

**Notice of a public meeting of  
Executive**

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

**Date:** Thursday, 15 December 2022

**Time:** 10.30 am

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

**A G E N D A**

**Notice to Members – Post Decision Calling In:**

Members are reminded that, should they wish to call in any item\* on this agenda, notice must be given to Democratic Services by **4:00 pm on Monday, 19 December 2022**.

\*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 in the meeting, Members are asked to declare any disclosable pecuniary interest or other registerable interest they might have in respect of business on this agenda, if they have not already done so in advance on the Register of Interests.

**2. Minutes**

(Pages 1 - 20)

To approve and sign the minutes of the Executive meeting held on 22 November 2022.

### 3. **Public Participation**

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

**Please note that our registration deadlines are set as 2 working days before the meeting, in order to facilitate the management of public participation at our meetings.** The deadline for registering at this meeting is **5:00pm on Tuesday, 13 December 2022.**

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

### **Webcasting of Public Meetings**

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

During coronavirus, we made some changes to how we ran council meetings, including facilitating remote participation by public speakers. See our updates ([www.york.gov.uk/COVIDDemocracy](http://www.york.gov.uk/COVIDDemocracy)) for more information on meetings and decisions.

### 4. **Forward Plan** (Pages 21 - 22)

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

### 5. **York 2032: The 10-Year Plan** (Pages 23 - 66)

The Chief Operating Officer to present a report which invites Executive to review a 10-year plan entitled 'York 2032: The City Plan', founded on the ambitions and goals set out in the three 10-Year strategies reviewed by Executive in November, and recommend that Council approve and adopt the plan.

*Note: This item was added late to the Forward Plan under urgency procedures as the 10-year plan has been co-designed with partners and has now reached the stage where it can be considered by Executive prior to Full Council. A Regulation 10 notice has been published on the council's website.*

**6. Financial Strategy 2023/24 to 2027/28** (Pages 67 - 74)

The Chief Finance Officer to present a report which provides background information for the council's overall Financial Strategy, outlining some of the key challenges, proposals for budget consultation, and a timeline for future reports and the overall decision-making process.

*Note: This item was added late to the Forward Plan under urgency procedures as the council were awaiting further financial information following the Government's Autumn Statement. A Regulation 10 notice has been published on the council's website.*

**7. 2023-2028 Housing Asset Management and Energy Efficiency Retrofit Plan** (Pages 75 - 164)

The Director of Housing, Economy & Regeneration to present a report which sets out an investment of capital and revenue funding over 5 years to improve and increase council housing stock in York, together with a Retrofit Action Plan to support this asset management approach.

**8. City of York Planning Policy Housing Delivery Action Plan (HDAP) Update and Local Development Scheme (LDS) Update** (Pages 165 - 226)

The Corporate Director of Place to present a report which seeks approval for an update to the Planning Policy Housing Delivery Plan, prepared in response to the government's publication of the 2021 Housing Delivery Test results, together with a Local Development Scheme setting out a planning work programme for the council from November 2022 to December 2024.

**9. Germany Beck Flood Alleviation Scheme Update** (Pages 227 - 238)

The Corporate Director of Place to present a report which sets out progress to date on the development of a flood alleviation scheme in Fulford, and seeks approval to submit a planning application for the project.

**10. Bus Network Review** (Pages 239 - 256)

The Director of Transport, Environment & Planning to present a report which provides an update on actions taken so far and makes immediate recommendations to stabilise the local bus network.

## 11. Urgent Business

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

### Democratic Services officer:

Name: Fiona Young

Contact details:

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

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

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

Contact details are set out above.

**This information can be provided in your own language.**

我們也用您們的語言提供這個信息 (Cantonese)

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

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

Bu bilgiyi kendi dilinizde almanız mümkündür. (Turkish)

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

 **(01904) 551550**



City of York Council

Committee Minutes

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Meeting	Executive
Date	22 November 2022
Present	Councillors Aspden (Chair), Ayre, Craghill, D'Agorne, Mason, Smalley, Waller and Widdowson
Apologies	Councillor Runciman
In Attendance	Councillor Douglas
Officers In Attendance	<p>Ian Floyd – Chief Operating Officer  Bryn Roberts – Director of Governance and Monitoring Officer  Debbie Mitchell – Chief Finance Officer  Neil Ferris – Corporate Director of Place  Martin Kelly – Corporate Director of Children &amp; Education  James Gilchrist – Director of Environment, Transport &amp; Planning  Michael Melvin – Director of Adults Safeguarding  Pauline Stuchfield – Assistant Director, Customer Services &amp; Digital  Claire Foale – Assistant Director, Policy &amp; Strategy  Maxine Squire – Assistant Director, Education &amp; Skills  Simon Brereton – Head of Economic Growth  Shaun Gibbons – Head of Carbon Reduction  Helen Whiting – Head of HR  Peter Roderick – Consultant in Public Health  Ruth Hine – Public Health Specialist Practitioner, Advanced  Helene Vergereau – Traffic &amp; Highway Development Manager  Christian Wood – Smart Transport Programme Manager</p>

