affected by the Plan.
- 2.3 I possess the appropriate qualifications and experience to undertake this role. I am a Director of Andrew Ashcroft Planning Limited. In previous roles, I have over 30 years' experience in various local authorities at either Head of Planning or Service Director level. I am a chartered town planner and have significant experience of undertaking other neighbourhood plan examinations and health checks. I am a member of the Royal Town Planning Institute and the Neighbourhood Planning Independent Examiner Referral System.

Examination Outcomes

- 2.4 In my role as the independent examiner of the Plan I am required to recommend one of the following outcomes of the examination:
- (a) that the Plan is submitted to a referendum; or
 - (b) that the Plan should proceed to referendum as modified (based on my recommendations); or
 - (c) that the Plan does not proceed to referendum on the basis that it does not meet the necessary legal requirements.

The Basic Conditions

- 2.5 As part of this process I must consider whether the submitted Plan meets the Basic Conditions as set out in paragraph 8(2) of Schedule 4B of the Town and Country Planning Act 1990. To comply with the basic conditions, the Plan must:
- have regard to national policies and advice contained in guidance issued by the Secretary of State; and
 - contribute to the achievement of sustainable development; and
 - be in general conformity with the strategic policies of the development plan in the area; and
 - be compatible with European Union (EU) and European Convention on Human Rights (ECHR) obligations.

I have examined the submitted Plan against each of these basic conditions, and my conclusions are set out in Sections 6 and 7 of this report. I make specific comments on the fourth bullet point above in paragraphs 2.6 to 2.10 of this report.

- 2.6 Since February 2015 the Neighbourhood Plan regulations require one of two reports to be an integral part of a neighbourhood plan proposal. Either an environmental report should be submitted or a determination from the responsible body (in this case CYC) that the Plan is not likely to have significant environmental effects. In order to comply with the Basic Condition relating to European obligations a Strategic

Environmental Assessment was prepared for the Plan. In its representations on the Plan CYC commented that there were administrative errors in the submitted SEA. I came to the same conclusion. To remedy the administrative errors the SEA was corrected and was made available for consultation for the prescribed period. This process generated additional or new representations that were received during the original Regulation 15 consultation exercise. They are listed in paragraph 4.9 of this report.

- 2.7 I am satisfied that the correct processes have been followed in this regard. The SEA strikes the correct balance between having the correct level of detail whilst at the same time as being proportionate to the task in hand. In particular, the SEA work and the preparation of the Plan itself have been produced in tandem. The SEA also assesses reasonable alternatives to the submitted Plan insofar as they exist.
- 2.8 As part of the preparation of the Plan CYC has published a Habitat Regulations Screening Report. It assesses whether there are likely to be any significant effects on the qualifying features of European sites as a result of the policies in the submitted Plan that would necessitate the production of a full Habitat Regulations Assessment. In doing so the screening report considered the effects on all European sites within 15 km of the CYC boundary together with any downstream sites that may be linked to the plan's zone of influence. As part of this process the screening report considered the likely effects of the submitted Plan on the following European sites: Strensall Common SAC, Kirk Deighton SAC, the River Derwent SAC, the Lower Derwent Valley SAC/SPA/Ramsar site and the Humber Estuary SAC/SPA/Ramsar site. All the proposed policies and site allocations in the submitted Plan were appraised against the features and vulnerabilities of the identified sites. Cumulative effects are also considered to understand whether the Plan would be likely to have significant effects in combination with other plans or programmes. The report concludes that none of the policies in the Plan are likely to have any significant effects on the identified European sites. In addition, no cumulative effects are identified. These conclusions are supported by Natural England and other local planning authorities.
- 2.9 Having reviewed the information provided to me as part of the examination I am satisfied that a thorough, comprehensive and proportionate process has been undertaken in accordance with the various regulations. The two reports set out a robust and compelling assessment of the relevant information. They have been prepared and presented in a very professional fashion. The Habitat Regulations Screening Report is particularly impressive. None of the statutory consultees have raised any concerns with regard to either the neighbourhood plan or to European obligations. In the absence of any evidence to the contrary I am entirely satisfied that the submitted Plan is compatible with this aspect of European obligations.
- 2.10 In a similar fashion I am satisfied that the submitted Plan has had regard to the fundamental rights and freedoms guaranteed under the European Convention on Human Rights (ECHR) and that it complies with the Human Rights Act. There is no evidence that has been submitted to me to suggest otherwise. There has been full and adequate opportunity for all interested parties to take part in the preparation of the Plan and to make their comments known. On this basis, I conclude that the submitted Plan does not breach, nor is in any way incompatible with the ECHR.

Other examination matters

2.11 In examining the Plan I am also required to check whether:

- the policies relate to the development and use of land for a designated neighbourhood plan area; and
- the Plan meets the requirements of Section 38B of the Planning and Compulsory Purchase Act 2004 (the Plan must specify the period to which it has effect, must not include provision about development that is excluded development, and must not relate to more than one neighbourhood area); and
- the Plan has been prepared for an area that has been designated under Section 61G of the Localism Act and has been developed and submitted for examination by a qualifying body.

2.12 Having addressed the matters identified in paragraph 2.11 of this report I am satisfied that all of the points have been met subject to the contents of this report.

3 Procedural Matters

- 3.1 In undertaking this examination I have considered the following documents:
- the submitted Plan.
 - the Basic Conditions Statement.
 - the Consultation Statement.
 - the Strategic Environmental Assessment and the Habitats Regulations Screening Report.
 - the representations made to the Plan.
 - the saved elements of the Regional Strategy for Yorkshire and Humber
 - the City of York Draft Local Plan incorporating the Fourth Set of Changes Development Control Local Plan (April 2005).
 - the National Planning Policy Framework (March 2012).
 - Planning Practice Guidance (March 2014 and subsequent updates).
 - recent Ministerial Statements (March, May and June 2015).
- 3.2 I carried out an unaccompanied visit to the Plan area on 2 February 2017. I looked at its overall character and appearance and at those areas affected by policies in the Plan in particular. My site inspection is covered in more detail in paragraphs 5.9 to 5.16 of this report.
- 3.3 As part of my visit I attended a clarification meeting with CYC and the two parish councils. That meeting was organised at my request and allowed a discussion on factual matters surrounding the submitted Plan. It also provided an opportunity for CYC to provide me with a variety of documents relating to the development plan. Notes from that meeting are reproduced at Appendix 1 of this report.
- 3.4 It is a general rule that neighbourhood plan examinations should be held by written representations only. Having considered all the information before me, including the representations made to the submitted plan, I was satisfied that the Plan could be examined without the need for a public hearing. I advised CYC of this decision early in the examination process.

4 Consultation

Consultation Process

- 4.1 Policies in made neighbourhood plans become the basis for local planning and development control decisions. As such the regulations require neighbourhood plans to be supported and underpinned by public consultation.
- 4.2 In accordance with the Neighbourhood Planning (General) Regulations 2012 the Parish Council has prepared a Consultation Statement. This statement is both detailed and proportionate to the Plan area and its range of policies. It also provides specific details on the consultation process that took place on the two pre-submission versions of the Plan. The Statement helpfully sets out how the emerging plan took account of the various comments and representations.
- 4.3 The Introduction of the Statement sets out details of the wider consultation events that has been carried out as part the evolution of the Plan. Details are provided about:
- The engagement with statutory consultees
 - The engagement of interested parties, groups and businesses
 - The use of social media and the development of a website
 - The production of leaflets, newsletters and placing articles in the church and community centre magazine
 - The holding of public meetings
 - Organising special meetings with key landowners, businesses, developers and schools
- 4.4 The Consultation Statement provides very useful information on the purpose and need for two separate pre-submission consultation exercises. The first was held in January to March 2015 and the second in May to July 2016. The first consultation process sought to:
- Involve as much of the community as possible
 - To organise events at key points
 - To engage with as many people as possible

The second consultation process sought refine the consultation process and to address the comments of Historic England and CYC on the need for Strategic Environmental Assessment. In detail, it sought to ensure that:

- Scoping was undertaken
- A SEA was produced
- The comments from the first consultation were addressed

It is on this basis that the community has been fully and exhaustively engaged for over two years.

- 4.5 It is clear to me that consultation has been an important element of the Plan's production. Advice on the neighbourhood planning process has been made available to the community in a positive and direct way by those responsible for the Plan's preparation. Consultation and feedback has been at the heart of the Plan throughout the various stages of its production.
- 4.6 Consultation and engagement has been maintained into the submission phase of the Plan. This is reflected in the number of representations received to the submitted plan (see 4.8 below). Several of the representations were from local people offering support to the Plan in general, and Policy PNP 1 in particular. There were also representations from landowners and proposed developers to this and other policies.
- 4.7 From all the evidence provided to me as part of the examination, I can see that the Plan has promoted an inclusive and comprehensive approach to seeking the opinions of all concerned throughout the process. There is a very clear and transparent relationship between the consultation process and the Plan itself. CYC has carried out its own assessment to the extent that the consultation process has complied with the requirements of the Regulations.

Representations Received

- 4.8 Consultation on the submitted plan was undertaken by the City Council for a six-week period and which ended on 23 January 2017. This exercise generated 25 comments from various persons and organisations. The following statutory bodies or businesses made comments:
- Barry Otley
 - John Crabb
 - Vivian Crabb
 - Prudence Bebb
 - Dan Sellers
 - Nigel Thompson
 - Dianne Davies
 - Barry Clarke
 - Jane Gwyer
 - Stephen Otley
 - Natural England
 - Martin and Kae Walker
 - North Yorkshire County Council
 - York City Council
 - Historic England
 - A J Suckling
 - British Sugar
 - Janet Hopton
 - Cobalt plc

- Environment Agency
- Miller Homes
- Wyevale Garden Centres
- Roger Blackhouse
- Avant Homes
- Luigi's Restaurant
- Andrew Frazer

4.9 As identified in paragraph 2.6 of this report additional consultation was carried out to correct administrative errors to the submitted SEA. This process generated the following new or additional comments from the following persons and organisations:

- B&SC Latts
- Barry Otley
- Coal Authority
- Environment Agency
- Peter Hindle
- Indigo Planning (Wyevale Garden Centre)
- Natural England
- North Yorkshire County Council
- Dr and Mrs S Robson
- Miss L M Bleasdale
- Stephen Otley
- Stephen Winston

5 The Plan Area and the Development Plan Context

The Plan Area

- 5.1 The Plan area covers the parishes of Upper Poppleton and Nether Poppleton. It was designated as a neighbourhood area on 13 October 2014. The Plan area is located to the immediate north west of York. It is a very interesting and challenging area within which to prepare a neighbourhood plan. A significant proportion of its area (mainly to the west) is rural in character and is largely in agricultural use. The main east coast railway line sits in the extreme eastern part of the Plan area and the Northern rail line from York to Leeds runs through the southern part of the area and serves Poppleton station. The eastern and northern boundaries of the Plan area are defined by the River Ouse.
- 5.2 The general accessibility of the Plan area is further emphasised by the York Ring Road (A1237) in its south-eastern part and by the A59 (York to Harrogate and beyond) in its southern part. The recently-opened Poppleton Bar park and ride site is located to the immediate south of the A59. It has added further to the capacity of the City's impressive park and ride network. There are significant amounts of relatively recent new commercial and residential developments in the quadrant of land within the Plan area to the south and east of the York Ring Road. The principal elements of built development sit within the villages of Upper and Nether Poppleton.
- 5.3 The two separate and yet related settlements of Upper Poppleton and Nether Poppleton sit in the heart of the Plan area. They have their separate and distinctive conservation areas. In practical terms the two historic settlements have now become combined as more recent development has occupied the space that previous sat between them. Nevertheless, the built-up form of the settlement has retained its separate character areas. The newer development sits comfortably within this context.

Development Plan Context

- 5.4 The development plan context is both complex and unusual. The development plan consists of two saved policies from the Regional Spatial Strategy for Yorkshire and Humber as follows:
- Policy YH9: Green Belts – the definition of the inner boundaries of the Green Belt around York
- Policy Y1: York sub area – the definition of detailed boundaries of the outstanding sections of the green belt and the inner boundary and the protection and enhancement of the historical and environment character of York
- These saved policies will apply in the Plan area until they replaced by the emerging City of York Local Plan.
- 5.5 The CYC does not have a formally adopted Local Plan. The City of York Draft Local Plan incorporating the Fourth Set of Changes Local Plan (April 2005) was approved

for development management purposes. Its policies are capable of being material planning considerations in the determination of planning applications where policies relevant to the application are consistent with those in the NPPF. This has proved to be particularly useful in the application of Green Belt policy.

- 5.6 The Basic Conditions Statement highlights the policies in the development plan and how they relate to policies in the submitted Plan. This is good practice. It also explains the complicated context within which the neighbourhood plan has been prepared
- 5.7 Whilst the emerging Local Plan is making good progress it remains some way from adoption. Following its approval for consultation purposes in June 2016 consultation took place on the Preferred Sites Consultation version of the Plan between July and September 2016. Since that time CYC has been assessing the impact of the release of the Sub National Household Projections on the levels of development within the City's administrative area. In addition, it has been addressing the potential impact of the Ministry of Defence announcement on the disposal of a number of military sites in the country. This has the ability to impact on its own assessment of reasonable alternative development sites.
- 5.8 The submitted Plan has been designed to run concurrently with the emerging York Local Plan. This follows important national advice in Planning Practice Guidance.

Site Visit

- 5.9 I carried out an unaccompanied visit to the Plan area on 3 February 2017.
- 5.10 I initially looked at the residential and commercial areas to the south and east of the York Ring Road. I saw the variety of commercial uses and car showrooms. I took the opportunity to look at the two proposed housing allocations (H1 and H4) in this part of the Plan area. I looked in particular at the relationship between H1 and the remainder of the larger emerging housing proposal to the south that sits outside the Plan area. In looking at site H4 I saw its relationship to the school to its north and understood better the purpose of Policy PNP 8A in the submitted Plan.
- 5.11 I then drove into Poppleton village. On the way, I looked at the park and ride site and the adjacent parcel of land proposed for employment use.
- 5.12 In the village I attended a clarification meeting that I had organised with CYC and the Parish Council. Information about that meeting is described in paragraph 3.3 of this report.
- 5.13 Thereafter I drove to the Green in Upper Poppleton. Due to the pleasantness of the day I was able to complete the tour of the village on foot. At various points during my visit I looked at the various identified elements of green infrastructure (PNP 2).

- 5.14 I was able to see the pleasant and vibrant heart of Upper Poppleton with its various shops, pubs and community buildings. They were being extensively used and contributed significantly to the sense of community as described in the Plan. I then walked to the Blairgowrie housing site (H3) in Main Street. I saw its overgrown condition and how it contrasted with the otherwise well-maintained nature of the public and private realms in the Plan area. I then carried on along Main Street to the school, the Community Centre and to the proposed play area (R2/PNP 9B). I then carried on round to the open spaces at the northern end of the village overlooking the River Ouse. I appreciated the view into the surrounding agricultural hinterland.
- 5.15 I then walked round the eastern side of the village and looked at the Millennium Green in Church Lane, the land reserved for recreational open space off Millfield Lane and then the proposed housing site to the south of Long Ridge Lane (H2).
- 5.16 In order to get a full impression of the Plan area I drove around some of the surrounding main and minor roads and walked along several footpaths.

6 The Neighbourhood Plan as a whole

- 6.1 This section of the report deals with the submitted neighbourhood plan as a whole and the extent to which it meets the basic conditions. The submitted Basic Conditions Statement has been helpful in the preparation of this section of the report. It is an informative document and addresses the relevant details in a very professional way.
- 6.2 The Plan needs to meet all the basic conditions to proceed to referendum. This section provides an overview of the extent to which the Plan meets three of the four basic conditions. Paragraphs 2.6 to 2.10 of this report have already addressed the issue of conformity with European Union legislation.

National Planning Policies and Guidance

- 6.3 The key elements of national policy relating to planning matters are set out in the National Planning Policy Framework (NPPF) issued in March 2012.
- 6.4 The NPPF sets out a range of core land-use planning principles to underpin both plan-making and decision-taking. The following are of particular relevance to the Poppleton Neighbourhood Plan:
- Being genuinely plan-led to provide a practical framework within which decisions on planning applications can be made with a high degree of predictability and efficiency
 - recognising the intrinsic character and beauty of the countryside and supporting thriving local communities.
 - Promoting the vitality of main urban areas
 - Protecting the Green Belt around the main urban areas (in this case York)
 - proactively driving and supporting economic development to deliver homes, businesses and industrial units and infrastructure.
 - Conserving heritage assets in a manner appropriate to their significance
 - Seeking to secure high quality design and good standards of amenity for all existing and future occupants of land and buildings

- 6.5 Neighbourhood plans sit within this wider context both generally, and within the more specific presumption in favour of sustainable development, which is identified as a golden thread running through the planning system. Paragraph 16 of the NPPF indicates that neighbourhoods should both develop plans that support the strategic needs set out in local plans and plan positively to support local development that is outside the strategic elements of the development plan.
- 6.6 In addition to the NPPF I have also taken account of other elements of national planning policy including Planning Practice Guidance and the ministerial statements of March, May and June 2015.

- 6.7 Having considered all the evidence and representations available as part of the examination I am satisfied that the submitted Plan has had regard to national planning policies and guidance in general terms. It sets out clear ambitions for new development whilst at the same time maintaining the distinctiveness of the village in its agricultural setting and its proximity to the York urban area. Within the context available it safeguards the general extent of the Green Belt. It proposes detailed policies both to celebrate and to safeguard rich built heritage of the village.
- 6.8 At a more practical level the NPPF indicates that plans should provide a clear framework within which decisions on planning applications can be made and that they should give a clear indication of how a decision-maker should react to a development proposal (paragraphs 17 and 154). This was reinforced with the publication of Planning Practice Guidance in March 2014. Its paragraph 41 (41-041-20140306) indicates that policies in neighbourhood plans should be drafted with sufficient clarity so that a decision-maker can apply them consistently and with confidence when determining planning applications. Policies should also be concise, precise and supported by appropriate evidence.
- 6.9 As submitted the Plan does not fully accord with this range of practical issues. Several of my recommended modifications in Section 7 relate to matters of clarity and precision. They are designed to ensure that the Plan fully accords with national policy.

Contributing to sustainable development

- 6.10 There are clear overlaps between national policy and the contribution that the submitted Plan makes to achieving sustainable development. Sustainable development has three principal dimensions – economic, social and environmental. It is clear to me that the submitted Plan has set out to achieve sustainable development in the Plan area. In the economic dimension the Plan includes policies to promote new residential development. In doing so it recognises the contribution that it will make to meeting the objectively assessed housing needs of the City. It also provides a positive context for employment related development. In the social role, it safeguards land for future educational use and proposes a buffer strip between the school and proposed new housing. It also includes policies for a new play area and for new recreational open space. In the environmental dimension the Plan positively seeks to protect the natural, built and historic environment of the parish. In particular, it proposes a policy to protect the Green Belt. It also promotes a range of green infrastructure. It includes positively worded policies for its conservation areas and seeks to protect the wider character of the village by a continued application of its Village Design Statement

General conformity with the strategic policies in the development plan

- 6.11 I have already commented in detail on the development plan context in the wider York City Council area in paragraphs 5.4 to 5.8 of this report.
- 6.12 I consider that the submitted Plan delivers a local dimension to this strategic context and supplements the detail already included in the development plan. I am satisfied

that the submitted Plan is in general conformity with the strategic policies in the development plan subject to the modifications recommended in this report.

7 The Neighbourhood Plan policies

- 7.1 This section of the report comments on the range of policies in the Plan. In particular, it makes a series of recommended modifications to ensure that the various policies have the necessary precision to meet the basic conditions.
- 7.2 My recommendations focus on the policies themselves given that the basic conditions relate primarily to this aspect of neighbourhood plans. In some cases, I have also recommended changes to the associated supporting text.
- 7.3 I am satisfied that the content and the form of the Plan is fit for purpose. It is thorough and distinctive to the Plan area. The wider community and the Parish Councils have spent considerable time and energy in identifying the issues and objectives that they wish to be included in their Plan. This gets to the heart of the localism agenda.
- 7.4 The Plan has been designed to reflect Planning Practice Guidance (41-004-20140306) which indicates that neighbourhood plans must address the development and use of land.
- 7.5 I have addressed the policies in the order that they appear in the submitted plan. In some cases, there are overlaps between the different policies.
- 7.6 For clarity this section of the report comments on all policies whether or not I have recommended modifications in order to ensure that the Plan meets the basic conditions.
- 7.7 Where modifications are recommended to policies they are highlighted in bold print. Any associated or free-standing changes to the text of the Plan are set out in italic print.

The initial sections of the Plan (sections 1-3)

- 7.8 These introductory elements of the Plan set the scene for its range of policies. They do so in a concise and proportionate way. The Plan is well- presented and arranged and it is supported by maps and diagrams.
- 7.9 Its Introduction and background sets out some detail on the production of the Plan and its complicated planning policy context. It helpfully describes its Vision Statement. In doing so it articulates how the Plan seeks to deliver sustainable development that is relevant to its context and setting. Section 2 describes the strategic context within which the Plan has been prepared. It usefully ties the submitted Plan into the wider development plan. Section 3 then summarises the detailed policies that sit in the remainder of the Plan. They flow naturally from the vision and objectives.

7.10 Thereafter individual chapters of the Plan provide detail on specific topic areas. Where appropriate they include detailed policies. The remainder of this section of the report addresses each policy in turn in the context set in paragraphs 7.5 to 7.7 in this report.

Policy PNP1: Green Belt

7.11 This policy reflects the importance of the Green Belt both to the design and the preparation of the Plan and to the wider community.

7.12 As I set out in Section 5 of this report the planning policy position in York City Council is complex. The general extent of the Green Belt is particularly complex. This has generated a challenging context within which the Plan has been prepared.

7.13 Sections 4.1.1 to 4.1.5 of the submitted Plan set out its strategic approach on the Green Belt. In summary, the Plan proposes:

- It is appropriate for the Plan to define the ‘inner’ Green Belt boundary within the neighbourhood area;
- A specific policy to guide development within its defined green belt area;
- Green belt should be retained between York and the villages of Nether and Upper Poppleton;
- It is appropriate for the Plan to allocate land for development where it is consistent with the emerging Local Plan; and
- The proposed modifications to the extent of the green belt do not undermine its purpose or character.

7.14 CYC has provided counsel’s advice on the ability or otherwise of a neighbourhood plan to define Green Belt boundaries. It is entirely consistent with national planning policy. Paragraphs 83-85 of the NPPF are clear that the identification and modification of green belt boundaries are matters for the local planning authority to determine. In this case that authority is the City of York Council. Furthermore, these paragraphs identify that these processes should be undertaken as part of the preparation or review of a local plan. In this case, this would be through the vehicle of the preparation of the emerging City of York Local Plan.

7.15 In the meantime however it is necessary for the Plan to be in general conformity with the strategic policies of the development plan. These are two saved policies from the Regional Spatial Strategy for Yorkshire and Humber as follows:

Policy YH9: Green Belts – the definition of the inner boundaries of the Green Belt around York

Policy Y1: York sub area – the definition of detailed boundaries of the outstanding sections of the green belt and the inner boundary and the protection and enhancement of the historical and environment character of York

7.16 The two saved policies from the RSS are instructive policies and set out how the Green Belt boundaries are to be defined in the development plan. This has not yet been done. The environmental assessment process for the RSS abolition highlighted that York did not have a local plan in place at that time. It also indicated that revocation of York Green belt policies before an adopted local plan was in place

could lead to a significant negative effect upon the special character and setting of York. As such the government concluded that the York Green Belt policies that were part of the RSS should be retained

- 7.17 As identified in Section 5 the CYC does not have a formally adopted Local Plan. The City of York Draft Local Plan incorporating the Fourth Set of Changes Development Control Local Plan (April 2005) was approved for development control purposes. Amongst other things this draft local plan provides a spatial context for the green belt. What is now the draft Local Plan was placed on deposit in May 1998. A very tight Green Belt was put forward on the basis that there would be a need for an early review in the light of new information at that time on development requirements after 2006. The Council subsequently published two sets of proposed changes, one in March 1998 and one in August 1999. Neither set of changes had any significance for the general extent of the Green Belt. The Council published its third set of changes in February 2003 after receiving the Planning Inspector's provisional findings. It then approved a fourth set of changes for development control purposes.
- 7.18 Whilst the Council decided not to proceed with the fourth set of changes it continues to use them for development management decisions. The effect of this process is that decisions on planning applications falling within the general extent of the Green Belt (as defined in the RSS) are taken on the basis that land is treated as Green Belt.
- 7.19 Within this context, the importance of retaining York's Green Belt is evident both in day to day development management decisions and in appeal decisions. Plainly these circumstances will be clarified once the emerging Local Plan is adopted. Whilst significant progress has now been made on this matter it is not at a sufficiently-advanced stage to provide any clarity or certainty for this examination. The different timescale for the production of the local plan is likely to have implications on the review of any made neighbourhood plan.
- 7.20 I recommend a series of modifications to this policy to reflect this somewhat complicated background. In particular, the modifications take account of national advice on the principle of the identification of detailed Green belt boundaries whilst safeguarding the general application of this important and nationally-recognised planning tool. I recommend that the neighbourhood plan continues to apply the approach to the identification of the Green Belt as set out currently in the RSS and the Fourth Set of Changes Development Control Local Plan (2005) on an interim basis until such times as the emerging Local Plan is adopted. This will ensure that the preparation of the emerging Local Plan is used as the mechanism for the detailed identification of the York Green Belt boundaries in accordance with national planning policy. It will also provide full and proper opportunity for developers and land owners to contribute to this debate both in general terms and to provide the agreed levels of development for the City. I recommend modifications to the existing text and additional wording to clarify this matter.
- 7.21 I also recommend a modification to the details of the policy wording so that it properly has regard to the NPPF.

Replace the policy with the following:

The general extent of the York Green Belt within the Plan area is shown on the Policies Map

Within the general extent of the Green Belt inappropriate development will not be supported except in very special circumstances. New buildings are regarded as inappropriate development and will not be supported other than in the circumstances identified in paragraph 89 of the National Planning Policy Framework.

Proposed developments for the following uses will be supported provided that they preserve the openness of the general extent of the Green Belt and do not conflict with the purposes of including land in the Green Belt:

- **Minerals extraction;**
- **Engineering operations;**
- **Local transport infrastructure that can demonstrate a requirement for a Green Belt location;**
- **The re-use of buildings provided that the buildings are of permanent and substantial construction; and**
- **Development brought forward under a Community Right to Build Order**

Identify the general extent of the Green Belt on the Policies Map in an identical format to that displayed on the Proposals Map associated with the Fourth Set of Changes Development Control Local Plan (2005)

In 4.1.1 delete 'and it is.... land allocations plan

Delete 4.1.2

In 4.1.3 insert 'general extent of' between 'The' and 'Green'. At the end of the paragraph add 'There is an important area of open land between the City of York and the villages of Nether and Upper Poppleton. At its narrowest point this is in the order of 600metres in extent.

Delete 4.1.5

In 4.1.8 delete all the text after the first sentence

Insert new paragraphs to read:

Paragraphs 83-85 of the NPPF are clear that the identification and modification of green belt boundaries are matters for the local planning authority to determine. In this case that authority is York City Council. Furthermore, these paragraphs identify that these processes should be undertaken as part of the preparation or review of a local plan. In this case, this would be through the vehicle of the preparation of the emerging City of York Local Plan. At the same time the neighbourhood plan needs to be in general conformity with the strategic policies of the development plan. In this case, these are policies YH9 and Y1 of the Yorkshire and Humber Regional Spatial Strategy. These identify the general extent of the York Green Belt and set out its national significance. Whilst not forming part of the development plan the City of York Draft Local Plan incorporating the Fourth Set of Changes Development Control Local Plan (April 2005) was approved for development control purposes. The effect of this

process is that decisions on planning applications falling within the general extent of the Green Belt (as defined in the RSS) are taken on the basis that land is treated as Green Belt.

In these circumstances the submitted plan continues to apply the approach to the identification of the Green Belt as set out currently in the RSS and the Fourth Set of Changes Development Control Local Plan (2005) on an interim basis until such times as the emerging Local Plan is adopted. This will ensure that the preparation of the emerging Local Plan is used as the mechanism for the detailed identification of the York Green Belt boundaries in accordance with national planning policy. It will also provide the proper opportunity for developers and land owners to contribute to this debate both in general terms and to provide the agreed levels of development for the City. Once the emerging Local Plan has been adopted the neighbourhood plan will be reviewed in order to ensure that the two elements of the development plan are consistent on this important matter.

Policy PNP 2A: Green Infrastructure

- 7.22 This policy recognises the importance of green corridors and green wedges both in the wider City and within the Plan area. In the case of Upper Poppleton and Nether Poppleton they help to retain the distinctive characteristics of the two individual settlements. The supporting text highlights a significant area of green infrastructure along the river banks in Nether Poppleton. I looked at this area and the area off Church Lane as part of my visit to the Plan area.
- 7.23 This policy is both appropriate and distinctive to the Plan area. It is accompanied by Policy PNP 2B. The former policy protects the green infrastructure. The latter policy resists development that would harm these areas. For clarity for the decision-maker I recommend that the policies are combined and that elements of supporting text are repositioned from the Plan into the supporting text

Replace policies PNP 2A and 2B as follows:

The green infrastructure within and surrounding Upper Poppleton and Nether Poppleton as shown on the Policies Map will be safeguarded. Proposals for their enhancement will be supported.

Development that would harm the integrity or appearance of the green infrastructure will not be supported

Reposition 'Green infrastructure...equestrian routes' to the end of paragraph 4.3.6

Policy PNP 2B: Green Infrastructure

- 7.24 I have recommended in Policy PNP 2A that the two green infrastructure policies are combined.

Delete Policy

Policy PNP 3: Conservation Areas

- 7.25 This policy sets out a policy context for the control of development within the two conservation areas in the Plan area. I saw both of these areas as part of my visit. The policy makes appropriate references to paragraphs 126-141 of the NPPF. The

policy is usefully underpinned by the existing conservation area character assessments for the two areas produced by CYC.

- 7.26 I recommend two related modifications to the policy. The first more fully connects it to primary legislation on this matter (the Town and Country Planning Conservation Areas and Listed Buildings Act 1990). The second makes a sharper reference to the two character assessments reproduced in Appendix C of the Plan. The combined effect of these modifications will be to give the necessary clarity to the decision maker.

Insert new first paragraph to read:

All proposals for development in the Upper Poppleton and Nether Poppleton Conservation Areas should preserve or enhance their special character or appearance.

In the existing part of the policy remove the underlining of ‘within’, replace ‘must’ with ‘should’ and replace ‘in the ... references)’ with ‘in the conservation area character assessments for the relevant conservation area as included at Appendix C of this Plan.’

Policy PNP 4: Village Design Statement

- 7.27 This policy continues the context set out by the previous policy. In this case, it seeks to roll out the principles set out in the existing Village Design Statement (VDS) throughout the Plan period.
- 7.28 The VDS was adopted as supplementary planning guidance by CYC in August 2003. The VDS is a well-prepared and thorough document that properly takes account of the character of the two villages. A series of 45 design principles sit at the heart of the document. They have served the villages well since 2003.
- 7.29 The VDS was adopted well before the publication of the NPPF in 2012. The latter identifies that the government attaches great importance to the design of the built environment. Paragraph 56 indicates that ‘good design is a key aspect of sustainable development, is indivisible from good planning, and should contribute positively to making places better for people’.
- 7.30 Paragraphs 59 and 60 of the NPPF identify that design policies should avoid unnecessary prescription or detail and should not stifle innovation, originality or initiative. The Framework comments however that it is proper to seek to promote or reinforce local distinctiveness.
- 7.31 Having looked at the details of the VDS I am satisfied that they meet these tests in current national planning policy. Nevertheless, the principles in the VDS only apply to the built-up area of the two villages as shown on its pages 10 and 12/13. In the absence of any separate update of this document it would only be appropriate for the VDS to apply within the same geographic area and not throughout the more

extensive neighbourhood area. This is addressed both in the policy in the submitted Plan and in some representations.

- 7.32 I recommend a series of modifications both to the policy and the text in order to bring clarity to this matter. In particular, I recommend that a context to good design is established within the policy and that the wording of the policy refers to outcomes rather than the process of considering guidelines in the VDS. I also recommend the deletion of some paragraphs of text that are either unnecessary or which refer to Green Belt issues.

Include the following as a new paragraph at the start of the policy:

Proposals for development within the villages of Upper Poppleton and Nether Poppleton will be supported where they bring forward high quality design appropriate to their character and appearance.

In the policy in the submitted Plan replace ‘will be considered...guidelines’ with ‘should respect the Design Guidelines’

In 5.11 replace the first sentence with ‘Policy PNP 4 sets out that proposals should respect the Design Guidelines in the Village Design Statement. Proposals that do not follow this approach will not be supported’.

Delete 5.13 and 5.14

Policy PNP 5: Traffic Policy

- 7.33 This policy provides a context within which improved and extended cycle and pedestrian access to and from the Plan area can be developed. The policy is supported by well-written supporting text in Section 6.
- 7.34 The policy meets the basic conditions. Nevertheless, I recommend some modifications to the supporting text both to bring clarity to its connection with the policy and to delete commentary which addresses issues that are for the emerging Local Plan rather than the neighbourhood plan. I also recommend a modification to the policy title so that it has the necessary clarity

Delete paragraph 6.9 as a free-standing paragraph. Include the following at the end of paragraph 6.8: ‘This approach accords with paragraph 35 of the NPPF. Safe and secure layouts will be required which minimise conflicts between traffic and cyclists and pedestrians’

Replace the policy title with ‘Cycle and Pedestrian Access’

Policy PNP 6A Housing

- 7.35 With Policy PNP 1 this policy sits at the heart of the Plan. It sets out its approach to new housing development. It has three separate components. The first proposes four allocated sites of different sizes. The second provides a policy context for the sub

division of existing dwellings or for single infill dwellings. The third identifies a policy approach to the conversion of existing buildings. I address these issues in turn.

7.36 The first part of the policy identifies four housing sites as follows:

H1: Former British Sugar Site (300 dwellings)

H2: Long Ridge Lane (2 dwellings)

H3: Blairgowrie (replacement dwelling)

H4: Former Civil Service Site (261 dwellings)

I looked at all of the sites on my visit to the Plan area

7.37 Site H1 is located in the extreme south-east of the Plan area and to the east of Millfield Lane. The site is unaffected by the general extent of the York Green Belt. Whilst within the Plan area it is effectively a part of the built-up area of York. The site allocated in the Plan is part of a more substantial housing proposal on the former British Sugar site. It is a brownfield site and its redevelopment for housing purposes will have regard to national policy. I am satisfied that the allocation of that part of the site within the neighbourhood area meets the basic conditions.

7.38 Site H2 is located to the south of Long Ridge Lane in Upper Poppleton. The site is unaffected by the general extent of the York Green Belt. It sits within the established residential context of Long Ridge Lane. I am satisfied that the allocation of the site for residential purposes meets the basic conditions.

7.39 Site H3 is located off Main Street, Upper Poppleton. It contains a derelict dwelling and outbuildings. The site is unaffected by the general extent of the York Green Belt. It sits within the established residential context of Main Street. I am satisfied that the allocation of the site for residential purposes meets the basic conditions. I make specific comments on the site within the context of Policy PNP 6B that addresses this site.

7.40 Site H4 is located in the extreme south-east of the Plan area and to the west of Millfield Lane. The site is within the general extent of the York Green Belt. The submitted Plan identifies that this site has been included in the Preferred Sites Consultation version (2016) of the emerging Local Plan. In this context, it is clear that the submitted plan has attempted to use the same evidence base as the emerging local plan and that there is a close working relationship with CYC. The submitted Plan has adopted a commendable approach towards boosting the supply of housing in the CYC area in general, and the Plan area in particular.

7.41 Nevertheless for the same reasons as I have set out within the context of Policy PNP 1 it is not within the remit of the neighbourhood plan to allocate land within the general extent of the Green Belt for residential purposes. This is properly a role for the emerging Local Plan. This position is further reinforced given the current lack of certainty over the allocation of housing sites in that Plan. The Preferred Sites Consultation was approved by the Council for public consultation. At this point the document does not represent the Council's position in relation either to levels of housing and employment growth or to the draft portfolio of sites identified to meet

that need. Within this context several other sites within the Plan area are also being promoted for residential development and have been highlighted as part of the representation process.

- 7.42 On this basis I recommend a modification to this part of the policy to delete reference to site H4. For clarity to all parties I emphasise that I have made this recommendation simply on the basis of national policy and the processes that follow. In doing so I make no comments on the appropriateness or otherwise of this site coming forward as a housing allocation in the emerging Local Plan. That will properly be a judgement for the City Council. The City Council will also come to its own judgement on the other sites currently within the general extent of the Green Belt that are being promoted for residential development. Ultimately the Local Plan will be subject to its own examination based on the tests of soundness.
- 7.43 The second element of the policy provides support for the subdivision of existing dwellings or for the construction of a single infill dwelling within a domestic curtilage. I am satisfied that the general approach adopted by the policy is appropriate. Nevertheless, its detailed wording lacks the clarity to confirm to the principles set out in the NPPF. It also overlaps with the final element of the policy which refers to the settlement limit as applied in the VDS (see PNP 4). I recommend a modification that combines these elements and provides clarity on policy wording. I also recommend that the components of Policy PNP 6 C are incorporated into this policy. In effect that policy in the submitted Plan provides the criteria that will allow this wider policy to be applied.
- 7.44 The third element of the policy is in relation to the conversion of existing buildings with heritage value and worthy of retention. This element of the policy will apply throughout the plan area. I recommend modifications to the policy so that it complies with national policy in general, and corresponds with my recommended modifications to Policy PNP 1 in particular. My recommendations also take account of changes to the General Permitted Development Order in 2015 that provides a degree of flexibility for such works to proceed without the need for planning permission.
- 7.45 As submitted the policy addresses a series of unrelated issues in one policy. Whilst they will contribute towards the delivery of housing in the Plan area they will do so in different ways. On this basis, I recommend that the component parts of the policy are separated into separate policies. This will bring both clarity and certainty to decision makers and investors alike.

Replace the policy with three separate policies as follows:

Policy PNP 6A – Development within Upper Poppleton and Nether Poppleton

Within the settlement limit of the two villages as shown on the Policies Map proposals for the subdivision of an existing dwelling or for the construction of a single dwelling within the curtilage of a domestic property will be supported where the proposals are:

- **In character with the surrounding development;**
- **Designed to safeguard the amenities of existing residential properties;**

- Designed to provide appropriate elements of garden and amenity space; and
- Designed to provide appropriate levels of parking and vehicular access to City of York Council standards at the time of the application.

Policy PNP 6B – Conversion of Existing buildings to residential use

Insofar as planning permission is required the conversion of buildings of permanent and substantial construction to residential use will be supported provided that it can be demonstrated that the conversion of the building will not generate a demand for a replacement building in the future and is in accordance with Green Belt policy in the National Planning Policy Framework.

Policy PNP 6C

The following sites as shown on the Policies Map are allocated for residential use:

H1: Former British Sugar Site Millfield Lane

H2: Land at Long Ridge Lane Upper Poppleton

H3: Land at Blairgowrie, Main Street Upper Poppleton

Delete paragraphs 7.10 to 7.13

Policy PNP 6B Housing

- 7.46 This policy addresses the Blairgowrie site. It is a particularly sensitive site off Main Street in the heart of the village. Paragraphs 7.1.2 to 7.1.5 provide particular commentary on its position within the conservation area and its wooded nature.
- 7.47 I recommend a series of modifications to ensure that the policy meets the basic conditions. In particular, it needs to reflect the need for proposals to preserve or enhance the character or appearance of the conservation area.

Replace the policy as follows:

Policy PNP 6D

Proposals for the redevelopment of the existing buildings on the Blairgowrie site will be supported subject to the following criteria:

- They preserve or enhance the character or appearance of the Upper Poppleton conservation area;
- The replacement buildings are of a similar scale, location and mass to the existing buildings; and
- The existing mature trees and landscaping elements of the site are protected and used as an integral part of the layout and design.

Policy PNP 6C Housing

7.48 This policy addresses proposals for the subdivision of existing properties and for new properties within domestic curtilages.

7.49 As mentioned in paragraph 7.43 I have recommended that the policy is combined with Policy PNP 6A.

Delete Policy

Policy PNP 6D

7.50 This policy addresses the former British Sugar site. It is partly within the Plan area. The majority of the wider site lies within the built-up area of York to the immediate south and east. The site is already the subject of an on-going planning application. This is reflected in the supporting text in the submitted Plan (paragraphs 7.5-7.9). It is clear that the community has had the opportunity to understand the relationship between these separate and yet related proposals

7.51 I recommend a modification to ensure that the policy meets the basic conditions. The modification provides clarity for the decision-maker in the determination of planning applications on the site. I also recommend a series of modifications to the supporting text both to reflect accurate figures on the likely yield of the wider site and to retain appropriate flexibility for CYC in its role as the local planning authority in determining the current planning application and any subsequent proposals.

Replace the policy as follows:

Policy PNP 6E

Proposals for the residential development of the former British Sugar Site will be supported subject to the following criteria:

- **They include a mix of housing types;**
- **They provide amenities, outdoor sport and recreational facilities; and**
- **They provide a principal access point off the Boroughbridge Road**

In the second sentence of paragraph 7.6 replace '1100' with 'approximately 1140' Replace the third sentence of this paragraph with 'The exact number of dwellings on the wider site will be determined through the planning application process and its associated masterplan'.

Replace the final sentence of paragraph 7.8 with 'Millfield Lane will provide a secondary access into the site'.

Policy PNP 7A: Business and Employment

7.52 This policy provides a context for on-going business development on the various business parks in the Plan area. It continues the Plan's positive approach towards the promotion of sustainable development.

7.53 The policy has a particular focus on car parking provision. It contrasts the parking facilities at Northminster Business Park with those at the York Business Park. I saw the contrasts myself when I visited the Plan area.

- 7.54 The approach in the policy is appropriate given the existing circumstances and the strategic importance of the Business Park in particular. I recommend a modification to the policy so that it specifies the scale and nature of the parking standards. This will bring clarity all round.

Replace the policy with:

Proposals for new business development on established business parks in the Plan area will be supported where they provide car parking for staff and customers to City of York Council standards at the time of the determination of the application.

Policy PNP 7B: Business and Employment

- 7.55 This policy proposes the allocation of the Poppleton Wyevale Garden Centre for employment uses. The site sits within the general extent of the Green Belt as identified in the 2005 Plan.
- 7.56 The policy has attracted an objection from the land owners who wish to promote its development for residential purposes. CYC also advises that the approach adopted in the submitted Plan has now been overtaken. The Local Plan Preferred Sites Consultation (July 2016) now includes this site as a housing site.
- 7.57 The consideration of this policy overlaps significantly with policies PNP 1 (Green Belt) and PNP 6 (Housing). The submitted Plan has proactively sought to bring forward sustainable development and has used common evidence with the City of York Council to do so. Nevertheless, national policy is clear that it is the role of the Local Plan to identify the spatial extent of the green belt. In this case, the Garden Centre site is within the general extent of the Green Belt as identified in the 2005 Plan. In any event the 2016 Preferred Sites Consultation version of the Plan was for consultation purposes. As such it does not represent City of York Council policy. On this basis, I recommend the deletion of the policy.

Delete Policy

Policy PNP 8A: Education

- 7.58 This policy sets out to safeguard land for a future school playing field expansion together with other ancillary uses. It is supported by helpful evidence in Section 9 of the Plan. In particular, it will play an important role in the life of the community given the levels of housing development proposed in the submitted Plan (as recommended to be modified earlier in this report). It will also be an important element of the Plan in the event that additional housing comes forward within the Plan area as a result of the adoption of the emerging Local Plan. It will represent a key component of the delivery of the social dimension of sustainable development in the Plan area.
- 7.59 The policy approach meets the basic conditions. I recommend a factual change to reflect wider changes in the Plan with regards to the identification of a Policies Map. I also recommend that the policy title is modified to identify its purpose.

Replace 'land allocations map' with 'policies map'

Modify policy title to read 'Safeguarding of land at Manor Academy'

Policy PNP 8B: Education

- 7.60 This policy continues on from Policy PNP 8A. In this case, it safeguards a strip of land to the immediate south of the school to act as a buffer between it and the housing site (H4) proposed in the submitted Plan. The approach reflects the ongoing proposals to develop the housing site. It would have clear and obvious benefits.
- 7.61 I have recommended the deletion of housing site H4 in paragraph 7.42 of this report. The promotion or otherwise of that site for housing purposes will be a matter for the local plan. Within this context, I am content that policy PNP 8B can continue to remain within the neighbourhood plan. In the event that development comes forward on the site within the Plan period it will have a clear land use purpose. In the event that development is not proposed on the site shown as H4 in the submitted neighbourhood plan the policy could then be deleted on the first review of the Plan. Plainly in that scenario the buffer concept would be irrelevant.
- 7.62 Within the context of my recommended modifications to policy PNP 6 (H4) I recommend corresponding modifications to this policy and its supporting text.

Replace ‘and any.... might occur’ with ‘and development to the south which may arise following the adoption of the City of York Local Plan.’

Modify title to read ‘Safeguarding of land for buffer strip to south of Manor Academy’

Replace paragraph 9.4 with the following:

There has been a dialogue between the Academy and the owners of the land to the south. In the event that this land comes forward for development as part of the adoption of the City of York Local Plan general agreement has been reached to safeguard a strip of land along the boundary as a buffer zone. This will be in the common interest of both parties. Policy PNP 8B safeguards the land concerned for this purpose. The need or otherwise for the policy can be reviewed once the Local Plan has been adopted.