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**PART A - MATTERS DEALT WITH UNDER DELEGATED POWERS**

**42. Declarations of Interest (17:32)**

Members were asked to declare at this point in the meeting any disclosable pecuniary interest or other registerable interest they might have in respect of business on the agenda if they had not already done so in advance on the Register of Interests. No interests were declared.

**43. Minutes (17:32)**

Resolved: That the minutes of the Executive meeting held on 6 October 2022 be approved, and signed by the Chair as a correct record.

**44. Public Participation (17:32)**

It was reported that 13 people were registered to speak at the meeting under the Council's Public Participation Scheme.

*[Note: participants are listed below in agenda order, and not necessarily in the order in which they actually spoke.]*

Hon. Alderman Brian Watson spoke on the Council Chamber as a matter within the Executive's remit, suggesting ways in which the Chamber could be made more accessible for disabled people despite its listed status.

The following spoke on Agenda Item 5 (10 Year Strategies), specifically in relation to the Climate Change strategy:

- Chris Copland, Environment Co-ordinator of the local Labour party, stated that the strategy lacked ambition and suggested that a 'bottom-up' data modelling process was needed, as recommended by the Civic Trust.
- Laurence Beardmore, President of the York & North Yorkshire Chambers of Commerce, expressed support for the strategy and the way it involved businesses, which needed help and support to rise to the challenge.
- Gareth Parry, Managing Director of Forestry England, supported the strategy, welcoming its commitment to delivery and stressing the importance of partnership working.
- Richard Walker, of the University of York, supported the strategy, praising the partnership approach and outlining the achievements of the university's own strategy.

Ben Burton spoke on Item 5 and on Item 8 (Active Travel Programme). On the former he called for a more detailed plan, with clear timescales and data on emissions from buildings; on the latter he suggested the decision be delayed until after publication of the Local Transport Plan to ensure sufficient investment in infrastructure.

The following spoke on Item 7 (Pavement Café Licence Update):

- Flick Williams expressed some doubts but urged Members to support the recommendations, while noting that the key to success lay in robust enforcement.
- Diane Roworth welcomed the proposals but suggested ways in which they could be strengthened to assist visually impaired people, for whom a clear route was essential.
- John Pybus, landlord of the Blue Bell, said businesses had not been given enough time to respond to the proposals and urged Members to approve Option 1b.

Cllr Melly spoke on Items 7 and 8. On the former she supported the proposals; on the latter she highlighted a lack of progress on schemes previously prioritised in the programme, including Acomb Road in her ward of Holgate, and suggested the reasons were political.

Rob Ainsley, of York Cycle Campaign, spoke on Item 8, stating that a strategic approach was needed and suggesting that further schemes be delayed pending consultation with Active Travel England.

One person had registered to speak on Item 11 (SEND Capital Plan 2023-25) but did not attend.

#### **45. Forward Plan (18:13)**

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

**46. 10 Year Strategies (18:14)**

[See also under Part B]

The Chief Operating Officer and the Assistant Director, Policy & Strategy, presented a report which detailed the development of a 10-year Strategy and Policy framework comprising the Climate Change, Economic and Health and Wellbeing 10 year strategies and the emerging 10 year City Plan. Members were asked to review the strategies and recommend that Council adopt the framework.

The three inter-dependent strategies had been developed after an extensive 18-month programme of resident, business and stakeholder engagement and were informed by existing and emerging national and local policies, as set out in the report. A summary of resident feedback was attached at Annex A. The three strategies had been made available to view online as Annexes B, C and D respectively.

The Chair thanked all those involved in developing the strategies, which responded to a series of challenges facing the city including integrated care, levelling up and climate change, and would guide future work in achieving long-term ambitions. In supporting the recommendations, the Executive Member for Environment & Climate Change highlighted York's award of a 'A' Rating for climate action leadership by the Carbon Disclosure Project. In response to matters raised under Public Participation, officers confirmed that they were looking at the data modelling but needed to be sure that a 'bottom up' approach would improve on the current scatter tool process before adopting it.