Delete the map and italic text at the top of page 45

Policy PNP 9A: Community Facilities

- 7.63 This policy proposes the development of land adjacent to the Poppleton Tigers Junior Football pitch as recreational open space. The supporting text (paragraph 10.1) indicates that it is likely to be developed as a cricket pitch and outdoor playing area.
- 7.64 The site falls within the general extent of the York Green Belt. Nevertheless, the use proposed is consistent with the Green Belt.
- 7.65 I recommend a modification to the policy so that its location is clear in the policy itself. In line with other modifications I recommend that the title of the policy is modified so that it is site-specific rather than general. This will bring clarity to all concerned.

Replace the policy with the following:

Land to the north of the Poppleton Tigers Junior Football Ground, Millfield Lane, as shown as R1 on the Policies Map, will be reserved for development as a recreational open space.

Replace the title of the policy with ‘Land to the north of the Poppleton Tigers Junior Football Ground, Millfield Lane’

Policy PNP 9B: Community Facilities

- 7.66 This policy proposes the development of land adjacent to the Community Centre as a play area for children of all ages. I saw the site on my visit to the Plan area. I saw that the site concerned was part of a wider playing field. I also understood the reference to the ages of children. The existing equipped play area was very well used by children on their way home from school. The policy will contribute towards the achievement of the social dimension of sustainable development in the Plan area.
- 7.67 I recommend that the policy is modified so that it reserves the land for this purpose. I also recommend that the age comment is removed from the policy itself. The matter is adequately addressed in the supporting text. In line with other modifications I recommend that the title of the policy is modified so that it is specific rather than general. This will bring clarity to all concerned.

Insert ‘as shown as R2 on the Policies Map’ after ‘Centre’.

Replace ‘should...developed’ with ‘is reserved for development’ and delete ‘for children...ages’.

Replace the title of the policy with ‘Land adjacent to the Community Centre’

Policy PNP 10A: Environmental Policy

- 7.68 This policy sets out to protect and manage woodlands both to maintain habitat and to sustain biodiversity. It overlaps with policy PNP 10 B which takes a similar approach to hedgerows. Specific areas for protection are shown on the Policies Map. These are mainly located to the east of the various properties in Station Road. They sit within the general extent of the Green Belt. The policies are a combination of policy and procedural guidance as operated by CYC.
- 7.69 I recommend that the two policies are combined to bring the clarity to the decision-maker required by the decision-maker. In doing so I recommend that the policy title fully reflects its purpose. I also recommend that the procedural elements are repositioned into supporting text

Replace policies PNP 10 A and 10 B with:

Woodland areas and hedgerows within the Plan area will be safeguarded. Development proposal should take account of existing wooded areas and hedgerows. The hedges within the areas shown on the Policies Map are particularly important and their removal will not be supported

Change policy title to ‘Protection of Wooded areas and hedgerows’

Reposition policies PNP 10A and 10B into the supporting text as paragraph 11.15. Add at the end of this new paragraph ‘Policy PNP 10 provides a context for the

delivery of these important objectives. The Policies Map identifies key areas to the east of the residential properties in Station Road.'

Policy PNP 10B: Environmental Policy

- 7.70 I have recommended in the previous paragraph that this policy is combined with PNP 10A.

Delete

Policy PNP 11: Climate Change and Renewable Energy

- 7.71 This policy addresses a series of building efficiency and environmental matters. In particular, it requires that all new development should comply with or exceed the Building Regulations with regards to energy conservation and the use of renewable energy technology. Agents acting for British Sugar draw my attention to the legislative requirement only to comply with the Building Regulations. In addition, the policy provides no information on the extent to which proposals should exceed those Regulations.
- 7.72 It is now government policy that building sustainability and energy efficiency matters are controlled by the Building Regulations. In this context, it would be contrary to national policy to require higher standards (however defined) than those set out in the Building Regulations.
- 7.73 I can see however that the local community values these matters highly and has taken the time and trouble to capture them in its submitted Plan. On this basis, I recommend that the policy is transposed into a non-land use policy and which would not form part of the development plan. As recommended for modification it would provide a supporting context within which innovative schemes could come forward as and when promoted by a developer

Identify the policy as a non-land use proposal by use of a different colour or other identification

Replace 'Any new.... with or' with 'New developments that'

Insert 'will be particularly supported' after 'energy technology'

Replace 'and should...following: - 'with 'Developers may also wish to consider'

Policy PNP 12: Minerals Extraction and Waste

- 7.74 This policy addresses the need for the restoration and reinstatement of a site to the north east of Dutton Farm to the west of the villages. Its principal focus is on the need for tree planting and landscaping given its location in the Green Belt
- 7.75 Minerals issues are excluded development and are not within the remit of a neighbourhood plan. Nevertheless, I am satisfied that these circumstances do not apply to this policy given its focus on tree planting and the re-establishment of wild life habitats. Neither CYC nor North Yorkshire County Council have made any representations to the policy to the extent that it addresses excluded development.
- 7.76 I recommend modifications to the policy so that its purpose and geographic coverage is clear and to ensure that it avoids any reference to excluded development

Replace the policy with the following:

Proposals for the restoration and reinstatement of land at Dutton Farm as shown on the Policies Map should respect its location within the general extent of the York Green Belt. Proposals should include details of indigenous tree planting and landscaping and details of initiatives to re-establish wildlife habitats

Modify title to read 'Tree planting and landscaping at land to the north-east of Dutton Farm'

General Comments

- 7.77 This report has recommended a series of modifications both to the policies and to the supporting text in the submitted Plan. Where consequential changes to the text are required directly as a result of my recommended modification to the policy concerned I have highlighted them in this report. However other changes to the general text may be required elsewhere in the Plan as a result of the recommended modifications to the policies. It will be appropriate for CYC and the parish councils to have the flexibility to make any necessary consequential changes to the general text. I recommend accordingly.

Modification of general text (where necessary) to achieve consistency with the modified policies

8 Summary and Conclusions

Summary

- 8.1 The Plan sets out a range of policies to guide and direct development proposals in the period up to 2036. It is thorough and distinctive in addressing a specific set of issues that have been identified and refined by the wider community.
- 8.2 Following my independent examination of the Plan I have concluded that the Poppleton Neighbourhood Development Plan meets the basic conditions for the preparation of a neighbourhood plan subject to a series of recommended modifications.
- 8.3 This report has recommended a range of modifications to the policies in the Plan. Nevertheless, its structure and format remains largely unaffected.

Conclusion

- 8.4 On the basis of the findings in this report I recommend to the City of York Council that subject to the incorporation of the modifications set out in this report that the Poppleton Neighbourhood Plan should proceed to referendum.

Referendum Area

- 8.5 I am required to consider whether the referendum area should be extended beyond the Plan area. In my view the neighbourhood area is entirely appropriate for the purpose of the referendum. I therefore recommend that the Plan should proceed to referendum based on the neighbourhood area as approved by the City Council on 13 October 2014.

- 8.6 I am grateful to everyone who has helped in any way to ensure that this examination has run in a smooth and efficient manner. It has been a complicated examination given the range of issues that are addressed in the Plan in general, the context provided by the development plan and the need to address the identification of the Green Belt within the Plan area.

Andrew Ashcroft
Independent Examiner
16 May 2017

Appendix 1

Notes of Clarification Meeting

Tithe Barn, Poppleton 3 February 2017

Attendees:

| | |
|-----------------|---------------------------------|
| Edie Jones | Upper Poppleton Parish Council |
| Robert Langford | Upper Poppleton Parish Council |
| Don Simpson | Nether Poppleton Parish Council |
| Peter Powell | Nether Poppleton Parish Council |

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| Martin Grainger | City of York Council |
| Rebecca Harrison | City of York Council |
| Alison Cooke | City of York Council |
| Rachel Macefield | City of York Council |

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| Andrew Ashcroft | Independent Examiner |
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Purpose of the Meeting

AA advised that the purpose of the meeting was to address a series of factual matters that had been sent to all parties in advance of the meeting. The meeting was not an opportunity to debate any elements of the Plan or to consider any of the representations received.

Process Information

AA advised the meeting on the examination process and its likely duration. He also advised on the particular aspects of the Plan that he had already looked at earlier in the morning and was intending to look at in the remainder of the unaccompanied visit.

Strategic Matters and the Development Plan

The CYC team submitted a comprehensive report on:

- The Regional Spatial Strategy for Yorkshire and Humber
- The City of York Draft Local Plan incorporating the fourth set of changes Development Control Local Plan (2005)
- The emerging City of York Local Plan
- The role and status of green belt policies as applied on a day to day basis
- The relationship between the submitted neighbourhood plan and the emerging Local Plan

CYC also provided AA with a package of policy documents to assist with the examination process.

The submitted SEA

CYC advised AA on its concerns about the submitted SEA. Whilst the SEA was addressing the critical components of such a study it contained a series of administrative errors.

AA agreed that in the circumstances it would be appropriate for the SEA to be amended. Once this had taken place it was also agreed that separate consultation should take place on this amended document.

AC agreed to liaise with EJ and AECOM to ensure that this took place. AA would be advised when the revised consultation process was to take place.

Policy 12 Land to the north east of Dutton Farm

CYC provided its comments on the extent or otherwise to which this policy was 'excluded development'.

Andrew Ashcroft

Independent Examiner

Poppleton Neighbourhood Plan

9 February 2017

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City of York Council**UPPER AND NETHER POPPLETON NEIGHBOURHOOD PLAN:
POST- EXAMINATION DECISION STATEMENT****Regulation 18 of the Neighbourhood Planning
(General) Regulations 2012 (as amended)**

This document is the decision statement required to be prepared under Regulation 18(2) of the Neighbourhood Planning Regulations 2012 (as amended). It sets out the Council's response to each of the recommendations contained within the Report to City of York Council of the independent examination of the Upper and Nether Poppleton Neighbourhood Plan ("the Plan") by independent Examiner Mr Andrew Ashcroft, which was submitted to the Council on 16th May 2017.

This decision statement, the independent Examiner's Report and the submission version of Upper and Nether Poppleton Neighbourhood Plan and supporting documents can be viewed on the Council's website:

www.york.gov.uk/neighbourhoodplanning

Paper copies of this decision statement and the independent Examiner's Report can be viewed during normal opening times at the following locations:

- City of York Council's West Offices,
- Poppleton Library
- York Explore Library

1.0 BACKGROUND

1.1 Under the Town and Country Planning Act 1990 (as amended), City of York Council ("the Council") has a statutory duty to assist communities in the preparation of neighbourhood (development) plans and to take plans through a process of examination and referendum. The Localism Act 2011 (Part 6, Chapter 3) sets out the Local Planning Authority's responsibilities under neighbourhood planning.

1.2 This statement confirms that the modifications proposed by the Examiner's Report have been considered and accepted and that subject to making the recommended modifications (and other minor modifications) the Plan may now be submitted to referendum.

1.3 The Upper and Nether Poppleton Neighbourhood Plan relates to the area that was designated by the Council as a Neighbourhood Area on 13th October 2014. This area is coterminous with the Upper and Nether Poppleton Parish boundaries and is entirely within the Local Planning Authority's area.

1.4 Upper and Nether Poppleton Parish Councils undertook pre-submission consultation on the draft Plan in accordance with Regulation 14 between 22nd January and 15th March 2015 and again between 11th May and 1st July 2016.

1.5 Following the submission of the Upper and Nether Poppleton Neighbourhood Plan to the Council on 22nd November 2016, the Council publicised the draft Plan for a six-week period and representations were invited in accordance with Regulation 16. The publicity period ended at 5pm on 23rd January 2016.

2.0 INDEPENDENT EXAMINATION

2.1 The Council appointed Mr Andrew Ashcroft BA (Hons) MA, DMS, MRTPI, with the consent of Upper and Nether Parish Councils, to undertake the independent examination of the Upper and Nether Poppleton Neighbourhood Plan and to prepare a report of the independent examination.

2.2 The Examiner examined the Plan by way of written representations supported by an unaccompanied site visit of the Neighbourhood Plan Area.

2.3 The Examiner's Report was formally submitted on 16th May 2017. The Report concludes that subject to making the modifications recommended by the Examiner, the Plan meets the basic conditions set out in the legislation and should proceed to referendum. The Examiner also recommends that the referendum area should be the same as the designated Neighbourhood Area, which is the same as the administrative boundaries for Upper and Nether Poppleton parishes.

2.4 Following receipt of the Examiner's Report, legislation requires that the Council consider each of the modifications recommended, the reasons for them, and decide what action to take. The Council is also required to consider whether to extend the area to which the referendum is to take place.

3.0 DECISION AND REASONS

3.1 Having considered each of the recommendations made in the Examiner's Report and the reasons for them, the Council, with the agreement of Upper and Nether Poppleton Parish Councils, has decided to accept all of the Examiner's recommended modifications to the draft Plan. These are set out in Table 1 below.

3.2 The Council considers that, subject to the modifications being made to the Plan as set out in Table 1 below, the Upper and Nether Neighbourhood Plan meets the basic conditions mentioned in paragraph 8(2) of Schedule 4B of the Town and Country Planning Act 1990 (as amended) is compatible with the Convention rights

and meets the requirements of paragraph 8(1) of Schedule 4B to the Town and Country Planning Act 1990 (as amended).

3.3 Table 2 sets out a list of some further minor modifications to the general text agreed by the Council and Upper and Nether Poppleton Parish Councils for the purpose of achieving consistency with the modified policies or to correct typographical errors. As this is not a different view to the Examiner's, it is not necessary for the Council to re-consult on those minor modifications.

3.4 As a consequence of the required modifications, the Council will modify the Upper and Nether Poppleton Neighbourhood Plan accordingly, for it then to proceed to referendum.

3.5 The Examiner recommended that the Neighbourhood Plan should proceed to a referendum based on the designated Neighbourhood Area. The Council has considered this recommendation and the reasons for it, and has decided to accept it. The referendum area for the final Upper and Nether Poppleton Neighbourhood Plan will therefore be based on the designated Upper and Nether Poppleton Parish Neighbourhood Area.

3.6 This decision was made at a meeting of the Council's Executive on 29th June 2017.

3.7 This decision statement is dated 29th June 2017.

Other information:

The Neighbourhood Plan document will be updated to incorporate all the modifications required and re-titled Referendum Version. The date for the referendum and further details will be publicised shortly once a date is set by the Council.

Table 1: Examiner's Recommended Modifications

| PNP Policy/Para | Examiner's Report Reference | Recommended Modification | CYC Consideration/Justification |
|-----------------|-----------------------------|--|---|
| PNP1 Green Belt | Para. 7.11-7.21 | <p>Replace the policy with the following:</p> <p>The general extent of the York Green Belt within the Plan area is shown on the Policies Map</p> <p>Within the general extent of the Green Belt inappropriate development will not be supported except in very special circumstances. New buildings are regarded as inappropriate development and will not be supported other than in the circumstances identified in paragraph 89 of the National Planning Policy Framework.</p> <p>Proposed developments for the following uses will be supported provided that they preserve the openness of the general extent of the Green Belt and do not conflict with the purposes of including land in the Green Belt:</p> <ul style="list-style-type: none"> • Minerals extraction; • Engineering operations; • Local transport infrastructure that can demonstrate a requirement for a Green Belt location; • the re-use of buildings provided that the buildings are of permanent and substantial construction; and • Development brought forward under a Community Right to Build Order <p><i>Identify the general extent of the Green Belt on the Policies Map in an identical format to that displayed on the Proposals Map associated with the Fourth Set of</i></p> | <p>Agree with the modifications for the reasons set out in the Examiners Report.</p> <p>Map showing revised GB boundary to be included in the next version of the Plan.</p> |

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| | | <p><i>Changes Development Control Local Plan (2005)</i></p> <p><i>In 4.1.1 delete 'and it is.... land allocations plan'</i></p> <p><i>Delete 4.1.2</i></p> <p><i>In 4.1.3 insert 'general extent of' between 'The' and 'Green'. At the end of the paragraph add 'There is an important area of open land between the City of York and the villages of Nether and Upper Poppleton. At its narrowest point this is in the order of 600metres in extent.'</i></p> <p><i>Delete 4.1.5</i></p> <p><i>In 4.1.8 delete all the text after the first sentence</i></p> <p><i>Insert new paragraphs to read:</i></p> <p><i>Paragraphs 83-85 of the NPPF are clear that the identification and modification of green belt boundaries are matters for the local planning authority to determine. In this case that authority is York City Council. Furthermore, these paragraphs identify that these processes should be undertaken as part of the preparation or review of a local plan. In this case, this would be through the vehicle of the preparation of the emerging City of York Local Plan. At the same time the neighbourhood plan needs to be in general conformity with the strategic policies of the development plan. In this case, these are policies YH9 and Y1 of the Yorkshire and Humber Regional Spatial Strategy. These identify the general extent of the York Green Belt and set out its national significance. Whilst not forming part of the development plan the City of York Draft Local Plan incorporating the Fourth Set of Changes Development Control Local Plan (April 2005) was approved for development control purposes. The effect of this process is that decisions on planning applications falling within the general extent of the Green Belt (as defined in the RSS) are taken on the basis that land is treated as Green Belt.</i></p> | |
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| | | <p><i>In these circumstances the submitted plan continues to apply the approach to the identification of the Green Belt as set out currently in the RSS and the Fourth Set of Changes Development Control Local Plan (2005) on an interim basis until such times as the emerging Local Plan is adopted. This will ensure that the preparation of the emerging Local Plan is used as the mechanism for the detailed identification of the York Green Belt boundaries in accordance with national planning policy. It will also provide the proper opportunity for developers and land owners to contribute to this debate both in general terms and to provide the agreed levels of development for the City. Once the emerging Local Plan has been adopted the neighbourhood plan will be reviewed in order to ensure that the two elements of the development plan are consistent on this important matter.</i></p> | |
| PNP 2A and PNP 2B: Green Infrastructure | Para. 7.22 – 7.26 | <p>Replace policies PNP 2A and 2B as follows:</p> <p>The green infrastructure within and surrounding Upper Poppleton and Nether Poppleton as shown on the Policies Map will be safeguarded. Proposals for their enhancement will be supported.</p> <p>Development that would harm the integrity or appearance of the green infrastructure will not be supported</p> <p><i>Reposition ‘Green infrastructure...equestrian routes’ to the end of paragraph 4.3.6</i></p> <p>Policy PNP 2B: Green Infrastructure</p> <p>7.24 I have recommended in Policy PNP 2A that the two green infrastructure policies are combined.</p> <p>Delete Policy</p> | Agree with the modifications for the reasons set out in the Examiners Report. |
| PNP 3: Conservation | Para. 7.25 – 7.26 | <p>Insert new first paragraph to read:</p> <p>All proposals for development in the Upper Poppleton and Nether Poppleton</p> | Agree with the modifications for the reasons set out |

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| Areas | | <p>Conservation Areas should preserve or enhance their special character or appearance.</p> <p>In the existing part of the policy remove the underlining of ‘within’, replace ‘must’ with ‘should’ and replace ‘in the ... references)’ with ‘in the conservation area character assessments for the relevant conservation area as included at Appendix C of this Plan.’</p> | in the Examiners Report. |
| PNP 4: Village Design Statement | Para. 7.27 – 7.32 | <p>Include the following as a new paragraph at the start of the policy:</p> <p>Proposals for development within the villages of Upper Poppleton and Nether Poppleton will be supported where they bring forward high quality design appropriate to their character and appearance.</p> <p>In the policy in the submitted Plan replace ‘will be considered...guidelines’ with ‘should respect the Design Guidelines’</p> <p><i>In 5.11 replace the first sentence with ‘Policy PNP 4 sets out that proposals should respect the Design Guidelines in the Village Design Statement. Proposals that do not follow this approach will not be supported’.</i></p> <p><i>Delete 5.13 and 5.14</i></p> | Agree with the modifications for the reasons set out in the Examiners Report. |
| PNP 5: Traffic Policy | Para 7.33-7.34 | <p><i>Delete paragraph 6.9 as a free-standing paragraph. Include the following at the end of paragraph 6.8: ‘This approach accords with paragraph 35 of the NPPF. Safe and secure layouts will be required which minimise conflicts between traffic and cyclists and pedestrians’</i></p> <p><i>Replace the policy title with ‘Cycle and Pedestrian Access’</i></p> | Agree with the modifications for the reasons set out in the Examiners Report. |

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| | | <p>H2: Land at Long Ridge Lane Upper Poppleton</p> <p>H3: Land at Blairgowrie, Main Street Upper Poppleton</p> <p><i>Delete paragraphs 7.10 to 7.13</i></p> | |
| PNP 6B Housing | Para 7.46 – 7.47 | <p>Replace the policy as follows:</p> <p>Policy PNP 6D</p> <p>Proposals for the redevelopment of the existing buildings on the Blairgowrie site will be supported subject to the following criteria:</p> <ul style="list-style-type: none"> • They preserve or enhance the character or appearance of the Upper Poppleton conservation area; • The replacement buildings are of a similar scale, location and mass to the existing buildings; and • The existing mature trees and landscaping elements of the site are protected and used as an integral part of the layout and design. | Agree with the modifications for the reasons set out in the Examiners Report. |
| PNP 6C Housing | Para 7.48 – 7.49 | Delete Policy | Agree with the modifications for the reasons set out in the Examiners Report. |
| Policy PNP 6D | Para 7.50 – 7.51 | <p>Replace the policy as follows:</p> <p>Policy PNP 6E</p> <p>Proposals for the residential development of the former British Sugar Site will be supported subject to the following criteria:</p> | Agree with the modifications for the reasons set out in the Examiners Report. |

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| | | <ul style="list-style-type: none"> • They include a mix of housing types; • They provide amenities, outdoor sport and recreational facilities; and • They provide a principal access point off the Boroughbridge Road <p><i>In the second sentence of paragraph 7.6 replace '1100' with 'approximately 1140'</i> <i>Replace the third sentence of this paragraph with 'The exact number of dwellings on the wider site will be determined through the planning application process and its associated masterplan'.</i></p> <p><i>Replace the final sentence of paragraph 7.8 with 'Millfield Lane will provide a secondary access into the site'.</i></p> | |
| PNP 7A: Business and Employment | Para 7.52 – 7.54 | <p>Replace the policy with:</p> <p>Proposals for new business development on established business parks in the Plan area will be supported where they provide car parking for staff and customers to City of York Council standards at the time of the determination of the application.</p> | Agree with the modifications for the reasons set out in the Examiners Report. |
| PNP 7B: Business and Employment | Para 7.55 – 7.57 | Delete Policy | <p>Agree with the modifications for the reasons set out in the Examiners Report.</p> <p>Amend Policies map to reflect the removal of Site E2.</p> |
| PNP 8A: Education | Para 7.58 – 7.59 | <p>Replace 'land allocations map' with 'policies map'</p> <p><i>Modify policy title to read 'Safeguarding of land at Manor Academy'</i></p> | Agree with the modifications for the reasons set out |

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| | | | in the Examiners Report. |
| PNP 8B: Education | Para 7.60 – 7.62 | <p>Replace ‘and any.... might occur’ with ‘and development to the south which may arise following the adoption of the City of York Local Plan.</p> <p><i>Modify title to read ‘Safeguarding of land for buffer strip to south of Manor Academy’</i></p> <p><i>Replace paragraph 9.4 with the following:</i></p> <p><i>There has been a dialogue between the Academy and the owners of the land to the south. In the event that this land comes forward for development as part of the adoption of the City of York Local Plan general agreement has been reached to safeguard a strip of land along the boundary as a buffer zone. This will be in the common interest of both parties. Policy PNP 8B safeguards the land concerned for this purpose. The need or otherwise for the policy can be reviewed once the Local Plan has been adopted.</i></p> <p><i>Delete the map and italic text at the top of page 45</i></p> | Agree with the modifications for the reasons set out in the Examiners Report. |
| PNP 9A: Community Facilities | Para 7.63 – 7.65 | <p>Replace the policy with the following:</p> <p>Land to the north of the Poppleton Tigers Junior Football Ground, Millfield Lane, as shown as R1 on the Policies Map, will be reserved for development as a recreational open space.</p> <p><i>Replace the title of the policy with ‘Land to the north of the Poppleton Tigers Junior Football Ground, Millfield Lane’</i></p> | Agree with the modifications for the reasons set out in the Examiners Report. |
| PNP 9B: Community Facilities | Para 7.66 – 7.67 | <p>Insert ‘as shown as R2 on the Policies Map’ after ‘Centre’.</p> <p>Replace ‘should...developed’ with ‘is reserved for development’ and delete ‘for children...ages’.</p> | Agree with the modifications for the reasons set out in the Examiners Report. |

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| | | <i>Replace the title of the policy with 'Land adjacent to the Community Centre'</i> | |
| PNP 10A: Environmental Policy | Para 7.68 – 7.69 | <p>Replace policies PNP 10 A and 10 B with:</p> <p>Woodland areas and hedgerows within the Plan area will be safeguarded. Development proposal should take account of existing wooded areas and hedgerows. The hedges within the areas shown on the Policies Map are particular important and their removal will not be supported</p> <p><i>Change policy title to 'Protection of Wooded areas and hedgerows'</i></p> <p><i>Reposition policies PNP 10A and 10B into the supporting text as paragraph 11.15. Add at the end of this new paragraph 'Policy PNP 10 provides a context for the delivery of these important objectives. The Policies Map identifies key areas to the east of the residential properties in Station Road.'</i></p> | Agree with the modifications for the reasons set out in the Examiners Report. |
| PNP 10B: Environmental Policy | Para 7.70 | Delete | Agree with the modifications for the reasons set out in the Examiners Report. |
| PNP 11: Climate Change and Renewable Energy | Para 7.71 – 7.73 | <p><i>Identify the policy as a non-land use proposal by use of a different colour or other identification</i></p> <p><i>Replace 'Any new.... with or' with 'New developments that'</i></p> <p><i>Insert 'will be particularly supported' after 'energy technology'</i></p> <p><i>Replace 'and should...following: - 'with 'Developers may also wish to consider'</i></p> | Agree with the modifications for the reasons set out in the Examiners Report. |
| PNP 12: Minerals Extraction and | Para 7.74 – 7.76 | <p>Replace the policy with the following:</p> <p>Proposals for the restoration and reinstatement of land at Dutton Farm as</p> | Agree with the modifications for the reasons set out |

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| Waste | | <p>shown on the Policies Map should respect its location within the general extent of the York Green Belt. Proposals should include details of indigenous tree planting and landscaping and details of initiatives to re-establish wildlife habitats</p> <p><i>Modify title to read 'Tree planting and landscaping at land to the north-east of Dutton Farm'</i></p> | in the Examiners Report. |
| General Comments | Para 7.77 | <i>Modification of general text (where necessary) to achieve consistency with the modified policies</i> | Agree with the modifications for the reasons set out in the Examiners Report. |

Table 2: Further minor modifications arising from the Examiner's modifications or to correct typographical errors

| Page/Para. | Change | Reason |
|--|--|----------------------------------|
| Front cover | Amend to read 'Referendum Version' | To reflect current stage of Plan |
| All | Add/amend paragraph numbers | For clarity |
| Page 2 / Contents | Add 'Appendix B' for Terms of Reference for Neighbourhood Plan Committee and Change 'Appendix B' to Appendix C' for Detail descriptions of Conservation Areas and listed buildings | Correction |
| Page 3 | Amend title to read 'Upper and Nether Poppleton Neighbourhood Plan' | For consistency |
| Page 3/para. 5 | Delete first sentence | For clarity. |
| Page 4/para 3 | Change 'Nether' and 'Upper' around | For consistency |
| Page 4 / para 3 | First sentence. Add 'together' after 'worked' | Omitted word. |
| Page 5 / 4 th bullet | Remove word 'be' | Typo |
| Page 6 / 2 nd bullet/3 rd bullet | Add 'ing' to 'retain'. Add 'ing' to 'stratify'. Add 'ing' to 'build'. | Correct tense |
| Page 7 / para 1.3 | Move comma from after 'based' to before. | Typo |

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|-------------------------------|---|-----------------------------|
| Page 8 / para after 2.1 | Change 'managed' to 'manage' | Typo |
| Page 8 / 3 rd para | Change 'purposes' to 'purpose' | Typo |
| Page 8 / 7 th para | Change 'identify' to 'identifying' | Typo |
| Page 8/ last para | Change 'COYC' to 'CYC' | For consistency |
| Page 11 | Remove 'to be brought....later in 2016' | To reflect latest position. |
| Pages 12-15 | Amend policy wording to reflect the modifications to policies in main chapters as recommended by Examiner. | For consistency |
| Page 16 | Amend title to 'Policies Map'. Amend Policies Map and key to reflect the modifications to policies as recommended by Examiner i.e. delete H4 and E2 and draw green belt to reflect City of York Local Plan 4 th Set of Changes boundary. | For consistency |
| Page 17 / para 4.1.3 | Remove sentence which refers to H4: 'Limited green field...agricultural land) | For consistency |
| Page 22 / para 4.2.3 | 1 st bullet – Change 'Medieval' to 'Saxon' 5 th bullet – Delete apostrophe from 'Sports' | Factual change Typo |
| Page 23 / para 4.3 | Add 's' to 'Corridor' | Typo |
| Page 23 / para 4.3.3 | Remove 'the' in reference to Upper and Nether Poppleton | Typo |

| | | |
|---------------------------------------|---|-----------------|
| Page 27 / para 5.8 | Change position of word 'eventually' | For clarity |
| Page 30 / title | Amend 'Historic' to 'Heritage' | For consistency |
| Page 30 / History of Nether Poppleton | Amend 'Osbern de arches' to 'Osbern d'Arches' | Typo |
| Page 35 / para 6.8 | Add punctuation to final sentence beginning 'Safe and secure...' | Typo |
| Page 35 / para 6.12 | Add 'way' after 'cycle' on first line. | For clarity |
| Page 37 / para 7.1.1 | Remove 'Other' from start of second sentence. | Typo |
| Page 37 / para 7.1.5 | Add 6E to list of policies | For consistency |
| Page 39 / para 7.5 | Amend to read 'The Former British Sugar Site (H1)' | For consistency |
| Page 40 / para 7.9 | Amend 'have' to 'has' in second sentence | Typo |
| Page 41 / para 7.13 | Add sentences at the end of paragraph: 'It is not within the remit of the Neighbourhood Plan to allocate land within the general extent of the Green Belt for residential purposes. This is a role for the emerging Local Plan. Policy PNP8b does however address the requirement for a buffer zone adjacent to Manor Academy should housing be allocated in the future through the emerging Local Plan'. | For consistency |

| | | |
|----------------------------|---|-----------------|
| Page 42 / para 7.14 | Add 's' to 'represent' | Typo |
| Page 42 / para 7.15 | Amend 'Proposals' to 'Proposed' and add 's' to dwellings. | Typo |
| Page 43 / para 7.16 | Add 's' to development | Typo |
| Page 43 / after para 7.16 | Add line space after 'considered' to separate text related to aerial photo. Add 'of these are' after 'To the right' | Typo |
| Page 46 / para 8.12 – 8.16 | Remove references to E2 and replace with 'Poppleton Garden Centre'. Remove references to the site allocation of E2. | For consistency |
| Page 49 / para 9.1 | Amend 'Land Allocations Plan' to 'Policies Map' | For consistency |
| Page 49 / para 9.3 | Amend 'ST1' to 'H1' | For consistency |
| Page 49 / para 9.3 | Add 'in' before 'proximity' in 2 nd sentence | Typo |
| Page 49 / para 9.5 | Delete text 'as illustrated in Appendix B' | For consistency |
| Page 50 / para 10.1 | Amend 'Land Allocations Plan' to 'Policies Map' | For consistency |

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Poppleton Neighbourhood Plan

Plan

2016-2036

25 October 2016

NETHER WITH UPPER POPPLETON PARISHES NEIGHBOURHOOD PLAN 2016-2036

CONTENTS

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 - 4.1 Inner Boundary
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- 9 Education Sites
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Appendix A Letter to City of York Requesting to be a designated area for development of a Neighbourhood Plan, Roadmap of the development of the Neighbourhood Plan. Terms of reference for the Neighbourhood Plan Committee.

Appendix B Detail descriptions of the Conservation Areas and listed buildings from CYC.

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Nether with Upper Poppleton Neighbourhood Plan.

Introduction and background

The preparation of the Neighbourhood Plan for Nether with Upper Poppleton started with the approval of both Parish Councils in May 2014 to assess the desire of the residents to look at potential housing, employment and green spaces within the parish areas.

The designated area was formally approved by the City of York Council and the Planning department of the City of York in October 2014. A department for Neighbourhood Planning was developed within the Council so that direct access to information, resources and staff was available. At the time of the commencement of Poppleton Neighbourhood Plan there were three other parishes, Dunnington, Copmanthorpe and Murton also working with the City of York Council to develop Neighbourhood Plans for their areas. Information was exchanged between these parishes and Poppleton. Locality also provided a 'Road map' methodology, advice and guidance through their website and this has been used extensively by the Neighbourhood Plan Committee to ensure compliance with the law and legal status of the Plan.

The Neighbourhood Plan has been developed against a background of change within the political framework of the City of York Council, the lack of a definitive green belt, and the emergence of a Local Plan. The First Emerging Local Plan was dismissed by the City Council in 2014 as the housing numbers were not considered to be an accurate reflection of need. Since then the City Planners have worked to develop a new Local Plan based on research, demographic trends and employment opportunities in line with current government policy. A new Emerging Local Plan is currently due for consultation in July 2016 with the preferred site allocations being released on the City website in June 2016 during the pre-submission consultation period of this Neighbourhood Plan.

The housing numbers required within the city have changed dramatically and the policy of the present City of York Council is to develop 841 houses per year with a preference for the development of brownfield sites over greenfield sites. There is a proposal for development over 15 years with an extension of 5 years beyond the life of the Local Plan when approved. This has helped to set the parameters for the Poppleton Neighbourhood Plan.

Simultaneously a definitive Green Belt is being developed as the present situation is that the City of York along with 5 other cities in Britain has special status within the Regional Spatial Strategy. The general extent of the Green Belt is already determined in the Yorkshire and Humber Regional Spatial Strategy to 2026 (May 2008) Partial revocation order 2013/(S12013/117). It is for the City Planners, and Councillors of the City of York to agree the definitive Green Belt around the City and surrounding villages.

The Parish Councils of Nether and Upper Poppleton delegated the role of development of the Neighbourhood Plan in compliance with the 2011 Localism Act to a committee comprising initially 2 parish councillors from each parish. This number was later increased to a total of 6 parish councillors. The Neighbourhood Plan Committee is therefore a committee of the parish councils with clear terms of reference. The councillors have worked with professional town planning experts, with assistance from the City of York Council Planning Department on site selection, policy

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development and all legal obligations. The formal adoption of this delegation is noted in the minutes of the separate parish councils available on the parish council websites.

The work has been funded through a series of grants from Locality. Locality is a quasi-government organisation responsible for overseeing the allocation of funding specifically to assist with the development of Neighbourhood Plans in compliance with legal obligations.

The Parish Councils of Nether and Upper Poppleton are separate but have worked through the Neighbourhood Plan committee to develop the Neighbourhood Plan. The Neighbourhood Plan was developed in consultation with land owners, residents of both villages, village organisations, local schools, service providers and businesses. All meetings, seminars, consultation, questionnaires, documents and progress reports are set out in the consultation documentation that accompanies the Neighbourhood Plan to examination.

During the wide consultation with the local community comprising organisations, land owners, business owners, residents and interested parties, updates on the progress of the work were reported to each parish council at their monthly meetings and were recorded in the minutes which are publicly available on the parish council websites. A dedicated website for the Neighbourhood Plan was available and updated regularly at www.plan4poppleton.co.uk.

Various public meetings were held for consultation, dissemination of information, displays of aerial photos and maps indicating areas under consideration in the plan. Newsletters and leaflets with feedback forms were also widely distributed. Examples of these, with formal approval by the respective chairman of the parish councils and notice of the formal application to become a designated area are all included in Appendix A at the end of this document.

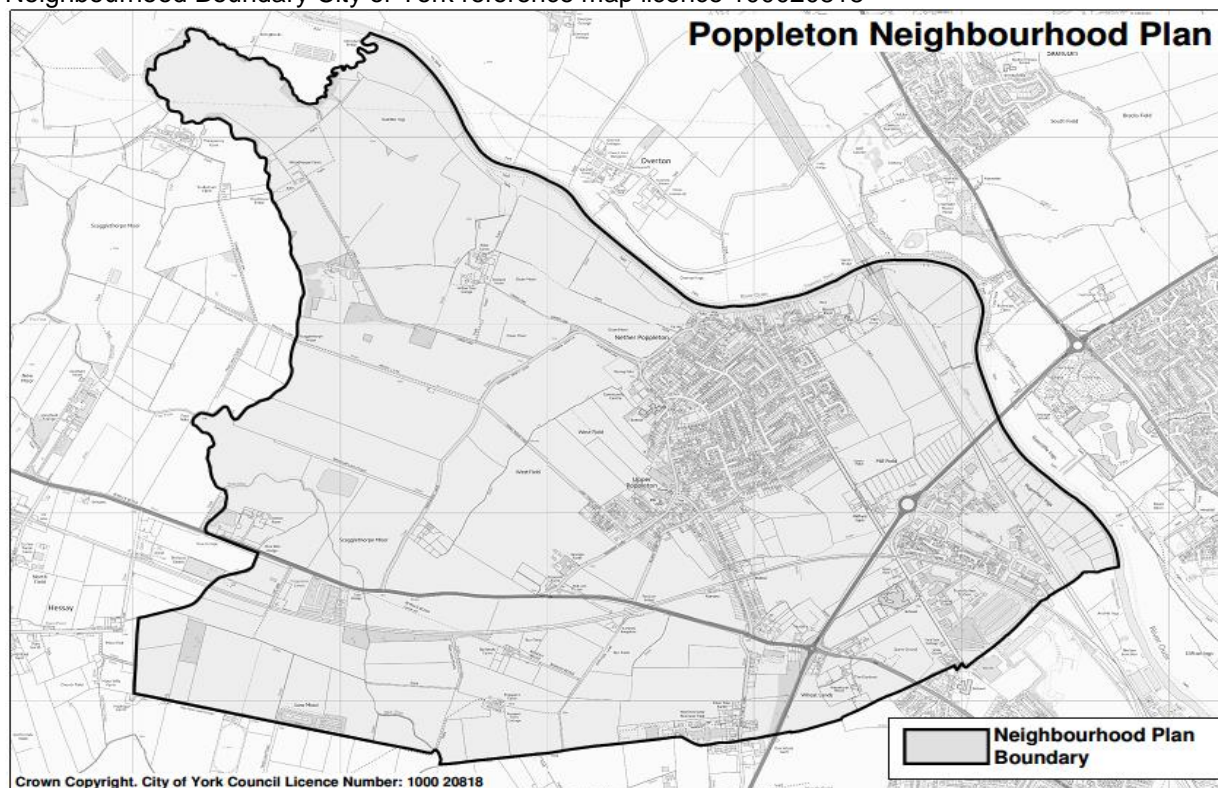
July 2016

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POPPLETON NEIGHBOURHOOD PLAN DESIGNATED AREA AGREED BY THE CITY OF YORK COUNCIL 13 OCTOBER 2014

Map Figure 1 Poppleton Neighbourhood Plan Boundary

Neighbourhood Boundary City of York reference map licence 100020818



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Aim of the Neighbourhood Plan

The aim of the Plan is to manage change in the village and designated area, not to prevent it. Future development should be sympathetic, unobtrusive and in keeping with its rural environment and surroundings. It should:

- Maintain the historic character, setting and identity of Nether and Upper Poppleton village core.
- Manage the growth of new developments of housing and employment within the parished areas.
- Ensure that new development is built to be sustainable and commensurate with the rural setting.
- Ensure that any brown field sites are be developed with the amenities¹, facilities² and road structures that will allow, maintain and enhance the identity of the community.
- Promote development of brownfield sites as a priority over any Greenfield site or grade 1 or grade 2 grade 3a agricultural land classification (ACL).³

¹ Amenities definition pleasantness , pleasant surroundings, open spaces, recreational spaces

² Facilities : doctors, schools, shops recreational areas

³ Natural England recommendation <http://publications.naturalengland.org.uk/publication /35012>

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Vision statement

Nether and Upper Poppleton are two villages that have coalesced to form a distinctly quintessential English Village, with the right array of facilities, amenities and transport links. It is a desirable place to live, work, raise a family and retire to. This is because first and foremost it is a community, with a place identity, shared green spaces, good schools, shops, churches, clubs and most importantly a history of friendliness and caring. These are just some of the key words given by the residents when a questionnaire was analysed by experts in connection with the Neighbourhood Plan for Poppleton.

The Settlement of Poppleton must retain its character as a village on the outskirts of the historic City of York.

This is reflected in the sustainability of the settlements of the villages and it is what the Parishes of Nether and Upper Poppleton would wish to see developed on the brownfield area at the Former British Sugar Site (FBSS) reflecting a mix of housing that supports young and elderly.

Within Nether and Upper Poppleton designated parish area sustainability means the development of proposals that this Neighbourhood Plan seeks to promote by:

- Building a mix of housing on allocated sites, particularly ST1(CYC unadopted Local Plan reference), with the correct amenities to allow communities to develop.
- Protecting agricultural land and green belt land from inappropriate development and retain its growing potential and open character.
- Ensuring that houses are not built as schemes that see one size fits all, stratify the housing types to match the needs of people at different stages of their housing life cycle and hence build communities and cohesion.
- Ensuring that any housing developments **within** the historic villages of Nether and Upper Poppleton are commensurate with the setting in terms of building materials, layout and garden space as set out the in the Poppleton Village Design Statement (2003)(PVDS).
- Making sure that further business park developments are maintained within the current locations.
- Ensuring that historic views of York and the Minster in particular are retained.
- Ensuring that appropriate transport links are in place so that the village is not a continual rat-run used to avoid congestion on the A 1237 Outer Ring Road.
- Ensuring that there are safe cycle/pedestrian shared spaces within the village and connecting to the City of York to promote healthy living for all.

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1 PREFACE

1.1 The Poppleton Neighbourhood Plan 2016 – 2036 has been produced by Nether with Upper Poppleton Parish Councils under powers granted in the Localism Act 2011. It has been prepared by a Neighbourhood Planning Group comprising Kathie Brydson, Peter Powell, Vivien Crabb, Edie Jones, Roper Langford and Don Simpson, following extensive consultation with residents, businesses and representative groups. The Neighbourhood Plan Area which covers the entire parishes, was formally designated by the City of York on Monday 13th October 2014 at a meeting in West Offices, Station Rise, York.

1.2 The Neighbourhood Plan has been prepared against a background of an emerging draft Local Plan being prepared by the City of York Council for the years 2012- 2032 with a five year extension to 2037. The Local Plan and the process of its preparation have been subject to uncertainty following a resolution by the City Council Members to ask that the Draft Publication Local Plan version be rejected while further work is undertaken on the figures for housing needs across the City which includes Poppleton Parishes. Further information from the City on this is not now expected until after the Preferred Sites Local Plan consultation period due to end in Mid-September 2016. In the meantime, a number of planning applications which have the potential to affect the development of Poppleton have been either submitted or are subject to public consultation. It is therefore vital that this Neighbourhood Plan proceeds without delay if the aims of the Localism Act are to be realised within the Poppleton Parishes.

1.3 During the 2nd pre-submission consultation of the Neighbourhood Plan the City of York Council Local Plan Working Group presented housing numbers to the Council indicating that based, on current intelligence, 841 houses per annum over the 20 year period of the Local Plan would be required to meet and satisfy demand. The Local Plan period will now be from 2012 -2037.

1.4 The Local Plan Preferred Sites consultation document by the City of York Council was made available for member discussion at the Local Plan Working Group on 27th June 2016 and the Executive on 30th June 2016 wherein it was approved for city wide public consultation from 18 July 2016⁴ for an eight week period. This document also indicated that there was likely to be a change in the designation of certain areas within the parishes of Nether and Upper Poppleton. This has been considered in the consultation documentation which accompanies this Neighbourhood Plan.

1.5 A consultant from H & H Land Planning Consultants was engaged to ensure that policies were developed to reflect the residents' concerns, aspirations and thoughts on housing developments and to ensure that these were translated into the appropriate language to fulfil the requirement for Submission, Examination and Referendum procedures.

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1.6 A consultant from AECOM was engaged by the Committee to complete the Environmental Report based on the Scoping Opinion and Site Assessment which took place in 2015-2016 prior to the 2nd pre-submission consultation.

2 STRATEGIC CONTEXT

National Planning Policy Framework (NPPF) (2012) paragraph 7. There are three dimensions to sustainable development:

Economic Role: contributing to building a strong, responsive and competitive economy, by ensuring that sufficient land of the right type is available in the right places at the right time to support growth and innovation and by identifying and coordinating development requirements including the provision of infrastructure.

Social Role: supporting strong, vibrant and healthy communities, by providing the supply of housing required to meet the needs of present and future generations and by creating a high quality built environment, with accessible local services that reflect the community's needs and support its health, social and cultural well-being.

Environmental role: contributing to the protection and enhancement of our natural, built and historic environment; and, as part of this, helping to improve biodiversity, using natural resources prudently, minimising waste and pollution and mitigating and adapting to climate change which includes moving to a low carbon economy.

2.1 The Strategic Context in planning terms for this Neighbourhood Plan is one where there is no adopted Local Plan for the City of York. While work has been ongoing for many years on a Local Plan, the latest draft, in September 2014, was rejected by the City of York Council (CYC) largely due to concerns over the number and distribution of housing to be provided over the plan period. New work is currently being undertaken by CYC officers and the Councillors of the Local Plan Working Group to provide a strategic direction for the City. However, this is no reason to delay further the preparation of a Neighbourhood Plan for Poppleton.

City of York Background Statement from the Preferred Options consultation.⁵

City of York Council is preparing a Local Plan for York which sets out the spatial vision for the city for the next 15 years and the green belt boundaries beyond this time period. This process requires us to understand what the key drivers of change for the city are and how we would like to see York in the future. Its main function is to help direct and managed different development across the city whilst simultaneously supporting economic prosperity, promoting a sustainable environment and creating an inclusive place to live.

The City of York Council commissioned GL Hearn to undertake a Strategic Housing Market Assessment (SHMA) which has only been in the public domain during the preferred sites consultation period from 18 July for eight weeks. This report has indicated that 841 houses per annum would be sufficient to meet the projected housing needs up to 2037 which is co-temperaneous with the Poppleton Neighbourhood Plan timescale.

⁵ This is information lifted directly from the Preferred Options consultation on the Local Plan released on 18 July 2016 for public consultation.

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Green Belt (extract from the Local Plan 2016 consultation p 14)

The emerging Local Plan will set York's detailed green belt boundaries for the first time guided by the National Planning Policy Framework (NPPF).

NPPF states that Local Authorities with green belts in their areas should establish green belt boundaries in their local plan which should only be altered in exceptional circumstances. Importantly, the Plan should accommodate development needs stretching well beyond the plan period and the LPAs should "satisfy themselves that green belt boundaries will not need to be altered at the end of the development plan period" (NPPF Para 85)

Policies relating to the general extend of a green belt around York were expressly secluded from the revocation of RSS. These policies set out the main purposes of a green belt surrounding York which is to "...protect and enhance the nationally significant historic and environmental character of York, including its historic setting, views of the Minster and important open areas" (RSS Policy Y1 York Sub area).

Counsel's latest advice on the issue of green belt permanence (John Hobson QC Jan 2015) refers to NPPF guidance. In particular the need for consideration to be given to the development needs of the area, both within the plan period and the longer term. If land is left within the green belt that would be contrary to the overriding requirement of the permanence, because it is known that further development land will be needed to meet future development needs.

In respect of the duration of the green belt, a minimum of 20 years reflects longstanding advice and best practice. In January 2000 COYC received an interim view from its Local Plan Inspector on the Plan's proposed Green Belt boundary. The inspector advised that the Council's position – to establish a 'non-permanent' or 'interim' green belt and undertake a formal green belt review immediately after the plan's adoption- ran contrary to government guidance which states that Green Belts should be ' permanent', importantly advocating that they remain unchanged for at least 20 years.

LOCAL PLAN PREFERRED OPTIONS POSITION.

The preferred options consultation draft of the Local Plan and the (subsequently abandoned) publication draft that was considered by Cabinet on 25th September 2014 included a policy and allocations of safeguarded land. This land is intended as a reserve for considerations for development at the time of a subsequent plan review. Its purpose is to help ensure that the Green Belt as defined in the Local Plan endures beyond the Plan period.

There has been considerable debate about both the need for such land to be designated and the duration of a 'permanent' green belt. The preferred options draft Local Plan and the subsequent publication draft sought to apply the national and saved regional policies in setting out the extent of the Green Belt and identify a reserve of safeguarded land to ensure that Green Belt boundary was capable of enduring beyond the period for 10 years. This was to ensure that the Plan was fully NPPF compliant and to reduce the risk of challenge.

In the latest consultation Local Plan preferred sites consultation (2016) the safeguarded land is no longer designated. This ensures that COYC can meet long term development needs stretching well beyond the plan period and that green belt boundaries will not need to be altered at the end of the plan period.

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The Poppleton Neighbourhood Plan welcomes this clear position on Green Belt but needs to see how this will impact on the historic setting and character of the villages of Nether and Upper Poppleton and the parish area. There are significant areas of Poppleton lying currently within what is considered as Green Belt.

2.3 Despite the problems in adopting a Local Plan in York, there is some strategic policy available for CYC in the form of Green Belt Policy. This says:

'Despite the fact that the York Green Belt is still technically a draft Green Belt, it has 'de facto' been in existence for several decades and has been reaffirmed on numerous occasions in planning refusals and dismissal of planning appeals. It was specifically recognised within the Yorkshire and Humberside Regional Spatial Strategy (RSS) to 2026 adopted in 2007 and although the RSS was substantially revoked by an order (SI No 2013/117) made in early 2013 under the Localism Act 2011, policies which related to the York Green Belt were specifically excluded from the revocation.'

*Quote from report by City of York Council
(July 2015)*

RSS York Green Belt policies

POLICY YH9: Green belts

C The detailed inner boundaries of the Green Belt around York should be defined in order to establish long term development limits that safeguard the special character and setting of the historic city.

POLICY Y1: York sub area policy

Plans, strategies, investment decisions and programmes for the York sub area should:

C Environment

1. In the City of York LDF, define the detailed boundaries of the outstanding sections of the outer boundary of the York Green Belt about 6 miles from York city centre and the inner boundary in line with policy YH9C.

2. Protect and enhance the nationally significant historical and environmental character of York, including its historic setting, views of the Minster and important open areas.

This is also cross referenced in section 4.2 with specific reference to Green Infrastructure.

2.4 This makes clear that the boundaries of the Green Belt around York have not been formally adopted and it remains for the emerging Local Plan to do this on a strategic basis.

2.5 The general extent of the Green Belt is already determined in the Yorkshire and Humber RSS to 2026 (May 2008) Partial Revocation order 2013(S12013/117)

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Overall Housing need in York⁶

Taking account of more recent migration (Mid Year Population Estimates 2013 and 2014 ONS- office of National Statistics) and improvements to household formation rates for younger households (25- 34 yrs. age group), the SHMA (Strategic Housing Market Assessment) draws the conclusion on the overall full objectively assessed need for housing over the 2012- 2032 period to be 841 dwellings per annum. The breakdown of this figure includes the provision of affordable homes as part of the overall housing delivery. The timescale for the commencement of the plan is redundant to so the plan will now run till 2037. During the period 2012 -2016 when no Local Plan was adopted a large number of houses have been completed in the York area. A further development of housing in the surrounding areas of Hambleton, Selby and the East Riding has contributed significantly to the housing stock in the travel to work area surrounding York. The Local Plan provides further development land to 2037 (including some flexibility in delivery) and establishes a green belt boundary enduring 20 years. (P 15)

Policies for what proportion of homes should be affordable need to take account of evidence both of housing need and the viability of residential development. This work on viability and deliverability against the policies in the emerging Local Plan will be undertaken to inform the revised Publication Draft Local Plan to be brought to members of the Local Plan Working Group later in 2016.

⁶ This statement is taken directly from the Local Plan Preferred Sites consultation published 18 July 2016

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3 POLICIES

3.1 Plan period 2016 – 2036

It is proposed that a twenty-year period is appropriate both in economic, business, housing planning and sustainability terms. This is in line with the emerging Local Plan 2012-2037 consulted upon during the summer of 2016.

3.2 Summary of the Policies

| |
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| Green Belt Policy PNP1 |
| Any development, within the general extent of the Green Belt, which harms the open character and setting of either York or the villages of Nether and Upper Poppleton, other than that covered by permitted development rights as defined by paragraph 87-89 of the NPPF, will not be permitted |
| Green Infrastructure PNP 2A |
| The Green Infrastructure within and surrounding the Poppletons (G1) will be protected and enhanced and will be expanded as the opportunity arises |
| Green Infrastructure PNP 2B |
| No development which harms, directly or indirectly, the integrity of this infrastructure should be permitted. Green Infrastructure in Poppleton particularly refers to: green corridors and green wedges, villages greens, riverbank, wild life areas, roadside swathes, paddocks, allotments, sports field areas, walking and equestrian routes |
| Conservation Areas Policy PNP 3 |
| Any development and land use within the conservation areas must respect the open character and heritage assets of the villages as set out in the Conservation Areas CYC 16 and 17. |
| Village Design Statement PNP 4 |
| All new developments within the settlement limits of the villages will be considered in relation to the guidelines in the Village Design Statement (VDS) as far as they are material to the proposal. |
| Traffic Policy PNP 5 |
| Improved and extended cycle and pedestrian access to and from the village in relation to Manor Academy, local villages and the City will be supported. |

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| Housing Policy PNP 6A |
| <p>Housing proposals will be supported where they meet any of the following criteria:</p> <ol style="list-style-type: none"> 1. The site is allocated on the land allocations plan for residential use as follows: <ul style="list-style-type: none"> H1 The former British Sugar Site (ST1) (City of York reference)(1100 houses of which 300 approx. are in Poppleton) H2 Long Ridge Lane plots(2 dwellings) H3 Blairgowrie Site (replacement dwellings and outbuildings) H4 Former Civil Service area including the adjoining agricultural land(261 houses) 2 The proposal is the subdivision of an existing dwelling and in compliance with other planning policies including all parking to be on site. 3 The proposal is for the conversion of an existing building that is of some heritage value worthy of retention and is in sound structural condition. The building should be genuinely redundant and it can be demonstrated its loss will not generate demand for a replacement building in the future 4 Any development within the village must be within the village settlement limit as shown within the PVDS |
| Housing Policy PNP 6B |
| <p>The redevelopment of the buildings on the Blairgowrie site will only be permitted where it replaces the existing building on the same scale and to the same extent. It should maintain and enhance the character of the mature planting, landscaping and the conservation area generally.</p> |
| Housing Policy PNP 6 C |
| <p>Any proposal for subdivision of an existing site creating back-land over-development will only be permitted when it does not contravene the Neighbourhood Plan para 7.4 definition of over-development.</p> |
| Housing Policy PNP 6 D |
| <p>Housing on the Former British Sugar Site (H1)(ST1) is supported with mixed housing types, amenities and facilities for the community and the main entrance is off the Boroughbridge Road.</p> |
| Business and Employment Policy PNP 7A |
| <p>Where new business development takes place on Business Parks there must be sufficient parking for employees and customers within the site boundaries.</p> |
| Business and Employment Policy PNP 7B |
| <p>Employment uses at E2 will be permitted but limited to redevelopment on the footprint and height of the current building in order to preserve the open character of the Green Belt.(proposed change of land use received 18 July 2016)</p> |
| Education Policy PNP 8A |
| <p>Site Ed 1 on the land allocations plan will be safeguarded for future school playing field, allotments and woodland expansion.</p> |
| Education Policy PNP 8B |
| <p>A buffer zone on the grade 2 agricultural land to the east of the school will be safeguarded, landscaped and planted to ensure that adequate separation and privacy is maintained between the school, the agricultural field, and any future housing development that might occur.</p> |

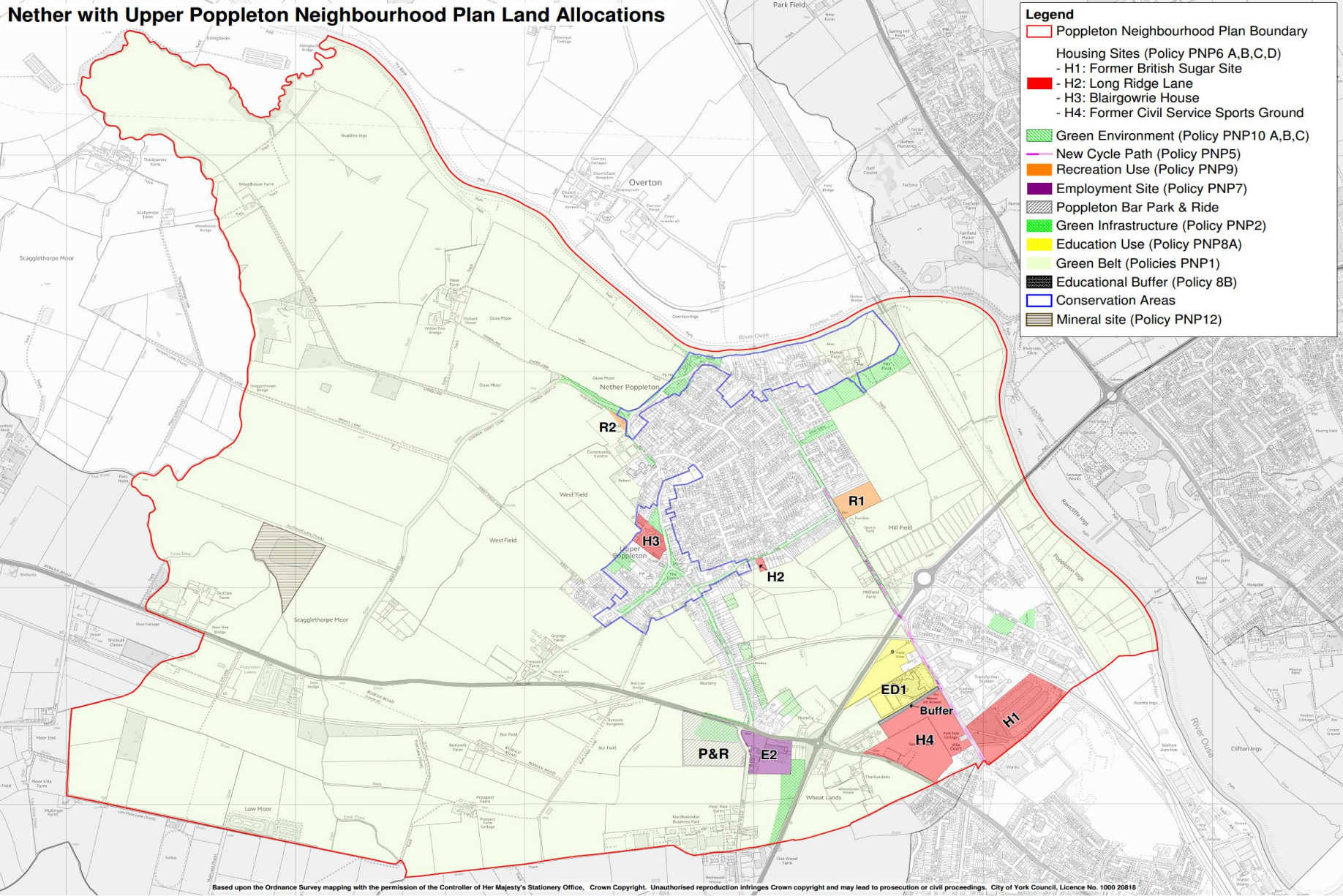
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| Community Facilities PNP 9A |
| The land adjacent to the Poppleton Tigers Junior Soccer Pitches shown as R1 on the land allocation plan will be reserved for recreational space to provide a sports venue for the village. |
| Community Facilities PNP 9 B |
| Land adjacent to the Community Centre should be developed as a play area for children of all ages (R2) |
| Environmental Policy PNP 10 A |
| Woodland areas will be protected and managed to maintain the habitat for wild life to sustain biodiversity in conformity with NPPF 109-125. Forestry work on trees covered by TPOs in Poppleton shall only be carried out following planning applications and approval by CYC Ecology Department. Where a tree or trees are removed due to disease or for safety reason a replacement should be planted on or near the original position. |
| Environmental Policy PNP 10 B |
| All the hedgerows within the villages and Neighbourhood Plan boundary play a vital part in assisting breeding areas for wildlife and will be protected. "Countryside Hedges" as defined under Hedgerow Regulations ⁷ 1997 and any deemed to be "important hedgerows" will require planning consent for their removal as approved by CYC Ecology Department. In Poppleton this includes former field boundary hedgerows. |
| PNP 11 Climate Change and Renewable Energy |
| Any development or new build, (with particular reference to large scale housing developments such as former British Sugar Site) should comply with or exceed the Building Regulations with regard to energy conservation and use of renewable energy technology and should consider the following :- harvesting of rain water and storm run-off, grey water recycling, porous surface provision wherever appropriate, solar photovoltaics for energy capture and high standard insulation of floors, walls, and roofs to reduce energy consumption. |
| PNP 12 Mineral Extraction and Waste |
| The Neighbourhood Plan would seek to ensure that any exploration or excavation carried out would be followed by permanent re-instatement and restoration of the Green Belt. Indigenous tree planting and landscaping to the area should help to re-establish wild life habitats. |

[Site allocations map on page 15](#)

⁷ Hedgerow regulations (1997) no 116

Nether with Upper Poppleton Neighbourhood Plan Land Allocations



Legend

- Poppleton Neighbourhood Plan Boundary
- Housing Sites (Policy PNP6 A,B,C,D)
 - H1: Former British Sugar Site
 - H2: Long Ridge Lane
 - H3: Blairgowrie House
 - H4: Former Civil Service Sports Ground
- Green Environment (Policy PNP10 A,B,C)
- New Cycle Path (Policy PNP5)
- Recreation Use (Policy PNP9)
- Employment Site (Policy PNP7)
- Poppleton Bar Park & Ride
- Green Infrastructure (Policy PNP2)
- Education Use (Policy PNP8A)
- Green Belt (Policies PNP1)
- Educational Buffer (Policy 8B)
- Conservation Areas
- Mineral site (Policy PNP12)

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4 Green Belt

As Green Belt in York refers to the RSS greenbelt, within this document green belt will concur with the City of York definition.

The Green Belt serves five purposes:⁸

- To check unrestricted sprawl of large built-up areas.
- To prevent neighbouring towns merging.
- To assist in safeguarding the countryside from encroachment
- To preserve the setting and special character of historic towns and
- To assist in urban regeneration by encouraging the recycling of derelict and other urban land.

4.1 Inner Boundary of the Green Belt

4.1.1 The Inner Green Belt Boundary for the City of York lies in part within Nether and Upper Poppleton and it is appropriate that the Neighbourhood Plan sets out in detail where it lies within the neighbourhood area. It is shown on the land allocations plan. The draft 'original' Green Belt inner boundary for the City of York followed the old City of York boundary prior to 1996.

4.1.2 The villages of Poppleton by the nature of the development that has taken place straddle the outer and inner green belt boundaries but the policy PNP1 is to support a green swathe to be maintained between the City of York and the villages of Nether and Upper Poppleton. This is the section of land on either sides of the A 59 when exiting York to the west and on south side of the A 1237. Being less than 600m wide at its narrowest point this area of Green Belt provides an important function.

4.1.3 The Green Belt land surrounding the villages of Nether and Upper Poppleton forms an important part of the special open and agricultural character of the setting of the nationally significant historic city of York. Together with the other Green Wedges and Green Infrastructure land surrounding the villages they play an important role in maintaining the identity, character and setting of the Poppleton Villages.

4.1.4 It is accepted that if new housing and business development envisaged in the Draft Local Plan preferred sites consultation (July 2016) is to be accommodated, then this should be on **Brownfield sites**. Limited green field agricultural land should be used in this twenty year period H 4 (Civil Service and agricultural land). All Brownfield and windfall sites acknowledged by the City of York planning department should be brought back into use in the first instance.

4.1.5 The Green Belt Policies of the Neighbourhood Plan are in conformity with the NPPF para 79-92 and NPPF para 17 in relation to protecting high quality agricultural land.

The Green Belt around the City of York is now established only within the 2013 Order (SI 2013 No 117) which specifies it only in a general way, but goes on to say that 'the inner boundaries would be defined in order to establish long term development limits that safeguard the special character and setting of the 'historic city' and that plans should define the detailed boundaries of the outstanding sections of the outer boundary of the York Green Belt about 6 miles from the York City Centre. The

⁸ Ref NPPF para 80

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NDP allocates land for development which is consistent with the emerging CYC Green Belt ideas with small modifications. It is considered that these modifications are appropriate and do not undermined the purpose or character of the York Green Belt.

Basic Conditions Statement p 8

4.1.6 The Green Belt plays an important role in determining the setting, character and identity of the villages of Poppleton. Areas of the City of York Green Belt lie within the parishes of Nether and Upper Poppleton. The setting offers access to the countryside and riverside walks into York to the east and to the neighbouring village of Moor Monkton to the west. The countryside is grade 1 agricultural land and extensively cultivated by local farmers some of whom live in the villages of Nether Poppleton and Upper Poppleton. (City of York Map illustrates the agricultural land DEFRA 2002 commissioned and updated by Natural England 2010) page 38

4.1.7 The Green Belt surrounding the Poppleton villages has a high landscape and heritage value, characterised by the network of fields, ancient hedgerows, fences, copses and country lanes with individual farmsteads and associated outbuildings. The Landscape Appraisal carried out for the City of York Council by the University of Sheffield Environmental Consultancy in December 1996 stated that the grade 1 agricultural land surrounding Poppleton is the best agricultural land in the area as indicated on the York City Council land use map. (page 38)

4.1.8 The Green Belt to the west and south of Poppleton is prime food-producing arable farmland and is in the top land by quality in the Yorkshire and Humberside Region. With a rapidly growing world population and the increasing demand for meat and more 'Western' diet caused by growing prosperity in developing countries, the pressure on food-producing land is increasing dramatically. Food sourcing and food security are becoming significant political, if not existential, issues and it is therefore becoming crucial to retain the country's good quality farmland for food production. This is clearly stated in NPPF para 17.

Appendix B Village Design Statement in full on the website www.plan4poppleton.co.uk

Green Belt Policy PNP1

Any development, within the general extent of the Green Belt, which harms the open character and setting of either York or the villages of Nether and Upper Poppleton, other than that covered by permitted development rights as defined by paragraph 87-89 of the NPPF, will not be permitted

National Planning Policy Framework p21

Para 87 As with previous Green Belt policy, inappropriate development is, by definition, harmful to the Green Belt and should not be approved except in very special circumstances.

Para 88 When considering any planning application, local planning authorities should ensure that substantial weight is given to any harm to the Green Belt. 'Very special circumstances,' will not exist unless the potential harm to the Green Belt by reason of inappropriateness, and any other harm, is clearly outweighed by other considerations.

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Para 89 A local planning authority should regard the construction of new buildings as inappropriate in Green Belt. Exceptions to this are:

- Buildings for agriculture and forestry;
- Provision of appropriate facilities for outdoor sport, outdoor recreation and for cemeteries, as long as it preserves the openness of the Green Belt and does not conflict with the purposes of including land within it;
- The extension or alteration of a building provided that it does not result in disproportionate additions over and above the size of the original building;
- The replacement of a building, provided the new building is in the same use and not materially larger than the one it replaces;
- Limited infilling in villages, and limited affordable housing for local community needs under policies set out in the Local Plan; or
- Limited infilling or the partial or complete redevelopment of previously developed sites (brownfield land), whether redundant or in continuing use(excluding temporary buildings), which would not have a greater impact on the openness of the Green Belt and the purpose of including land within it than the existing development.

4.2 Green Infrastructure

City of York Local Plan draft publication 2014

Green Infrastructure is the term used for the overarching framework related to all green assets. Traditionally, environmental planning has looked at the functions of these assets in isolation, such as biodiversity, Open Space provision or public realm design. Whilst we should not devalue the benefits of looking at these issues individually, a Green Infrastructure approach considers how together these assets form an overall" system" that is greater than the sum of its individual parts.

Definition of Green Infrastructure Assets 2009

Green Infrastructure is the term used for the overarching framework related to all green assets. In broad terms Green Infrastructure includes semi-natural habitats such as grasslands, woodlands, moorlands and river corridors: nature reserves and other outdoor destinations; cultural and historic landscapes such as parks and gardens. York's Ings and Strays, historic buildings and ancient monuments; as well as features of wider rural landscape such as footpaths, hedgerows, paddocks and game coverts. The historic landscape provides the City and its outlying villages with a rural setting contributing much to its character.

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- The Tithe Barn Sensory Garden to mirror the planting evident in early Elizabethan Times; managed by a charitable trust.
- Pond and Wildlife area, managed by a committee reporting to and funded by Nether Poppleton Parish Council.
- The Village Green where the Children's Sport's day, and the Act of Remembrance Service takes place and which is the site of the Upper Poppleton War Memorial; managed and maintained by Upper Poppleton Parish Council.
- Chantry Green which adds a welcome swathe of green to the Main Street area of Upper Poppleton; managed and maintained by Upper Poppleton Parish Council.
- The Poppleton Lido and the riverside, which affords beautiful views of the river and open countryside and the expanse of green fields that surround the settlement. It is the site of the Nether Poppleton war memorial recently restored in preparation for the centenary of the First World War; managed and maintained by Nether Poppleton Parish Council.
- The swathes of green around the village particularly on the entrance to Upper Poppleton along Hodgson Lane, green verges and common land used by children and adults alike.
- Many of the areas shown in G1 as green infrastructure are used for recreational purposes such as allotment gardening, woodland walks with special interest, and walks on the river banks where Tansy Beetles are being monitored. It is the purpose of the Green Belt Infrastructure Policies as a whole to preserve and protect the open aspect of the village to promote a healthy environment for all.
- NPPF 76-78 indicates that it has to be shown that the green area is special to the local community and the indications from the Environmental Report, the initial survey amongst the residents of the village and the many consultations that have taken place over the period of development of this plan have indicated that the green spaces and the provision where possible to expand them are of high importance to the residents of the villages.

4.3 Green Wedges and Green Corridor

City of York Council Technical Paper Green Corridors adopted 2009,

Establishment of a hierarchy of Green Corridors

_ Officers identified a hierarchy using Natural England's function matrix which set out all functions of Green Infrastructure identified in the regional evidence base. The corridors were named and graded – the more core functions they have, the higher up the hierarchy they are placed. Based on this approach, the regionally significant corridors in York are the Ouse, Foss and Derwent corridors (this includes the flood plains and the footpaths/ cycle ways alongside them)

4.3.1 The Green Corridors and Green Wedges are a characteristic feature of York. They form large tracts of undeveloped land which largely extend from the countryside into the city. They prevent the lateral coalescence of different parts of the urban area and still retain the distinctive characteristic of earlier periods of individual settlements. The green wedges bring the countryside to within close proximity of the centre of the city. Their open nature allows views of the city to be enjoyed including important vistas towards the Minster. The Poppletons provide many of these green corridors and wedges to the York

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4.3.2 The green wedges comprise the historic "strays" and the Ouse "ings" and additional areas of undeveloped land which separate the existing urban form. The river banks in Nether Poppleton have an important part to play in the protection of the rural aspect as well as providing additional floodplain for the Ouse. The River Ouse skirts the northern border of Nether Poppleton.

4.3.3 The villages surrounding York (including the Poppletons) contribute, both individually and in conjunction with each other, to the setting and the special character of the city through their intrinsic form and character, distribution, and relationship with the surrounding agricultural landscape. This has helped engender their separate sense of community distinct from the urban area of York. The Village Design Statement highlights the relationship that the Poppletons have with other villages Para 4(vii) (VDS).

4.3.4 This Neighbourhood Plan when adopted will ensure that the Green aspects that surround the villages and clearly identify their rural setting will be retained. This is particularly important to identify the boundary between the city and the rural countryside.. It will help to fulfil the function of a green belt which is to prevent coalescence between the urban and rural areas.

4.3.5 The area along the riverbank in Nether Poppleton needs to be protected because of the biodiversity of wild life. Kingfishers, otters, deer and other wild life are frequently seen in the area. It is also prone to flooding and is a valuable asset in protecting York centre from flooding. Upstream at Moor Monkton there is a large water extraction point, which is monitored during times of flood. Without this much of the centre of York would be under water more frequently.

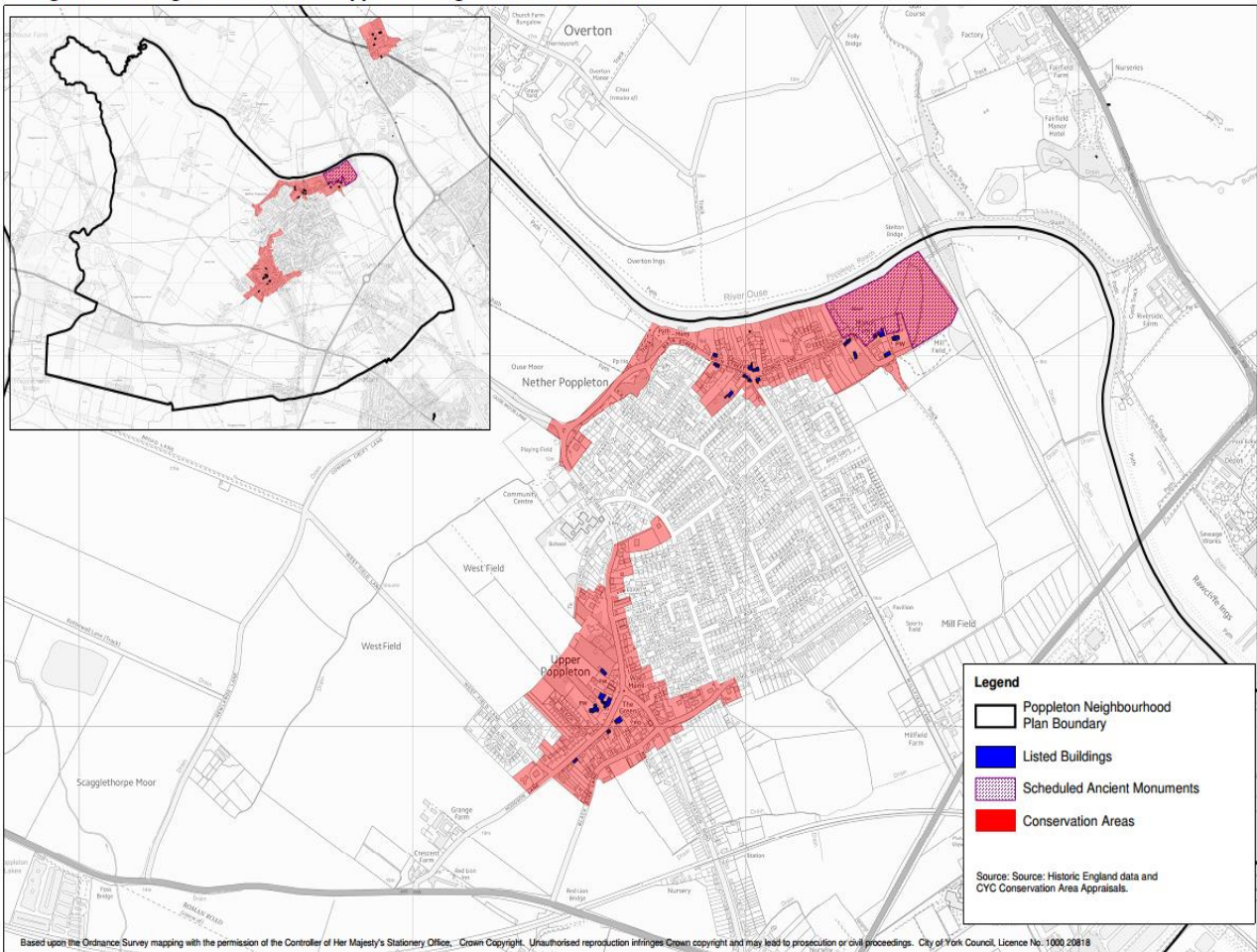
4.3.6 The open access to the green spaces and countryside walks is much prized as noted by 88% of local residents in a recent survey (2014 report) on the plan4poppleton website

| |
|--|
| Green Infrastructure Policy PNP 2 A |
| The green infrastructure within and surrounding the Poppletons (G 1) will be protected and enhanced and will be expanded as the opportunity arises. |
| Green Infrastructure Policy PNP 2 B |
| No development which harms, directly or indirectly, the integrity of this infrastructure should be permitted. Green infrastructure in Poppleton particularly refers to green corridors , green wedges, village greens, common land, river bank, wild life areas, roadside swathes, paddocks, sports field area, allotment sites, walking and equestrian routes. |

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5 Conservation Areas

Designated Heritage Assets within Poppleton Neighbourhood Plan Area



5.1 Two protected Conservation Areas within the villages with listed buildings marked in blue on the site location map. These are the original hearts of Nether and Upper Poppleton, with listed buildings and strong protection against inappropriate building development. At present there are areas that have a potential to be developed but the aim of this policy is to preserve the woodland and green nature of the villages.⁹

5.2 Parts of the western edge of the village are designated as conservation areas, the character of which has a close relationship with the surrounding agricultural landscape and is clearly visible from the A59 and minor roads to the west of the village.

5.3 These retained policies make it clear that development plans should define the detailed boundaries of the Green Belt around York. The outer boundary is to be about 6 miles from York city centre and the inner one is to be defined to establish the long-term development limits that safeguard the special character and setting of the historic city.

⁹ See Appendix C the full declaration of the conservation areas, history, and noted features and buildings.

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5.4 The villages have a number of historic buildings which contribute positively to the character of the villages. In order to protect the historic character and open nature of the village and green belt it is important that their heritage value is conserved appropriately and in accordance with the Village Design Statement. Policy PNP 3 is worded to protect the open character of the village and green belt in relation to housing development within the village building boundary.

5.5 Some of these agricultural buildings are located within the conservation areas of Nether and Upper Poppleton which affords them special protection.

5.6 The villages have over the last 20 years experienced a significant amount of infilling on brown field sites at Poppleton Park, the King and Ellis garage and Challis nursery gardens. Some developments have increased pressure on the built up areas and could be considered as over-development and of poor design with increased parking issues. There is always a need to be aware of development which has the potential to increase pressure on land, resources, infrastructure and roads. An awareness of this increase in pressure should form part of development planning.

5.7 NPPF 126-141 refers to conservation and enhancement of the historic environment. All development must also take due account of national and international designation for landscape. While the landscape is generally protected by virtue of having Green Belt designation which gives special protection and enhancement of the historic setting of York, the detail of the boundary is not set by any higher tier policy

Conservation Area Policy PNP 3

All development and land use within the conservation areas must protect the open character and heritage assets of the villages as set out in the conservation areas 16 and 17(CYC references).

Heritage Assets

5.8 There are no particular additional policies for protecting the heritage assets of the parishes proposed in this plan. The existing National and Local policies are considered to provide sufficient protection. A statement from Historic England and the Local List which will be enshrined in the Local Plan eventually will cover important structure, spaces, buildings and features which are not listed nationally or internationally, but are important to the local communities for their local historical significance and association with well-known local people.

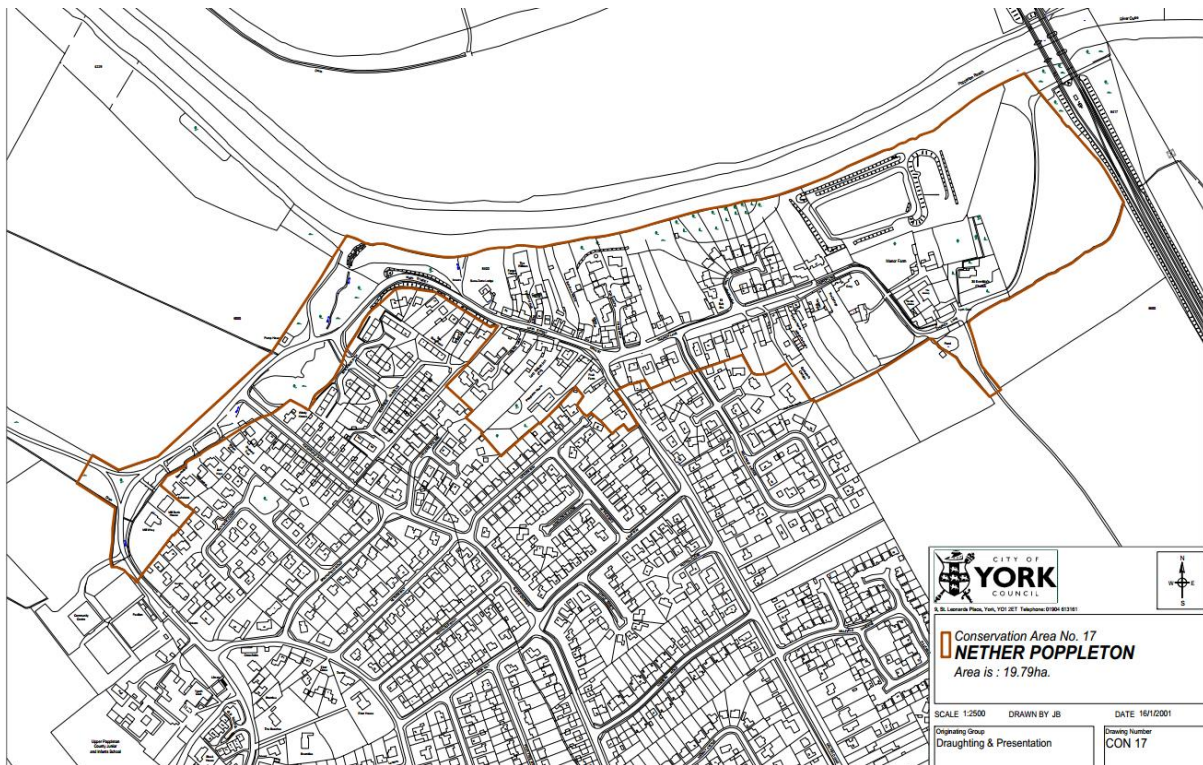
5.9 There is a list of Historic Assets within the villages of Upper and Nether Poppleton on the Historic England website (<http://www.historcengland.org.uk/listings/what-is-designation/local/local-designations/>.) Photographs of the following can be viewed at the above site.¹⁰

| <i>Nether Poppleton</i> | <i>Upper Poppleton</i> |
|------------------------------------|---------------------------------------|
| Kilburn House | Manor Farmhouse gate and railings |
| Barn at Manor Farm | Model Farm, Barn and Railings |
| Church of St Everilda's | Greenview |
| Tithe Barn (Prince Rupert's Barn) | Beechwood House |
| Dovecote at Manor Farm | Russett House |
| Gazebo North of Fox Garth | Priory House |
| Monument 1198194/11988389 | Orchard House (1700-1732) |
| 36 Church Lane circa c17 | Boundary posts SE 5303 and SE 5336 |
| Dodsworth Free school building | All hand water pumps in both villages |
| Old School House | |

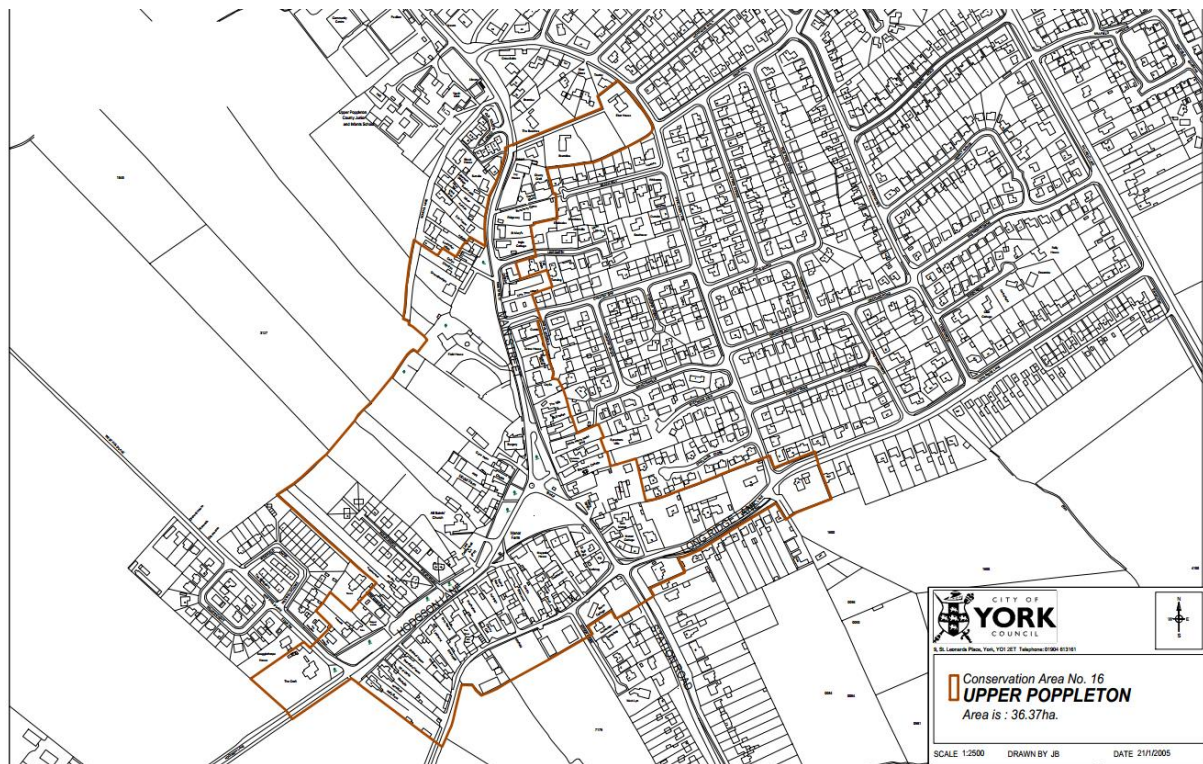
¹⁰ Local list adopted and held by York City Council through Alex Acomb

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Map reference figure 5 Site location map for Nether Poppleton Conservation area established in 2001



Map reference figure 6 Upper Poppleton Conservation area established and expanded in 2005



By permission of City of York Council

25 October 2016



18c FARM BUILDINGS WITHIN THE CONSERVATION AREA UPPER POPPLETON



NEW HOUSES WITHIN THE CONSERVATION AREA BLENDING INTO THE SURROUNDINGS



APPROPRIATE BARN CONVERSION IN NETHER POPPLETON

25 October 2016

Historic assets cont:

Over the past 20 years the History Society of Poppleton have researched and published a series of books outlining the history and assets of the village. The titles show the wide range of expertise and interest within the village community.¹¹

River Roads and Railways : The Story of Transport in Poppleton(1991) Michael Fife, Ian Routledge and John Perkins

Scholars, Schools and Staff of Poppleton (1993) by 10 authors , edited by Michael Fife

Georgian Poppleton (1994) by Prudence Bebb

Exploring the Poppletons -Nether and Upper (1998) Mark Jones and Michael Fife

The Public Houses of Poppleton (1999) Barrie Davies

One Hundred Years of Poppleton Children's Sports Day (2000) by Helen Mackman

Poppleton War Memorial soldiers of 1914-1918 war (2017) due

Village historic character and setting

History of Poppleton¹²

The Old English name "popel" probably means "pebble" and "tun" implies a non-forested landscape or hamlet farm. Thus Poppleton may have originated as "a farmstead on pebbly soil" (a reference to local glacial sands and gravels) or "by a pebbly bank"(higher land on the edge of the river).

"Nether" suggest this settlement as the one closer to the river. Which of the two Poppletons came first is open to debate, but Nether Poppleton is most likely to be the older.

History of Nether Poppleton

The earliest reference to Nether Poppleton is in a charter of Archbishop Oswald of 972. St Everilda's Church (only one other dedicated to this obscure 7C Saxon Saint is known) is mentioned in the Domesday Book. In 1088 St Everilda's and the manor of Nether Poppleton were given by Osbern de arches to St Mary's Abbey in York, an association which continued until the Dissolution. The moated site between the river and the present 18 C Manor House may well be the site of its medieval predecessor. Over 350 years ago, it is reputed that Prince Rupert quartered his troops in the Tithe Barn, before being defeated at Marston Moor. From its origins around the Church, the village developed westwards along Church Land and Main Street, where there was a ferry crossing. The village remained virtually unaltered until 20 C expansion as a commuter settlement. The present population is about 1530.

History of Upper Poppleton¹³

. The earliest reference to Upper Poppleton is in the Domesday Book recorded as a subsidiary land holder. The original manor house was probably sited close to the present house of that name. All Saints' Church was originally a "minster" church, thought to be of Norman beginnings, but was

¹¹ Series of books available from the History Society all priced at £3.00

¹² Taken from the City of York Conservation Sites Document

¹³ Taken from the City of York Conservation Sties Document

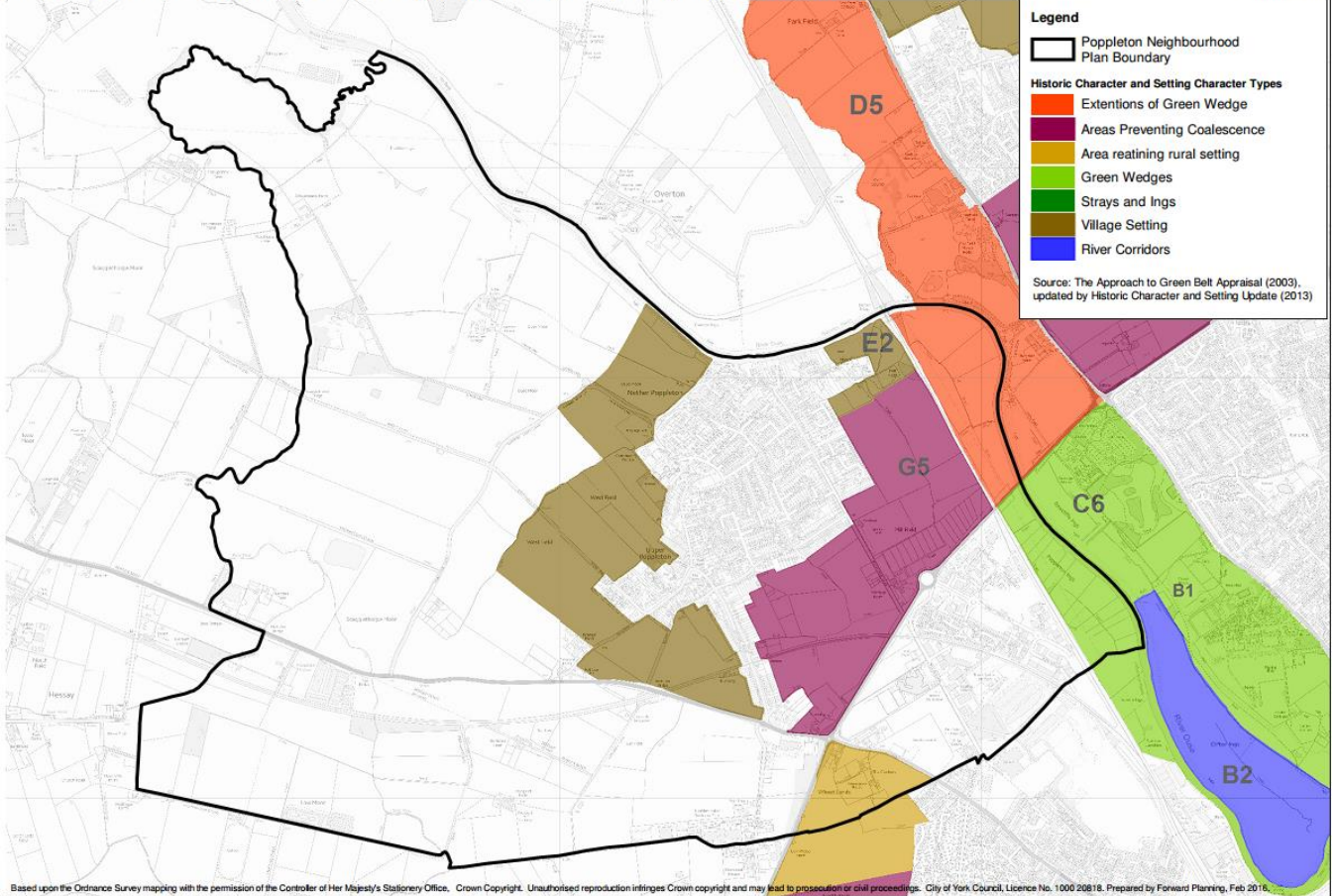
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rebuild in 1891. The railway came to Poppleton in 1848, later facilitating extensive 20C developments as a commuter settlement, the present population being about 1900 people.