- Resolved:
- (i) That the strategy and policy framework, showing how different related strategies, policies and plans will deliver the ambitious goals articulated in the 10 year strategies, be noted.
  - (ii) That the recommendations of the Climate Emergency Policy & Scrutiny Committee be approved.
  - (iii) That the Climate Change Action Plan be approved.

(iv) That the establishment of the Economic Partnership be approved.

(v) That the 10 year strategies implementation plan be endorsed.

Reason: To engage partners, city leaders, businesses, stakeholders and residents to work together on key agreed priority areas that aim to actively improve the quality of life for all York's residents.

**47. Addressing the Cost of Living Crisis in York (18:50)**

The Director of Customer & Communities presented a report which provided an overview of the current position locally in York regarding the national cost of living crisis and its effect on the council, residents, businesses, and partners such as Health and the voluntary sector.

The report focused on local plans, council programmes, and key activities being undertaken to tackle the impacts of the crisis, and included an update on the citywide York Cost of Living Summit hosted by the council and the University of York on 31 October 2022. This information was set within the context of the additional pressures being put on public sector services, with the current situation following years of cuts in central government funding.

Members commented on the effects of the crisis, in particular on the most disadvantaged households on the city, and the need to work in partnership to target resources to best effect.

Resolved: That the following be noted:

- a) The context and overview of current impacts of the Cost of Living Crisis in York;
- b) The actions being undertaken by the council and its partners in response;
- c) The key activities and outputs from the Cost of Living Summit and next steps; and
- d) The challenges facing local government in setting budgets for 2023/24.

Reason: To ensure Members have full information on the wide impacts of the crisis, both long and short term,

and what activity is being undertaken to understand challenges and provide residents with practical support, information, advice and guidance across all city partnerships.

**48. Pavement Café Licence Update (19:07)**

[See also under Part B]

The Director of Transport, Environment & Planning presented a report which proposed changes to City of York Council's pavement café licensing guidance and process, following the completion of a review of the current licensing guidance, as approved by Executive on 28 July 2022 (Minute 19 of that meeting refers).

The current guidance had been implemented under emergency government legislation in response to Covid, enabling pavement café areas to be licensed to cover the whole pavement in some streets where traffic was restricted. While beneficial to businesses, this had had an impact on access. Independent consultants Mima had been appointed in September to identify and review these issues. Their report, produced after consultation with the disabled community, was attached at Annex A. Options for the Executive in respect of pavement café location (Theme 1), updating the guidance document (Theme 2) and counter-terrorism training (Theme 3) were set out in paragraphs 33-35 of the officer report. Options not recommended are summarised briefly below:

- Option 1b) – allow pavement cafes to take the whole footway in certain footstreets in pedestrianised hours.
- Option 1c) – as above, but with temporary ramps.
- Option 1d) – no long-term use of parking bays for pavement café licences.
- Option 3a) – provision of additional information on the Protect Duty and its implications for licence holders and staff.

A letter summarising the options proposed had been sent to all pavement café licence holders and business groups on 9 and 10 November, inviting them to provide feedback. Officers reported that they had received responses from 10 businesses to date, mostly in support of option 1b), and confirmed that they would collate any further responses received and inform Members before the Full Council meeting on 15 December.

In response to matters raised under Public Participation, officers confirmed that enforcement, and helping businesses to comply with licensing conditions, was a priority. The Executive Members for Economy & Strategic Planning and Transport having spoken in support of the recommended options, it was

Resolved: (i) That the Access Consultants' work in Pavement Café Licenses contained in Annex A be noted.

Reason: This is the context for the proposed changes to the way in which pavement cafés will be licensed.

(ii) That approval be given to provide information about pavement cafés on the council's website, for users who want to plan in advance.

Reason: This is the context for the proposed changes to the way in which pavement cafés will be licensed.

(iii) That a regular panel be set up for York groups and communities to provide feedback on their lived experience of pavement cafés in York.

Reason: To enable groups and communities to provide feedback in a suitable format and timescales (as the consultation process under the Business and Planning Act is very short) and to enable lived experience to inform licence reviews or enforcement action where required.