The map provided by the City of York Council Planning Department (2016) shows how the historic character and setting of the villages is valued by Historic England. The area to prevent coalescence has been agreed with the City of York in the emerging Local Plan.

Historic Character and Setting Character Types within Poppleton Neighbourhood Plan Area

February 2016



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Village Design Statement

The Poppleton Village Design Statement was approved and adopted by the City of York Council in 2003. It has, since that time, informed all building within the villages' building limits line to ensure that the character, open aspect and style of housing development is consistent with the street scene, the material consideration of planning law and in keeping with the historic character of the villages. A full copy of the PVDS is attached as part of Appendix to the plan document. Before building takes place, all building contractors should be familiar with the PVDS document contents and planning restrictions.

5.10 The purpose of this policy is to secure high quality design and development without restraining economic development. Good quality design is a relatively low cost part of the development process, and the design phase of proposals in Poppleton must not be curtailed. Design quality and its subsequent execution are the most important parts of development within Poppleton villages designated area

5.11 Non-compliance with the Village Design Statement in these circumstances will be a reason for refusal. The design process should be explained within the Design and Access Statement to show how the resulting design has been produced taking into account the relevant sections of the PVDS. *Appendix B*

5.12 The Village Design Statement (PVDS) has clear guidelines on development of buildings within the Poppletons. Any dwelling must be well related in design, scale and siting to other buildings and landscape features and not be detrimental to existing living conditions.

5.13 The Settlement Limit of Poppleton villages was agreed in 1971 with the West Riding County Council, the District Council and the Parish Councils of Nether and Upper Poppleton. In 2003 the Poppleton Village Design Statements indicating that the Settlement Limit and the Green Belts limit were the same line, was accepted by the City of York Council. The Settlement Limit Line/Green Belt Line was confirmed in the Draft Local Plan (4th set of changes 2005) which is the current set of planning regulations for the City of York for all current development until a new Local Plan is inspected and adopted. The Neighbourhood Plan supports the guidelines as set out in the above document.(Map page 29)

5.14 The Map 2005 set the green belt around York till 2026 unless a new Local Plan was adopted

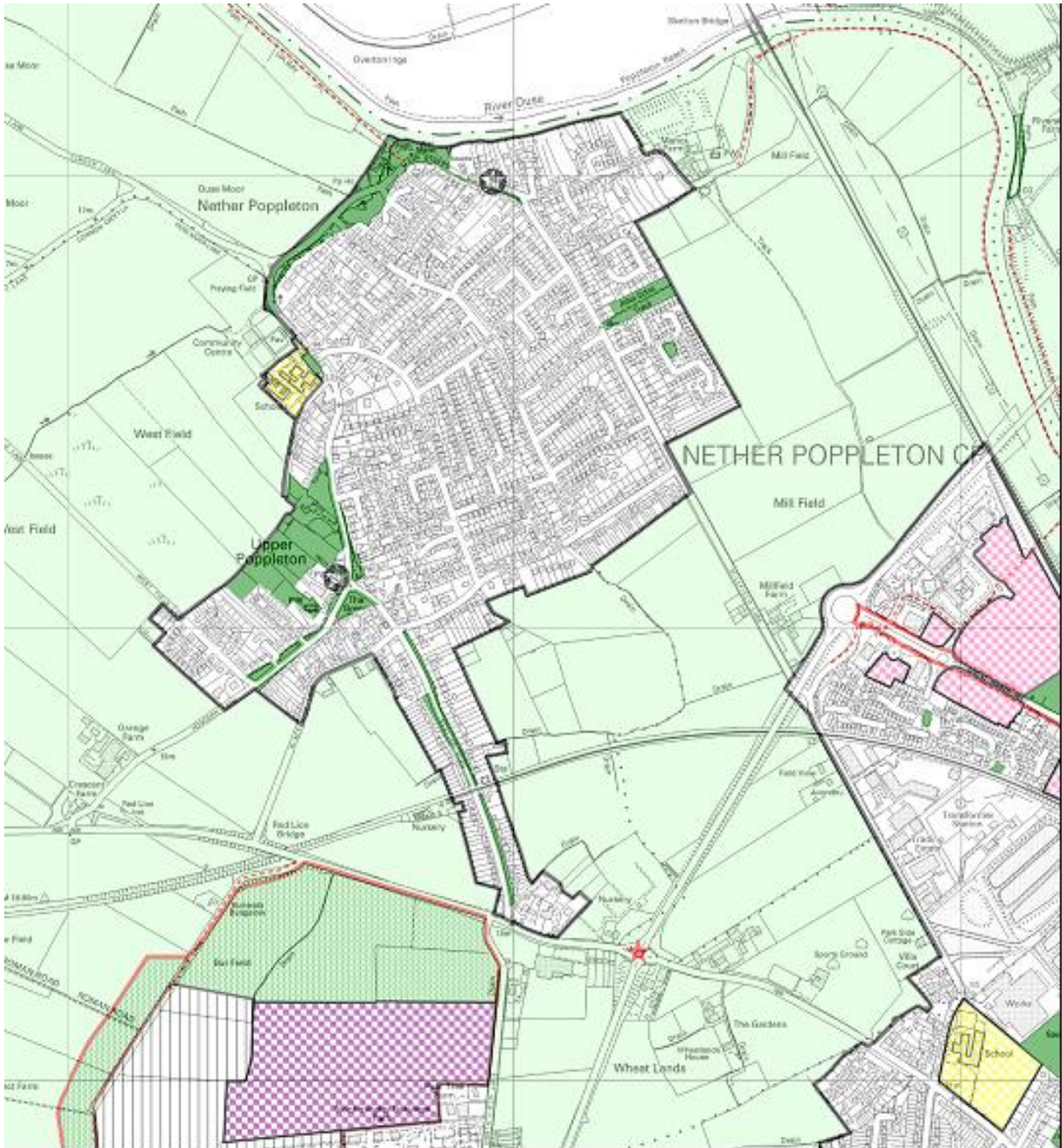
Village Design Statement PNP 4

All new developments within the settlement limits of the villages will be considered in relation to the guidelines in the Poppleton Village Design Statement (PVDS) as far as they are material to the proposal.

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Draft Local Plan Map Incorporating 4th set of changes. Development Control Local Plan (April 2005)

Used for all planning decisions up to and including July 2016



**Draft Local Plan Incorporating the Fourth Set of Changes
Development Control Local Plan (April 2005)
PROPOSALS MAP**



Leonard's Place, York, YO1 2ET
Phone: 01904 551550

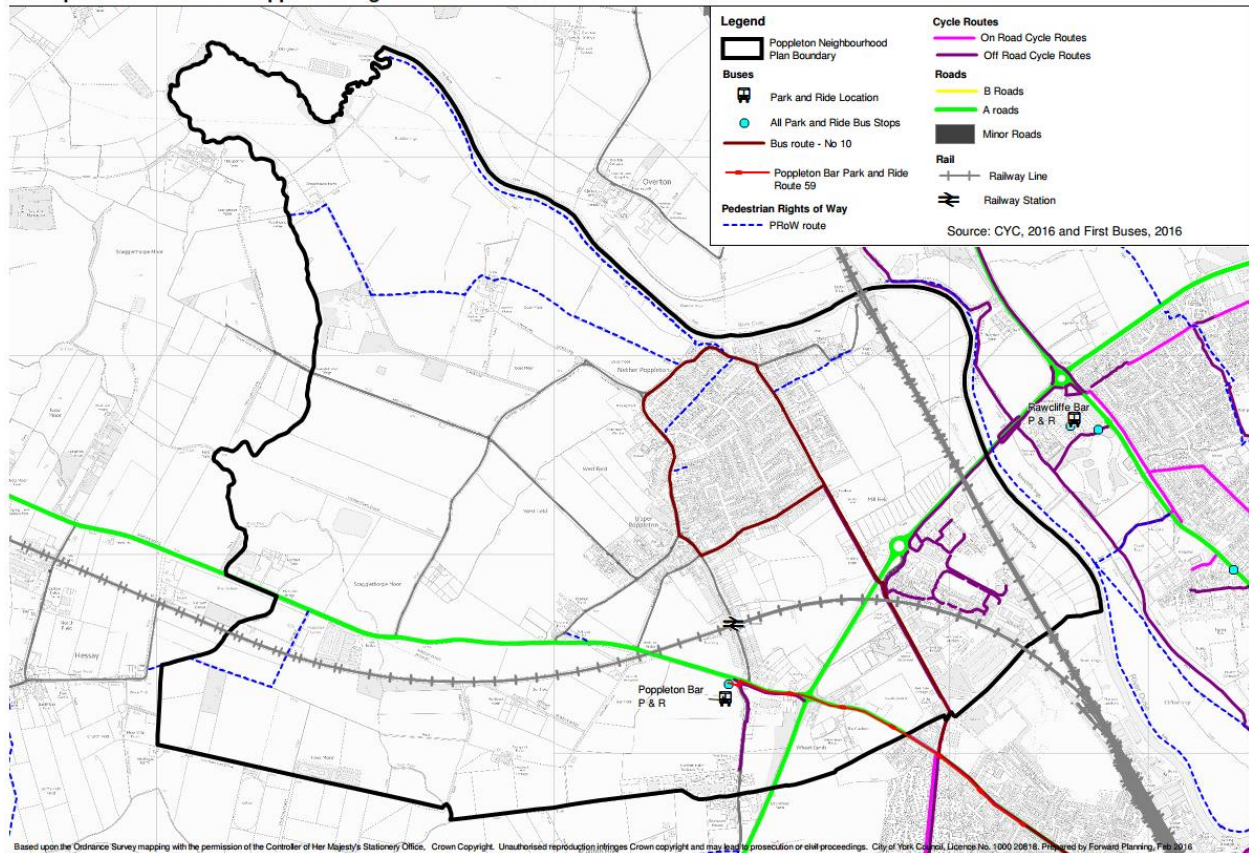
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6 Transport Corridors

Transport Connections in Poppleton Neighbourhood Plan Area

February 2016



Map showing current major roads, trains, cycle tracks, bus routes and general connectivity of the Neighbourhood Plan area in 2016. Cycle and pedestrian routes outside the parish boundaries are not shown.

6.1 The area between Poppleton and York is also used heavily for transport purposes which is strategically necessary but in conflict with other purposes of the green belt such as settlement, separation, wildlife corridors and openness. Significant rail lines and roads cross this part of the parishes.

6.2 Currently Nether and Upper Poppleton are well connected to the city by rail links on the Harrogate to York line which may be upgraded to an electric line. Regular bus services are currently provided to the city and other suburbs via the number 10 route.

6.3 A park and ride facility has been built on green belt land within the designated area in the past. Improvements to the roundabout provision on the A 1237 have been completed in the last year (2015). At present the City of York Council have indicated that they have no plans to dual carriage the A1237 outer ring road.

6.4 A cycle track to the city from the village is incomplete at present. It is a shared pedestrian and cycle path for all travelling to Manor Academy from west and east. It is narrow and congested at key periods and needs to be reconstructed to meet with the traffic use involved. It encourages all in the village to use the cycle path into York. Millfield Business Park has an entrance for heavy haulage vehicles directly opposite to the pedestrian exit from Manor Academy. This heavy traffic use is a further reason for limiting access to the British Sugar Site on to Millfield Lane.

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6.5 Within the village there is a difficult three direction junction to be negotiated.(The T junction between Longridge Lane and Millfield Lane). It is hazardous particularly in the dark mornings of winter. Approximately 60% of students from the village and 30% of students coming from the east to the Academy currently use this shared narrow path. This Policy would seek to improve the present situation for cyclists by extending and widening the current provision to ensure safety for all within the village and approaches to Manor Academy.

6.6 Regular speed checks are carried out along this road. Vehicles are frequently monitored travelling in excess of the speed limit, as a result making it dangerous for cyclists.

6.7 NPPF 17 states that a set of core land-use planning principles should underpin both plan-making and decision taking. This can be achieved by actively managed patterns of growth to make the fullest possible use of public transport, walking and cycling and focus significant development in locations which are, or can be made, sustainable.

6.8 The policy PNP 5 is intended to provide instruction for cycle path improvement and reduce the incidence of cycle and vehicle traffic conflict. The cycle and pedestrian improvements on Millfield Lane must be provided in advance of, or coincidentally with, other transport infrastructure improvements within the Green Belt between Upper and Nether Poppleton and the built up area of the City of York.

6.9 NPPF 35: Create safe and secure layouts which minimise conflicts between traffic and cyclists or pedestrians.

6.10 Any further cycle path development which linked Poppleton to neighbouring villages, e.g. Hessay or Rufforth would be supported. The focus for cycling in the Neighbourhood Plan is to promote better health and well-being and sustainable transport for all residents.

6.11 Manor Academy staff and governors and the residents of the villages hope that developers at the Former British Sugar Site see the importance of linking cycle and pedestrian traffic to a sustainable network that provides for the secure transport connections for pupils and promotes public health by so doing.

6.12 Other potential building sites were noted in the Draft Local Plan. Some are on valuable agricultural green belt land and at present it is unclear if such developments will proceed. If in the future such developments were to take place then cycle path connections should be considered a major part of any planned development

6.13 In order that appropriate pedestrian and cycle construction becomes part of any development, it will be a requirement that within the Neighbourhood Plan area paths are wide enough to accommodate people and cycles. These shared spaces will be the responsibility of the developers.

Traffic Policy PNP 5

Improved and extended cycle and pedestrian access to and from the village in relation to Manor Academy, local villages and the City will be supported.

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THE CURRENT CYCLE PATH SHARE SPACED BETWEEN POPPLETON AND MANOR ACADEMY

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7 Housing development

Sites and circumstances

7.1.1 There are limited opportunities for significant housing development within the Poppleton Villages' robust heritage and conservation boundaries. Other sites include Former British Sugar Site, Longridge Lane Site and since 2016 emerging Local Plan, former Civil Service Site and Wyevale Garden Centre. Total housing number over the Neighbourhood Plan timescale will be in the region of 600 houses **within** the parish boundary with a further 900 immediately at the former British Sugar site. The indications from the emerging Local Plan (2016) suggests a target of 841 houses per annum in the York Unitary Authority area over a twenty year period.

Areas within the Poppleton Parish boundary of potential housing.

The area known as Blairgowrie is within the conservation area and the site is of special concern to English Heritage.

Response 238/14083 by English Heritage

"This site lies in the Upper Poppleton Conservation Area. When originally designated it is presumed that this open area was considered to make an important contribution to the character or appearance of the Conservation Area. Therefore one might assume that its' loss and subsequent development would result in harm to that part of the designated area. In view of the duty on the Council to preserve or enhance the character or appearance of its' Conservation areas, there will need to be some assessment of what contribution this plot makes to the character of the Conservation Area. If this area does make an important contribution, then the Plan would need to explain why its' loss and subsequent development is considered to be acceptable. If after undertaking this assessment, it is considered appropriate to allocate this area, development proposals would need to ensure that those elements which contributed to the significance of this area are not harmed."

(English Heritage objections to housing on Blairgowrie in Upper Poppleton sent to the City of York Council during the preferred options consultation 2013, 2014)

7.1.2 The Blairgowrie site is centrally situated in the conservation area, located within Upper Poppleton.

7.1.3 The Neighbourhood Planning Committee is mindful of the impact on the road infrastructure within the village that housing on the Blairgowrie site would have. The present location of the local doctors' surgery, shops, public houses and the Methodist Church make this a particular bottleneck for traffic. On occasions the public bus service is disrupted due to car parking on the roadside. Further development of housing in this area would exacerbate the situation.

7.1.4 The area provides a wildlife sanctuary and forms part of the green corridor within the village linking the agricultural fields to one of the village greens. The aerial photographs show an extensive array of mature deciduous trees that give a rural woodland atmosphere to the area.

7.1.5 This area should be developed appropriately in limited fashion bearing in mind the caveats and policies 6A,6b,6C,and 6D in the Neighbourhood Plan.

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Housing Policy PNP 6 A

Housing proposals will be supported where they meet any of the following criteria:

- 1 The site is allocated on the land allocations plan for residential use as follows :
 - H1 Former British Sugar Site (ST1) (City of York reference)
(300 dwellings) within Poppleton
 - H2 Long Ridge Lane (2 dwellings)
 - H3 The Blairgowrie Site (replacement dwelling and outbuildings)
 - H4 Former Civil Service including the agricultural land (ST 2)(261)¹⁴
(Information received 18 July in preferred site options consultation).
- 2 The proposal is the subdivision of an existing dwelling or is a single infill dwelling within a domestic curtilage and in compliance with other planning policies.
- 3 The proposal is for the conversion of an existing building that is of some heritage value worthy of retention and is in sound structural condition. The building should be genuinely redundant and it can be demonstrated its loss will not generate demand for a replacement building in the future.
- 4 Any development within the village must be within the village settlement limit as shown within the VDS

Housing Policy PNP 6 B

The redevelopment of the buildings on the Blairgowrie site will only be permitted where it replaces the existing buildings of the same scale and to the same extent. It should maintain and enhance the character of the mature planting, landscaping, and the conservation area generally



Blairgowrie site with adjacent agricultural fields. Conservation area with all trees TPO

¹⁴ Numbers of houses to be agreed when outline planning is received

25 October 2016

7.2 Within the designated area of Nether and Upper Poppleton there are sites which vary in size and opportunity for development. The total number of houses built within the village designated area in the last twenty years area is 423. These have mainly been built on brownfield sites or as infill into extended garden areas.

7.3 Back-land development within the village is increasing the pressure on former green belt land, creating traffic issues as visitors to the property frequently park on the village verges and block exits. Back-land development also is increasingly creating over-shadowing, which affects the amount of natural light presently enjoyed by a neighbouring property resulting in a shadow being cast over that property.

7.4 Over-development as a definition in this Neighbourhood Plan refers to increased housing density which is out of character with the surrounding housing types, increases the density of housing on a plot in such a way as to have significant impact on amenities, space for gardening, car parking on site where access may be compromised and which could impact on neighbours, open recreational space, schools or rural ambience.¹⁵

Housing Policy PNP 6 C

Any proposal for subdivision of an existing site creating back-land development will only be permitted when it does not contravene the Neighbourhood Plan para 7.4 definition of over-development and does not over-shadow neighbouring properties.

7.5 The Former Sugar Beet brownfield site (ST1) is partially within Nether Poppleton. This plan supports the development of this site with a wide variety of housing types to meet the needs of York population expansion and which is in compliance with NPPF 56-68. The City of York describe this as a prime site for re-development to meet a significant housing need in this area.

7.6 The access to and from the site requires a great deal of attention. The whole site when completed will have 1100 houses which will generate significant extra traffic. The number of houses should not exceed this proposal. The main access to the site should be off the A59 Boroughbridge Road.

7.7 The developers of the former British Sugar Site and the City of York Planners are considering methods of controlling and slowing the traffic through the site. It is important to provide public transport to serve the residents.

NPPF 30 states that encouragement should be given to solutions which support reductions in greenhouse gas emissions and reduce congestion.

7.8 The developers of the Former British Sugar Site have already carried out an Environmental Impact Assessment (EIA) in relation to the proposed redevelopment of the site, and the Environmental Statement (ES) has been submitted to the Council in support of the planning application for their consideration. This includes an assessment of traffic impact and consideration given to the main entrance being from the A59 Boroughbridge Road. It is considered therefore that only minor egress should be onto Millfield Lane. (Cross reference to 10.4).

¹⁵ www.planningportal.gov.uk: Overdevelopment – an amount of development (e.g quantity of building or intensity of use) that is excessive in terms of demand on infrastructure and services or impact on local amenity and character.

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7.9 The developers of the Former British Sugar Site have been in constant dialogue with the Neighbourhood Plan Committee since the first pre-submission consultation. Agreement on landscaping, preservation of mature trees whenever possible and screening on Millfield Lane have been agreed in relation to the Parameter and Design principles. The Neighbourhood Plan also supports the development of brown field sites ahead of any other sites.

Housing Policy PNP 6 D

Housing on the former British Sugar Site (ST1 CYC H1 PNP) is supported with mixed housing types, amenities, outdoor sport and recreation facilities for the community and the main entrance is off the Boroughbridge Road.

7.10 The former Civil Services Sports field has been indicated on the latest Local Plan as one unit area and it is subject to a current planning application, but is actually two distinct parcels of land with two different functions and owners. While acknowledging that there is a need for housing within York, the latest numbers produced by the City of York Council in the consultation paper published July 2016 indicates that 841 houses per annum will meet the present trends in demographic data. It is proposed that the total number of houses on this site including the agricultural land will be 261¹⁶. When this figure is added to the British Sugar Site Development the total number of houses within this small area will be in the region of 1400 houses. This will significantly increase the impact on the road systems, school, doctors and other amenities and provisions within this section of the City of York and Poppleton boundary.

7.11 The only part of the site that may truly be considered as brownfield is the section where the original club house and tennis courts were built. The remainder of the sports field was always cultivated grassland. The second parcel of land has always been Grade 2 and Grade 3a agricultural land. Natural England has indicated that most versatile and valuable land should be protected.¹⁷

7.12 Discussions with Miller Homes, a prospective developer, indicate that the agricultural land which has been in production for over 100 years and is adjacent to Manor Academy, is planned for housing. During consultations there continues to be concern that more appropriate brown field sites and windfall sites are available. Miller Homes have agreed that the present hedgerow, trees and boundary hedges will be retained on the site to act as means of reducing noise pollution from the adjacent A59. The Building for Life 12¹⁸ principles should be applied to all planning on the former Civil Service Site.

7.13 Miller Homes are aware of the impact that any future development would have, if in close proximity to Manor Academy classrooms. Miller Homes have therefore agreed to a buffer zone including the access road through the site with landscaped screening to ensure that privacy is maintained. This is indicated on P 45. Millers have had discussions with the Academy leaders on how to ensure privacy and security for the pupils at the school.

Aerial photo illustrates two distinct land uses on the land to the left of the school buildings.

¹⁶ After consultation with Miller Homes the indication is that this number will be reduced to 261

¹⁷ Natural England <http://publications.naturalengland.org.uk/publication/35012>

¹⁸ See page 40 for details.

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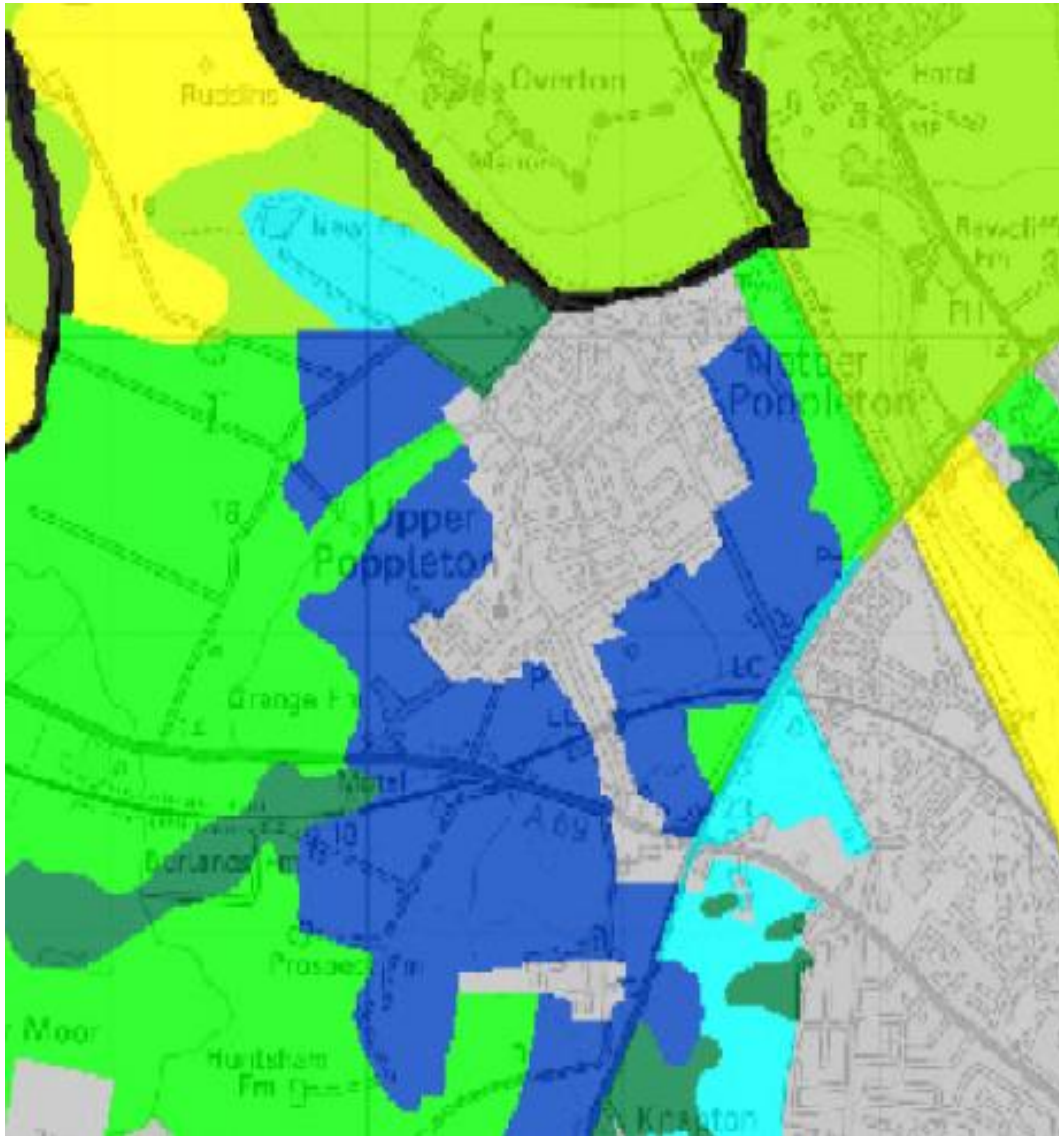


Aerial photo of the relationship of Manor Academy to the former Civil Service sports ground and agricultural field. Mature trees and hedgerows clearly visible. 261 houses proposed in the span of the Neighbourhood Plan.

Foreground shows the electricity sub-station adjacent to the former British Sugar site where 1100 houses are proposed over the 20 year span of the Neighbourhood Plan

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7.14 A further site known as Wheatland has been removed from the latest site allocations July 2016. The Neighbourhood Plan welcomes this removal as the area represent a significant break between the urban area of the City of York and the rural , historic character and setting of the villages of Nether and Upper Poppleton



Map Agricultural land use map provided by CYC under licence

Key Grey is Poppleton Village, Blue is grade 1 agricultural land, turquoise is grade 2 agricultural land.

Types and mix of housing

7.15 Proposals new dwelling should comply with relevant national and local policies for the delivery of a mix of housing types including affordable housing, older persons housing and appropriate dwelling size. Compliance with NPPF para 50 shows that mixed communities will be developed to reflect local demand.

7.16 Housing need identified in the City of York SHMA June 2016 draws the conclusions on the overall full objectively assessed need for housing over the 2012 -2032 period to be 841 dwellings per annum. However since 2012, 8000 houses have been built in the York area and considerable

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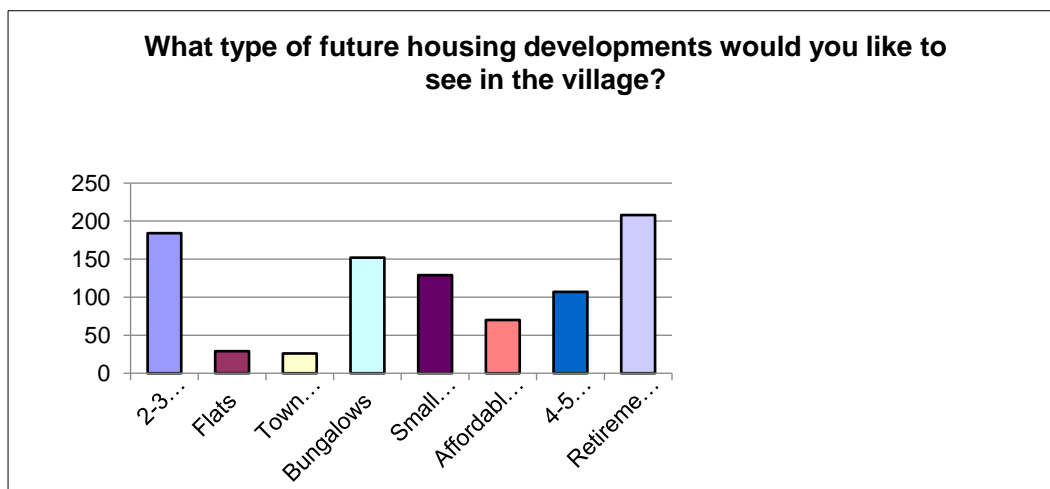
development have occurred in the Neighbouring District of Hambleton, Selby and the East Riding in North Yorkshire. These are all within the travel to work analysis provided in the Preferred Options Consultation document released on 18 July 2016. This further suggests that brownfield sites should be brought into use significantly before greenfield sites area considered.

New Infill housing orange roofs built in 1998. To the right infill houses built in 1990. Note the mixture of family homes and bungalows built in this area.

Extended gardens in evidence at the lower right corner. The land of the extended gardens was original green belt and the ancient hedgerows are clearly identified.



Response from 500 questionnaires regarding new housing to be built **within** the village.



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7.17 The Neighbourhood Plan requires developers to use Building for Life 12¹⁹ and to demonstrate the quality of their schemes through full and thorough assessment. Development in Poppleton Parishes should be exemplary and should ideally secure 12 out of 12 Greens as indicated below.

- **Connections** – Does the scheme integrate into the surroundings?
- **Facilities and Services** – Does the scheme provide (or is close to) community facilities?
- **Public Transport** – Does the scheme have good accessibility to public transport?
- **Meeting local housing need** – Does the development have a mix of housing types and tenures that suit local requirements?
- **Character** – Does the scheme create a place with locally inspired distinctive character?
- **Working with the site and its context** - Does the scheme take advantage of site characteristics e.g. Topography, Habitats etc?
- **Create well defined streets and spaces** – Do buildings enclose streets and spaces and turn corners well
- **Easy to find your way around** – Is the scheme designed to make it easy to find your way around?
- **Streets for all** – Are streets designed to encourage low vehicle speeds?
- **Car Parking** – Is resident and visitor parking sufficient and well integrated?
- **Public and private spaces** – Will public and private areas be clearly defined?
- **External storage and amenity** – Is there adequate external storage for bins, recycling and cycles?

8 Employment developments

Sites and circumstances

8.1 Currently there are three business parks within the designated area of Nether with Upper Poppleton and one small farm diversification business unit. They provide employment locally and have varying degrees of success in attracting business and clients. Much of the success has to do with ease of access to the sites, security of tenure and sufficient parking for employees and clients.

8.2 A good example is cited as Northminster Business Park where the site is screened by trees and blends with the rural environment. Clear notice boards indicate names and locations of businesses and there is a high level of satisfaction by all using these premises. The site is compact and has limited road access down a narrow lane. Expansion within the curtilage of this site would be acceptable. Further expansion would compromise the green belt.

¹⁹ Building for Life 12 The sign of a good place to live by David Birkbeck and Stefan Kruczkowski ISBN978-0-95760009 6-6

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8.3 Millfield Lane is a linear business park with small units employing 10 or less. It is located opposite to Manor Academy and the area is congested at peak hours with school traffic. It is considered by employers to be a convenient site. It has capacity for additional businesses in the current premises.

8.4 The experience of York Business Park trading estate, has shown that business and houses may not always be a good mix. It creates traffic congestion, road side parking and difficult egress onto the A1237 Ring Road at peak times. It is considered that only a minor access to the Former British Sugar site should be from Millfield Lane to prevent vehicular traffic from the Former Sugar Site using the Millfield junction as a means of avoiding the main arterial road.

8.5 In order to preserve the rural aspect of any development on Millfield Lane, it is considered important to preserve the hedgerows, trees, shrubs and daffodils that have been part of the roadside environment. Currently this green vista provides a screen around the former British Sugar site from adjacent housing. It would be the wish of the neighbourhood plan that existing planting of trees shrubs and hedgerows is preserved to continue the rural setting and habitat for wildlife.

8.6 York Business Park is a site that was opened for development in 2000 and currently advertises over 14 acres of unoccupied brownfield site for business.

8.7 Some of the undeveloped area was noted by CYC as a Site of Interest for Nature Conservation (SINC). This designation was altered in 2015 to allow further business development to take place as shown on the map.

8.8 York Business Park is adjacent to a housing development Poppleton Park which has 200 houses. There is the potential to expand sections of this site either for further business premises or housing. There is onsite shop/petrol station, recreational facilities, a good cycle network and a recently completed care facility for the elderly. Currently the City of York has not designated the York Business Park brownfield for anything other than employment. The change of use to C2 residential land would be supported by the Parish Council if a suitable proposal came forward and was supported by the City of York Planning.

8.9 A care home for the elderly was built in York Business Park in 2014 and there are vacant sites adjacent to this area. Housing would be supported as it would give the residents of the care home a more integrated community feel. At present the care home site is surrounded by car retail outlets.

8.10 At the time of developing the Neighbourhood Plan there is also a proposal for two further developments on brownfield sites that were previously SINCS. One is opposite to the care home and will be a car retail outlet and work shop and the second is a car sales area and workshop to be built adjacent to Bannatyne's Health Centre and Spa.

8.11 Whilst both are supported, as employment was the key function of this area, it should be noted that there exists at the present time a critical shortage of parking facilities for cars. There is no bus route round the Business Park so most employees of the 70 businesses arrive by car. Currently on a daily basis parking occurs on cycle paths, pavements and fire roads and makes it difficult for traffic to enter and exit the site. Evidence would suggest that at the present time there is a shortage of around 100 car parking spaces.

Business and Employment Policy PNP 7A

Where new business development takes place on Business Parks there must be sufficient parking for employees and customers on site.

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Typical situation on York Business Park. The cars are parked on the cycle path and block the recess for the post box



8.12 The site shown on the land allocations map as E2 (The Poppleton Wyevale Garden Centre) is from the draft local plan (2014) and allocated for employment use for research and development, light industrial, storage and distribution. The site was evaluated through the Site Selection Process and was submitted by the landowner through due process.

8.13 The current E2 site is a garden centre/nursery and is extremely well supported by local people and visitors to York. The premises have been a garden centre for over 30 years and although ownership has changed, only sympathetic expansion has taken place. It still has the original open and green format. It would be the wish of local residents that it is retained in its present format and situation. It has been sympathetically landscaped and adds to the rural setting.

8.14 E2 is adjacent to the new Park and Ride provision known as Poppleton Bar which provides a regular bus service to the centre of the City. The Poppleton Bar Park and Ride Site was built on green belt land and village common land. The Village has accepted this development as a means of reducing congestion from cars to the city. For the most part the buses are electrically powered thus reducing emissions in the rural environment.

8.15 The landscaping around the Park and Ride Scheme as currently provided is insufficient to screen the area adequately. It is hoped that the birdlife and other wild life will return in the future when the habitat is suitable.

8.16 The Garden Centre site failed the criteria for housing as it is considered to be in the Green Belt, has poor access to schools, shops and amenities, and would create an isolated community with access to the village over a busy main road thus making it dangerous for children to access to secondary and primary schooling.

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9 Education sites

9.1 Land allocated for education expansion shown as ED 1 on the Land Allocations Plan will be safeguarded for this use for the duration of the plan. The current Manor Academy student roll number is 1023 although only planned for 1000. It is envisaged over the life of this Neighbourhood Plan that there will be a requirement for more places, and expansion of the current school buildings.

9.2 At the present time there is no 16-18 provision on the North West side of the City of York. The nearest provision is either at Tadcaster Grammar 10 miles to the west, Easingwold 10 miles to the north or York College 5 miles through the centre of the city. Given that sustainability suggests that there should be a reduction in impact of pollution through transport it is envisaged that provision of 16-18 education would be most suitable close to the present provision.

9.3 Since there is a proposal for 1100 houses on the Former British Sugar Site (ST1), there is also a requirement for a Primary School. If this could be developed in close partnership with and proximity to the Academy, it would be a sustainable model of educational development for a prolonged period. This is supported by the City of York Planning as the land was identified for educational open space under policy G15 New Open Space Provision.(Draft Local Plan 2014)

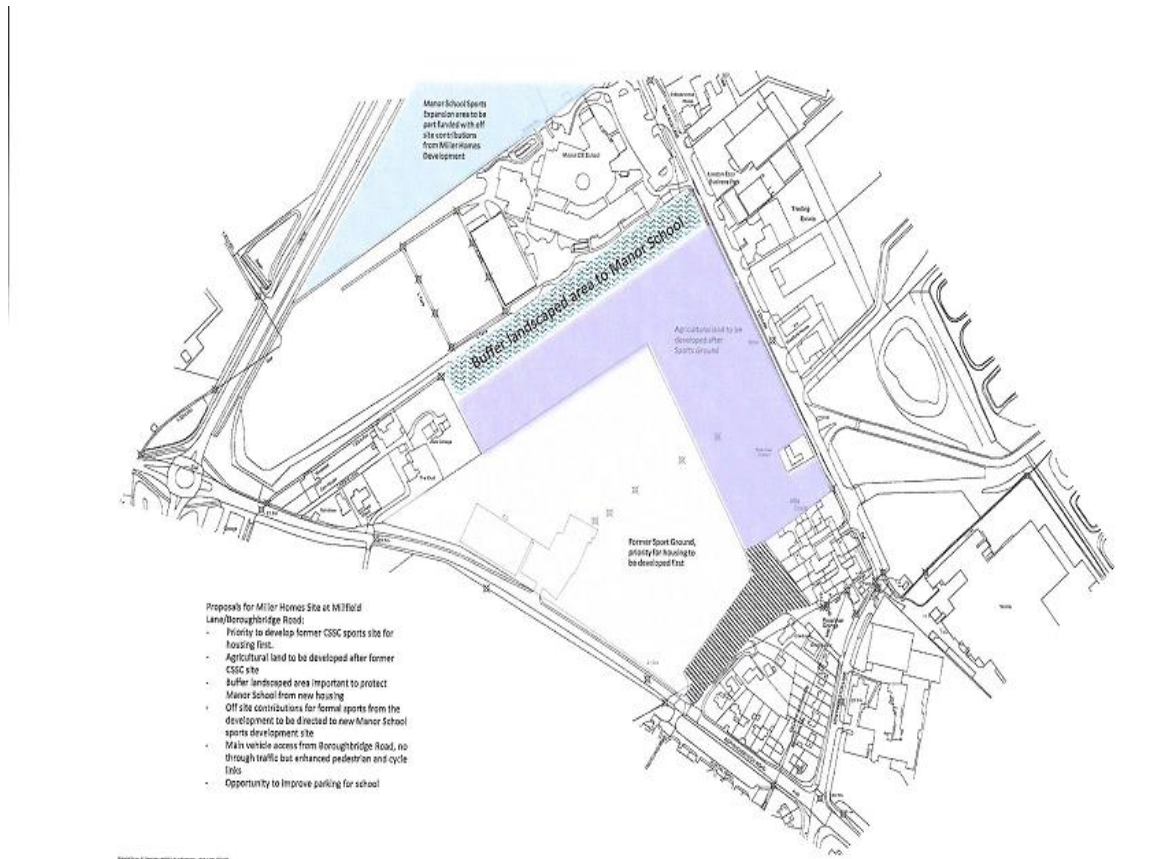
9.4 There has been extensive dialogue with the Principal of the Academy, the Governors and Miller Homes the developer. Agreement between the developer and the Governors has been reached to allow the school to have privacy, by means of a buffer zone (indicated on the sites location map in yellow), from intrusion by any buildings that might be developed close to the school.

9.5 The Academy has purchased from the City of York an area of land immediately adjacent to the ring road, A1237. This will allow the Academy to expand the playing fields and community activity as illustrated in Appendix B. This will also allow expansion of school buildings within the curtilage of the current building line. There will be no further development in the greenbelt area and privacy and separation between the school and the neighbouring development is assured for the duration of this plan.

Land for future playing field development between the school and the ring road.



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Buffer zone to protect privacy indicated on the photo above as land to the left of the school at present agricultural grade 2 land.

Figure Miller Homes land allocation adjacent to the school buffer zone agree (see consultation documentation) 8B illustrative map

| |
|---|
| Education Policy PNP 8 A |
| Site Ed1 on the land allocation plan will be safeguarded for future school playing field, allotments and woodland expansion. |
| Education Policy PNP 8 B |
| A buffer zone on the grade 2 agricultural land to the east of the school will be safeguarded, landscaped and planted to ensure that adequate separation and privacy is maintained between the school, the agricultural field, and any future housing development that might occur. |

9.6 Preschool education facilities exist within the village limits in a building on the heritage list, the Dodsworth Hall. This provides good facilities for preschool children, There is also a preschool facility at the York Business Park which is convenient for many employees on the park. At the time of development of the Neighbourhood Plan Muddy Boots, a preschool for children is being relocated from the former Manor School which was within York City Boundary to new premises which are situated within Upper Poppleton in a former farmhouse. Muddy Boots has recently received planning permission to transfer to the new facilities with capacity increasing to 90 children.

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9.7 Concerns have been raised about the access onto the busy A 59. The Neighbourhood Plan Committee has been assured by the CYC planners that all traffic movements have been considered. The junction is to be splayed to allow good vision onto the road and passing places on the access road to Muddy Boots will ensure that there is no traffic build up backing onto the main road.

9.8 It is also noted that a new McDonald facility which applied for retrospective planning to accommodate a greater height will now overlook the playing area of the new Muddy Boots facility. There are again concerns by the Neighbourhood Plan Committee that intrusive visual access is now an unforeseen issue onto the children's play area.

10 Community Facilities

10.1 Land allocated for recreational use shown on the Land Allocations Plan as R1 shall be reserved for use as a recreational area, probably a cricket pitch and outfield playing area. Small scale development for a pavilion will be acceptable without undermining the open character of the Green Belt.

10.2 The villages are fortunate to have a good selection of clubs and amenities for many activities. There are two village halls, a community centre, and a Tithe Barn. There are vibrant bowls, football and tennis clubs. There is no cricket club or facility and villagers have indicated that this would be a good use of site R1 adjacent to the junior football field.

10.3 A steering group has been formed and discussion taken place with York City Council which currently owns the land about acquiring site R1 for the purposes of developing a cricket field or additional sports fields. The lack of cricket facilities in many schools means that the nearest cricket clubs to Poppleton are unable to cater for the number of juniors wanting to play. If cricket is not the major sport on the field it will be used as a further recreational space to provide a sports venue for the village.

10.4 During the pre-submission consultation a committee was formed to investigate the development of a new playing area for children adjacent to the Community Centre. This has been supported by both Parish Councils and has been highlighted during the pre-consultation period of this plan. There is currently a small area suitable for young children up to the age of 10 and it is extensively used at the end of the school day. It is felt that it is inadequate for children of all ages.

10.5 The land falls within the Community Centre grounds which were leased from the City of York Council in 1996 on a 99 year lease. The grounds are well maintained and secure and add to the open green aspect of the villages. The policy PNP 9B seeks to secure the land for future generations to enjoy, and promote healthy living and environmental sustainability.

| |
|---|
| Community Facilities Policy PNP 9 A |
| The land adjacent to the Poppleton Tigers Junior Soccer Pitch shown as R1 on the Land Allocations Plan will be reserved for recreational open space to provide a sports venue for the village. |
| Community Facilities Policy PNP 9 B |
| Land adjacent to the Community Centre should be developed as a play area for children of all ages. (R2) |

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11 Environment

NPPF 109 The planning system should contribute to and enhance the natural and local environment by:

- *Protecting and enhancing valued landscapes, geological conservation interests and soils;*
- *Recognising the wider benefits of ecosystems services;*
- *Minimising impact on biodiversity and providing net gains in biodiversity where possible, contributing to the Government's commitment to halt the overall decline in biodiversity, including establishing coherent ecological networks that are more resilient to current and future pressures;*
- *Preventing both new and existing development from contributing to or being put at unacceptable risk from, or being adversely affected by, unacceptable levels of soil, air, water or noise pollution or land instability and*
- *Remediating and mitigating despoiled, degraded, derelict and contaminated and unstable land where appropriate.*

11.1 Protecting and enhancing the rural landscape and natural environment is important. There is strong support in the community to work with other agencies in the preservation of woodland, hedgerows, and the promotion of biodiversity, including wetlands and wildlife corridors. Currently there is a wooded area known as Wheatland's Woodland with permitted access through privately owned farmland for public use situated parallel to the A 1237 and Northfield Lane which is well used by the local community.

11.2 There are several footpaths along the river bank, one of which allows villagers to walk 5 miles to the next village of Moor Monkton.

11.3 The Millennium Green is managed by a Trust and financially supported by the Nether and Upper Poppleton Parish Council. It is protected for the future and provides a wild life sanctuary to many migrant birds, as well as local wild fowl. The Wildlife Area surrounding the ancient farm pond is particularly attractive to many young villagers and families.

11.4 Adjacent to the above two areas are paddocks within the Green Belt which are designated agricultural land. These paddocks are adjacent to the conservation area and it would be hoped to keep them as rural areas for the duration of this plan.

11.5 The Diamond Jubilee walk along the "Ings" to the York Business Park was developed in conjunction with the City of York and has provided a good walking opportunity for many villagers.

11.6 The policies PNP10A 10B, seek protection for those areas and paddocks not covered by the conservation areas. The surrounding agricultural land with ancient hedgerows provides a breeding ground for a wide variety of native bird species.

11.7 In the Conservation areas all trees are protected. There are a number of individual TPOs on specific trees within the villages. It would be essential to replace trees removed due to disease or for safety issues with indigenous trees. The policy 10A reflects this need for continuous replacement of valuable trees to the rural landscape.

11.8 A woodland area known as Warren Lea close to the riverbank has been extensively replanted with low level bushes and shrubs to encourage an even wider range of native bird life to the area.

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11.9 The key issue here is that distinctive rural landscape, settlement pattern, historical assets, natural environment and biodiversity of the Parish are protected and enhanced by the Neighbourhood Plan, whilst meeting the need for sustainable development. In promoting Healthy Lifestyles the Community considers that these green spaces, woodlands, footpaths, bridle paths and safe cycling areas are important to the Core Strategy of the National Planning Policy Framework.

11.10 There are currently a number of woodland recreational areas that may be reached by cycle, on foot or by horseback which provide an experience to travel between villages in the outer York area. It is hoped to maintain these paths for the future and restrict development that might reduce this amenity. The woodland areas include Wheatland's Woodland, Warren Lea and the riverbank leading to Moor Monkton.

11.11 During the consultation period for the draft Local Plan in 2013-2014 the village settlement boundary line was changed. There is also a Green Belt line that is proposed by COYC in the draft Local Plan which would indicate a lack of congruity between the settlement limit and green belt boundary lines. In 1992 an enquiry in front of a Planning Inspector (Mr J R Sheppherd. BSc, M.Phil.,FRICS.,FRTPI.) upheld the view that the settlement limit and the green belt should coincide.

11.12 The residents who have the extended gardens recognise that it is green belt land and may be used for meadow, pasture, orchard and grassland to maintain the biodiversity of the area. No permanent buildings are permitted within greenbelt land.

11.13 NPPF 114 indicates that Local Plans should plan positively for the creation, protection, enhancement and management of networks of biodiversity and green infrastructure.

11.14 Hedgerows have an important role in providing a natural habitat for native and rare birds as well as sustaining biodiversity. They also provide a valuable windbreak to prevent soil erosion of the valuable grade 1 Agricultural Land that surround the villages. When soil erosion takes place it incurs an additional expense for the farming community as the area has to be reseeded if a mature crop is to be harvested.

Environmental Policy PNP 10 A

Woodland areas will be protected and managed to maintain the habitat for wild life to sustain biodiversity in conformity with NPPF 109-125. Forestry work on trees covered by TPOs in Poppleton shall only be carried out following planning applications and approval by CYC Ecology Department. Where a tree or trees are removed due to disease or for safety reason a replacement should be planted on or near the original position.

Environmental Policy PNP 10 B

All the hedgerows within the villages and Neighbourhood Plan boundary play a vital part in assisting breeding areas for wildlife and will be protected. "Countryside Hedges" as defined under Hedgerow Regulations²⁰ 1997 and any deemed to be "important hedgerows" will require planning consent for their removal as approved by CYC Ecology Department. In Poppleton this includes former field boundary hedges.

²⁰ Hedgerow regulations (1997) no 116

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Woodland walks that provide environmental protection for birds, and other wild life.



River Bank walks from the villages to Nun Monkton and back through agricultural landscape



Millennium Green providing a space to breathe in the countryside within the village.

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12. Climate Change and Renewable Energy

12.1 It is evident from the proposed number of houses to be developed on the British Sugar Site that management of run-off from precipitation is a key issue.

12.2 When the recent Park and Ride Scheme was being developed an underground water holding tank was installed underground to collect flood waters and release them at a moderate rate into the River Ouse.

12.3 The River Ouse has the largest drainage basin system of any river in England. The precipitation rate on the Dales is high and in the event of heavy prolonged rainfall or sudden snow melt in winter the result in York is high levels of flooding which are frequently televised.

12.4 The need to ensure that building does not take place that will endanger the historic City of York is of high priority in this Neighbourhood Plan. A full environmental impact survey should be a requirement of any residential, business, or commercial development taking account of groundwater levels.

12.5 Given the need for sustainable renewable energy it would be proposed in this development plan that, with the exception of the Conservation Areas, all new building should be required to consider having solar photovoltaics to capture energy. Economic sense dictates that any development already connected to the National Grid could generate sufficient power to run appliances and lighting.

12.6 Flooding is not an issue for the present houses in the village as most were built above the 100 year flood line. However large scale housing development with non-porous surfaces present an immediate danger to the infrastructure within the City of York. Millers have indicated in their latest plan that a subterranean water holding area will be part of the new design for the development of the Former Civil Service Site.

12.7 In 2000 when the development of Rawcliffe and Clifton Moor was at its peak the highest level of flooding was recorded in York. The 'ings' provide a vital flood defence allowing water to spill out over the agricultural landscape and act as natural storage areas.

12.8 The Plan supports new housing that complies with or exceeds the requirements of Building Regulations in respect of the conservation of energy and use of renewable technology.

PNP 11 Climate Change and Renewable Energy

Any development or new build, (with particular reference to large scale housing developments such as former British Sugar Site) should comply with or exceed the Building Regulations with regard to energy conservation and use of renewable energy technology and should consider the following :- harvesting of rain water and storm run-off, grey water recycling, porous surface provision wherever appropriate, solar photovoltaics for energy capture and high standard insulation of floors, walls, and roofs to reduce energy consumption.²¹

²¹ The Council Renewable Energy Study (2014) undertaken by AMEC.

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13 Mineral Extraction and Waste Management

13.1 The Nether and Upper Poppleton Neighbourhood Plan acknowledges that the City of York Council as a unitary authority is also a waste and minerals planning authority.

This responsibility involves identifying all waste arising from all sources in the area and requirements for minerals, including aggregates and how these will be sourced.

The Municipal Waste Management Strategy for the City of York and North Yorkshire 2006 – 2026 and subsequent strategies highlight the need to develop planning policies relating to waste.

13.2 Minerals resource mapping undertaken by the British Geological Survey for North Yorkshire identifies broad areas of potential reserves in York for several types of minerals resources.

13.3 The area immediately upstream from the proposed Dutton Farm extraction as the allocation was included in the Preferred Options Draft of the Mineral and Waste Joint Plan and has not yet been adopted. The area is subject to flooding as the map below indicates.

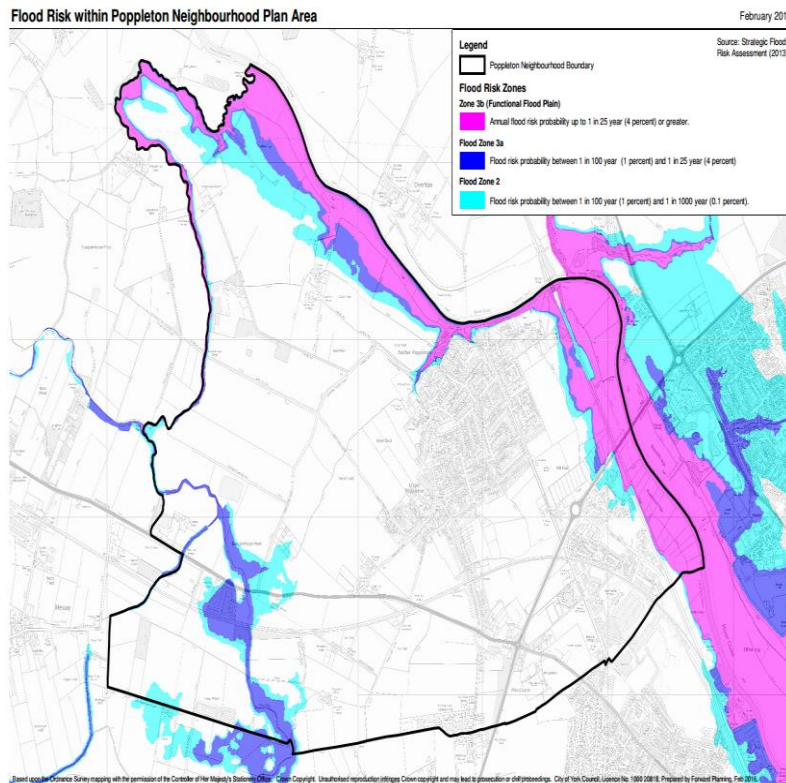
13.4 There are a number of commercial fishing ponds that lie upstream from the potential site of Mineral extraction. The Neighbourhood Plan Committee are anxious that this natural area is not impacted in anyway either by extraction or subsequent infill when the extraction period, should extraction recommence or be permitted by the City Council.

13.5 Flood waters are an issues for the City of York. The Foss Dyke which form the Parish Boundary, is adjacent to the proposed extraction pit at Dutton Farm. It would be hoped that the City Planners take all this into consideration before allowing further extraction.

PNP 12 Mineral Extraction and Waste

The Neighbourhood Plan would seek to ensure that any exploration or excavation carried out would be followed by permanent re-instatement and restoration of the Green Belt. Indigenous tree planting and landscaping to the area should help to re-establish wild life habitats.

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Electronic copies of all documents relating to this Neighbourhood Plan are available at www.plan4poppleton.co.uk

14 Site Allocation and selection

Site Allocation and selection is included in the Environmental Report and as an Appendix 1 to this document. It is available as a download on the www.plan4poppleton.co.uk website

Acknowledgements

The Neighbourhood Plan Committee is grateful to the consultants Tom Woof BEM MRTPI and Alex White BSc, MSc AIEMA for their assistance in producing this Plan.

The Neighbourhood Plan Committee would also like to acknowledge the help and support they received from Robert Bryan BA Hons DipTP MRTPI during the Health Check.

The funding for this work has in the main has been received from Locality and MY Community both government sponsored bodies that have been granted funding.

Deb Appleby and Emma Crickley, at Locality an organisation which assists communities to achieve Neighbourhood Plans to ensure that the right houses are built in the right areas with the correct level of amenities and transport links.

Hutton Peach who designed and assisted and supported the website development for the Neighbourhood Plan including the email address system.

Support has also been most welcome from Julian Sturdy MP, Cllrs Chris Steward and Ian Gillies.

25 October 2016

Finally the group have received advice and assistance from the City of York Council Neighbourhood Planning team (Alison Cooke, Caroline Strudwick, Rebecca Harrison, Martin Grainger and Rachel Masefield.)

25 October 2016

Appendix A

Formal letters and notification of designated area

FOREWORD

Letter from Parish Chairmen, regarding the Neighbourhood Plan at the pre-submission consultation period 11 May -1 July 2016

7 May 2016

Dear Resident of Poppleton

We are pleased to present the Poppleton Neighbourhood Plan. This has been promoted by Nether Poppleton Parish with Upper Poppleton Parish and has been prepared by a group of parish Councillors with the assistance of planning consultants Tom Woof BEM MRTPI., and Alex White BSc. MSc. AIEMA.

This is the second time the plan is out for pre-submission consultation as the lack of a Local Plan and Strategic Environmental Assessment meant that the Neighbourhood Plan has had to go through a scoping process and the attached environmental report has been produced from the evidence collected at that time.

This is very much **YOUR 2016-2036** Neighbourhood Plan. It is an expression of your wishes and is based on what you have told us over recent months through the events we have been running. It reflects the needs and aspirations of our community and gives effect to the views, opinions and information you have provided on how you wish to see the parishes and village of Poppleton develop over the next 20 years.

Please read the plan at www.plan4poppleton and pass any comment back to the plan committee at: info@plan4poppleton.co.uk.

or visit the exhibition in the library and leave your comments in the box provided there.

It is imperative that we have all your opinion and responses by **1 July 2016** so that we can present the final submission to the City of York Council for Examination by an external auditor.

We appreciate that your time is valuable and we know that for us your opinion on this plan really does matter to all the residents of Nether and Upper Poppleton.

You will all have the final say on whether the plan is adopted or not in a referendum vote in Autumn or Winter 2016. At that time 50% of all eligible voters who vote must give a positive approval for it to become adopted as the plan for Poppleton for the next 20 years.

Yours sincerely

Peter Powell Chairman of Nether Poppleton Parish Council

Stuart Robson Chairman of Upper Poppleton Parish Council

25 October 2016

The Neighbourhood Plan Group comprises Edie Jones, Vivien Crabb, Kathie Brydson, Roper Langford, Peter Powell and Don Simpson.

The following notice was distributed on 10 notice boards around the village and emailed to 540 villagers who left email address, as well as to all the statutory bodies, and business in the area

POPPLETON NEIGHBOURHOOD PLAN 2016

Town and Country Planning, Neighbourhood Planning (General) Regulations 14 (2012)

NOTICE OF NEIGHBOURHOOD DEVELOPMENT PLAN PROPOSALS

You may remember being contacted in November 2014 by the Neighbourhood Plan Committee asking for your views on the village and the things that you felt made it special. We then had a pre-submission consultation in 2015 and you told us your thoughts on the plan. The plan was also featured at a public display/discussion at the Village Sports Day on 25 May 2015. The Neighbourhood Plan has since been revised taking into account

- Your views and comments
- Requirements and suggestions from City of York Planning Department Officers, including a Strategic Environmental Assessment, following a prolonged series of meetings.

As a result of these revisions we would like to hear your views on the amended proposals as part of the **2nd pre-submission consultation 2016**.

Consultation Period : 8 May 2016- 1 July 2016

WHERE : The latest version of the Neighbourhood Plan, Environmental Report and Comment forms can be viewed :- Electronically www.plan4poppleton.co.uk website.

Paper copies at Poppleton Library, Lemon Tree Café, Community Centre Café, Doctor and Dentist Surgeries

On request an electronic copy pdf file can be sent to your email.

How to make representation: Copies of the response form:

Down load from our website www.plan4poppleton.co.uk

Paper copies at the above location

Please send completed forms via email to info@plan4poppleton.co.uk

or by sending the completed form to the Clerk to the Parish Councils:

Mr James Mackman, 39 Calder Avenue, Nether Poppleton, York YO26 6RG

or Neighbourhood Plan Committee, 32 Midway Avenue Nether Poppleton YO26 6NT

25 October 2016

The date by which any representations must be received is not less than 6 weeks from the date of this notice (the date of first publicity of the Proposal)

ROADMAP TO THE DEVELOPMENT OF THE NEIGHBOURHOOD PLAN

The process and timescale of developing this Neighbourhood Plan so far.

| | |
|-----------------------------|---|
| 2014 JUNE | Initial Questionnaire asking the people of Poppleton if they wanted a Neighbourhood Plan to be developed. Formal representation to the City of York requesting to be a Designated Area for both parishes to work together |
| SEPTEMBER | Questionnaires delivered throughout the village to gauge response to land allocations for housing development and other land issues related to the designed area. |
| OCTOBER | City agrees that the area can be designated for Neighbourhood Planning Purposes. |
| OCTOBER | Local Plan rejected by City of York Council as the housing numbers were neither appropriate nor accurate. |
| OCTOBER -JANURARY 2015 | Meetings and discussion to develop a pre-submission consultation on the plan based on response to the questionnaires. |
| 2015 JANUARY – MARCH | PRESUBMISSION CONSULTATION |
| MARCH APRIL | Consultation report written together with Basic Conditions Statement and environmental Assessment |
| AUGUST | Preliminary Inspection undertaken – Health Check |
| SEPTEMBER | Historic England and City of York Planners - a full Strategic Environmental Assessment |
| OCTOBER | Newsletters informing residents of potential changes due to SEA |
| NOVEMBER | Locality assist Neighbourhood Plan Group with preparation of a scoping Report and its circulation for consultation with statutory bodies |
| DECEMBER | Scoping completed SEA consultant employed |
| 2016 JANUARY | Site Assessment report repeated using scoring method advised by City of York Planners in order to correspond with CYC SEA. |
| FEBRUARY/ APRIL | Strategic Environmental Assessment completed based on Scooping, and Site Assessment methodology |
| MAY | 2 ND PRE-SUBMISSION CONSULTATION FOR 8 WEEK PERIOD |
| JUNE/JULY | 2 ND Consultation report written. |
| JULY | Submission of plan, SEA, Environmental report, Consultation report and Basic Conditions Statement to City of York with request to appoint an examiner |
| AUGUST/SEPTEMBER | CYC APPOINT EXAMINER |
| SEPTEMBER/ NOVEMBER | EXAMINERS REPORT AND REFERENDUM TO VILLAGERS |

25 October 2016

25 October 2016

REQUEST TO THE CITY OF YORK COUNCIL PLANNING DEPARTMENT AND CITY COUNCILLORS TO BE A DESIGNATED AREA FOR A NEIGHBOURHOOD PLAN AREA.

Request submitted in June 2014 and confirmed by the City in October 2014.

The two parishes of Nether and Upper Poppleton are situated approximately four miles north west from the centre of the historic city of York. The River Ouse bounds the village to the north and east and the A 59 York to Harrogate road to the south and west. Poppleton, Nether and Upper, consists of two old village cores, which have coalesced to form one community. Recent expansion in the Parish of new housing and commercial areas are now included within the parish boundaries and it is the whole parished area that is the subject of the Neighbourhood Plan.

The Parish Councils have jointly worked on a number of projects. Whilst meeting independently the Parish Councils represent the interest of all the residents of the area designated on the attached map. Nether and Upper Poppleton are statutory consultees on planning applications within the parishes. Consultation to date shows that there is a desire for a Neighbourhood Plan, particularly given the recent government legislation with regard to localism. The villages jointly produced a Village Design Statement in 2003 and this will give the initial platform for the development of a Neighbourhood Plan. The Parishes already manage and financially support many areas, including the village greens, the Millennium Green, the Moat Field and other significant green spaces. The Parish Councils give financial support to numerous village groups and organisations and actively keep parishioners informed through their websites, Twitter account, notice boards and regular newsletters.

The two parish councils are the official statutory first tier of government in this parished area and enjoy strong support of the local community. For the purposes of this submission it has been agreed that the Chairman of Nether Poppleton Parish Council, will act as the lead to the executive committee comprising initially 2 councillors from each Parish and other interested parties. The Councils have considerable collective knowledge of their areas and a deep understanding of the area's planning opportunities and constraints and how these interact with the aspirations and concerns of the residents of the parishes. Other parish residents have worked with the committee, and consultations have been extensive with local business on the three adjacent business parks, landowners and the City of York Planning Department.

15 June 2014

25 October 2016

NETHER WITH UPPER POPPLETON
NEIGHBOURHOOD PLAN COMMITTEE
TERMS OF REFERENCE

Objective

The objective of the Neighbourhood Plan Committee is to prepare a Neighbourhood Plan for the designated area, that defines the planning policy priorities identified by the community, taking into account all representations made during the plan-making process and having regard to all relevant existing plans and evidence.

The Neighbourhood Plan Committee will communicate with residents, land owners, village organisations, local schools, service providers and businesses to ensure that the Plan is totally representative of the local community and provide a progress report at each monthly meeting of both Parish Councils detailing progress and financial position.

Roles and responsibilities

- Promote the process of preparing the Neighbourhood Plan, determining the overall scope and objectives
- Manage the process of preparing the Neighbourhood Plan, producing and updating a timetable
- Communicate with statutory bodies and seek their input
- Make contact with and maintain links to City of York Council Planning and Environmental Management
- Liaise with relevant authorities and organisations to make the Neighbourhood Plan as effective as possible
- Gather data from as wide a range of sources to ensure that conclusions reached are fully evidenced
- Identify sources of funding, complete application forms and establish an audit trail with the lead Parish Council (Nether Poppleton) through its own financial responsibilities
- Report monthly to both Parish Councils and receive endorsements of decisions taken
- Ensure that the final draft of the Neighbourhood Plan is fully representative of the views of residents and other consultees
- Progress to independent examination
- Carry out a successful community referendum
- Arrange for adoption into the City of York Council as Planning Policy

Membership

25 October 2016

- The Neighbourhood Plan Committee will initially comprise two parish councillors from each Parish Council
- The membership will be reviewed from time to time to change or increase the membership as circumstances develop
- The Chairman will be elected from within the Committee

Meetings

- Committee meetings will take place regularly as least once per week initially and then latterly as progress determines at least monthly
- Decisions made by the Committee should normally be by consensus at Committee meetings

Funding

- All grants and funding will be applied for and held by Nether Poppleton Parish Council who will ring fence all monies for the Neighbourhood Plan work
- The Committee will notify both Parish Councils of expenditure and a separate account kept detailing expenditure of funding from Locality

Conduct and interests

- The Committee will follow the code of conduct agreed by the Parish Council code of conduct including declarations of interest
- Whilst members as individuals will be accountable to their parent organisations, the Committee as a whole is accountable to the wider community for ensuring that the Neighbourhood Plan reflects their collective expectations.

June 2014

25 October 2016

Appendix C

Upper Poppleton

Conservation Area No 16 (18.2 ha)

Introduction

Upper Poppleton Conservation Area was designated in 1993. Originally it embraced the village green and its approaches along Hodgson Lane and Main Street. On 16 December 2004 the Conservation Area was extended to include the following: Beechway Close and the adjoining part of Main Street; part of Long Ridge Lane: land and buildings south of Black Dike Lane; the remainder of Beech Grove and adjoining paddocks and gardens; paddocks to the rear of Model Farm, the Green and a small extension along School Lane. Also at the same time No 1-5 (consecutive) Grove Gardens were deleted from the Conservation Area.

History

The Old English name "popel" probably means "pebble" and "tun" implies a non-forested landscape or hamlet farm. Thus Poppleton may have originated as "a farmstead on pebbly soil" (a reference to local glacial sands and gravels) or "by a pebbly bank" (higher land on the edge of the river). "Upper" implies that the settlement is further from the river. The earliest reference to Upper Poppleton is in the Domesday Book recorded as a subsidiary land holder. The original manor house was probably sited close to the present house of that name. All Saints' Church was originally a "minster" church, thought to be of Norman beginnings, but was rebuilt in 1891. The railway came to Poppleton in 1848, later facilitating extensive 20C developments as a commuter settlement, the present population being about 1900 people.

Important Buildings

Several of the houses and farmhouses around the village green are listed buildings including Model Farmhouse and Barn, and Manor Farmhouse, together with their gates and railings. The listed buildings all date from 18C. Although not listed, All Saint's Church is also important to the character of the green.

Character

The triangular village green overlooked by houses on all sides creates Upper Poppleton's particular character. Roads approach each corner of the green and along two of these – Main Street and Hodgson Lane – subsidiary greens extend. Overall there is an interesting spatial quality, to which the several mature trees contribute. The pump and maypole epitomise the role of the green as the focal point of village life.

Attractive groups of 18C and 19C two-storey houses front onto the green, interspersed by some more recent development. The houses tend to be detached or in pairs. They are sited close together, often having small front gardens defined by boundary walls with several examples of fine wrought iron railings and gates. All Saints' Church is set back from the frontage and has mature pine trees in the churchyard.

On the south-east side of the green and along part of the north-west side, the medieval patterns of long narrow plots extending to the open fields remains, being important to the setting of the village. However the 20C housing development, which effectively links Nether Poppleton and Upper Poppleton, extends up to the rear of the frontage buildings on the north-east side of the village core.

Grin is the predominant building materials, and there are examples of different bonding such as English Garden Wall and Flemish Bond. Some properties are rendered brick. Roofing is generally of pantiles or Welsh slate.

The main elements of the character and appearance of the area are:-

25 October 2016

- 1 The essentially rural village quality of the green, with its individual triangular shape and the subsidiary greens leading from it.
- 2 The attractive groups of vernacular buildings, sufficient to create a cohesive overall character, and is valuable focal point in an area that has undergone extensive suburban expansion.
- 3 The rural setting that remains to the south-east and north-west of the village core.

Nether Poppleton

Conservation Area No 17 (19.7 ha)

Introduction

Nether Poppleton Conservation Area was designated in 1993. It includes the historic village core around St Everilda's Church Manor Farm, Church Lane and Main Street.

History

The Old English name "popel" probably means "pebble" and "tun" implies a non-forested landscape or hamlet farm. Thus Poppleton may have originated as "a farmstead on pebbly soil" (a reference to local glacial sands and gravels) or "by a pebbly bank" (higher land on the edge of the river). "Nether" suggest this settlement as the one closer to the river. Which of the two Poppletons came first is open to debate, but Nether Poppleton is most likely due to be the older. The earliest reference to Nether Poppleton is in a charter of Archbishop Oswald of 972. St Everilda's Church (only one other dedicated to this obscure 7C Saxon Saint is known) is mentioned in the Domesday Book. In 1088 St Everilda's and the manor of Nether Poppleton were given by Osbern de arches to St Mary's Abbey in York, an association which continued until the Dissolution. The moated site between the river and the present 18 C Manor House may well be the site of its medieval predecessor. Over 350 years ago, it is reputed that Prince Rupert quartered his troops in the Tithe Barn, before being defeated at Marston Moor. From its origins around the Church, the village developed westwards along Church Land and Main Street, where there was a ferry crossing. The village remained virtually unaltered until 20 C expansion as a commuter settlement. The present population is about 1530.

Important Buildings

The Church of St Everilda's (listed Grade 11) is 12C in origin with late medieval and subsequent rebuilding and restoration. It is built in limestone rubble and ashlar, with sandstone and brick in English Garden wall Bond, and a Welsh slate roof. The Church includes some 14C window glass. Manor Farm is a group of important listed buildings: the farmhouse (mid 18C with a 19C additions), the garage (probably 18C with walls approximately 1 metre thick) and the Barn of 15C or 16C origins, encased in brick in the 18C with a rebuilt east end and repairs in 1928. Main Street and its junction with Church Land contains several 18C listed houses, including the former schoolhouse of 1797. The gazebo north of the Fox in is also listed and dates from 1795.

Character

Sited discretely around a sharp bend in Church Lane, the original village nucleus of St Everilda's Church and Manor Farm retains a deeply rural and historic quality, with its important listed buildings, walls, trees and the moated site leading to the riverside. Church Lane "peters out" into a narrow lane and the setting of open fields remains.

This traditional open setting of the village continues for part of the way along the south side of Church Lane. From there onwards it is replaced by the more recent and extensive suburban style of development which in places has broken through onto Church Land and Main Street. However, to the North the relationship between the village and the river remains largely undisturbed, with long narrow fronted plots extending between the two.

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The main stretch of Church Lane is relatively wide. Groups of vernacular buildings are intermingled with more recent development. Overall, Church Lane is pleasant, its frontage given unity by the grass verges and trees, and the view ahead to the attractive groups of 18C houses at the junction with Main Street.

At the western end of Main Street, mostly 18C and 19C houses and cottages cluster around the road junction and down the hill, creating another focus of traditional village character. The interesting changes in ground level, with the sloping grass verges, add to the attractive compositions. The elevations of each of the traditional houses vary subtly, yet all share the same good proportions and period character. Main Street continues in a series of curves, tree-lined with beck running alongside and development set well back; a country land character, important as a rural edge for the settlement. Traditional building materials in the village are brick walling with pantile and some Welsh slate roofing. Amongst the listed buildings, English Garden wall or Flemish Bond brickwork is found. Properties have usually retained their original multi-paned vertical sliding sash windows.

The main elements of the character of and appearance of the area are:-

- 1 The genuinely rural character of Manor Farm and St Everilda's Church and the historic association with the origins of the village.
- 2 The continuity of Church Lane and Main Street, linking areas of historic and rural character through a series of curves and changes in level, revealing a pleasant sequence of views.
- 3 The landscape elements – trees and grass verges – and the way they unify areas of different character (It should be noted that earlier cobble verges exist under some grassed areas).
- 4 The traditional relationship between Nether Poppleton and the river which, with the cluster of historic buildings, keeps a sense of identity for the village, bearing in mind the extensive "hinterland" of suburban development has taken place.

List of books written about Poppleton from the History Society

River Roads and Railways : The Story of Transport in Poppleton(1991) Michael Fife, Ian Routledge and John Perkins

Scholars, Schools and Staff of Poppleton (1993) by 10 authors , edited by Michael Fife

Georgian Poppleton (1994) by Prudence Bebb

Exploring the Poppletons -Nether and Upper (1998) Mark Jones and Michael Fife

The Public Houses of Poppleton (1999) Barrie Davies

One Hundred Years of Poppleton Children's Sports Day (2000) by Helen Mackman

Poppleton War Memorial soldiers of 1914-1918 war (2017) due

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'Better Decision Making' Tool
 Informing our approach to sustainability, resilience and fairness

The 'Better Decision Making' tool should be completed when proposing new projects, services, policies or strategies.

This integrated impact assessment tool was designed to help you to consider the impact of your proposal on social, economic and environmental sustainability, and equalities and human rights. The tool draws upon the priorities set out in our Council Plan and will help us to provide inclusive and discrimination-free services. The purpose of this new tool is to ensure that the impacts of every proposal are carefully considered and balanced and that decisions are based on evidence.

Part 1 of this form should be completed as soon as you have identified a potential area for change and when you are just beginning to develop a proposal. If you are following the All About Projects Framework it should be completed before going through Gateway 3.

Part 2 of this form should be filled in once you have completed your proposal and prior to being submitted for consideration by the Executive. If you are following the All About Projects Framework it should be completed before going through Gateway 4. Your answer to questions 1.4 in the improvements section must be reported in any papers going to the Executive and the full 'Better Decision Making' tool should be attached as an annex.

Guidance to help you complete the assessment can be obtained by hovering over the relevant text or by following this link to the 'Better Decision Making' tool on Colin.

Guidance on completing this assessment is available by hovering over the text boxes.

Please complete all fields (and expand if necessary).

Introduction

| | |
|---|---------------------|
| Service submitting the proposal: | Strategic Planning |
| Name of person completing the assessment: | Rebecca Harrison |
| Job title: | Development Officer |
| Directorate: | Economy and Place |
| Date Completed: | 05/06/2017 |
| Date Approved: form to be checked by service manager | |

Part 1

Section 1: What is the proposal?

| | |
|-----|--|
| 1.1 | Name of the service, project, programme, policy or strategy being assessed? |
| | Upper and Nether Poppleton Neighbourhood Plan - Examiner's Report |

| | |
|-----|---|
| 1.2 | What are the main aims of the proposal? |
| | The Upper and Nether Poppleton Neighbourhood Plan aims to manage change in the village and wider designated area, ensuring that future development should be sympathetic, unobtrusive and in keeping with its rural environment and surroundings. The main purpose of the report is to request that Members agree the recommendations of the Examiner and allow the Upper and Nether Poppleton Neighbourhood Plan to proceed to referendum. |

| | |
|-----|---|
| 1.3 | What are the key outcomes? |
| | To ensure that the Upper and Nether Poppleton Neighbourhood Plan can be progressed. |

Section 2: Evidence

| | |
|--|--|
| | What data / evidence is available to understand the likely impacts of the proposal? (e.g. hate crime figures, obesity levels, recycling statistics) |
|--|--|

| | |
|-----|---|
| 2.1 | The Neighbourhood Plan uses the Local Plan evidence base to support its policies. |
| 2.2 | <p data-bbox="331 379 1791 468">What public / stakeholder consultation has been used to support this proposal?</p> <p data-bbox="331 468 1791 617">Previous consultation responses received as part of the Pre-Submission Consultation (2015 and 2016) and the Submission consultation (2017) have shaped policy formation.</p> |
| 2.3 | <p data-bbox="331 655 1791 744">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?)</p> <p data-bbox="331 744 1791 976">The Neighbourhood Plan has been developed alongside an emerging City of York Local Plan. The residents, businesses and people with a land interest in the Poppleton area will also be consulted on as part of the Local Plan process.</p> |

Part 1

Section 3: Impact on One Planet principles

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 the 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? | Positive | The policies of the neighbourhood plan support new business development on established businesses where they provide car parking. |
| 3.2 Provide additional employment or training opportunities in the city? | Neutral | The policies of the neighbourhood plan support new business development on established businesses where they provide car parking. |
| 3.3 Help individuals from disadvantaged backgrounds or underrepresented groups to improve their skills? | Neutral | There are no specific policies relating to individuals from disadvantaged backgrounds. |

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 staff or residents? | Positive | The Neighbourhood Plan includes policies to protect and enhance green infrastructure and to improve and extend cycle and pedestrian access. There is a policy which safeguards land at Manor Academy for future school playing pitches. There are policies which identifies land for a football ground and a play area. |
| 3.5 Help reduce health inequalities? | Positive | The Neighbourhood Plan includes policies to protect and enhance green infrastructure and to improve and extend cycle and pedestrian access. There is a policy which safeguards land at Manor Academy for future school playing pitches. There are policies which identifies land for a football ground and a play area. |
| 3.6 Encourage residents to be more responsible for their own health? | Positive | The Neighbourhood Plan includes policies to protect and enhance green infrastructure and to improve and extend cycle and pedestrian access. There is a policy which safeguards land at Manor Academy for future school playing pitches. There are policies which identifies land for a football ground and a play area. |
| 3.7 Reduce crime or fear of crime? | Neutral | There are no policies which specifically relate to crime. |
| 3.8 Help to give children and young people a good start in life? | Positive | The Neighbourhood Plan includes a policy which safeguards land at Manor Academy for future school playing pitches. There are policies which identifies land for a junior football ground and a play area. |

Culture & Community

| Does your proposal? | Impact | What are the impacts and how do you know? |
|--|----------|--|
| 3.9 Help improve community cohesion? | Positive | The production of a Neighbourhood Plan should help improve community cohesion by bringing people together with a shared goal of improving their neighbourhood. |
| 3.10 Improve access to services for residents, especially those most in need? | Positive | There is a policy which supports cycle and pedestrian access. The policy which supports development on the Former British Sugar sites requires the development to provide 'amenities'. |
| 3.11 Improve the cultural offerings of York? | Neutral | There is a policy which seeks to protect the conservation areas in the plan; this shows an understanding of the importance of cultural heritage found in the historic environment. |
| 3.12 Encourage residents to be more socially responsible? | Neutral | No specific reference. |

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, or reduce the amount of energy we will use/pay for in the future? | Positive | A non-land use proposal in the plan encourages developers to consider Building Regulations with regard to energy conservation and use of renewable energy technology. This refers to a range of methods. The Plan does not require developers to go beyond building regulations as this would be difficult to enforce. |

| | | | |
|------|---|----------|--|
| 3.14 | Minimise the amount of water we use or reduce the amount of water we will use/pay for in the future? | Neutral | A non-land use proposal in the plan encourages developers to consider Building Regulations with regard to energy conservation and use of renewable energy technology. This refers to a range of methods. |
| 3.15 | Provide opportunities to generate energy from renewable/low carbon technologies? | Positive | A non-land use proposal in the plan encourages developers to consider Building Regulations with regard to energy conservation and use of renewable energy technology. This refers to a range of methods. The Plan does not require developers to go beyond building regulations as this would be difficult to enforce. |

Zero Waste

| Does your proposal? | | Impact | What are the impacts and how do you know? |
|---------------------|---|---------|---|
| 3.16 | Reduce waste and the amount of money we pay to dispose of waste by maximising reuse and/or recycling of materials? | Neutral | No specific reference to waste. |

Sustainable Transport

| Does your proposal? | | Impact | What are the impacts and how do you know? |
|---------------------|--|--------|---|
| 3.17 | Encourage the use of sustainable transport, such as walking, cycling, ultra low emission vehicles and public transport? | Mixed | There is a policy which supports cycle and pedestrian access. However, the plan only supports business development where car parking is provided. |
| 3.18 | Help improve the quality of the air we breathe? | Mixed | There is a policy which supports cycle and pedestrian access. However, the plan only supports business development where car parking is provided. |

Sustainable Materials

| Does your proposal? | | Impact | What are the impacts and how do you know? |
|---------------------|--|----------|--|
| 3.19 | Minimise the environmental impact of the goods and services used? | Positive | A non-land use proposal in the plan encourages developers to consider Building Regulations with regard to energy conservation and use of renewable energy technology. This refers to a range of methods. The Plan does not require developers to go beyond building regulations as this would be difficult to enforce. |

Local and Sustainable Food

| Does your proposal? | | Impact | What are the impacts and how do you know? |
|---------------------|--|----------|--|
| 3.20 | Maximise opportunities to support local and sustainable food initiatives? | Positive | The supporting text refers to the value of the surrounding agricultural land for food production. The Green Infrastructure policy supporting text recognises the importance of allotments. |

Land Use and Wildlife

| Does your proposal? | | Impact | What are the impacts and how do you know? |
|---------------------|---|----------|---|
| 3.21 | Maximise opportunities to conserve or enhance the natural environment? | Positive | There are policies which seek to protect and enhance Green Infrastructure. There is a policy which seeks to safeguard woodland areas and hedgerows in the plan area. |
| 3.22 | Improve the quality of the built environment? | Positive | There are policies which seek to protect and enhance the conservation areas in the plan area and support new development where they bring forward high quality design appropriate to their character and appearance. The housing policies require that the designs are in character with surrounding development. |
| 3.23 | Preserve the character and setting of the historic city of York? | Positive | The supporting text in the Green Belt section refers to the historic character and setting. |
| 3.24 | Enable residents to enjoy public spaces? | Positive | There are policies which seek to safeguard green infrastructure and woodland and hedgerows. |

| | | | |
|------|---|--|--|
| 3.25 | Additional space to comment on the impacts | | |
| | | | |

Part 1

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? | Relevant quality of life indicators | |
|------|----------------------------------|---|--|-------------------------------------|
| 4.1 | Age | Positive | The plan seeks to identify land to provide a junior football ground and a play area. | Individual, family and social life. |
| 4.2 | Disability | Neutral | None deemed likely | N/A |
| 4.3 | Gender | Neutral | None deemed likely | N/A |
| 4.4 | Gender Reassignment | Neutral | None deemed likely | N/A |
| 4.5 | Marriage and civil partnership | Neutral | None deemed likely | N/A |
| 4.6 | Pregnancy and maternity | Neutral | None deemed likely | N/A |
| 4.7 | Race | Neutral | None deemed likely | N/A |
| 4.8 | Religion or belief | Neutral | None deemed likely | N/A |
| 4.9 | Sexual orientation | Neutral | None deemed likely | N/A |
| 4.10 | Carer | Neutral | None deemed likely | N/A |
| 4.11 | Lowest income groups | Neutral | None deemed likely | N/A |
| 4.12 | Veterans, Armed forces community | Neutral | None deemed likely | N/A |

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 | None deemed likely |
| 4.14 | Right not to be subjected to torture, degrading treatment or punishment | neutral | None deemed likely |
| 4.15 | Right to a fair and public hearing | neutral | None deemed likely |
| 4.16 | Right to respect for private and family life, home and correspondence | neutral | None deemed likely |
| 4.17 | Freedom of expression | neutral | None deemed likely |
| 4.18 | Right not to be subject to discrimination | neutral | None deemed likely |
| 4.19 | Other Rights | neutral | None deemed likely |

4.20

Additional space to comment on the impacts

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Part 1

Section 5: Developing Understanding

Based on the information you have just identified, please consider how the impacts of your proposal could be improved upon, in order to balance social, environmental, economic, and equalities concerns, and minimise any negative implications.

It is not expected that you will have all of the answers at this point, but the responses you give here should form the basis of further investigation and encourage you to make changes to your proposal. Such changes are to be reported in the final section.

| | |
|--|--|
| Taking into consideration your responses about all of the impacts of the project in its current form, what would you consider the overall impact to be on creating a fair, healthy, sustainable and resilient city? | |
| 5.1 | Given the wide range of policy areas covered by the Neighbourhood Plan and its over all vision which responds to the issues, opportunities and challenges facing the area it is considered that the plan will have a positive impact overall on creating a fair, healthy, sustainable and resilient neighbourhood. |

| | |
|---|---|
| What could be changed 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) | |
| 5.2 | The requirement for car parking places which is included in the policies for busienss and housing development could be deemed as negative for the environemnt, however, they will have a positive impact on residents and workers amenity as it will mean less on street parking. The Plan also supports cycling and pedestrian provision so it balances out. |

| | |
|---|--|
| What could be changed 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) | |
| 5.3 | No mixed or negative impacts on equality and human rights are considered likely. |

Section 6: Planning for Improvement

| | |
|---|--|
| What further evidence or consultation is needed to fully understand its impact? (e.g. consultation with specific communities of identity, additional data) | |
| 6.1 | The community has been widely consulted on the content of the Plan. Members are being asked to agree the Examiner's recommednations which include progressing the Plan to referendum. Therefore, the community will have the final say when they vote in teh referendum whether or not to agree with the final Plan. |

| | |
|-----|--|
| 6.2 | What are the outstanding actions needed to maximise benefits or minimise negative impacts in relation to this proposal? Please include the action, the person(s) responsible and the date it will be completed (expand / insert more rows if needed) |
|-----|--|

| Action | Person(s) | Due date |
|--------|-----------|----------|
| | | |
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| 6.3 | Additional space to comment on the impacts | | |
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Part 2

Section 1: Improvements

Part 2 builds on the impacts you identified in Part 1. Please detail how you have used this information to make improvements to your final proposal.

Please note that your response to question 1.4 in this section must be reported in the One Planet Council implications section of reports going to the Executive.

| | |
|-----|---|
| 1.1 | <p>For the areas in the 'One Planet' and 'Equalities' sections, where you were unsure of the potential impact, what have you done to clarify your understanding?</p> <p>Given the wide ranging policy areas covered in the plan and the process taken so far in preparing the plan there are inherent links and good understanding of the one planet principles and equalities.</p> |
| 1.2 | <p>What changes have you made to your proposal to increase positive impacts?</p> <p>No changes considered necessary.</p> |
| 1.3 | <p>What changes have you made to your proposal to reduce negative impacts?</p> <p>No negative impacts anticipated.</p> |
| 1.4 | <p>Taking into consideration everything you know about the proposal in its revised form, what would you consider the overall impact to be on creating a fair, healthy, sustainable and resilient city?</p> <p>Your response to this question must be input under the One Planet Council implications section of the Executive report. Please feel free to supplement this with any additional information gathered in the tool.</p> <p>Given the wide range of policy areas covered by the Neighbourhood Plan and its over all vision which responds to the issues, opportunities and challenges facing the neighbourhood it is considered that the plan will have a positive impact overall on creating a fair, healthy, sustainable and resilient neighbourhood.</p> |
| 1.5 | <p>Any further comments?</p> |





Executive

29 June 2017

Report of the Director of Customer and Corporate Services
Portfolio of the Leader of the Council

**Treasury management annual report and review of prudential indicators
2016/17****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 2016/17. 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. The Executive is asked to:
 - 1) Note the 2016/17 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. The two major landmark events that had a significant influence on financial markets during 2016/17 were the UK EU referendum on 23rd June and the election of President Trump in the USA on 9th November. The first event had an immediate impact in terms of market expectations of when the first increase in Bank Rate would happen, pushing it back from quarter 3 2018 to quarter 4 2019. At its 4th August meeting, the Monetary Policy Committee (MPC) cut Bank Rate from 0.5% to 0.25% and the Bank of England's Inflation Report produced forecasts warning of a major shock to economic activity in the UK, which would cause economic growth to fall almost to zero in the second half of 2016. The MPC also warned that it would be considering cutting Bank Rate again towards the end of 2016 in order to support growth. In addition, it restarted quantitative easing with purchases of £60bn of gilts and £10bn of corporate bonds, and also introduced the Term Funding Scheme whereby potentially £100bn of cheap financing was made available to banks.
6. In the second half of 2016, the UK economy confounded the Bank's pessimistic forecasts of August. After a disappointing quarter 1 of only +0.2% GDP growth, the three subsequent quarters of 2016 came in at +0.6%, +0.5% and +0.7% to produce an annual growth for 2016 overall, compared to 2015, of 1.8%, which was very nearly the fastest rate of growth of any of the G7 countries. This meant that the MPC did not cut Bank Rate again after August but, since then, inflation has risen rapidly due to the effects of the sharp devaluation of sterling after the referendum.