**49. Active Travel Programme - Programme Revision and Contract Award (19:40)**

The Director of Environment, Transport & Planning presented a report which detailed work to be implemented in Phase 1 of the Active Travel Programme (the Programme) of projects to improve York's walking and cycling infrastructure, along with schemes that would be priorities for future funding bids, and sought approval for the proposed programme and for the award of a related contract.

The report explained the rationale behind the phased approach to the Programme, which would draw in more funding as it

became available. Funding for the first phase totalled £2.1m and included £877k from the Department of Transport. The current programme was set out in Annex 1 to the report, with a proposed revised programme in Annex 2 and an evaluation of individual schemes within the programme in Annex 3. Three options were presented, as detailed in paragraphs 23-54 and summarised below:

Option 1 – approve the revisions to the Programme, as recommended.

Option 2 – do not approve the revisions. This would not result in delivery of all schemes, as the budget deficit would remain.

Option 3 – approve the award of the contract for Principal Designer services, but only in relation to those schemes remaining in Phase 1 until further funding is obtained. This option was recommended.

In supporting the recommendations, the Executive Member for Transport thanked officers for the progress made on the priorities identified in his Decision Session in February. He acknowledged the concerns raised under Public Participation but noted that limited funding was available; the Programme would however position the council for higher levels of funding. Officers confirmed that the Local Transport Plan placed active travel at the top of the hierarchy and that a number of schemes in the Programme had already been delivered.

Resolved: (i) That the revision to the Active Travel Programme proposed in Option 1 in the report, with the prioritisation of Phase 1 projects as set out in Annex 2, be approved.

Reason: To ensure that the Active Travel Programme is affordable, achievable and effective.

(ii) That approval be given to award the contract for Principal Designer services relating to a number of schemes on the Active Travel Programme, and that authority be delegated to the Director of Environment, Transport and Planning and the Chief Finance Officer, in consultation with the Director of Governance or his delegated officers, to take such steps as are necessary to award and enter into the resulting contracts (Option 3).



Reason: To enable progress to be made on the 'City Centre North South Cycle Route' and 'University East-West Campus Link' schemes.

**50. Recommissioning of Alcohol & Drug Treatment and Recovery Services in York (19:57)**

The Consultant in Public Health presented a report which sought authority to approach the market for the tendering of an adult and young people's alcohol and illicit drug misuse service to deliver evidence-based harm reduction, treatment and recovery services to the population of York.

The current contract would expire at the end of May 2024, and had a yearly value of over £1.8m. The value of the new contract was expected to be broadly similar, with the provider expected to focus on delivering outcomes for residents and to ensure a strong prevention model, as well as treatment, in the young people's service. A revised service specification would be developed after consultation with the current provider and other partners, and engagement with service users.

The comments of the Executive Member for Adult Social Care & Public Health in support of the recommendations were read out by the Executive Member for Housing & Safer Neighbourhoods, who also expressed her own support.

Resolved: (i) That officers within City of York Council be authorised to tender a new contract for the provision of alcohol and drug services.

(ii) That the Director of Public Health, in consultation with the Executive Member for Adult Social Care & Public Health and the Director of Governance, be authorised to accept the bid for this contract which scores highest on the evaluation criteria, and to award and sign the contract.

Reason: To enable substance misuse treatment and recovery services to be available to York residents that are value for money and responsive to local need.

**51. Occupational Health and Day One Absence Management Provision (20:07)**

The Head of HR and OD presented a report which sought permission to re-procure an Occupational Health and Day One Absence Management Service for the Council. Details of the current provision were set out in Annex 1 to the report.

The One Day Absence contract with Medigold had been extended for a year in June 2021, but due to the effects of the pandemic it had not been possible to assess the system and its effects on absence levels. A review of the in-house HR system had concluded that it did not have the capability to create a recording process comparable to Medigold's. Approval was therefore sought to re-procure a day one absence system jointly with the occupational health contract to take advantage of a joined up service.

Four options were presented, as detailed in paragraphs 23-26 of the report and summarised below:

Option 1 – procure a day one absence and occupational health contract effective from 23 May 2023 via an approved framework, as recommended.

Option 2 – procure a contract for occupational health provision only and return to the original ITrent model for absence. This would lack independence and require additional resources.

Option 3 – spot purchase occupational advice on an ad-hoc basis. This would be more costly and not produce a proactive co-ordinated response.

Option 4 – procure separate contracts for day one absence and occupational health. This would not realise the ambition of improving connections between the two.

Resolved: (i) That approval be given to procure an occupational health and day one provision effective from May 2023 (Option 1).