Overall treasury position as at 31 March 2017

7. The Council's year end treasury debt and investment position for 2016/17 compared to 2015/16 is summarised in the table below:

| Debt | 31/03/2017 £m | Rate % | 31/03/2016 £m | Rate % |
|------------------------------------|------------------|-----------|------------------|-----------|
| General Fund debt | 122.3 | 4.23 | 126.7 | 4.20 |
| Housing Revenue Account (HRA) debt | 139.0 | 3.34 | 140.3 | 3.34 |
| Total debt | 261.3 | 3.76 | 267.1 | 3.75 |
| Investments | | | | |
| Councils investment balance | 91.6 | 0.49 | 77.2 | 0.56 |

Table 1 summary of year end treasury position as at 31 March 2017

The Strategy for 2016/17

8. The expectation for interest rates within the treasury management strategy for 2016/17 anticipated low but rising Bank Rate and gradual rises in medium and longer term fixed borrowing rates during 2016/17. Variable, or short-term rates, were expected to be the cheaper form of borrowing over the period. Continued uncertainty in the aftermath of the 2008 financial crisis promoted a cautious approach, whereby investments would continue to be dominated by low counterparty risk considerations, resulting in relatively low returns compared to borrowing rates.
9. In this scenario, the treasury strategy was to postpone borrowing to avoid the cost of holding higher levels of investments and to reduce counterparty risk.
10. During 2016/17 there was major volatility in PWLB rates with rates falling during quarters 1 and 2 to reach historically very low levels in July and August, before rising significantly during quarter 3, and then partially easing back towards the end of the year.

Borrowing requirement and debt

11. The Council's underlying need to borrow to finance capital expenditure is termed the Capital Financing Requirement (CFR).

| | 31 March 2017 Actual £m | 31 March 2017 Budget £m | 31 March 2016 Actual £m |
|------------------|-------------------------------|-------------------------------|-------------------------------|
| CFR General Fund | 183.9 | 205.0 | 179.1 |
| CFR HRA | 139.0 | 140.3 | 140.3 |
| Total CFR | 322.9 | 345.3 | 319.4 |

Table 2 capital financing requirement

Borrowing outturn for 2016/17

12. The Council continues to make efficient use of its strong cash balance position to support its current capital expenditure requirements. One new loan was taken during the year. This was a ten year fixed rate loan for £1,221,500 on 23rd March 2017 from West Yorkshire Combined Authority at 0% interest, repayable on the 28th February 2027. No repayments are due during the term of the loan. The purpose of the loan is to help to fund York Central infrastructure projects. Members are reminded that this is the first instalment of a total £2.55m loan agreed by Executive on the 14th July 2016.

13. As outlined in the mid year review report, two PWLB loans totalling £7m were repaid during the year. On 10th August 2016 a £5m PWLB loan was repaid which had an interest rate of 2.5% and on 5th November 2016 a £2m PWLB loan was repaid which had an interest rate of 3.6%, taking the Councils long-term borrowing figure to £261.3m. The weighted average interest rate for the repaid loans was 2.5%.
14. The HRA CFR has reduced from the previous year due to the appropriation of shops from the HRA to the General Fund as outlined in the 2016/17 financial strategy agreed by Full Council on the 25th February 2016.
15. 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 rates in 2016/17

16. As outlined in paragraph 5, the Bank Rate has remained at 0.25% since August 2016. Deposit rates continued into the start of 2016/17 at previous depressed levels but then fell during the first two quarters and fell even further after the 4th August MPC meeting resulted in a large tranche of cheap financing being made available to the banking sector by the Bank of England. Rates made a weak recovery towards the end of 2016 but then fell to fresh lows in March 2017.

Investment outturn for 2016/17

17. The Council's investment policy is governed by CLG guidance, which has been implemented in the annual investment strategy approved by the Council on 25th February 2016. 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 investment activity during the year conformed to the approved strategy, and the Council had no liquidity difficulties.
18. The Council maintained an average investment balance of £108.55m compared to £104.57m in 2015/16. The surplus funds earned an average rate of return of 0.49% in 2016/17 compared to 0.555% in 2015/16. There has been a gradual increase in cash balances over recent years due to the level of developer's contributions held pending investment through the capital programme, along with the continued early receipt of grant funding from Government in advance of spending. These balances are therefore not available in the longer term and will start to decrease as capital investment is made in a range of projects, as outlined in the Capital Strategy approved by Council in February 2017.

19. 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 2016/17 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 | 0.20 | 0.49 |
| 3 month | 0.32 | 0.49 |

Table 3 – LIBID vs. CYC comparison

20. This compares with a budget assumption of average investment balances between a low point of £32m and high point of £112m at an average 0.6% investment return.

Consultation

21. The report has been reviewed and scrutinised by Audit and Governance Committee on 21st June 2017.

Options

22. Not applicable.

Council Plan

23. 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

24. 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

25. 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.

Contact Details

Author:

Debbie Mitchell
Finance & Procurement
Manager
Tel No (01904) 554161

Sarah Kirby
Principal Accountant

Chief Officer Responsible for the report:

Ian Floyd
Director of Customer & Corporate Services
(Deputy Chief Executive)

Report **Date** 30/5/17
Approved

Wards Affected: List wards or tick box to indicate all

All

For further information please contact the author of the report

Background Papers:

None

Annexes:

Annex A: Prudential Indicators 2016/17

List of Abbreviations Used in this Report

CIPFA - Chartered Institute of Public Finance & Accountancy

MRP - Minimum Revenue Provision

CFR - Capital Financing Requirement

MPC - Monetary Policy Committee

PWLB - Public Works Loan Board

CLG – (Department for) Communities and Local Government

LIBID – The London Interbank Bid Rate

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Prudential Indicators 2016/17 Outturn

| | Prudential Indicator | | 2016/17 | 2017/18 | 2018/19 | 2019/20 | 2020/21 | 2021/22 |
|----|---|--|----------------|----------------|----------------|----------------|----------------|----------------|
| 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 | £25.8m | £94.2m | £49.1m | £14.9m | £15.4m | £10.7m |
| | | HRA | £10.0m | £31.3m | £11.6m | £8.6m | £8.2m | £8.3m |
| | | <u>Total</u> | <u>£35.8m</u> | <u>£125.5m</u> | <u>£60.7m</u> | <u>£23.5m</u> | <u>£23.6m</u> | <u>£19.0m</u> |
| 2 | CFR as at 2016/17 outturn 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 | £183.9m | £212.2m | £224.5m | £223.9m | £221.6m | £219.7m |
| | | HRA | £139.0m | £139.0m | £139.0m | £139.0m | £139.0m | £139.0m |
| | | <u>Total</u> | <u>£322.9m</u> | <u>£351.2m</u> | <u>£363.5m</u> | <u>£362.9m</u> | <u>£360.6m</u> | <u>£358.7m</u> |
| 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. | GF | 11.84% | 11.29% | 12.87% | 12.39% | 12.21% | 12.14% |
| | | HRA | 12.84% | 13.00% | 13.00% | 13.00% | 13.00% | 13.00% |
| | | <u>Total</u> | <u>12.06%</u> | <u>11.67%</u> | <u>12.90%</u> | <u>12.52%</u> | <u>12.38%</u> | <u>12.33%</u> |
| 4a | Incremental impact of capital investment decisions – Council Tax Shows the actual impact of capital investment decisions on council tax. The impact on council tax is a fundamental indicator of affordability for the Council to consider when setting forward plans. The figure relates to how much of the increase in council tax is used in financing the capital programme and any related revenue implications that flow from it. | Increase in band D Council Tax per annum | £12.91 | £20.54 | £35.97 | £15.21 | £9.04 | £7.78 |

Annex A

| | Prudential Indicator | | 2016/17 | 2017/18 | 2018/19 | 2019/20 | 2020/21 | 2021/22 |
|----|---|---|--------------------------------------|--------------------------------------|--------------------------------------|--------------------------------------|--------------------------------------|--------------------------------------|
| 4b | Incremental impact of capital investment decisions – Housing Rents Shows the actual impact of capital investment decisions on HRA rent. For CYC, the HRA planned capital spend is based on the government's approved borrowing limit so there is no impact on HRA rents. | | £0.00 | £0.00 | £0.00 | £0.00 | £0.00 | £0.00 |
| 5 | 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 purpose and so not exceed the CFR. | Gross Debt Invest Net Debt | £266.3m £91.6m £174.7m | £281.2m £35.8m £245.4m | £291.0m £25.0m £266.0m | £289.9m £20.0m £269.9m | £289.7m £20.0m £269.7m | £287.6m £20.0m £267.6m |
| 6a | 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 Total | £355.3m £30.0m £385.3m | £363.5m £30.0m £393.5m | £373.5m £30.0m £403.5m | £373.0m £30.0m £403.0m | £370.6m £30.0m £400.6m | £368.8m £30.0m £398.8m |

Annex A

| | Prudential Indicator | | 2016/17 | 2017/18 | 2018/19 | 2019/20 | 2020/21 | 2021/22 |
|----|---|---|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|
| 6b | <p>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.</p> | Borrowing Other long term liabilities Total | £345.3m £10.0m <u>£355.3m</u> | £353.5m £10.0m <u>£363.5m</u> | £363.5m £10.0m <u>£373.5m</u> | £363.0m £10.0m <u>£373.0m</u> | £360.6m £10.0m <u>£370.6m</u> | £358.8m £10.0m <u>£368.8m</u> |
| 6c | <p>HRA debt limit The Council is also limited to a maximum HRA CFR through the HRA self-financing regime, known as the HRA Debt Limit or debt cap.</p> | | £146.0m | £146.0m | £146.0m | £146.0m | £146.0m | £146.0m |
| 7a | <p>Upper limit for fixed interest rate exposure The Council sets limits to its exposures to the effects of changes in interest rates for 5 years. The Council should not be overly exposed to fluctuations in interest rates which can have an adverse impact on the revenue budget if it is overly exposed to variable rate investments or debts.</p> | | 136% | 111% | 110% | 108% | 108% | 108% |
| 7b | <p>Upper limit for variable rate exposure The Council sets limits to its exposures to the effects of changes in interest rates for 5 years. The Council should not</p> | | -36% | -11% | -10% | -8% | -8% | -8% |

Annex A

| | Prudential Indicator | | 2016/17 | 2017/18 | 2018/19 | 2019/20 | 2020/21 | 2021/22 |
|----|---|--|-------------------------|-----------------|-----------------|-------------------------------|-------------------------------|---------|
| | be overly exposed to fluctuations in interest rates which can have an adverse impact on the revenue budget if it is overly exposed to variable rate investments or debts. | | | | | | | |
| 8 | <p>Maturity structure of fixed rate borrowing</p> <p>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.</p> | Maturity profile of debt against approved limits | Maturity Profile | Debt (£) | Debt (%) | Approved Minimum Limit | Approved Maximum Limit | |
| | | | Less than 1 yr | £10.0m | 4% | 0% | 30% | |
| | | | 1 to 2 yrs | £10.0m | 4% | 0% | 30% | |
| | | | 2 to 5 yrs | £28.0m | 11% | 0% | 40% | |
| | | | 5 to 10 yrs | £52.6m | 20% | 0% | 40% | |
| | | | 10 yrs and above | £160.7m | 61% | 30% | 90% | |
| | | | Total | £261.3m | 100% | - | - | |
| 9 | <p>Upper limit for total principal sums invested for over 364 days</p> <p>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.</p> | | £0 | £15m | £15m | £15m | £15m | £15m |
| 10 | Adoption of the CIPFA Code of Practice for Treasury Management in Public Services | | ✓ | | | | | |



Executive

29 June 2017

Report of the Director of Customer and Corporate Services
Portfolio of the Leader of the Council

Finance and Performance Outturn 2016/17**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.

Recommendations

- 2 The Executive is asked to:
 - 1) Note the year end underspend of £542k (excluding contingency) and approve that this is transferred to reserves
 - 2) Note the further unallocated amount of £549k from the 2016/17 contingency and that this balance be carried forward into 2017/18 and added to the existing contingency for 2017/18
 - 3) Note the financial risks outlined in the report and the need to continue to maintain a prudent contingency and reserves that is reflective of the risks set out in the report
 - 4) Note the continued effective financial management across the Council and the continued delivery of savings
 - 5) Note the performance information set out in paragraph 53 onward

Reason: to ensure significant financial issues can be appropriately dealt with.

Background and analysis**Financial Outturn**

- 3 The council's net General Fund budget for 2016/17 was £120.9m and the provisional outturn position is a net underspend of £542k (excluding unallocated contingency).

- 4 This position is consistent with previous years where expenditure has been within the overall approved budget. It is also consistent with the reports during the year which, whilst highlighting a number of pressures, have also set out the clear expectation that expenditure would be within budget. It maintains the council's overall financial health and provides a strong platform upon which to meet the further financial challenges ahead. Good progress has been made with 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.
- 5 An overview of the outturn, on a directorate by directorate basis, is outlined in Table 1 below and the key variances are summarised in the main body of the report.
- 6 Following the implementation of the revised senior management restructure the financial position is presented in the new directorates. However, due to these changes, it is only possible to provide indicative comparisons between the new and old structure.

| 2015/16 outturn | | 2016/17 budget | 2016/17 monitor 3 | 2016/17 draft outturn |
|-----------------|-------------------------------------|----------------|-------------------|-----------------------|
| £'000 | | £'000 | £'000 | £'000 |
| +889 | Children, Education & Communities | 25,278 | -149 | -32 |
| +326 | Economy & Place | 14,830 | +790 | +724 |
| -70 | Customer & Corporate Services | 20,052 | -100 | -259 |
| -201 | Health, Housing & Adult Social Care | 47,551 | +403 | +191 |
| -1,820 | Central budgets | 13,238 | -550 | -1,166 |
| | Sub total | 120,949 | +394 | -542 |
| | Unallocated Contingency | | -549 | -549 |
| -876 | Total | 120,949 | -155 | -1,091 |

Table 1: Finance overview

- 7 Whilst the year end position is positive, there remain considerable financial challenges looking ahead into 2017/18 and beyond. The February 2017 budget council report approved £5.9m of savings in 2017/18 and progress in delivery of the savings, as well as dealing with underlying issues experienced during 2016/17, will again require careful

monitoring. Given the significant risk still faced in terms of savings delivery, and other possible pressures, it is recommended that the underspend (excluding contingency) is allocated to general reserves and the contingency is carried forward and added to the existing contingency for 2017/18. Consideration will then be given to how this funding should be used, bearing in mind the financial risks facing the council.

- 8 The following sections provide further information on the financial outturn of each directorate.

Children, Education & Communities

- 9 Following the allocation of £1,930k growth funding in the 2016/17 budget to deal with a number of pressures within Children Looked After budgets, there are no significant pressures to report within Children's Social Care budgets. This funding has provided significant stability in relation to the delivery of a key range of statutory functions. However, there have been some short term pressures towards the end of the year as the new staffing structure has been implemented. This has resulted in some additional agency staffing costs whilst posts are recruited to on a permanent basis at a net cost of £221k. Within Special Educational Needs there is an underspend of £510k on out of city education placements due to the on-going efforts to support as many young people as possible in York, offset by additional costs of £250k for short breaks.
- 10 There is a net underspend on staffing within Education & Skills of £460k, due to posts being kept vacant while the services that they provide are being reviewed as part of the directorate's transformation programme. There is an underspend on the Schools Causing Concern and School Improvement Commissioning budgets of £229k which will be carried forward to 2017/18 as part of the Dedicated Schools Grant (DSG) balance. Home to school transport has overspent by £76k due to increased pupils eligible for transport during the 2016/17 academic year. There has also been a net £524k overspend on high needs place and top up funding due to additional behaviour support provision being required.
- 11 There is a predicted 45k underspend within the Communities & Equalities area of the directorate which is made up of a lower than expected pension contribution requirement for Explore (-£77k) and a number of other more minor variations.
- 12 A number of other minor variations make up the overall directorate position.

Economy & Place

- 13 The outturn position for Economy & Place is an overspend of £724k, a slight improvement from the Monitor 3 report. This is primarily due to shortfalls in planning income and overspends within waste services due to pressures within waste collection and unachieved income budgets across waste services.
- 14 There was a shortfall in income arising from the Government grant claim following the December 2015 flooding (£74k) partly due to the non payment of landfill tax costs within the claim. The reimbursement of these costs is still subject to a final ministerial decision but it is prudent to assume they will not be paid. There were increased subcontractor and material costs within Highways (£92k) and £70k higher than budgeted insurance costs. There was also higher than forecast expenditure on gully emptying (£50k) due to increased focus on drainage works. These overspends are in part offset by £104k underspend on winter maintenance.
- 15 There was a £112k unachieved legacy saving from council transport costs which will be delivered in 2017/18. This was partly offset by higher than forecast income from the vehicle workshop mainly from internal users.
- 16 Within waste collection the year end overspend was £624k. The main variances were £99k additional staffing costs, primarily the use of temporary staff, and increased transport costs of £469k for vehicle repairs and hire.
- 17 The first phase of the waste services review has been implemented from 1st April 2017 reducing the number of recycling rounds and this should start to address the overspends within the waste collection service. The introduction of a Waste Transfer Station at Harewood Whin should also reduce vehicle damage which occurs when vehicles traverse on the Landfill site. The outcome of the review will be monitored during 2017/18.
- 18 Within waste disposal tonnages are broadly in line with budgets however there is an overspend of £183k on dealing with recycling due to the costs of processing co-mingled recyclates. This is offset by significant one off increased income (£326k) from the sale of separated recyclate and additional income from the sale of landfill gas (£70k). This has arisen due to the new services contract with Yorwaste where the council takes the risk on the market price of recyclates.
- 19 There was an underspend on waste strategy (£289k) mainly due to lower waste Public Private Partnership procurement costs (£148k).

- 20 There was a shortfall in Automatic Number Plate Recognition income from Coppergate (£100k) and an overspend of £123k due to the risk and reward payment for Poppleton Bar Park and Ride. These overspends were offset by lower than forecast expenditure on concessionary fares (£131k), road safety activities (£65k) and subsidised buses (£64k). There was also higher than forecast income from Traffic Regulation Orders (£76k).
- 21 An overspend of £160k within Public Realm, mainly due to delays in delivering savings accepted as part of the 2016/17 budget was partly offset by savings due to a vacant assistant director post (£73k) that will be filled from May 2017.
- 22 There has been a shortfall of £440k on planning fees . This was partly due to a fall in the number of major housing site applications but also due to the government's expansion of permitted development rights and subsequent fall in prior notification submissions. Whilst the workload remains the same, fees attached to these applications have significantly fallen. There was also a shortfall of £159k in pre-application advice fees due to uncertainty over which major sites will be included in the draft Local Plan. This has led to a reluctance by developers to engage with the council and commit funding for pre-application advice.
- 23 There was a shortfall in income across the Building Control service of £101k. This is mainly due to reduced inspection fees where due to the nature of the work the average inspection fee fell from £125 to £79. Officers intend to review the service and associated income.
- 24 A number of other minor variations make up the overall directorate position.

Customer & Corporate Services

- 25 The draft outturn shows an underspend of £259k, an improvement from the Monitor 3 report.
- 26 The main variations include pressures of £165k in customer services due to delays in the delivery of staff savings. These savings will be fully achieved within the current financial year and early actions were taken within the service and across the directorate as a whole to ensure this shortfall could be mitigated within the existing budget. This pressure is offset by savings achieved from vacant posts in a range of areas including Business Intelligence (£142k) and Democratic Services (£72k) and additional income in Bereavement Services (£197k) following an increase

in cremations during the final quarter of the year. This income has been offset in part by essential repairs work to the Crematorium driveway completed in year. A number of other minor variations make up the overall directorate position.

Health, Housing & Adult Social Care

- 27 The draft outturn position shows a net overspend of £191k, an improvement from the Monitor 3 report.
- 28 Within Social Care Reduce budgets there is a £154k pressure within the direct payment budget as more customers than budgeted for took up the option and recovery of overpayments was not as great as expected. Small Day Services, a series of council run day support options for customers, underspent by £239k due mainly to staffing vacancies.
- 29 The Better Care Fund contribution was expected to be £5.3m but some schemes that were expected to deliver cashable benefits in 2016/17 were delayed in starting or didn't deliver to the full value expected. This meant the contribution was reduced to £5.0m resulting in a £285k pressure in 2016/17. Work is ongoing to agree the fund for 2017/18.
- 30 The community support budget for Learning Disability customers overspent by a net £155k due to having more customers at a higher than forecast weekly rate, offset by receiving higher than expected Continuing Healthcare income for several customers.
- 31 Spend/income on the framework home care contracts was £213k under budget as the department was successful in securing Continuing Health Care (CHC) income above expectations.
- 32 There is a net overspend of £1,360k within external residential placement budgets mainly as a result of increased older people residential placements (£479k) and decisions not to transfer some learning disability customers to supported living schemes (£691k).
- 33 The Mental Health working age residential care customer group has overspend by £296k due to an increase in both customer numbers and needs. Nursing Care budgets underspent in total by £117k due to an increase in Continuing Health Care income.
- 34 Older Peoples Homes' budgets overspent by £159k mainly in respect of staffing (£280k) where staff to customer ratios were maintained at relatively high levels to ensure a smooth transition for residents whilst the accommodation programme continues. This has partially been offset by

over recovery of income (£121k). Use of casual staff continued as some permanent posts were kept vacant in order to allow flexibility within the accommodation programme.

- 35 This overspend will be met from the capital receipts generated in 2016/17 by the sale of Oliver House. The 2016/17 Local Government settlement gave councils flexibility to use capital receipts to fund reform of its services which the Older Persons' Accommodation Programme clearly does. This has been shown as mitigation throughout the 2016/17 reporting framework to members. £150k of receipts will also be used to fund other revenue transitional costs such as securing sites, employing a social worker to ensure customer move homes safely etc.
- 36 There is an underspend of £721k in LD supported living budgets. This is largely due to increased CHC contributions as a result of the Transforming Care Program but also due to customers not moving as expected from LD residential placements. There has also been a delayed start on some new schemes to ensure successful transition of customers returning to services in York which also contributed to the underspend in this area.
- 37 The directorate's budget for 2016/17 included a requirement to deliver savings totalling £3m from the on-going work being undertaken on service transformation. To date savings of £2,027k have been identified and implemented, leaving a shortfall of £977k. This is a short term pressure as plans are in place to deliver the majority of the shortfall from 2017/18 onwards.
- 38 The council's former £1,023k care act grant was transferred to mainstream funding from 2016/17. £391k is committed against this budget leaving £632k available to contribute towards other directorate pressures. There is a Care Act reserve of £765k that the department has also used to mitigate the overspend.
- 39 Within Public Health there is an underspend on Substance Misuse contracts (£94k) following lower than expected claims from pharmacies. The Healthy Child programme underspent by £103k, mainly due to staff vacancies following the transfer of the school nurse and health visitor services from York Hospital.
- 40 As the Public Health Grant is ringfenced it is necessary to carry forward the unspent budgets. The underspend relating grant-funded activities (£243k) has been transferred into an earmarked reserve and will be used to contribute to the expected restructuring costs of the Healthy Child Service and procurement issues in Sexual Health and Substance Misuse in 2017/18.

- 41 A number of other more minor variations make up the overall directorate position.

Housing Revenue Account

- 42 41 The Housing Revenue Account budgeted to make a surplus of £3m in 2016/17 and the draft outturn position shows a surplus of £4.3m, an increase of £1.3m. This is a further improvement in the financial position of the HRA and will ensure the Council is well placed to deal with the ongoing rent reductions and forthcoming changes to HRA legislation including the sale of high value properties. While the full extent of the impact of these changes is not yet known, the HRA will be required to continue to make significant efficiencies in order to mitigate the reduction in income without reducing the HRA balance below prudent and sustainable levels..
- 43 There has been an overspend of £278k on repairs and maintenance. This is lower than that forecast at Monitor 3 and is partly due to an additional charge of void works to capital £96k and a delay in commencing the fire risk assessment work. There has been an initial increase in the productivity of the workforce following the introduction of mobile working and improvements in management controls. The service anticipates being able to use this increased capacity to pick up some of the work currently allocated to subcontractors. There has been a reduction in the use of subcontractors £1.2m in 2016/17 compared to £1.5m in 2015/16 however this needs to reduce further in order for the service to be within budget in 2017/18.
- 44 This is offset by an underspend of £139k primarily due to underspends on utility costs arising from voids and sheltered housing. Slippage arising from the capital IT and Water Mains programmes mean that the expected contribution to the capital programme from the revenue budget has been reduced by £393k. There were also a number of revaluation losses on non HRA dwellings totalling £269k. Lower than forecast levels of arrears required a reduced contribution to the bad debt provision (£326k).
- 45 There was additional income from dwelling rents totalling £160k. The original budget did not reflect the 0.9% rent increase for supported housing as this exemption from the 1% decrease had not been announced at the time of budget setting. In addition, delays to the implementation of the high value sales policy have lead to a small increase in rents recovered compared to budget.

- 46 The working balance position at 31 March 2017 is £22.7m. This is higher than forecast in the latest business plan (£20.2m) due to underspends achieved in both 2015/16 and 2016/17. The working balance is due to increase to £46m by 2024/25 when the first tranche of debt taken out as part of the self financing settlement is due to be repaid.
- 47 It is proposed that £220k of the additional level of working balance will fund two initiatives:
- Stock Conditions Surveys £100k. Executive (Oct 2016) agreed to HRA funding stock condition appraisal as part of review of Housing Stock Options
 - Building Services Business Change £120k. Additional fixed term post over 2 years to support new ways of working within Building Services

Corporate Budgets

- 48 These budgets include treasury management and other corporately held funds. Treasury management has generated an underspend of £945k, predominantly as a result of the significant slippage in the capital programme as reported in the Capital Outturn report also on this agenda. Some £17m that was expected to be spent during the year will now be spent in 2017/18 and 2018/19. This delay in spending has an impact on the treasury budgets resulting in lower interest payments/debt repayment. In addition, corporately held funds for pensions and other costs have under spent by £221k due to pension costs being lower than anticipated.

Reserves and contingency

- 49 The February 2017 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 2016/17 the reserve stood at £6.8m and, as part of the budget report, approval was given to maintain this level of reserve in 2017/18 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. It was further proposed that any revenue underspend in 16/17 would be transferred to reserves. It is therefore proposed that the underspend of £542k is transferred to reserves.

- 50 On the general contingency the Executive was advised within the Monitor 3 report that there remained an unallocated balance of £549k 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. As the position has improved at outturn, this has not been necessary and it is recommended that this remaining balance be transferred to the general contingency for 2017/18.
- 51 If approved, the transfer outlined above along with the base budget of £500k would take the balance on the general contingency to £1,049k. The level of reserves will increase from £6.8m to £7.3m.

Loans

- 52 Further to a scrutiny review, it was agreed that future reports would include a review of any outstanding loans over £100k. The only loan in this category is that of £1m made to Yorwaste, a company part owned by the Council, in June 2012. Interest is charged at 4% plus base rate meaning currently interest of 4.25% is being charged. All repayments are up to date.

Performance – Service Delivery

- 53 The Performance Framework surrounding the Council Plan for 2015-19 launched in July 2016 and is built around three priorities that put residents and businesses at the heart of all Council services.
- 54 The Council Management Team and Executive have agreed a core set of thirty indicators to help monitor the council priorities and these provide the structure for performance updates in the following sections. Some indicators are not measured on a quarterly basis but the DoT (Direction of Travel) is calculated on the latest three results whether they are annual, quarterly or monthly.
- 55 Of these 30 strategic indicators, 21 have stayed the same, 1 is still under development and there have been improvements, since quarter 3, in the following 8 strategic indicators:
- Number of Incidents of Anti-social Behaviour (ASB) within the city centre Alcohol Restriction Zone (ARZ) (Paragraph 61)
 - % of physically active and inactive adults - active adults (Paragraph 76)
 - Number of days taken to process Housing Benefit new claims and change events (Paragraph 81)
 - Overall Customer Centre Satisfaction (Paragraph 95)

- %pt gap between Free School Meals (FSM) and non-FSM pupils at 15, who attain a Level 3 qualification by the age of 19 (Paragraph 96)
- Median earnings of residents – Gross Weekly Pay (Paragraph 98)
- % of Talk-about panel who give unpaid help to any group, club or organisation (Paragraph 106)
- PDR Completion rate (Paragraph 115)

One indicator show a downward direction of travel, delayed transfers of care from hospital attributable to adult social care, but the most recent data in Q4 shows encouraging signs of improvement (Paragraph 66).

- 56 A number of major projects have also been undertaken during year, notably; the Budget Strategy for 2016/17-2020/21 which includes significant investment but also predicts a budget under spend; delivery of the EU referendum process; significant income from leasing West Offices to partner organisations; re-contracting of Park & Ride services; £101 million investment secured for key improvement works, including buildings and transport networks; transfer of health visitors and school nurses from the NHS to the Council; being awarded the Gold standard for homeless services; the YorWellbeing service has been launched; in January 2017 an Adult's safeguarding peer review took place with a very positive outcome and suggestions for further improvements to help support vulnerable adults, which followed on from the positive outcome of Ofsted's inspection of Children's Services in late 2016; major IT projects, such as procurement and implementation of a new case management system for Children's Social Care and an upgrade to the Adults Social Care case management system, along with mobile working, have also been delivered.

| | | 15/16 | 2016/17 | Benchmark | DoT | | | |
|---|--|---|--|---------------|---------------|-------------------------------------|--------------------------|---|
| Service Delivery | A Focus on Frontline Services | Number of Looked After Children (Snapshot) | 55 | 53 | 55.14 | Below National and Regional Average | → | |
| | | Number of Incidents of ASB within the city centre ARZ | 2,576 | 2,305 | 2,175 | NC | ↓ | |
| | | Household waste recycled / composted - (YTD) | 42.50% | 42.80% | 47.00% (Q3) | Same Regionally | ↑ | |
| | | Delayed transfers of care from hospital which are attributable to adult social care, per 100,000 population (YTD Average) | 6.3 | 6.9 | 7.49 (Prov) | Above National and Regional Average | ↑ | |
| | | % of panel confident they could find information on support available to help people live independently | NC | NC | 65.46% | NC | → | |
| | | Proportion of adults in contact with secondary mental health services living independently, with or without support | 55.10% | 28.50% | 39.21% | Below National and Regional Average | → | |
| | | % of physically active and inactive adults - active adults | 62.18% | 69.83% | - | Above National Average | ↑ | |
| | | % of pupils achieving 5+ A*-Cs GCSE inc. English & Maths at Key Stage 4 (new First Entry definition) - (Snapshot) | - | 0.04 | - | Above National Average | → | |
| | | Number of days taken to process Housing Benefit new claims and change events (DWP measure) | 5.91 | 5.87 | 5.58 | Above National Average | ↓ | |
| | A Council That Listens to Residents | % of panel who agree that they can influence decisions in their local area | BYS 2012/13 | 29.00% | 24.00% | 25.65% | Below National Average | → |
| | | | BYS 2013/14 | 91.00% | 83.00% | | | |
| | | % of panel satisfied with their local area as a place to live | BYS 2012/13 | 91.00% | 83.00% | 89.84% | Above National Average | → |
| | | | BYS 2013/14 | 63.00% | 54.00% | | | |
| | | % of panel satisfied with the way the Council runs things | BYS 2012/13 | 63.00% | 54.00% | 65.54% | Same as National Average | → |
| | BYS 2013/14 | | 58.15% | 91.54% | | | | |
| | Overall Customer Centre Satisfaction (%) - CYC | 58.15% | 91.54% | 92.48% | NC | ↑ | | |
| | A Prosperous City for All | %pt gap between FSM and non-FSM pupils at 15, who attain a Level 3 qualification by the age of 19 - (Snapshot) | (2013-14) | 41.70% | 32.00% | 32.00% | Above National Average | → |
| | | | (2014-15) | 476.9 | 496 | | | |
| | | Median earnings of residents – Gross Weekly Pay (£) | 476.9 | 496 | 509.6 | Below National Average | ↑ | |
| | | Net Additional Homes Provided - (YTD) | 507 | 1,121 | 977 | NC | → | |
| | | Business Rates - Rateable Value | £247,678, 158 | £247,997, 505 | £247,348, 791 | NC | → | |
| | | One Planet Council - All Resources - Total CO2 (t) (triennial measure) | 15,204 | NC | NC | NC | → | |
| | | % of panel who give unpaid help to any group, club or organisation | BYS 2012/13 | 45.00% | 55.00% | 64.30% | Below National Average | ↑ |
| | BYS 2013/14 | | - | 0 | 1 | | | |
| | Organisational Health Check | Performance | Red rated Major Projects - CYC | - | 0 | 1 | NC | → |
| | | | Amber rated Major Projects - CYC | - | 5 | 5 | NC | → |
| | | | Overall Council Forecast Budget Outturn (£000's Overspent / -Underspent) | £-688 | £-876 | £-542 | NC | → |
| | | Employees | PDR Completion (%) - CYC - (YTD) | 58.00% | 59.00% | 75.90% | NC | ↑ |
| Staff FTE - CYC Total (Excluding Schools) - (Snapshot) | | | 2,194 | 2,104 | 2,071.6 | NC | → | |
| Average sickness days lost per FTE - CYC (Excluding Schools) - (Rolling 12 Month) | | | 11.4 | 10.1 | 10.2 | Above National Average | → | |
| Voluntary Turnover (%) - CYC Total (Excluding Schools) - (Rolling 12 Month) | | | 7.00% | 7.00% | 7.60% | NC | → | |
| % of external calls answered within 20 seconds - CYC | | | 91.27% | 88.15% | 89.01% | Above National Average | → | |
| Customers | | % of complaints responded to within 5 days | Measure under development | | 75.40% | NC | → | |
| | | FOI & EIR - % In time - (YTD) | 94.00% | 95.60% | 93.14% | NC | → | |
| | | Digital Services Transactions / Channel Shift | Measure under development | | | NC | → | |

NC = Not due to be collected during that period,

Number of Children Looked After - this measure gives an understanding of the efficiency and effectiveness of a key front-line service which has impacts on vulnerability and the life chances of children

A Focus on Frontline Services

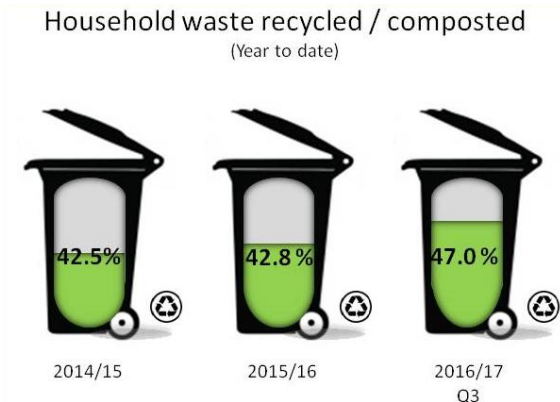
- 57 There were 204 children and young people in care at the end of March 2017. This number is within the safe and expected range.
- 58 The council is committed to placing as many looked after children in its care as possible within York placements and is therefore seeking to increase the number of foster carers by up to 25 households. This will enable more flexibly to match children and young people with the right foster carers and continue to bring young people back to York, when this is the right plan for them. To help achieve this, the council has signed up to the 'You Can Foster' regional initiative, helping with wider advertising campaigns such as television adverts to be screened in June 2017, September 2017 and January 2018. The campaign will be launched during "Fostering Fortnight" in May 2017, an event which will involve foster carers and children in care, and will run alongside York-led adverts on local radio and in the local press.
- 59 In November and December 2016, Ofsted inspectors spent four weeks examining services for children in need of help and protection, children looked after and care leavers, as well as reviewing the effectiveness of the Local Safeguarding Children Board. The report, released in February, found that children in care are very well supported by the council, their foster carers and schools and that York has high aspirations for children leaving care with a high percentage being in education, employment or training. York's Safeguarding Children Board was judged to be outstanding, only the second out of 117 Safeguarding Children Boards in England to be given the highest rating.
- 60 The Local Area Teams (LATs) were launched in January 2017 and are the centrepiece of York's early help arrangements for children, young people and families from pregnancy through to adulthood. The teams are now operating in our areas of highest need, based in Hob Moor, Tang Hall and Clifton but have responsibility for the local offer of the wider reach areas. The city centre young person's offer is delivered through resources drawn from the LATs rather than a distinct central resource. The purpose of a LAT is to; prevent the escalation of needs which may require, if not addressed, complex and costly interventions at a later point; work to reduce inequality of outcomes for our communities; multi-agency and bring together all partners in a local area that exist in the lives of children, young people and families; establish and understand what families or communities need and bring together partners to find a solution.

Number of Incidents of Anti-Social Behaviour within the city centre - this measure gives an understanding of the impacts of Anti-Social Behaviour on Leisure and Culture and therefore the "attractiveness" of the city

- 61 There have been 8,860 North Yorkshire Police Recorded ASB Calls for Service during 2016/17; this is in line with the total number recorded during 2015/16, when 8,997 ASB incidents were reported. During 2016/17, there have been 1,495 alcohol related ASB incidents which is a significant reduction on the 1,749 reported during 2015/16. Alcohol related ASB is accounting for approximately 40% of all ASB within the City Centre.
- 62 The Street Rangers, funded by York Business Improvement District (BID), have started work on a rough sleeping initiative, linking up with other homelessness agencies and the Police. Rough sleepers are signposted to charities able to support them with food and shelter. This also links with Pubwatch and University scheme Night Safe. The Rangers have also been instrumental in monitoring criminal activity and anti-social behaviour in the City Centre, and have forged close links with the business community and frontline Council staff, such as the Neighbourhood Environment Officers. They are currently working with the Police on Operation Erase to target summer weekends when ASB is expected.
- 63 Among plans recently formulated for the coming year is a pilot of Taxi Rank Marshals in Duncombe Place on Friday and Saturday nights. Following concerns raised about ASB by local hoteliers, residents and the Taxi Drivers Association, and supported by the Ward Committee and Police, this jointly funded initiative focusing on prevention will follow similar trials successfully carried out by other BIDs.

Household waste recycled / composted - this measure gives an understanding of a key outcome of the Council plan

- 64 In 2016/17 there were over 5 million refuse and recycling collections with the recycling rate within the city increasing to 47% (44% Q3 2015/16). Residual waste per household reduced to 412kg per household (417kg in Q3 2015/16) with 52% of respondents to the latest Talkabout survey thinking that the Council and partners are doing well helping to reduce amount of household waste.



- 65 A report on improving the efficiency of York's household waste collection service was approved at a public meeting on 9th January by the councillor responsible for the environment. The proposals included saving around £400k, reducing the amount of waste going to landfill and enabling the roll out of recycling collections to rural areas of the city that don't currently have them. Around a third of all households in York saw their collection

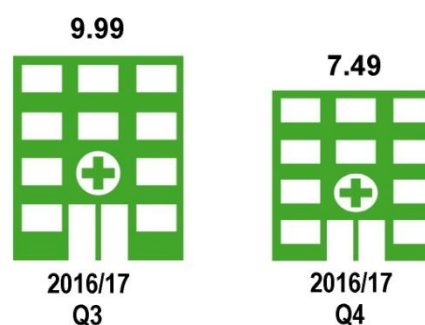
day for recycling changed. Rubbish (grey bin/black bags) and garden waste (green bin) collections were not affected.

Delayed transfers of care from hospital which are attributable to adult social care - this measure gives an understanding of how well our health and social care services are integrated

66 A delayed transfer of care occurs when a hospital patient is deemed medically fit to be discharged, but cannot be released from hospital because they are awaiting a package of care from either the NHS and/or a local authority. The number of days that hospital patients are delayed in these circumstances are aggregated and measured to show how well NHS and local authority adult social care services are working together. Patients are recorded as having entered hospital via an “acute” (Accident and Emergency) pathway or via a “non-acute” (other method, for example by entry to a provider of mental health services) pathway.

67 There continues to be a downward trend in the number of days that patients are delayed leaving hospital that are attributable to adult social care. In the year ending the first quarter of 2016/17, on average, delays averaged 9.99 days per 100,000 population; in the year ending in the final quarter, this had reduced to 7.49 days per 100,000 population. Looking at how patients entered hospital, the number of days delayed for patients in the “acute” pathway continues to decrease over time (283 in the last quarter of 2016/17 compared with 573 in the first quarter), and, similarly, there is a decrease for patients in the “non-acute” pathway (a total of 371 delay days in the last quarter of 2016/17 compared with 876 delay days in the third quarter). Significant work done with the Tees, Esk and Wear Valleys NHS Foundation Trust reduced the amount of time that Mental Health non-acute patients spent waiting for packages of care during the last quarter.

Delayed Transfers of Care Attributable to Adult Social Care (per 100,000 population)



68 The Better Care Fund (BCF) provided CYC and the Vale of York Clinical Commission Group (VoY CCG) with finances to work together on a range of measures – including delayed transfer of care – aimed at improving outcomes for NHS and adult social care users in the City of York area. The total number of days that patients have been delayed during 2016/17 (10,535) across both social care and the NHS was higher than the BCF partnership measure plan (9,837), although, in line with the commentary for adult social care above, both partners saw an improvement in performance during the final quarter. The proportion of delays attributable

to adult social care during the final quarter (32%) was less than in the previous quarter (35%).

- 69 The overall increase in the number of days patients were delayed waiting for care packages meant the partnership BCF measure target was missed, and both CYC and the VoY CCG will work together to try and ensure that this does not happen again during 2017/18.

% of residents confident they could find information on support available to help people live independently - this measure gives an understanding of residents' ability to support themselves in line with new adult social care operating model

- 70 65% of the respondents to the latest Talkabout survey (up from 64% in June), are confident they could find information on support available to help people live independently with 56% saying that they could find this information on CYC website and 49% by contacting their GP.
- 71 Between November 2016 and January 2017 a "mystery shopping survey" was carried out on behalf of the Yorkshire and Humberside Association of Directors of Adult Social Services. Representatives posed as customers contacting the adult social care teams to seek advice on a range of issues by telephone, website, face to face, through the main council reception and out of main office hours services. The results showed that the website, safeguarding access and out of hours services were rated as 'excellent' with reception, face to face and telephone services being rated as 'good'.
- 72 Avoiding permanent placements in residential and nursing care homes is a good measure of how effective packages of care have been in ensuring that people regain control of their lives. Research suggests that, where possible, people prefer to stay in their own home rather than move into residential care. The end-of-year rate for younger adults (aged 18-64) requiring permanent residential and nursing care was slightly higher than anticipated, with 11.27 younger adults per 100,000 population being placed into these homes (although this equates to 17 people entering them rather than the target of 15) during 2016/17. For older people the rates of those assessed as needing to go into residential care increased during Q4 and this meant that during 2016/17 248 new placements were made in total (a rate of 670 per 100,000, compared with the target of 620 per 100,000).

Proportion of adults in contact with secondary mental health or learning difficulties services that are living independently - this measure gives an understanding of adults' social care users perception of their ability to support themselves

- 73 Improving employment and accommodation outcomes for adults with mental health and learning difficulties are linked to reducing risk of social exclusion and discrimination. Supporting someone to become and remain

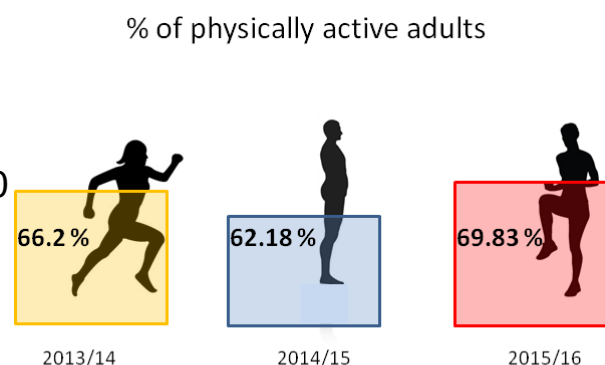
employed is a key part of the recovery process, while stable and appropriate accommodation is closely linked to improving people's safety and reducing their risk of social exclusion. The data provided at Q4 for clients in employment show that performance for those with learning disabilities has remained stable during 2016/17, with 7-8% of those with LD in employment. The data provided at Q4 for clients with learning disabilities in suitable accommodation (80% of them) are significantly lower than the target (85%) and lower than the 2015/16 end-year position (84%).

74 At the end of 2016/17 10.39% of all clients in contact with secondary mental health services were in employment, which represents a doubling of the rate reported at the end of Q1 (5.12%), and represents good progress in ensuring that employment is obtained for this group; it has exceeded the target of 10%. There has also been considerable progress during the year in obtaining suitable accommodation for this group: at the end of Q4, 52% of them were living independently, compared with 21% at the end of Q1.

75 There is a strong link between employment and enhanced quality of life, reducing the risk of social exclusion and evidenced benefits for health and wellbeing. Although considerable progress has been made for clients in contact with secondary mental health services in both securing employment and accommodation, there is still work to be done in securing accommodation as the end-year position is lower than target (which was to ensure 62% of this group were in suitable accommodation).

% of Physically Active Adults (to be replaced by people engaging with Wellbeing service after launch) - this measure gives an understanding of the overall health of the cities residents

76 Data on physical activity for York residents is now being obtained from the health checks conducted by the Yorwellbeing Team. From the first 50 workplace health checks carried out, over 75% of people reported doing at least 150 minutes moderate intensity physical activity per week. This is in line with the 70% figure reported for York residents from the 2015 Active People Survey Results. As more health checks are conducted we will obtain a more detailed picture of the health of residents in different parts of the City on a range of measures such as BMI, blood pressure, blood sugar levels, smoking status, alcohol use and consumption of fruit and vegetables.