(ii) That authority be delegated to the Chief Operating Officer to select the appropriate procurement route and award the contract to the successful bidder.

(iii) That the future procurement of a contract of this nature be considered as 'routine', on the basis that it is a re-procurement of existing arrangements.

Reason: To ensure that managers continue to be provided with the tools to facilitate proactive absence management and that professional occupational health advice is available at the earliest opportunity, with the supplier able to work with the Council to develop solutions to keep employees with health issues at work and safe.

**52. SEND Capital Plan, 2023-25 (20:10)**

The Assistant Director, Education & Skills, presented a report which provided details of the 2023-25 plan for capital schemes to improve the sufficiency of provision for children and young people with special educational needs and/or disabilities (SEND), and asked Executive to approve the schemes set out in the plan.

The following options were presented, as detailed in paragraphs 19-21 of the report:

Option 1 – do nothing. This would leave the council unable to deliver enough school places in the city for children with SEND.

Option 2 – deliver all the schemes set out in the plan, as recommended.

Option 3 – remove some of the schemes from the plan and increase the available contingency. This would not address the current sufficiency issues.

It was confirmed that the issue that was to have been raised by the registered speaker on this item was outside the scope of the report as it related to out of school provision; however, officers were looking at inviting expressions of interests for such provision. In supporting Option 2, the Executive Member for Children's Services & Education thanked all involved for developing the programme in close collaboration with parents and other stakeholders.

Resolved: That the schemes outlined in the SEND Capital Plan, 2023-25 be approved.

Reason: To ensure that the sufficiency of suitable school places for children and young people with SEND has been addressed, reducing the need for out of city provision and meeting parental preferences.

**53. 2022/23 Finance and Performance Monitor 2 (20:15)**

The Chief Finance Officer presented a report which provided details of the council's overall finance and performance position for the period 1 April 2022 to 30 September 2022, together with an overview of any emerging issues.

The gross financial pressures facing the council were projected at £7.7m but after mitigation it was considered this could be brought down to a net position of £3.7m. As previously reported, serious underlying budget pressures remained across both adult and children's social care. The main budget variations and proposed mitigating actions were summarised in Annex 1 to the report. Service delivery performance was summarised in paragraphs 19-23 of the report, and details of performance against the core strategic indicators in the Council Plan were provided in Annex 2.

In commenting on the report, the Executive Member for Finance & Major Projects highlighted the improved financial position on the previous year, despite major challenges, and strong performances in relation to the city centre and affordable homes.

Resolved: That the finance and performance information, and the actions needed to manage the financial position, be noted.

Reason: To ensure expenditure is kept within the approved budget.

**54. Capital Programme - Monitor 2 2022/23 (20:26)**

[See also under Part B]

The Chief Finance Officer presented a report which set out the projected outturn position for of the council's capital programme for 2022/23, including any under/over spends and adjustments, along with requests to re-profile budgets to/from current and future years.

A decrease of £38.193m on the current approved programme was reported, resulting in a revised programme for 2022/23 of £154.557m. There was an increase of £6.094m and a re-

profiling of budgets to future years of £44.287m in total. Variances against each portfolio area were set out in Table 1 at paragraph 19 of the report and detailed in paragraphs 20-71. The revised 5-year programme resulting from these changes was summarised in Table 2 at paragraph 72 and detailed in Annex A.

The Executive Member for Finance & Major Projects highlighted the continued progress made in respect of schools, the housing programme and libraries. The Chair noted that all councils faced a difficult year ahead in terms of their budgets and that York continued to make the case to government for long-term solutions.

Resolved: (i) That the 2022/23 revised budget of £154.557m, as set out in Table 1 at paragraph 19 of the report, be noted.

(ii) That the restated capital programme for 2022/23 – 2026/27, as set out in Table 2 at paragraph 72, be noted.

(iii) That the proposed mechanism for dealing with inflationary increases in the programme, as set out in paragraphs 3 – 15, be noted.

(iv) That the schemes fully funded by UK Shared Prosperity Fund and Ruarla Prosperity Fund of £1.3m be introduced into the capital programme, subject to funding allocation being confirmed.

Reason: To enable the effective management and monitoring of the Council's capital programme.

#### **55. Treasury Management Mid-Year Review and Prudential Indicators 2022/23 (20:35)**

The Chief Finance Officer presented a report which provided an update on Treasury Management activity for the period 1 April to 30 September 2022.