- 77 Residents, who responded to the Talkabout survey in December, were asked for one thing they could do to improve their health in the next year and the responses were very similar to the answers in June with exercise being mentioned most frequently. Responses also referred to action the council or health services should take instead of the resident, such as improving access to health related services and GP waiting times.
- 78 The Joint Health and Wellbeing Strategy 2017-2022 was approved by the Health and Wellbeing Board in March 2017. The new strategy broadly follows a 'life course' approach with themes that include: starting and growing well; living and working well and ageing well; it also has a theme on mental health and wellbeing. There are some specific objectives which relate to physical activity including: supporting people to maintain a healthy weight, helping residents make good choices and reducing inequalities for those living in the poorer wards and for vulnerable groups.
- % of pupils achieving 5+ A*-Cs GCSE inc. English & Maths at Key Stage 4 - this measure gives an understanding of educational attainment levels within the city**
- 79 The performance tables for schools again confirm that York's young people are making good progress. KS4 performance in York for the attainment measure of 5 A*-C including English and Maths was well above national and regional averages in 2016 and pupils made above average progress.
- 80 Progress 8 is a measure of the progress made by pupils between Key Stage 2 and selected subjects at GCSE. It is calculated for every pupil and progress in English and Maths is double weighted. A positive score represents progress above the average for all pupils and a negative score progress below the average for all pupils. The city wide average of Year 11 pupils Progress 8 scores shows York is slightly above the national average and inside the top third of LAs nationally. The council commitment to school improvement and facilitating driving up standards has included two primary schools expanding with new school buildings, at Lord Deramores and Carr Infants school sites.

Number of days taken to process Housing Benefit new claims and change events - this measure gives an understanding of the efficiency and effectiveness of a key front-line service

- 81 There has been significant improvement in performance over the past 3 years and, in October 2016, new on-line benefit claim forms were introduced to speed assessment times. This has resulted in the average number of days taken to process a new Housing Benefit claim or a change in circumstance of an existing claim being reduced to 5.5 days, which is the best performance on record for the Council. Regionally our performance is positive and we are still outperforming all authorities apart from East Riding. Introducing performance incentives has also seen the work outstanding fall, to a record low, with just 670 items outstanding.

Number of days taken to process Housing Benefit new claims and change events (DWP measure)



A Council That Listens to Residents

- 82 Talkabout, our citizens' panel, is comprised of a representative sample of around 1,000 York residents who are invited to complete a bi-annual survey to capture a variety of resident satisfaction measures across all areas of council business.

% of residents who agree that they can influence decisions in their local area - this measure gives an understanding of residents' recognition about how we are listening and reacting to residents views

% of residents who have been actively involved in redesigning and delivering services - this measure gives an understanding of residents' recognition about how they are involved in service redesign

- 83 The York Community Recycling Fund, of £30,000, was established in September 2016 to provide the opportunity for community groups to apply for up to £5,000 to support community schemes so that they can make a real impact on the city's recycling and waste prevention performance. In March 2017, 18 projects were approved across the city including a bike repair & reuse project at Archbishop Holgate's School and creating a green community centre in Tang Hall.
- 84 To help shape the 2017/18 Budget proposals, the Council invited residents to have their say to assist the council's Executive. The consultation closed on 25th January with 1,339 responses from residents and businesses. Respondents thought increased Council Tax would help balance the Council's budget (65%), and/or increased charges (36%) with fewer people opting for reduced services (21%). Adult's social care

services, road and footpath maintenance and children's social care services were the services most respondents would prefer to have increased funding. The services most selected to have reduced funding were sport and leisure (32.32%) and theatres and museums (37.69%).

Some of the Outcomes of the budget consultation that were agreed at the February executive were;

- Council tax increase of 0.7% in 2017/18. In addition an increase of 3% in line with the government's social care precept, which provides support for social care
- £1.8m additional funding for adult social care contracts
- Growth of £535k to cover unavoidable contractual price increases mainly in waste services, and also in children's services
- Growth of £52k for winter maintenance to increase the number of gritting routes
- Growth of £48k for additional resource in planning enforcement to improve performance on enforcement investigations
- One off investment of £345k to fund the continued development of the Local Plan
- A release of one off funding in earmarked reserves of £676k to fund transport improvements, £200k to support mental health and £400k to support financial inclusion

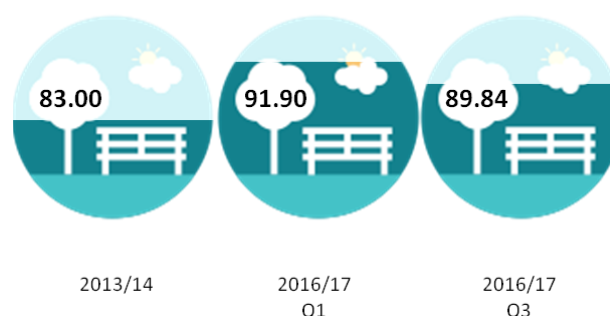
85 The latest national figure is 35% (Community Life Survey 2015/16) but in York, only 26% of respondents to the latest Talkabout survey agreed that they could influence decisions in their local area which is a decrease from 29% in June. In addition 40% disagreed that they could influence decisions in their local area.

86 Community forums for a number of the major planning projects have been setup, in order to discuss, listen and communicate with residents, the plans and progress of these schemes.

% of residents satisfied with their local area as a place to live - this measure gives an understanding of residents' views about the area and the quality of their ward / neighbourhood

87 The latest national figure is 86% (Community Life Survey 2015/16) and in York, 92% of respondents to the latest Talkabout survey are satisfied with York as a place to live and 90% with their local area. This was a slight reduction from 92% in June.

% of panel satisfied with their local area as a place to live



- 88 89% of respondents to the latest Talkabout survey agreed that it is important to feel they belong to their local area but only 75% agreed that they did belong and 81% agree that York is a good place for children and young people to grow up. 70% agree that York is a place where people from different backgrounds get on well together.
- 89 In November 2016, Bisto commissioned a survey to assess 'social and civic attachments' and York was unveiled as the friendliest UK city with 42 per cent of locals having a neighbour they could call for help if they lost a key. A quarter engage in social activities in their neighbourhood or check in and offer help to vulnerable neighbours.
- 90 During December and February, City of York Council facilitated the BID to dress the historic Bar Wall entrances to the City with sparkling lights. This proved to be a major success, with at least 10,000 interactions on social media and positive press coverage. Invitations to tender for the Winter 2017 campaign are expected in early May for evaluation with the intention of capitalising on the success of this year with plans for displays on a much larger scale.

% of residents satisfied with the way the Council runs things - this measure gives an understanding of residents' satisfaction with frontline service delivery and the Council's responsiveness to residents' views

- 91 66% of the respondents to the Talkabout survey in December, are satisfied with the way the Council runs things (the same as in June) which compares well with the LG Inform benchmark figure of 65% for 2015/16 however only 45% agree that the Council provides value for money.

% of residents who think that the Council and partners are doing well at improving the quality of streets/public spaces - this measure gives an understanding of residents' satisfaction with frontline service delivery and the Council's responsiveness to residents' views

- 92 47% of the respondents to the Talkabout survey in December (up from 45% in June), think that the Council and partners are doing well at improving the quality of streets/public spaces. More panellists were positive about how well the council was doing at improving green spaces and helping to reduce household waste.
- 93 Future Cleaning Services have been contracted as a 24 rapid response street cleaning team for the BID levy area. The service builds on the ongoing baseline cleansing efforts provided by Council and include routine deep cleaning such as heavy-duty pavement jet wash, gum, flyposting and graffiti removal and rapid response clean-up.

94 In 2016/17 there were 86,708 square metres of streets and 14,455 square metres of footpaths resurfaced and 48 gritting treatments (2,192 tonnes of salt) applied to the primary network. There were also 2,477 street lighting faults repaired with 4,000 lamps replaced and 1,000 illuminated bollards cleaned.

Overall Customer Centre Satisfaction (%) - CYC - (being replaced with Digital service satisfaction 2017) - this measure gives an understanding of the quality of our face to face, phone and front office customer services (and in future our digital services through the CYC website)

95 Customer Satisfaction remains high with 92% of people rating the service as either good or very good.

A Prosperous City for All

%pt gap between FSM and non-FSM pupils at 15, who attain a Level 3 qualification by the age of 19 - this measure gives an understanding of the inequality gap

96 Attainment at age 19 remains generally positive however there have been concerns about the outcomes gap between both disadvantaged young people and young people with Special Educational Needs (SEN) and their peers. Latest figures from April 2017 show the attainment gap is closing in some areas and, to address remaining challenges, Further Education providers will be challenged and supported by the council to sustain focus on these groups.

97 In addition, Learning and Work Advisers from the council’s Local Area Teams will provide specialist information, advice and guidance to young people who are in the care of the local authority, those in alternative education provision, those in the youth justice system, and those aged 16-18 who are Not in Employment, Education or Training (NEET). Appointments and group work will be available at locations across the city based on local need and will complement the careers guidance and support provided through schools and other education providers under their statutory duties.

Median earnings of residents – Gross Weekly Pay (£) - this measure gives an understanding if wage levels have risen within the city, a key corner-stone in the cities economic strategy

98 In 2016 the median gross weekly earnings for residents of York were £509.60 which was an increase of 2.82% from £496.00 in 2015. The median earnings are higher than the Yorkshire & the Humber average of £498.30 but lower than the Great Britain average of £541.00. York is currently ranked 7/22 in the region (up from 8/22 in 2015) with Selby ranked the highest

Median earnings of residents
Gross Weekly Pay (£)



with the median gross weekly pay of £549.40 and Craven ranked the lowest with a gross weekly pay of £413.10. We are aware that York still fails to meet its full potential in terms of wage levels and part of the reason for this is the availability of space for high quality employment. The recently agreed economic strategy includes a number of areas to assist these issues; including developing York Central; delivering the local plan; and promoting university led growth.

99 Figures from the Office for National Statistics showed there were 625 JSA claimants in York in March which is an increase of 5 from last month but a decrease of 30 from March 2016. The claimant count for York represents 0.5 per cent of the working population, which is lower than both the regional and national figures of 1.6% and 1.2% respectively in March 2017. The recent figures also highlight a fall of 10 in the youth unemployment count since March 2016. The youth unemployment figure of 0.3% is lower than both the regional and national figures of 1.3% and 1% respectively.

100 Data released by the Department of Work and Pensions is published 6 months in arrears - the latest data relates to November 2016. The total number of working age Benefit Claimants continues to fall (a reduction of 160 to 8,750 from 8,910 August 2016). This represents 6.4% of the working age population and is lower than both the regional and national figures of 12.6% and 11.1% respectively. The reduction is predominantly due to a decrease in the number of Out of Work Benefit Claimants (a 1.16% reduction to 6,790 from 6,870 in August 2016).

Net Additional Homes Provided - this measure gives an understanding of how many new homes have been built in the city

101 The latest data (Q4 2016/17) shows that there were 977 additional homes provided up to the end of the financial year which is a reduction from the 1,121 provided for the same period last year. Of these additional homes, 16% were for off campus privately managed student schemes and 26% were from sites benefitting from relaxed permitted development rights to allow conversion to residential use. Some 451 net housing consents were granted (39% for sites benefitting from the relaxation of permitted development rights).

102 The Department for Communities and Local Government awarded the Council £265,000 to carry out feasibility and design studies for 340 city-centre council homes in The Groves. The regeneration project would also look at widening the type of homes and this could include converting extra internal space by adding dormer conversions to traditional pitched roof flats, by building extensions onto housing blocks and perhaps selling the larger period terrace houses. It might also involve separating family and older people's housing, building more bungalows and perhaps creating

self-contained studio flats to broaden the types of tenure and in response to housing benefit restrictions.

Business Rates - Rateable Value - this measure gives an understanding of how much money the Council is likely to receive to spend on public services

103 The rateable value is the legal term for the notional annual rental value of a rateable property, assessed by the valuation officers of the VOA (Valuation Office Agency). The latest valuation was undertaken in 2010 with the next revaluation taking effect from 1st April 2017. The draft list (published on 29th September) shows a 4.8% percentage change increase in the rateable value for York with Yorkshire and the Humber decreasing by 0.3% but England increasing by 9.1%. Currently English authorities keep hold of 50% of locally-collected business rates with the other half going into a central government pool and redistributed back to the local authorities according to need.

104 The introduction of online direct debit forms, low cost and swift collection, has increased the collection rates for both Business Rates and Council Tax. The use of "Analyse" software has been used to identify increases in rateable values which has been maximising the collection rates, with the 2016-17 annual rate of 99.04% being the highest on record for Business Rates. This compares with 98.43% in 2015/16. The collection rate for Council Tax at the end of Q4 was 97.57% compared with 97.51% at the end of 2015/16.

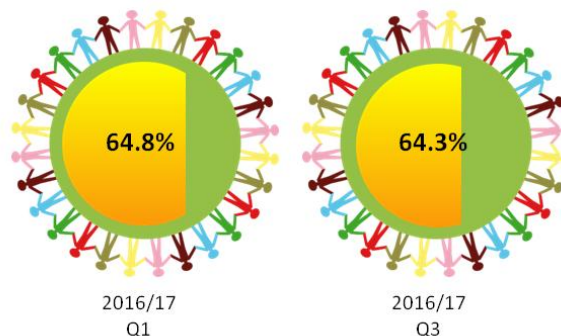
One Planet Council - All Resources - Total CO2 (t) - this measure gives an understanding of how many resources the Council is consuming, potential impact on the environment, and progress towards reducing

105 On 16 March 2017, the Executive approved the use of the One Planet Council framework, which set out the Council's ambition to put sustainability and resilience at the heart of its decision-making processes. Executive also agreed to the use of the 'Better Decision Making' tool which will embed the One Planet principles into the decision-making processes across the Council.

106 In January, the Department for Transport (DfT) awarded i-Travel York a further £1.3 million to deliver sustainable transport projects that seek to grow the economy by boosting levels of cycling and walking, and by improving access to jobs, skills, training and education. i-Travel York aims to inspire people in York to help look after our city - to keep it moving and keep the air clean - by considering travel options before making a journey. This additional funding will continue to help to reduce congestion, improve air quality and provide sustainable travel options for everyone in York.

% of residents who give unpaid help to any group, club or organisation - this measure gives an understanding of how much volunteering is currently being undertaken within the city

- 107 64% of the respondents, who responded to the Talkabout survey (December 2016), give unpaid help to a group, club or organisation which still compares favourably with the government's Community Life Survey 2015/16 (published in July 2016) this found that 47% of respondents reported any volunteering at least once a month and that 70% reported any volunteering in the past 12 months.



Performance

Major Projects - this measure gives an understanding of the performance of the large projects the Council is currently working to deliver

- 108 There are currently 10 major projects in progress (11 in Q3). Each project is given a status to give an overview of significant risks and provide assurance as to how individual projects are being managed. 5 are rated Amber (6 in Q3) and there is 1 red rated project (Digital Services - CRM). In terms of the Major Projects, Allerton Waste Recovery Park (AWRP) has been added to the list. This project is managed by North Yorkshire County Council (NYCC) who engage directly with Amey Cespa. City of York Council are a major stakeholder and as the project nears completion closer attention is being given to ensure the Council is ready when commissioning starts in the summer and when the facility is operational at the beginning of 2018. The Older Persons' Accommodation Programme now includes the Burnholme Project and the York Central project now includes the York Central Access project.

Performance – Other

- 109 The Ofsted inspection of services for children in need of help and protection, children looked after and care leavers that took place in Winter 2016 has praised work to listen and respond to the voices of children and young people. Quotes from the inspection report include *“The voice of children is integral to strategic and operational activity... It is a particular strength that the local authority has prioritised capturing in assessments the voice of the child... It is a particular strength that the voices of children looked after are heard by senior managers and influence strongly how some services and policies are developed.... Clear processes are in place for children to make a complaint.... Advocacy support is strong, enabling children to feel supported in resolving issues of concern to them.”*

110 The Voice and Involvement Group is currently undertaking a piece of work to review and update the YorOK Voice and Involvement Strategy. This will help focus the development of voice arrangements across the city.

111 The 2017 U_Matter survey provided a chance for children and young people in care to feedback to the City of York Council about their experiences of being in care. A total of 77 children and young people aged 11-21 took part in this survey, 84% of whom were still in care and 16% were care leavers. The majority of young people felt their workers and carers treated them with respect (97%), which has increased from 85% in 2015. Young people were also asked if they felt they had a say in the decisions that had been made about them and 85% felt they had while 15% felt they hadn't, which is in line with results from 2015.

Performance – Employees

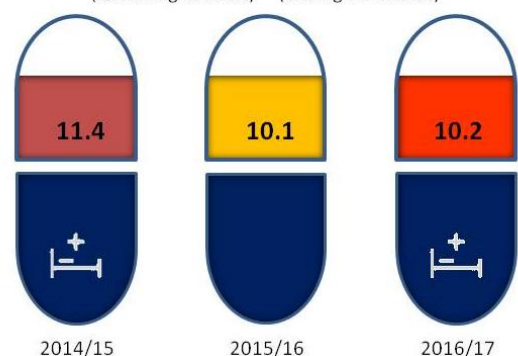
Staff Total - this measure gives an understanding of total numbers of staff, and our staffing delivery structure

112 The number of people employed by the Council (excluding schools) has decreased to 2,610 (2,070 FTEs) at the end of March, from 2,643 (2,107 FTEs) in December.

Average sickness days lost per FTE (12 Month rolling) - this measure gives an understanding of the productivity of the organisations employees

113 The 12 month rolling average of sickness days per FTE (excluding schools) has increased slightly to 10.2 days (from 10.1 in 15/16) and still remains higher than the CIPD Public Sector average of 8.7 days. Stress related absence averaged 2.2 days per FTE in 2016/17, down slightly from 2.3 days in 2015/16.

Average sickness days lost per FTE - CYC
(Excluding Schools) - (Rolling 12 Month)



The Council has committed to the Public Health England Workplace Wellbeing Charter, a statement of intent showing the council's commitment to improving the health and wellbeing of the people who work for the organisation. An accreditation assessment will take place in July.

This area is a major area of focus for the council corporate management team whilst organisational changes continue, and improved monitoring and controls within this area are being used. Changes to sickness absence reporting have been made, and managers are making better use of iTrent so that absence is reported directly into this system. This is a more efficient process for managers and also allows email alerts about

their staff who meet an absence trigger point, along with web-links to information and guidance on how to manage the absence.

Staffing Turnover - this measure gives an understanding of the number of staff entering and leaving the organisation

- 114 The percentage of employees voluntarily leaving the organisation over the past 12 months has increased to 7.6% (7.0% in 2015/16), 16.6% of whom left within their first year of service.

Staffing PDR Completion Rates - this measure gives an understanding of how we making sure that the organisations strategic aims, goals and values are being passed to all employees

- 115 City of York Council is committed to developing confident, capable people, working positively for York. As part of that commitment, all colleagues are entitled and encouraged to reflect on their performance and discuss future aspirations and work goals through regular one to ones and an annual Performance and Development Review (PDR) appraisal. Three quarters of employees have a PDR recorded against their electronic employment record and it is anticipated further improvements in electronic recording will be made through the 2017/18 performance review process.

Staff Satisfaction - this measure gives an understanding of employee health and their satisfaction with the Council and a place to work and its leadership, management and practices

- 116 In July a staff survey will be undertaken to understand the levels of satisfaction and engagement within the Council and the validation of the People Plan implementation.

Performance – Customers

External Calls answered within 20 seconds - this measure gives an understanding of speed of reaction to customer contact

- 117 The council's Customer Centre is the main point of contact for residents and business visitors. During 2016-2017 244,277 calls were received, with 96% answered (91% 2015-2016). 75% of the calls were answered within 20 seconds (66% 2015-2016). This demonstrates a consistent improvement in performance. The number of residents who came to West Offices decreased to 112,893 (141,556) with the average wait of 7.2 minutes). 75% of residents were seen within the target wait time of 10 minutes (70% 2015-2016).

- 118 53,646 business visitors came to West Offices during 2016-2017 (67,998 2015-2017). The reduction in demand across our phone and face to face channels shows the changing behaviour of our residents; 21,332 payments were made using the auto payments system and 67,219 customers used the telephone auto operator.

119 From October 2016 residents have been encouraged to complete certain transactions online. As an example since November 2,454 street light and street cleansing issues were reported with 1,315 (55%) of these now being logged by residents online.

120 Since August 2016 412 new housing benefit claims have been completed using the self-serve points. 110 change of circumstances have been completed by customers since February 17. This change in behaviour allows the customer centre to continue to improve the service to residents and, respond to the needs of our most vulnerable residents as was always envisaged.

% of complaints responded to within 5 days

121 In Q4 2016/17 the council received 394 stage 1 complaints and of these 75.4% were responded to within the 5 day timescale. Where timescales were not met, this was because of resource pressures in some service areas. Work is ongoing to ensure complaints performance is monitored and there is cross council learning from complaints in a systematic manner.

FOI & EIR - % In time - this measure gives an understanding of our speed of reaction to FOI's

122 In Q4 2016/17 the council received 510 FOIs, EIRs and SARs. In-time compliance of 92.4% has been achieved for FOIs (Freedom of Information requests) and 97.2% for EIRs (Environmental Information Regulations requests) and there has been sustained performance improvement for in-time compliance with Data Protection Act Subject Access to Records requests (SARs), of 80.6%.

Annexes

123 All performance data (and approximately 880 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

124 Not applicable.

Options

125 Not applicable.

Council Plan

126 The information and issues included in this report demonstrate progress on achieving the priorities set out in the Council Plan.

Implications

127 The implications are:

- **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** There are no legal implications.
- **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

128 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.

Contact Details

| | | | | |
|---|--|---|-------------|-------------|
| Authors: | Chief Officer Responsible for the report: | | | |
| Debbie Mitchell Corporate Finance & Commercial Procurement Manager Ext 4161 | Ian Floyd Director of Customer & Corporate Services (Deputy Chief Executive) | | | |
| Ian Cunningham Group Manager – Shared Intelligence Bureau Ext 5749 | Report Approved | ✓ | Date | 7 June 2017 |
| | | | | |
| Wards Affected: All | | | | ✓ |
| For further information please contact the authors of the report | | | | |

Background Papers:

None

Abbreviations:

| | | | |
|------|--|------|--|
| ANPR | Automatic Number Plate Recognition | FTE | Full Time Equivalent |
| ARZ | Alcohol Restriction Zone | GCSE | General Certificate of Secondary Education |
| ASB | Anti-Social Behaviour | HCA | Homes and Communities Agency |
| AWRP | Allerton Waste Recovery Park | HRA | Housing Revenue Account |
| BCF | Better Care Fund | JSA | Jobseeker's Allowance |
| BID | Business Improvement District | LAT | Local Area Team |
| BMI | Body Mass Index | NEET | Not in Employment, Education or Training |
| CCG | Clinical Commissioning Group | NHS | National Health Service |
| CHC | Continuing Health Care | NYCC | North Yorkshire County Council |
| CIPD | Chartered Institute of Personnel and Development | NYP | North Yorkshire Police |
| CRM | Customer relationship management | PDR | Performance and Development Review |
| CYC | City of York Council | PPP | Public-Private Partnership |
| DSG | Dedicated Schools Grant | SEN | Special Educational Needs |
| EIR | Environmental Information Regulations | SHMA | Strategic Housing Market Assessment |
| FOI | Freedom of Information | VOA | Valuation Office Agency |
| FSM | Free School Meals | | |



Executive

29 June 2017

Report of the Director of Customer and Corporate Support Services
(Deputy Chief Executive)
Portfolio of the Leader of the Council

**Capital Programme Outturn 2016/17 and Revisions to the 2017/18 –
2021/22 Programme**

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 shows an outturn of £35.751m compared to an approved budget of £52.428, an overall variation of £16.677m.
3. The net variation of -£16.677m is made up as follows:
 - Requests to re-profile budgets of a net -£17.196m of schemes from 2016/17 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 £519k (majority funded from external funding sources such as Government Grants)
4. 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.

5. The main areas of re-profiling included within the £17.196m include:
- £1.263m - DfE Maintenance Programme budget (*para 14*)
 - £614k – Older Persons Accommodation Review (*para 18*)
 - £1.142m - Local Authority homes Phase 1 (*para 21-22*)
 - £2.761m – Extension to Glen Lodge (*para 25-26*)
 - £1.111m – Harewood Whin Transfer station (*para 36*)
 - £555k - Better Bus Area (*para 38*)
 - £3.536m – York Central (*para 44-45*)
 - £714k – IT Development Plan (*para 62-69*)

Recommendations

6. The Executive is requested to:
- Note the 2016/17 capital outturn position of £35.751m and approve the requests for re-profiling totalling £17.196m from the 2016/17 programme to future years.
 - Note the adjustments to schemes increasing expenditure in 2016/17 by a net £519k
 - Note the adjustments to schemes increasing expenditure in future years totalling £11.339 in 2017/18 and £10.286m in 2018/19
 - Recommend to Full Council the restated 2017/18 to 2021/22 programme of £252.615m as summarised in Table 3 and detailed in Annex A.
 - Approve the use of £38k from Capital contingency to fund the purchase of land at Piccadilly in 2017/18 as set out in paragraph 48-50.
 - Approve the use of £150k from Capital contingency to the Mansion House scheme in 2017/18 as set out in paragraph 55-60
7. Reason: To enable the effective management and monitoring of the Council's capital programme

Consultation

8. The capital programme was developed under the Capital Budget process and agreed by Council on 25 February 2016. Whilst the capital programme as a whole is not consulted on, the individual scheme proposals and associated capital receipt sales do follow a

consultation process with local Councillors and residents in the locality of the individual schemes.

Summary of Key Issues

9. Table 1 below shows the total variances for individual departments along with requests for re-profiling.

| Department | Para Ref | Approved Budget £m | Revisions to Approved Budget (re-profile) £m | Revised Budget £m | 2016/17 Outturn £m | Net increase/ (decrease) in expenditure (All externally funded) £m |
|--|----------|-----------------------|---|----------------------|-----------------------|--|
| | | (1) | (2) | (3) | (4) | (5) |
| | | | | (1) + (2) | | (4) - (3) |
| Children, Education & Communities | 12-17 | 7.871 | (1.829) | 6.042 | 6.061 | 0.019 |
| Health, Housing & Adult Social Care – Adult Social Care | 18 | 2.862 | (732) | 2.130 | 2.169 | 0.039 |
| Health, Housing & Adult Social Care – Housing & Community Safety | 19-31 | 15.810 | (4.863) | 10.947 | 11.012 | 0.065 |
| Economy & Place – Transport, Highways & Environment | 32-40 | 12.600 | (4.087) | 8.513 | 8.731 | 0.218 |
| Economy & Place – Regeneration & Asset Management | 41-52 | 7.848 | (4.470) | 3.378 | 3.414 | 0.036 |
| Community Stadium | 70-72 | 1.000 | (0.054) | 0.946 | 0.949 | 0.003 |
| Corporate Schemes | 53-60 | 1.640 | (0.327) | 1.313 | 1.266 | (0.047) |
| IT Development Plan | 61-69 | 2.797 | (0.834) | 1.963 | 2.149 | 0.186 |
| Total | | 52.428 | (17.196) | 35.232 | 35.751 | 0.519 |

Table 1 – Summary of capital outturn by department

10. The variations of £519k as set out in table 1 are funded by corresponding changes in the use of Government grants, S106 funds, the Major Repairs Grant and Commuted Sums. The following paragraphs set out the main variances and the requirements for re-profiling above £100k. All other variations below £100k are shown in the accompanying annex. All the explanations are based on movement against the approved monitor 3 position.
11. The Adjustments made to future capital budgets in 2017/18 are set out within the relevant department headers below at paragraphs 16, 35, 46, 55.

Children, Education & Communities

12. Capital Expenditure on schemes within the Children, Education & Communities service totalled £6.061m in 2016/17. This investment has mainly been in two priority areas – expansion of schools to meet increasing pupil demand, and expenditure to enhance and prolong the life of the Authorities Schools estate. The second area has been a significant challenge due to the combination of an ageing school estate, and declining financial resources.
13. The Fulford Schools Expansion scheme has a capital outturn position of £1.652m in 2016/17. This expenditure funded the major expansion and investment at the school, including kitchen and dining room refurbishments, and some re-roofing works to older parts of the school. The work was completed by October 2016 half term, and completes the major £7m investment at the school, which has been delivered within budget.
14. Total Capital expenditure on DfE Maintenance schemes and the Schools electricity supplies schemes totalled £2.449m in 2016/17. This expenditure funded a number of significant repairs at maintained schools across the city. Dunnington Primary has had a major roof replacement scheme carried out at a cost of approximately £600k, with work completed during the summer. Significant roofing projects were completed at Carr Junior School at a cost of £97k, Lakeside Primary TCU (£38k), Ralph Butterfield Primary (£63k), St Mary's Primary (£90k), Tang Hall Primary (£85k) and York High (£158k), with minor roofing works at Dringhouses Primary, Naburn Primary and Stockton on Forest Primary. Heating and electrical works have been

completed at Woodthorpe Primary, costing £200k. A major kitchen refurbishment has been carried out at Copmanthorpe Primary at a cost of £100k, with a further one at Poppleton Road Primary costing approximately £170k. Replacement doors and windows have been installed at Danesgate, costing £150k. York High Therapy and Hygiene suite, delayed from 2015/16 was completed, and various minor repairs have been carried out at a number of other schools across the city.

15. The 2016/17 maintenance figure in the programme reflects an earlier estimate of the amount of maintenance funding available, and was overstated by £285k. This has been removed from both the expenditure budget and funding. This has no effect on the programme of work as the correct available funding was used in determining the programme. This therefore explains 285k of the 2016/17 budget variance. Other changes include the addition £68k of other resources (section 106, UIFSM) allocated into maintenance schemes thus freeing up an equivalent £68k to carry forward. The remaining slippage is partly due to a significant proportion of the emergency contingency budget for the winter not being required (approximately £100k), plus outstanding payments / retentions on schemes (£150k) and scheme under spends totalling approximately £300k on the budgets originally set aside for these schemes
16. The Basic Need scheme has a capital outturn position of £506k in 2016/17. This has funded various works including a contribution of £206k to the Pathfinder MAT, for expansion at Archbishop Holgate's Academy to improve the catering facilities and social spaces to meet the needs of the growing school. The scheme requires funds of £197k to be transferred into 2017/18 mainly to an amount of £165k held in contingency in 2016/17 for unforeseen urgent pressures emerging which was not required. Major review of Basic Need planned spending to be carried out prior to Monitor 1, as there are no current plans for major additional schemes in 2017/18. An adjustment of £1.523m has been made in 2019/20 to reduce the budget to reflect the revised level of expenditure following the announcement in Spring 2017.
17. The Council contributed £770k of capital expenditure towards Theatre Royal in 2016/17. This expenditure contributed to a larger scheme carried out by the Theatre to improve the main auditorium, enhance the front facade of the building and front of house area including the foyer, along with energy efficiency improvements.

Health, Housing & Adult Social Care – Adult Social Care

18. Capital Expenditure within the Adult Social Care service area totalled £2.169m in 2016/17.
19. The Capital Budget spent within Adult Social care has led to a number of outcomes during the year. Expenditure of £920k on the Older Persons Accommodation Programme has seen good progress made over the last year. Enabling works have been undertaken at Burnholme, the former secondary school has been demolished and a preferred bidder has been appointed to start building the new care home and community facilities. The slippage on this scheme of £614k into 2017/18 is due to a short delay in the start of this building work. A preferred bidder has also been appointed to start work on the Oakhaven site in Acomb earmarked for Extra Care

Health, Housing & Adult Social Care – Housing & Community Safety

20. Capital Expenditure on schemes within the Housing & Community Safety service area totalled £11.012m in 2016/17.
21. The Local Authority Homes scheme has a capital outturn position of £1.732m in 2016/17. This expenditure has seen 6 new two bedroom houses completed at Pottery Lane in 2016/17, and a development of 8 new two bedroom flats at Fenwick Street is due for completion in June 2017. The Scheme requires funds of £1.154m to be transferred into 2017/18.
22. Proposed developments at Newbury Avenue and Chaloners Road have been delayed. Members requested an alternative scheme to the proposed development of 9 flats at Newbury Avenue. The development now proposed is for 5-6 bungalows and will be submitted for planning approval in July. The development of homes at Chaloners Road was postponed when the developer withdrew from the contract. A revised scheme will be submitted for planning approval in late summer 2017. There was also a final release of retention relating to the scheme at Lilbourne Drive totalling £55k. This has been funded from Housing capital receipts
23. The Disabled Facilities Grant Scheme has seen capital expenditure totalling £1.061m in 2016/17 which has seen 252 enquiries for support from the adaptation programme during 2016/17 and funded:

45 stairlifts; nearly 100 level access shows and a range of other adaptations. There were a further 1,437 minor adaptations (work up to £1k) completed in the year. The Scheme requires funds of £417k to be transferred into 2017/18.

24. In February 2016 the Government announced a doubling of the government contribution to this scheme from £558k to £1,019k; however it was not possible to introduce new processes within the year that would accelerate the level of grants and assistance. The service has now introduced a number of measures that should enable that grants can be processed quicker and more residents supported to continue living in their own accommodation. The budget is also supporting expenditure arising from the "YorWellbeing Falls" prevention scheme in Clifton ward. The slippage along with a further £82k government support provides a budget of £1,995k in 2017/18
25. Construction of the 27 home extension to Glen Lodge Extra Care facility in Heworth is progressing well. Expenditure of £1.4m compared to budget of £4.1m was incurred in 2016/17, with the balance of £2.7m requiring transferring to 2017/18 and 2018/19.
26. This expenditure has meant that two bungalows are now complete and await internal fit-out. The three-storey apartment block is now constructed and awaits its roof. Internal fit out has also begun on the lower floors. Planning consent has been granted for the changes to the existing building entrance and these will be undertaken in the summer, ready for the occupation of the extension in September 2017. Good resident and neighbour relations are being maintained. The cost estimates are within the overall budget with the potential for a slight under spend
27. The Major Repairs Scheme has incurred total expenditure of £4.241m in 2016/17. Funds of £359k require transferring into 2017/18 as these funds are now expected to be required in 2017/18.
28. The Tenants Choice programme within the Major Repairs scheme has seen 120 properties have their kitchens, bathrooms and wiring updated through the year. This is significantly lower than the 220 properties that were planned. This is due to problems with tenants refusing works, delays due to damp problems and delays with kitchen deliveries. As a result of these delays an improvement plan was set by the council along with the Contractor and the programme has started to see an increased number of properties being improved per

week. It is anticipated that going forward 5 properties per week (50 weeks) will be completed. The scheme under spent by £416k in 2016/17

29. A further 630 installations of new energy efficient boilers and central heating systems have also been completed during the year at a cost of £1,288k. There was also expenditure incurred updating void properties. The planned roof replacement programme on 12 blocks of flats has slipped into 2017/18 however a contractor has now been selected and the works are now on site.
30. The Modernisation of Local Authority Homes scheme has total expenditure of £2.918m in 2016/17 which has resulted in a programme of work during the year including external door replacements, major damp works, asbestos removal works, and a number of improvements to sheltered schemes (boilers, security doors, communal areas and fire remedial works).
31. There are a number of requests to re-profile budget to future years within the housing & Community Safety Capital Programme totalling £4.863m and an increase in expenditure of £65k of which was £10k was externally funded by the Major Repairs Allowance and £55k from housing capital receipts

Economy & Place – Transport, Highways & Environment

32. Capital Expenditure on various schemes within Transport, Highways & Environment totalled £8.731m in 2016/17.
33. Within Transport there have been improvements to traffic signals and systems including the renewal of 5 signalised pedestrian crossings and the upgrade of 3 signalised junctions and 9 variable message signs. There has been a new signalised pedestrian crossing installed at New Lane, Huntington and a new signalised junction at Water Lane/Green Lane, Clifton Moor. There were also 8 traffic detection cameras installed at various junctions. There have been upgrades to 6 school safety schemes and 6 local safety and speed management schemes. In addition the Holgate Road cycle route improvement has been completed. These schemes have been delivered at a cost of £1.45m in 2016/17.

34. Within highways the carriageway resurfacing programme has completed the resurfacing of 86,708 m² of carriageway and there have been surface dressing works to 65,000m². Alongside this footway maintenance has been completed for 14,455m² of footways. There have been 310 replacements of street lighting concrete columns including LED lanterns. In addition to this there have also been 1,400 LED lantern conversions. These schemes have cost a total of £4.53 in 2016/17.
35. A new scheme in 2017/18 is to be added to the capital programme within highways to reflect the £250k DfT grant which has been received to fund a one year trial of pot hole detecting cameras. These cameras should aid early identification of road surface problems before they become potholes.
36. The Harewood Whin Transfer Station requires funds of £1.111m to be transferred into 2017/18. Funding to support Yorwaste's capital programme was not required in 2016/17 as their capital programme has slipped. It is currently envisioned that it will be drawn down in Summer 2017.
37. The Knavesmire Culverts scheme requires funds of £266k to be transferred into 2017/18. A long period of investigations and resultant works following the December 2015 flood event has impacted on the resource available from the Flood Risk Management Team to deliver wider projects. The Knavesmire culvert work was delayed in agreement with Public Realm because of this.
38. The Better Bus Area Fund has an outturn position of £733k in 2016/17. DfT funding in this area has been spent on the conversion of city sightseeing buses to electric drive. There have also been upgrades to various elements at the park and ride sites along with bus priority improvements in various locations across the city. The scheme requires funds of £555k to be transferred into 2017/18 to continue funding schemes in the following areas:
 - £206k in relation to Tour bus conversions which have been delayed as change to battery design meant amendments to the engine design were needed. Conversion work started in March and should be completed in the autumn

- £58k in relation to Park and Ride site upgrades - The proposed new barrier system at Monks Cross P&R was delayed due to the Stadium development, but will be progressed in 17/18.
- £154k in relation to the Clarence Street Bus priority scheme - Work on the scheme could not be progressed until the utility companies (BT & Northern Powergrid) had agreed dates for the utility diversion work required for the scheme, so work did not start on site until January 2017. The scheme will be completed in July 2017.
- £55k in relation to the Fulford Road punctuality improvement partnership - Further feasibility work is needed before the proposed improvements to bus stops on Fulford Road can be progressed

39. The Local Transport Plan scheme has a capital outturn position of £1.894m in 2016/17. These funds have primarily spent on improvements to traffic measures as set out in paragraph 33, along with further smaller schemes including the A19 pinch point. The scheme requires funds of £421k transferring into 2017/18. This is primarily made up of:

- £66k in relation to school safety schemes – The upgrade to school crossing patrol equipment was delayed as the award of the tender was further delayed due to queries following the equipment demonstration. The tender has now been awarded, and the upgrades should be done in early 17/18.
- £65k in relation to other safety schemes - A number of smaller schemes were completed in 16/17, but two of the larger schemes (Thanet Road LSS & Kingsway North/ Burdyke Ave) were delayed due to issues raised with the design of proposed schemes.
- £53k Water Lane Bus stop improvement schemes - Due to issues with the procurement of real-time information screens, it has not been possible to complete the upgrades to bus stops set out in the S106 agreement. However, some work (new bus shelters) was done at two sites as it could be carried out with S278 schemes at those locations
- £48k in relation to speed management schemes - The Speed Management Review process (where speeding complaints are

investigated by the council and decision made on whether engineering measures are appropriate) has been delayed due to problems with collecting accurate data on traffic speeds, so progress on identifying schemes to be implemented has been delayed as a result of this

40. The York City Walls repair and renewal scheme requires funds of £303k to be transferred into 2017/18. Progress has been delayed as design of schemes and gaining approval (Scheduled Monument Consent) from Historic England took longer than originally expected, plus additional work was needed on Tower 39 (near Fishergate Bar) due to safety concerns.

Economy & Place – Regeneration & Asset Management

41. Capital expenditure on various schemes within Regeneration & Asset Management totalled £3.414m in 2016/17.
42. The Capital budget spent in 2016/17 has delivered a number of Outcomes including maintenance of the council's assets including structural repairs, along with supporting new loans within the Leeds City Region Revolving Investment Fund and further progress on the York Central scheme.
43. The Leeds City Region (LCR) Revolving Investment Fund (RIF) was created in 2015/16 as a £20m regional fund to help stalled infrastructure schemes. City of York Council's contribution to the fund has totalled £1.632m. During 2016/17 two loans were agreed by the RIF for Housing schemes in Leeds and in Addingham, Bradford. York's contribution to these schemes in 2016/17 totalled £654k, therefore requiring budget of £421k to be transferred into 2017/18. Further loans are anticipated to be made in 2017/18 and the loans already provided should start to be repaid allowing the fund to become fully revolving.
44. The York Central scheme is progressing with masterplanning continuing over the spring/summer period. The partners are working together to model potential infrastructure costs, future land values and potential business rate retention. Reports will be brought back to Executive through 2017/18 with options as to how the overall site delivery will be funded including potential use of Enterprise Zone borrowing.

45. Funds of £3.536m in relation to this scheme require transferring into 2017/18. £1.02m of the expenditure incurred during the year related to Land acquisition approved by Executive in July 2016. The further land acquisition approved in November 2016 was financed by Homes and Communities Agency therefore this funding slips into future years
46. A report on the Development of the Guildhall Complex was taken to Executive on 16 March 2017 and set out a revised Capital budget of £12.78m along with development plans which was approved by Members. This requires an increase to existing budget for this scheme within the capital programme of £11.278m between 2017/18 and 19/20. A developer is currently being procured to carry out the re-development.
47. In October 2016 Executive approved a budget of £1.145m to purchase the leasehold at 23 and 36 Hospital Fields Road as investments to provide revenue for the commercial estate. The service completed the purchase of 36 Hospital Fields Road in December 2016 resulting in expenditure during the year of £862k however the purchase of 23 Hospital Fields road has been delayed into 2017/18 as contractual details are finalised with the seller, consequently the remaining funds of £283k require transferring into 2017/18.
48. In October 2015 a report was taken to the Leader and Chief Executive Member for Finance and Performance regarding the general fund's acquisition of a piece of land at Piccadilly from Yorkshire Housing, and the disposal of a section of Housing Revenue Account land at Bouthwaite Drive to the same party. The value of both pieces of land was agreed at £38k. At that time the decision was taken to explore a land swap option, however these discussions have proven to be unsuccessful. As a result the two transactions will now be undertaken separately, and consequently the council is now in a position to complete the purchase of the land at Piccadilly for £38k.
49. The land at Piccadilly is adjacent to the council owned site at 17-21 Piccadilly. Acquiring the site will improve the development potential of the land package and will improve the council's ability to deliver its masterplan for the regeneration of Castle Gateway.
50. The report in October 2015 indicated that the purchase could be funded from capital contingency. A request is therefore sought that a

budget of £38k is created for this purchase in 2017/18 to be funded from Capital Contingency.

51. Details of the level of Capital contingency are considered in paragraphs 59 and 60 in this report.
52. There were also expenditure on maintaining the council's assets including structural repairs on Marygate riverbank (£116k), demolition and remediation at 17-21 Piccadilly £48k, installation of new water main at Yorkcraft (£17k) and works at various libraries. The slippage includes structural work to the roof at Yearsley swimming pool that commenced early in 2017/18

Customer and Corporate Services

53. Capital expenditure on schemes within Customer and Corporate services totalled £1.233m in 2016/17.
54. Within Customer and Corporate Services the capital programme has been focussed on the restoration of the Mansion House and ongoing development of ICT infrastructure. Key achievements include the development of an information management app, expansion of mobile working and a range of important security enhancements
55. The Mansion House Restoration scheme has an outturn position of £1.031m in 2016/17, requiring re-profiling of £515k of funds from 2017/18 into 2016/17.
56. As reported at Monitor 3 a new Principal Contractor as been appointed to complete the work on the Mansion House site. The work is now expected to be completed in August 2017.
57. As the works contract has progressed a number of areas of additional work have been identified as necessary to safeguard the future of the Mansion House, these works are as follow :
 - additional stabilisation and conservation works to the State Room ceiling;
 - additional scaffolding works
 - additional works to prepare the main facade for re-decoration;
 - additional fire compartmentalisation between the second and third floors;
 - additional works to the flues and chimneys necessary to enable the ventilation and kitchen extraction system to be installed.

58. These essential restoration works will cost an additional £150k and require some extension to the contract period, but will secure the future of the building for generations to come.
59. A request is therefore sought for an increase in budget of £150k in 2017/18 to be funded from Capital Contingency.
60. The remaining £323k of the Capital Contingency budget in 2016/17 will be re-profiled into 2017/18 leaving a balance of £573k in total in 2017/18. Subject to the allocation of the £150k outlined above and £38k for the purchase of land on Piccadilly (para 50) this balance will reduce to £385k.

Customer and Corporate Services - IT

61. IT schemes in the capital programme have a total outturn position of £2.149m in 2016/17.
62. The ICT development plan has a capital expenditure totalling £2.048m in 2016/17. This expenditure has seen significant achievements made on individual schemes. Additional services have been provided through the mobile working project that improve the way customers are able to interact with the council through the introduction of text messaging for appointment reminders for building services that save time and money on repeat appointment requirements, the further expansion of device trials within Adult Social Care and the ability for the mental health team to complete their assessment reports within Total Mobile.
63. Both Adults and Children's Case management systems have been migrated over to the new Mosaic platform. On line revenues has been successfully launched as has the 'my account' functionality for customers accessing on line services. Free Wifi has been extended into Micklegate in order to promote additional footfall into the area. On the security front the Council has implemented a cutting edge security suite covering Antivirus, Antimalware, AntiRansomeware, web filtering and spam, offering next generation protection against the increasing threats landscape.

64. A new self service password reset tool has been implemented that provides CYC staff these services 24/7/365. Under the bonnet work includes the procurement of a new storage and virtualisation system that will significantly improve performance at a reduced cost. A review of the current housing systems has been completed. Research was carried out to identify the extent and scope of the work that would be needed to integrate the 15 systems currently supporting the delivery of the housing service and in particular the upgrades and development work required to the three main systems used (Northgate's iWorld and Asset Management systems and Civica's Servitor) to enable the housing team to achieve CYC's strategic objectives and to deliver a joined up, customer centric, fit for purpose housing service of the future. The review has been concluded with a report and the preparation of a business case with the options for change and transformation of the service.
65. An app has been developed with our colleagues in the Transparency & Feedback Team in response to the recent ICO audit. The app will help business leads to manage their informational and data assets in a more joined up and transparent way, enabling CYC to better meet our data handling responsibilities. The app has generated considerable interest from other local authorities (e.g. Leeds and NYCC) and may provide a future income opportunity for CYC.
66. Total funds of £714k require re-profiling into 2017/18 in relation to the IT Development Plan overall. This is to allow the delivery of planned corporate projects including the replacement of the CRM and other multi year projects that are currently underway, including others that have been deferred in terms of commencement until 2017/18.
67. Within the Super Connected Cities programme, CYC has continued to grow the relationships with Service Providers to increase our digital/broadband footprint. Build is currently ongoing in Copmanthorpe (with a view to complete in June 17) which will enable just over 1,600 homes to benefit from Ultrafast Broadband. Work has just commenced in the Heslington/Badger hill area that will pass approx 900 homes and next in the pipeline to start in July 17 will be Haxby & Wigginton
68. This is one of the larger builds that will continue until at least December 17 passing in excess of 5,000 homes. The Superfast West Yorkshire and York programme is now coming to fruition after 2 years

of work with our partners. Work is being done on a variety of rural York areas with two cabinets going live in the last few months that allow residents and businesses to access superfast fibre. By the end of the current phase of this scheme over 1100 premises will be able to access superfast broadband. To plug gaps in rural areas that are yet to be superfast enabled, CYC are working with suppliers and partners to ensure that as many homes and businesses as possible can be connected. Such options include voucher schemes and a community fibre partnerships that involve investment from BT and crowd funding options

69. Total funds of £120k therefore require transferring into 2017/18. The work done was funded in 2016/17 from the external grant monies received from BDUK and therefore the CYC funding was not required. Due to the timing of the grant claims being made and the funding being received, a surplus of grant was received in 2016/17, resulting in an adjustment of £101k externally funded.

Community Stadium

70. The Community Stadium capital scheme has an outturn position of £949k in 2016/17.
71. Following a report to Executive on 16 March 2017, the project is currently out to tender to procure a builder. This is expected to be completed in July 2017 at which point a further report will be brought back to Executive.
72. The Project timetable has been revised with £19.972m of funds being transferred from 2017/18 into 2018/19. This is to reflect the anticipated future capital budget profile

Funding the 2016/17 Capital Programme

73. The 2016/17 capital programme of £35.751m has been funded from £20.504m external funding and £15.247m of internal funding. The internal funding includes resources such as revenue contributions, Supported Capital Expenditure, capital receipts and reserves.

74. 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 2017/18 – 2021/22 Capital Programme

75. As a result of this report amendments have been made to future year's capital programmes as a result of re-profiling schemes from 2016/17 to future years as set out above.
76. The restated capital programme for 2017/18 to 2021/22 split by portfolio is shown in table 3. The individual scheme level profiles can be seen in Annex 1.

| | | 2017/18 Budget | 2018/19 Budget | 2019/20 Budget | 2020/21 Budget | 2021/22 Budget | Total Budget |
|-------------|--|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|-------------------------|
| | | £m | £m | £m | £m | £m | £m |
| CEC | Children's, Education & Communities | 28.463 | 6.101 | 2.391 | 4.845 | 0 | 41.800 |
| HH & ASC | Adult Social Care & Adult Services Commissioning | 5.825 | 3.781 | 0.565 | 0.565 | 0.565 | 11.301 |
| HH & ASC | Housing & Community Safety | 33.399 | 13.071 | 10.108 | 9.689 | 9.812 | 76.079 |
| E&P | Transport, Highways & Environment | 21.558 | 7.590 | 7.414 | 6.963 | 6.415 | 49.940 |
| E&P | Regeneration & Asset Management | 14.749 | 7.692 | 0.860 | 0.220 | 0.220 | 23.741 |
| CCS | Community Stadium | 15.926 | 20.026 | 0 | 0 | 0 | 35.952 |
| CCS | Customer & Corporate Services | 2.458 | 0.419 | 0.250 | 0.250 | 0.250 | 3.627 |
| CCS | IT | 3.325 | 2.025 | 1.970 | 1.085 | 1.770 | 10.175 |
| | Total | 125.703 | 60.705 | 23.558 | 23.617 | 19.032 | 252.615 |

Table 3 – Restated Capital Programme 2017/18 to 2021/22

77. Table 4 shows the projected call on Council resources going forward.

| | 2017/18 £m | 2018/19 £m | 2019/20 £m | 2020/21 £m | 2020/21 £m | Total £m |
|--------------------------------|----------------|---------------|---------------|---------------|---------------|----------------|
| Gross Capital Programme | 125.703 | 60.705 | 23.558 | 23.617 | 19.032 | 252.615 |
| Funded by: | | | | | | |
| External Funding | 60.987 | 30.344 | 13.344 | 15.752 | 10.623 | 131.050 |
| Council Controlled Resources | 64.716 | 30.361 | 10.214 | 7.865 | 8.409 | 121.565 |
| Total Funding | 125.703 | 60.705 | 23.558 | 23.617 | 19.032 | 252.615 |

Table 4 - 2017/18 –2021/22 Capital Programme Financing

78. 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.
79. The capital programme has now achieved all the assumed capital receipts, and looking ahead into 17/18 and beyond, any capital receipts (other than those earmarked receipts for the older person programme) will be additional resource for the council. There are a number of potentially significant capital receipts that may be generated in the future. Where these receipts are realised they will be presented to members as part of the regular budgetary reports in terms of options for the most prudent use of such receipts. It should be noted however that there is already an assumption within the revenue budget savings plans for some of these potential receipts to be used to generate future revenue savings.
80. During 2016/17 Total Capital Receipts of £1.328m were received into the General Fund Capital Receipts Reserve. Within this figure the largest receipt of £1.08m related to the sale of a former Older Peoples home Oliver's House. In July 2015 Executive Members decided to ring-fence the investment of up to £4m of capital receipts from the sale of the surplus to requirements older persons assets for use on the Older Peoples Accommodation Programme. The receipts received in this financial year have therefore been set aside to fund a

range of projects relating to this programme, including the ongoing work at Burnholme. It should be noted there will be a further receipts in relation to Oliver House in 2017/18 following completion.

81. Further assets in relation to this programme are due to be sold during 2017/18 and 2018/19 including Fordlands, Grove House and Willow House and these will also be used to support the Older Peoples Accommodation Programme, up to the level previously agreed. Surplus capital receipts over this level will be available to support other council priorities
82. The remaining receipts received related to the release of restrictive covenants and the sale of Tanner Row toilets.
83. It is expected that a number of further Capital receipts will be received in 2017/18 and 2018/19 in relation to Ashbank, Stonebow house, 29 Castlegate, 10/11 Redeness Street and Hungate overage on residential sales. This non-ringfenced will continue to be paid into the Capital Receipts reserve, and options for the most prudent use of these non ring-fenced receipts will be set out in future budgetary reports to members.
84. In financing the overall capital programme the Director of Customer & Corporate Services 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

85. Not applicable

Options

86. Not applicable

Council Plan

87. The information contained in this report demonstrates progress in achieving the priorities set out in the Council Plan.

Implications

88. 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** - There are no Legal implications as a result of this report.
 - **Crime and Disorder** - There are no crime and disorder implications as a result of this report.
 - **Information Technology** - There are no information technology implications as a result of this 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

89. 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. In addition, the Capital Asset Board meet monthly to plan, monitor and review major capital schemes to ensure that all capital risks to the Council are monitored and where possible minimised

Contact Details

| | | | |
|---|---|---|--------------------------|
| Authors: | Chief Officer responsible for the report: | | |
| Emma Audrain Technical Accountant Corporate Finance | Ian Floyd Director of Customer & Corporate Support Services (Deputy Chief Executive) | | |
| Debbie Mitchell Corporate Finance Manager Corporate Finance | Report Approved | ✓ | Date 19 June 2017 |
| | | | |
| Wards Affected: All | | | |
| For further information please contact the authors of the report | | | |

| |
|--|
| Specialist Implications: |
| Legal – Not Applicable |
| Property – Philip Callow |
| Information Technology – Not Applicable |

Annexes

Annex A – Capital Programme by year 2016/17 – 2021/22

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| | 2016/17 | 2016/17 | 2016/17 | 2016/17 | 2016/17 | 2017/18 | 2016/17 | 2016/17 | 2018/19 | 2016/17 | 2016/17 | 2019/20 | 2016/17 | 2016/17 | 2020/21 | 2016/17 | 2016/17 | 2021/22 | Gross Capital Programme To be Funded |
|--|-----------|---------------|-----------------|------------|--------------|-----------------|------------|-----------|-----------------|---------------|-----------|-----------------|-------------|-----------|-----------------|----------|-----------|-----------------|--------------------------------------|
| | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | |
| | Adj | Reprofile | Budget | Adj | Reprofile | Budget | Adj | Reprofile | Budget | Adj | Reprofile | Budget | Adj | Reprofile | Budget | Adj | Reprofile | Budget | 17/121/22 |
| | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 |
| CEC - Children, Education & Communities | | | | | | | | | | | | | | | | | | | |
| CEC - Children & Education | | | | | | | | | | | | | | | | | | | |
| NDS Devolved Capital | | | 399 | -22 | | 367 | -86 | | 284 | -123 | | 228 | -236 | | 195 | | | 0 | 1,473 |
| - External Funding | | | 399 | -22 | | 367 | -86 | | 284 | -123 | | 228 | -236 | | 195 | | | 0 | 1,473 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| DIE Maintenance | 68 | -1,263 | 2,154 | 235 | 1,263 | 3,123 | | | 1,373 | | | 1,236 | | | 2,400 | | | 0 | 10,286 |
| - External Funding | 68 | -1,263 | 2,154 | 235 | 1,263 | 3,123 | | | 1,373 | | | 1,236 | | | 2,400 | | | 0 | 10,286 |
| Basic Need | | | 506 | | | 197 | | | 19,175 | -1,523 | | 727 | | | 2,250 | | | 0 | 26,902 |
| - External Funding | | | 506 | | | 197 | | | 19,175 | -1,523 | | 727 | | | 2,250 | | | 0 | 26,902 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Huntington Secondary School - New Block | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Universal Infant Free School Meals | -20 | -45 | 17 | | 45 | 45 | | | 0 | | | 0 | | | 0 | | | 0 | 62 |
| - External Funding | -20 | -45 | 17 | | 45 | 45 | | | 0 | | | 0 | | | 0 | | | 0 | 62 |
| - Internal Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Fulford School Expansion | | | 1,652 | | 189 | 289 | | | 0 | | | 0 | | | 0 | | | 0 | 1,941 |
| - External Funding | | | 1,652 | | 189 | 289 | | | 0 | | | 0 | | | 0 | | | 0 | 1,941 |
| - Internal Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Carr Junior Expansion | | | 0 | | 39 | 39 | | | 0 | | | 0 | | | 0 | | | 0 | 39 |
| - External Funding | | | 0 | | 39 | 39 | | | 0 | | | 0 | | | 0 | | | 0 | 39 |
| - Internal Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| St Barnabas Primary Expansion | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Schools Electrical Supply Upgrade | | | 295 | | 20 | 20 | | | 0 | | | 0 | | | 0 | | | 0 | 315 |
| - External Funding | | | 295 | | 20 | 20 | | | 0 | | | 0 | | | 0 | | | 0 | 315 |
| - Internal Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Family Drug & Alcohol Assess/Recovery Facility | | | 0 | | | 100 | | | 0 | | | 0 | | | 0 | | | 0 | 100 |
| - External Funding | | | 0 | | | 100 | | | 0 | | | 0 | | | 0 | | | 0 | 100 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Knavesmire Classroom Expansion | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Enhanced Resource Provision - SEN | | | 0 | | | 525 | | | 0 | | | 0 | | | 0 | | | 0 | 525 |
| - External Funding | | | 0 | | | 525 | | | 0 | | | 0 | | | 0 | | | 0 | 525 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Investment in Community Based Premises | -33 | | 197 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 197 |
| - External Funding | -33 | | 197 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 197 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Children & Young Peoples services & Building based provision review | | | 0 | | | 100 | | | 0 | | | 0 | | | 0 | | | 0 | 100 |
| - External Funding | | | 0 | | | 100 | | | 0 | | | 0 | | | 0 | | | 0 | 100 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Southbank Expansion | | | 2 | | 48 | 2,498 | | | 0 | | | 0 | | | 0 | | | 0 | 2,500 |
| - External Funding | | | 2 | | 48 | 2,498 | | | 0 | | | 0 | | | 0 | | | 0 | 2,500 |
| - Internal Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Capital Maintenance Works to Schools - Ventilation & Electrical | | | 0 | | | 554 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - External Funding | | | 0 | | | 554 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| CEC - Communities | | | | | | | | | | | | | | | | | | | |
| York Explore Phase 2 | 4 | | 17 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 17 |
| - External Funding | 4 | | 17 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 17 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| York Explore - Haxby Library | | | 52 | | 28 | 28 | | | 0 | | | 0 | | | 0 | | | 0 | 80 |
| - External Funding | | | 52 | | 28 | 28 | | | 0 | | | 0 | | | 0 | | | 0 | 80 |
| - Internal Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Haxby Library Re provision | | | 0 | | | 500 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - External Funding | | | 0 | | | 500 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Corporate Prudential Borrowing | | | 0 | | | 500 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - External Funding | | | 0 | | | 500 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Castle Museum Development Project | | | 0 | | | 300 | | | 200 | | | 200 | | | 0 | | | 0 | 0 |
| - External Funding | | | 0 | | | 300 | | | 200 | | | 200 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| York Museums Trust Visitor Facilities and Product Development | | | 0 | | | 800 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - External Funding | | | 0 | | | 800 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| York Theatre Royal | | | 770 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 770 |
| - External Funding | | | 770 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 770 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| TOTAL GROSS EXPENDITURE | 19 | -1,829 | 6,061 | 213 | 1,829 | 28,463 | -86 | 0 | 6,101 | -1,646 | 0 | 2,391 | -236 | 0 | 4,845 | 0 | 0 | 0 | 46,978 |
| TOTAL EXTERNAL FUNDING | 16 | -1,781 | 4,863 | 213 | 1,781 | 25,536 | -86 | 0 | 5,901 | -1,646 | 0 | 2,191 | -236 | 0 | 4,845 | 0 | 0 | 0 | 45,010 |
| TOTAL INTERNAL FUNDING | 3 | -48 | 1,198 | 0 | 48 | 2,927 | 0 | 0 | 200 | 0 | 0 | 200 | 0 | 0 | 0 | 0 | 0 | 0 | 1,968 |
| HH&ASC - Adult Social Care & Adult Services Commissioning | | | | | | | | | | | | | | | | | | | |
| Joint Equipment Store | -17 | | 108 | | | 125 | | | 125 | | | 125 | | | 125 | | | 125 | 608 |
| - External Funding | -17 | | 108 | | | 125 | | | 125 | | | 125 | | | 125 | | | 125 | 608 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Disabled Support Grant | | | 174 | | 6 | 196 | | | 200 | | | 210 | | | 210 | | | 210 | 990 |
| - External Funding | | | 174 | | 6 | 196 | | | 200 | | | 210 | | | 210 | | | 210 | 990 |
| - Internal Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Telecare Equipment | -16 | -104 | 169 | | 104 | 411 | | | 230 | | | 230 | | | 230 | | | 230 | 1,270 |
| - External Funding | -16 | -104 | 169 | | 104 | 411 | | | 230 | | | 230 | | | 230 | | | 230 | 1,270 |
| - Internal Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| OPH Infrastructure Works | 3 | | 86 | | | 9 | | | 0 | | | 0 | | | 0 | | | 0 | 95 |
| - External Funding | 3 | | 86 | | | 9 | | | 0 | | | 0 | | | 0 | | | 0 | 95 |
| - Internal Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Changing Lives Grant + Autism Grants | -5 | | 0 | | | 0 | | | 0 | | </ | | | | | | | | |

| | 2016/17 | 2016/17 | 2016/17 | 2016/17 | 2016/17 | 2017/18 | 2016/17 | 2016/17 | 2018/19 | 2016/17 | 2016/17 | 2019/20 | 2016/17 | 2016/17 | 2020/21 | 2016/17 | 2016/17 | 2021/22 | Gross Capital Programme To be Funded 17/12/22 £000 |
|--|---------------|----------------|-----------------|--------------|----------------|-----------------|--------------|----------------|-----------------|----------|----------------|-----------------|----------|----------------|-----------------|----------|----------------|-----------------|--|
| | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | |
| | Adj £000 | Reprofile £000 | Budget £000 | Adj £000 | Reprofile £000 | Budget £000 | Adj £000 | Reprofile £000 | Budget £000 | Adj £000 | Reprofile £000 | Budget £000 | Adj £000 | Reprofile £000 | Budget £000 | Adj £000 | Reprofile £000 | Budget £000 | |
| Little Knavesmire Pavilion | 3 | -8 | 550 | 8 | 8 | 8 | | | 0 | | | 0 | | | 0 | | | 0 | 558 |
| - External Funding | 0 | -8 | 547 | 8 | 8 | 8 | | | 0 | | | 0 | | | 0 | | | 0 | 555 |
| - Internal Funding | 3 | | 3 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 3 |
| TOTAL GROSS EXPENDITURE | 39 | -732 | 2,169 | 208 | 732 | 5,825 | 0 | 0 | 3,781 | 0 | 0 | 565 | 0 | 0 | 565 | 0 | 0 | 565 | 12,658 |
| TOTAL EXTERNAL FUNDING | 36 | -162 | 1,552 | 178 | 107 | 285 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1,678 |
| TOTAL INTERNAL FUNDING | 3 | -570 | 617 | 30 | 625 | 5,540 | 0 | 0 | 3,781 | 0 | 0 | 565 | 0 | 0 | 565 | 0 | 0 | 565 | 10,980 |
| HH&ASC - Housing & Community Safety | | | | | | | | | | | | | | | | | | | |
| Modernisation of Local Authority Homes | | -42 | 2,009 | 42 | 2,918 | 1,629 | | | 1,116 | | | 1,113 | | | 1,355 | | | 1,355 | 8,785 |
| - External Funding | 540 | -42 | 1,984 | 42 | 494 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 2,478 |
| - Internal Funding | -540 | | 25 | | 2,424 | 1,629 | | | 1,116 | | | 1,113 | | | 1,355 | | | 1,355 | 6,307 |
| Assistance to Older & Disabled People | 10 | | 510 | | 400 | 412 | | | 424 | | | 437 | | | 450 | | | 450 | 2,183 |
| Major Repairs Allowance | 510 | | 510 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 510 |
| - External Funding | 510 | | 510 | | 400 | 412 | | | 424 | | | 437 | | | 450 | | | 450 | 1,673 |
| - Internal Funding | -500 | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| MRA Schemes | | -359 | 4,241 | 359 | 6,669 | 6,247 | | | 6,379 | | | 6,209 | | | 6,223 | | | 6,223 | 29,745 |
| - External Funding | | -359 | 4,241 | 359 | 6,669 | 6,247 | | | 6,379 | | | 6,209 | | | 6,223 | | | 6,223 | 29,745 |
| - Internal Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Local Authority Homes - Phase 1 | 55 | -1,154 | 1,732 | 1,154 | 8,848 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 10,580 |
| - External Funding | 0 | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | 55 | -1,154 | 1,732 | 1,154 | 8,848 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 10,580 |
| Water Mains Upgrade | | -10 | 0 | 10 | 731 | 0 | | | 231 | | | 132 | | | 136 | | | 136 | 1,094 |
| - External Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -10 | 0 | 10 | 731 | 0 | | | 231 | | | 132 | | | 136 | | | 136 | 1,094 |
| Building Insulation Programme | | -31 | 40 | 31 | 31 | 0 | | | 160 | | | 0 | | | 0 | | | 0 | 231 |
| - External Funding | 40 | | 40 | 31 | 31 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 71 |
| - Internal Funding | -40 | | -31 | | 0 | 0 | | | 160 | | | 0 | | | 0 | | | 0 | 160 |
| Disabled Facilities Grant (Gfund) | | -417 | 1,061 | 100 | 417 | 1,995 | | | 1,478 | | | 1,478 | | | 1,478 | | | 1,478 | 7,490 |
| - External Funding | | | 1,003 | 100 | 1,103 | 1,003 | | | 1,003 | | | 1,003 | | | 1,003 | | | 1,003 | 5,115 |
| - Internal Funding | | -417 | 58 | | 417 | 892 | | | 475 | | | 475 | | | 475 | | | 475 | 2,375 |
| IT Infrastructure | | -1 | 17 | | 1 | 1,273 | | | 150 | | | 150 | | | 150 | | | 150 | 1,740 |
| - External Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -1 | 17 | | 1 | 1,273 | | | 150 | | | 150 | | | 150 | | | 150 | 1,740 |
| Empty Homes (Gfund) | | -100 | 0 | 100 | 100 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 100 |
| - External Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -100 | 0 | 100 | 100 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 100 |
| Housing Environmental Improvement Programme (HRA) | | | 0 | | 170 | 170 | | | 170 | | | 170 | | | 170 | | | 170 | 170 |
| - External Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | 170 | 170 | | | 170 | | | 170 | | | 170 | | | 170 | 170 |
| James House | | 12 | 12 | 7,600 | -12 | 7,588 | 2,900 | | 2,900 | | | 0 | | | 0 | | | 0 | 0 |
| - External Funding | | | 0 | | 1,400 | 1,400 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | 12 | 12 | 6,200 | -12 | 6,188 | 2,900 | | 2,900 | | | 0 | | | 0 | | | 0 | 0 |
| Extension to Glen Lodge | | -2,761 | 1,390 | 2,676 | 2,676 | 85 | 85 | | 85 | | | 0 | | | 0 | | | 0 | 4,151 |
| - External Funding | | | 638 | 198 | 198 | 0 | 0 | | 0 | | | 0 | | | 0 | | | 0 | 836 |
| - Internal Funding | | -2,563 | 752 | 2,478 | 2,478 | 85 | 85 | | 85 | | | 0 | | | 0 | | | 0 | 3,315 |
| TOTAL GROSS EXPENDITURE | 65 | -4,863 | 11,012 | 7,700 | 4,778 | 33,399 | 2,900 | 85 | 13,071 | 0 | 0 | 10,108 | 0 | 0 | 9,689 | 0 | 0 | 9,812 | 64,574 |
| TOTAL EXTERNAL FUNDING | 1,090 | -599 | 8,416 | 1,500 | 630 | 9,895 | 0 | 0 | 7,250 | 0 | 0 | 7,382 | 0 | 0 | 7,212 | 0 | 0 | 7,226 | 34,516 |
| TOTAL INTERNAL FUNDING | -1,025 | -4,264 | 2,596 | 6,200 | 4,148 | 23,504 | 2,900 | 85 | 5,821 | 0 | 0 | 2,726 | 0 | 0 | 2,477 | 0 | 0 | 2,586 | 30,058 |
| Economy & Place - Transport, Highways & Environment | | | | | | | | | | | | | | | | | | | |
| Highway Resurfacing & Reconstruction (Struct Maint) | -15 | -32 | 3,701 | 32 | 2,970 | 2,843 | | | 2,767 | | | 2,691 | | | 2,577 | | | 2,577 | 14,972 |
| - External Funding | | | 2,328 | | 2,093 | 2,017 | | | 1,941 | | | 1,827 | | | 1,827 | | | 1,827 | 10,567 |
| - Internal Funding | -15 | -32 | 1,373 | 32 | 782 | 750 | | | 750 | | | 750 | | | 750 | | | 750 | 4,405 |
| Targeted Investment for Highways Improvement | | | 100 | | 100 | 100 | | | 100 | | | 100 | | | 100 | | | 100 | 100 |
| - External Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 100 | | 100 | 100 | | | 100 | | | 100 | | | 100 | | | 100 | 100 |
| Highway, Footway & Cycleway Improvement Acceleration | | | 1,000 | | 1,000 | 1,000 | | | 1,000 | | | 1,000 | | | 1,000 | | | 1,000 | 1,000 |
| - External Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 1,000 | | 1,000 | 1,000 | | | 1,000 | | | 1,000 | | | 1,000 | | | 1,000 | 1,000 |
| Special Bridge Maintenance (Struct maint) | | -3 | 97 | 3 | 642 | 200 | | | 200 | | | 200 | | | 200 | | | 200 | 1,339 |
| - External Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -3 | 97 | 3 | 642 | 200 | | | 200 | | | 200 | | | 200 | | | 200 | 1,339 |
| Replacement of Unsound Lighting Columns | | | 330 | | 578 | 578 | | | 578 | | | 578 | | | 578 | | | 578 | 2,642 |
| - External Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 330 | | 578 | 578 | | | 578 | | | 578 | | | 578 | | | 578 | 2,642 |
| LED Lighting Replacement Programme | | -228 | 212 | 228 | 228 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 440 |
| - External Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -228 | 212 | 228 | 228 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 440 |
| Watercourse Restoration | | -44 | 36 | 44 | 44 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 80 |
| - External Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -44 | 36 | 44 | 44 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 80 |
| Highways Drainage Works | | | 130 | | 270 | 200 | | | 200 | | | 200 | | | 200 | | | 200 | 1,000 |
| - External Funding | | | 130 | | 270 | 200 | | | 200 | | | 200 | | | 200 | | | 200 | 1,000 |
| - Internal Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Drainage Investigation & Renewal | | | 200 | | 200 | 200 | | | 200 | | | 200 | | | 200 | | | 200 | 200 |
| - External Funding | | | 0 | | 0 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 200 | | 200 | 200 | | | 200 | | | 200 | | | 200 | | | 200 | 200 |
| Highways, Road Adoption and Drainage Fund | | -125 | 125 | 125 | 125 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | |

| | 2016/17 | 2016/17 | 2016/17 | 2016/17 | 2016/17 | 2017/18 | 2016/17 | 2016/17 | 2018/19 | 2016/17 | 2016/17 | 2019/20 | 2016/17 | 2016/17 | 2020/21 | 2016/17 | 2016/17 | 2021/22 | Gross Capital Programme To be Funded |
|--|------------|---------------|-----------------|-----------|--------------|-----------------|----------|-----------|-----------------|----------|-----------|-----------------|----------|-----------|-----------------|----------|-----------|-----------------|--------------------------------------|
| | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | |
| | Adj | Reprofile | Budget | Adj | Reprofile | Budget | Adj | Reprofile | Budget | Adj | Reprofile | Budget | Adj | Reprofile | Budget | Adj | Reprofile | Budget | 17/121/22 |
| | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 |
| River Safety | 4 | -9 | 25 | | 9 | 9 | | | 0 | | | 0 | | | 0 | | | 0 | 34 |
| - External Funding | 4 | | 25 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 25 |
| - Internal Funding | | -9 | 0 | | 9 | 9 | | | 0 | | | 0 | | | 0 | | | 0 | 9 |
| Litter Bin Replacement Programme | | -24 | 30 | | 24 | 199 | | | 175 | | | 175 | | | 0 | | | 0 | 579 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -24 | 30 | | 24 | 199 | | | 175 | | | 175 | | | 0 | | | 0 | 579 |
| Knavesmire Culverts | | -266 | 9 | | 266 | 266 | | | 0 | | | 0 | | | 0 | | | 0 | 275 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -266 | 9 | | 266 | 266 | | | 0 | | | 0 | | | 0 | | | 0 | 275 |
| Better Bus Area Fund | 136 | -555 | 733 | | 555 | 1,075 | | | 0 | | | 0 | | | 0 | | | 0 | 1,808 |
| - External Funding | 133 | -295 | 450 | | 295 | 603 | | | 0 | | | 0 | | | 0 | | | 0 | 1,053 |
| - Internal Funding | 3 | -260 | 283 | | 260 | 472 | | | 0 | | | 0 | | | 0 | | | 0 | 755 |
| Local Transport Plan (LTP) * | 59 | -421 | 1,894 | -196 | 421 | 4,448 | | | 1,570 | | | 1,570 | | | 1,570 | | | 1,570 | 11,052 |
| - External Funding | 52 | -586 | 2,071 | -196 | 586 | 3,441 | | | 1,570 | | | 1,570 | | | 1,570 | | | 1,570 | 10,222 |
| - Internal Funding | 7 | -1,007 | 113 | | 1,007 | 1,007 | | | 0 | | | 0 | | | 0 | | | 0 | 1,120 |
| York City Walls - Repairs & Renewals (City Walls) | | -303 | 47 | | 303 | 393 | | | 90 | | | 90 | | | 90 | | | 90 | 710 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -303 | 47 | | 303 | 393 | | | 90 | | | 90 | | | 90 | | | 90 | 710 |
| York City Walls Restoration Programme | | | | | | 300 | | | 400 | | | 300 | | | 300 | | | 300 | 0 |
| - External Funding | | | | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | | | | 300 | | | 400 | | | 300 | | | 300 | | | 300 | 0 |
| Access York | | -124 | 323 | | 124 | 124 | | | 0 | | | 0 | | | 0 | | | 0 | 447 |
| - External Funding | | -124 | 323 | | 124 | 124 | | | 0 | | | 0 | | | 0 | | | 0 | 447 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Flood Defences | | | 0 | | | 317 | | | 0 | | | 0 | | | 0 | | | 0 | 317 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 317 | | | 0 | | | 0 | | | 0 | | | 0 | 317 |
| Highways Improvements | 15 | -157 | 680 | | 157 | 157 | | | 0 | | | 0 | | | 0 | | | 0 | 837 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | 15 | -157 | 680 | | 157 | 157 | | | 0 | | | 0 | | | 0 | | | 0 | 837 |
| Scarborough Bridge | 17 | -175 | 17 | | 175 | 3,010 | | | 0 | | | 0 | | | 0 | | | 0 | 3,027 |
| - External Funding | 17 | | 17 | | | 2,037 | | | 0 | | | 0 | | | 0 | | | 0 | 2,054 |
| - Internal Funding | | -175 | 0 | | 175 | 973 | | | 0 | | | 0 | | | 0 | | | 0 | 973 |
| Hungate and Peasholme Public Realm | | -175 | 0 | | 175 | 175 | | | 0 | | | 0 | | | 0 | | | 0 | 175 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -175 | 0 | | 175 | 175 | | | 0 | | | 0 | | | 0 | | | 0 | 175 |
| Better Business Fund | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| National Productivity Improvement Fund | | | 0 | | | 626 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - External Funding | | | 0 | | | 626 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Potholes | | | 0 | | | 184 | | | 184 | | | 184 | | | 184 | | | 184 | 0 |
| - External Funding | | | 0 | | | 184 | | | 184 | | | 184 | | | 184 | | | 184 | 0 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Silver Street & Coppergate Toilets | | | 0 | | | 70 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 70 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Osbalwick Beck Maintenance | | | 0 | | | 60 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 60 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| City Fibre Network | | -20 | 30 | | 20 | 70 | | | 50 | | | 50 | | | 50 | | | 50 | 250 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -20 | 30 | | 20 | 70 | | | 50 | | | 50 | | | 50 | | | 50 | 250 |
| TOTAL GROSS EXPENDITURE | 218 | -4,087 | 8,731 | 54 | 4,087 | 21,558 | 0 | 0 | 7,590 | 0 | 0 | 7,414 | 0 | 0 | 6,963 | 0 | 0 | 6,415 | 40,515 |
| TOTAL EXTERNAL FUNDING | 206 | -11 | 5,161 | 54 | 11 | 9,651 | 0 | 0 | 3,847 | 0 | 0 | 3,651 | 0 | 0 | 3,695 | 0 | 0 | 3,397 | 23,763 |
| TOTAL INTERNAL FUNDING | 12 | -4,076 | 3,570 | 0 | 4,076 | 11,907 | 0 | 0 | 3,743 | 0 | 0 | 3,643 | 0 | 0 | 3,268 | 0 | 0 | 3,018 | 16,752 |
| Economy & Place - Regeneration & Asset Management | | | | | | | | | | | | | | | | | | | |
| LCR Revolving Investment Fund | | -421 | 654 | | 421 | 961 | | | 0 | | | 0 | | | 0 | | | 0 | 1,615 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -421 | 654 | | 421 | 961 | | | 0 | | | 0 | | | 0 | | | 0 | 1,615 |
| York Central | 2 | -3,536 | 1,016 | | 3,536 | 7,986 | | | 0 | | | 0 | | | 0 | | | 0 | 9,002 |
| - External Funding | -2,550 | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | 2,552 | -3,536 | 1,016 | | 3,536 | 7,986 | | | 0 | | | 0 | | | 0 | | | 0 | 9,002 |
| Low Carbon and Solar Panels Investment | | -50 | 0 | | 50 | 50 | | | 0 | | | 0 | | | 0 | | | 0 | 50 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -50 | 0 | | 50 | 50 | | | 0 | | | 0 | | | 0 | | | 0 | 50 |
| Photovoltaic Energy Programme | | | 0 | | | 346 | | | 0 | | | 0 | | | 0 | | | 0 | 346 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 346 | | | 0 | | | 0 | | | 0 | | | 0 | 346 |
| 29 Castlegate Repairs | | | 0 | | | 33 | | | 0 | | | 0 | | | 0 | | | 0 | 33 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 33 | | | 0 | | | 0 | | | 0 | | | 0 | 33 |
| Decent Home Standards Works | | -9 | 0 | | 9 | 9 | | | 0 | | | 0 | | | 0 | | | 0 | 9 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -9 | 0 | | 9 | 9 | | | 0 | | | 0 | | | 0 | | | 0 | 9 |
| Fishergate Postern | | | 0 | | | 18 | | | 0 | | | 0 | | | 0 | | | 0 | 18 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 18 | | | 0 | | | 0 | | | 0 | | | 0 | 18 |
| Holgate Park Land - York Central Land and Clearance | | | 0 | | | 397 | | | 0 | | | 0 | | | 0 | | | 0 | 397 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 0 | | | 397 | | | 0 | | | 0 | | | 0 | | | 0 | 397 |
| Asset Maintenance + Critical H&S Repairs | 3 | -184 | 126 | | 184 | 404 | | | 220 | | | 220 | | | 220 | | | 220 | 1,190 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | | | | | | | | |

| | 2016/17 | 2016/17 | 2016/17 | 2016/17 | 2016/17 | 2017/18 | 2016/17 | 2016/17 | 2018/19 | 2016/17 | 2016/17 | 2019/20 | 2016/17 | 2016/17 | 2020/21 | 2016/17 | 2016/17 | 2021/22 | Gross Capital Programme To be Funded |
|--|---------|-----------|-----------------|---------|-----------|-----------------|---------|-----------|-----------------|---------|-----------|-----------------|---------|-----------|-----------------|---------|-----------|-----------------|--------------------------------------|
| | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | Outturn | Outturn | Revised Outturn | 17/12/22 |
| | Adj | Reprofile | Budget | Adj | Reprofile | Budget | Adj | Reprofile | Budget | Adj | Reprofile | Budget | Adj | Reprofile | Budget | Adj | Reprofile | Budget | £000 |
| | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 | £000 |
| 23 & 36 Hospital Fields Road | | | 862 | | 283 | 283 | | | 0 | | | 0 | | | 0 | | | 0 | 1,145 |
| - External Funding | | -283 | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | | 862 | | 283 | 283 | | | 0 | | | 0 | | | 0 | | | 0 | 1,145 |
| Air Quality Monitoring (Gfund) | | | 7 | | 23 | 110 | | | 0 | | | 0 | | | 0 | | | 0 | 117 |
| - External Funding | | -23 | 7 | | 23 | 110 | | | 0 | | | 0 | | | 0 | | | 0 | 117 |
| - Internal Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| TOTAL GROSS EXPENDITURE | 36 | -4,470 | 3,414 | 3,202 | 4,470 | 14,749 | 7,472 | 0 | 7,692 | 640 | 0 | 860 | 0 | 0 | 220 | 0 | 0 | 220 | 15,505 |
| TOTAL EXTERNAL FUNDING | -2,550 | -23 | 7 | 1,500 | 23 | 2,457 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 2,667 |
| TOTAL INTERNAL FUNDING | 2,586 | -4,447 | 3,407 | 855 | 4,447 | 12,292 | 2,900 | 85 | 7,692 | 0 | 0 | 860 | 0 | 0 | 220 | 0 | 0 | 220 | 12,838 |
| Customer & Corporate Services - Community Stadium | | | | | | | | | | | | | | | | | | | |
| Community Stadium | 3 | -54 | 949 | | -19,972 | 15,926 | | 20,026 | 20,026 | | | 0 | | | 0 | | | 0 | 36,901 |
| - External Funding | | -500 | 0 | 0 | 500 | 25,839 | | 13,250 | 13,250 | | | 0 | | | 0 | | | 0 | 39,089 |
| - Internal Funding | 3 | 446 | 949 | 0 | -6,222 | 4,337 | | 6,776 | 6,776 | | | 0 | | | 0 | | | 0 | 12,062 |
| TOTAL GROSS EXPENDITURE | 3 | -54 | 949 | 0 | -19,972 | 15,926 | 0 | 20,026 | 20,026 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 36,898 |
| TOTAL EXTERNAL FUNDING | 0 | -500 | 0 | 0 | 500 | 25,839 | 0 | 13,250 | 13,250 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 25,839 |
| TOTAL INTERNAL FUNDING | 3 | 446 | 949 | 0 | -6,222 | 4,337 | 0 | 6,776 | 6,776 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 11,059 |
| Customer & Corporate Services | | | | | | | | | | | | | | | | | | | |
| Fire Safety Regulations - Adaptations | | -102 | 0 | | 102 | 102 | | | 0 | | | 0 | | | 0 | | | 0 | 102 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -102 | 0 | | 102 | 102 | | | 0 | | | 0 | | | 0 | | | 0 | 102 |
| Removal of Asbestos | | -48 | 0 | | 48 | 98 | | | 50 | | | 50 | | | 50 | | | 50 | 248 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -48 | 0 | | 48 | 98 | | | 50 | | | 50 | | | 50 | | | 50 | 248 |
| Hazel Court - Office of the Future Improvements | | -1 | 0 | | 1 | 1 | | | 0 | | | 0 | | | 0 | | | 0 | 1 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -1 | 0 | | 1 | 1 | | | 0 | | | 0 | | | 0 | | | 0 | 1 |
| Critical Repairs and Contingency | | -274 | 0 | | 274 | 274 | | | 0 | | | 0 | | | 0 | | | 0 | 274 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| Mansion House Restoration | 7 | 515 | 1,031 | 150 | -515 | 922 | | | 169 | | | 0 | | | 0 | | | 0 | 2,122 |
| - External Funding | | 31 | 319 | | -3 | 574 | | | 96 | | | 0 | | | 0 | | | 0 | 989 |
| - Internal Funding | 7 | 484 | 712 | 150 | -512 | 348 | | | 73 | | | 0 | | | 0 | | | 0 | 1,133 |
| Project Support Fund | -58 | -94 | 0 | | 94 | 294 | | | 200 | | | 200 | | | 200 | | | 200 | 894 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| West Offices - Admin Accom | 4 | | 235 | | | 267 | | | 0 | | | 0 | | | 0 | | | 0 | 502 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | 4 | | 235 | | | 267 | | | 0 | | | 0 | | | 0 | | | 0 | 502 |
| Capital Contingency | | | | | | | | | | | | | | | | | | | |
| Capital Contingency | | -323 | 0 | | 323 | 385 | | | 0 | | | 0 | | | 0 | | | 0 | 385 |
| - External Funding | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 0 |
| - Internal Funding | | -323 | 0 | | 323 | 385 | | | 0 | | | 0 | | | 0 | | | 0 | 385 |
| TOTAL GROSS EXPENDITURE | 0 | -47 | -327 | 1,266 | 0 | 150 | 327 | 2,458 | 0 | 419 | 0 | 250 | 0 | 0 | 250 | 0 | 0 | 250 | 3,763 |
| TOTAL EXTERNAL FUNDING | 0 | 31 | 0 | 0 | 0 | -3 | 574 | 0 | 96 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 961 |
| TOTAL INTERNAL FUNDING | -47 | -358 | 947 | 150 | 330 | 1,884 | 0 | 0 | 323 | 0 | 0 | 250 | 0 | 0 | 250 | 0 | 0 | 250 | 2,802 |
| Customer & Corporate Services - IT | | | | | | | | | | | | | | | | | | | |
| IT Development plan | 85 | -714 | 2,048 | | 714 | 3,205 | | | 2,025 | | | 1,970 | | | 1,085 | | | 1,770 | 10,333 |
| - External Funding | | | 85 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 85 |
| - Internal Funding | | -714 | 1,963 | | 714 | 3,205 | | | 2,025 | | | 1,970 | | | 1,085 | | | 1,770 | 10,248 |
| IT Superconnected Cities | 101 | -120 | 101 | | 120 | 120 | | | 0 | | | 0 | | | 0 | | | 0 | 221 |
| - External Funding | | | 101 | | | 0 | | | 0 | | | 0 | | | 0 | | | 0 | 101 |
| - Internal Funding | | -120 | 0 | | 120 | 120 | | | 0 | | | 0 | | | 0 | | | 0 | 120 |
| TOTAL GROSS EXPENDITURE | 186 | -834 | 2,149 | 0 | 834 | 3,325 | 0 | 0 | 2,025 | 0 | 0 | 1,970 | 0 | 0 | 1,085 | 0 | 0 | 1,770 | 10,368 |
| TOTAL EXTERNAL FUNDING | 186 | 0 | 186 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| TOTAL INTERNAL FUNDING | 0 | -834 | 1,963 | 0 | 834 | 3,325 | 0 | 0 | 2,025 | 0 | 0 | 1,970 | 0 | 0 | 1,085 | 0 | 0 | 1,770 | 10,368 |
| Gross Expenditure by Department | | | | | | | | | | | | | | | | | | | |
| CEC - Children, Education & Communities | 19 | -1,829 | 6,061 | 213 | 1,829 | 28,463 | -86 | 0 | 6,101 | -1,646 | 0 | 2,391 | -236 | 0 | 4,845 | 0 | 0 | 0 | 41,800 |
| HH&ASC - Adult Social Care & Adult Services Commissioning | 39 | -732 | 2,169 | 208 | 732 | 5,825 | 0 | 0 | 3,781 | 0 | 0 | 565 | 0 | 0 | 565 | 0 | 0 | 565 | 11,301 |
| HH&ASC - Housing & Community Safety | 65 | -4,863 | 11,012 | 7,700 | 4,778 | 33,399 | 2,900 | 85 | 13,071 | 0 | 0 | 10,108 | 0 | 0 | 9,689 | 0 | 0 | 9,812 | 76,079 |
| Economy & Place - Transport, Highways & Environment | 218 | -4,087 | 8,731 | 54 | 4,087 | 21,558 | 0 | 0 | 7,590 | 0 | 0 | 7,414 | 0 | 0 | 6,963 | 0 | 0 | 6,415 | 49,940 |
| Economy & Place - Regeneration & Asset Management | 36 | -4,470 | 3,414 | 3,202 | 4,470 | 14,749 | 7,472 | 0 | 7,692 | 640 | 0 | 860 | 0 | 0 | 220 | 0 | 0 | 220 | 23,741 |
| Customer & Corporate Services - Community Stadium | 3 | -54 | 949 | 0 | -19,972 | 15,926 | 0 | 20,026 | 20,026 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 35,952 |
| Customer & Corporate Services | -47 | -327 | 1,266 | 150 | 327 | 2,458 | 0 | 419 | 327 | 0 | 0 | 250 | 0 | 0 | 250 | 0 | 0 | 250 | 3,627 |
| Customer & Corporate Services - IT | 186 | -834 | 2,149 | 0 | 834 | 3,325 | 0 | 2,025 | 0 | 0 | 1,970 | 0 | 0 | 1,085 | 0 | 0 | 1,770 | 10,175 | |
| Total by Department | 519 | -17,196 | 35,751 | 11,527 | -2,915 | 125,703 | 10,286 | 20,111 | 60,705 | -1,006 | 0 | 23,558 | -236 | 0 | 23,617 | 0 | 0 | 19,032 | 252,615 |
| TOTAL GROSS EXPENDITURE | 519 | -17,196 | 35,751 | 11,527 | -2,915 | 125,703 | 10,286 | 20,111 | 60,705 | -1,006 | 0 | 23,558 | -236 | 0 | 23,617 | 0 | 0 | 19,032 | 252,615 |
| TOTAL EXTERNAL FUNDING | -1,016 | -3,045 | 20,504 | 4,292 | -10,201 | 60,987 | -86 | 13,250 | 30,344 | -1,646 | 0 | 13,344 | -236 | 0 | 15,752 | 0 | 0 | 10,623 | 131,050 |
| TOTAL INTERNAL FUNDING | 1,535 | -14,151 | 15,247 | 7,047 | 7,286 | 64,716 | 10,372 | 6,861 | 30,361 | 640 | 0 | 10,214 | 0 | 0 | 7,865 | 0 | 0 | 8,409 | 121,565 |