The report, prepared in compliance with CIPFA's Code of Practice on Treasury Management, provided: an economic update for the first part of the 2022/23 financial year; a review of the Treasury Management Strategy Statement and Annual

Investment Strategy; the prudential indicators; reviews of the council's investment portfolio and borrowing strategy; and a review of compliance with the Treasury and Prudential Limits.

It was confirmed that during the financial year to date, the council had operated within the treasury limits and Prudential Indicators, as set out in the report and Annex A. The report would be considered by the Audit & Governance Committee on 30 November 2022.

Resolved: (i) That the Treasury Management activities to date in 2022/23 be noted.

(ii) That the Prudential Indicators set out in Annex A, and the compliance with all indicators, be noted.

Reason: in accordance with the Local Government Act 2003 (revised), and to ensure the continued performance of the Council's Treasury Management function.

**56. Lord Mayoralty 2023/24 (20:40)**

The Director of Governance presented a report which asked Executive to consider the points system for the annual nomination of the Lord Mayor of York, and to invite the group with the most points to nominate the Lord Mayor for the next municipal year.

It was reported that, under the current system, the Liberal Democrat Group had accumulated the most points, with 23, and therefore qualified to nominate the next Lord Mayor.

Resolved: That the Liberal Democrat Group be invited to accept the nomination for Lord Mayor for 2023/24, in line with the accumulated points system set out in paragraphs 3-6 of the report.

Reason: To ensure that the Council uses an appropriate method to nominate Lord Mayors for office, and to secure a nomination for the next municipal year.

## **PART B - MATTERS REFERRED TO COUNCIL**

### **57. 10 Year Strategies (18:14)**

[See also under Part A]

The Chief Operating Officer and the Assistant Director, Policy & Strategy, presented a report which detailed the development of a 10-year Strategy and Policy framework comprising the Climate Change, Economic and Health and Wellbeing 10 year strategies and the emerging 10 year City Plan. Members were asked to review the strategies and recommend that Council adopt the framework.

The three inter-dependent strategies had been developed after an extensive 18-month programme of resident, business and stakeholder engagement and were informed by existing and emerging national and local policies, as set out in the report. A summary of resident feedback was attached at Annex A. The three strategies had been made available to view online as Annexes B, C and D respectively.

The Chair thanked all those involved in developing the strategies, which responded to a series of challenges facing the city including integrated care, levelling up and climate change, and would guide future work in achieving long-term ambitions. In supporting the recommendations, the Executive Member for Environment & Climate Change highlighted York's award of a 'A' Rating for climate action leadership by the Carbon Disclosure Project. In response to matters raised under Public Participation, officers confirmed that they were looking at the data modelling but needed to be sure that a 'bottom up' approach would improve on the current scatter tool process before adopting it.

**Recommended:** That Council adopt the 10 year Strategy and Policy framework, which comprises the Climate Change, Economic and Health and Wellbeing 10 year strategies and the emerging 10 year City Plan.

**Reason:** To engage partners, city leaders, businesses, stakeholders and residents to work together on key agreed priority areas that aim to actively improve the quality of life for all York's residents.

**58. Pavement Café Licence Update (19:07)**

[See also under Part A]

The Director of Transport, Environment & Planning presented a report which proposed changes to City of York Council's pavement café licensing guidance and process, following the completion of a review of the current licensing guidance, as approved by Executive on 28 July 2022 (Minute 19 of that meeting refers).

The current guidance had been implemented under emergency government legislation in response to Covid, enabling pavement café areas to be licensed to cover the whole pavement in some streets where traffic was restricted. While beneficial to businesses, this had had an impact on access. Independent consultants Mima had been appointed in September to identify and review these issues. Their report, produced after consultation with the disabled community, was attached at Annex A. Options for the Executive in respect of pavement café location (Theme 1), updating the guidance document (Theme 2) and counter-terrorism training (Theme 3) were set out in paragraphs 33-35 of the officer report. Options not recommended are summarised briefly below:

- Option 1b) – allow pavement cafes to take the whole footway in certain footstreets in pedestrianised hours.
- Option 1c) – as above, but with temporary ramps.
- Option 1d) – no long-term use of parking bays for pavement café licences.
- Option 3a) – provision of additional information on the Protect Duty and its implications for licence holders and staff.

A letter summarising the options proposed had been sent to all pavement café licence holders and business groups on 9 and 10 November, inviting them to provide feedback. Officers reported that they had received responses from 10 businesses to date, mostly in support of option 1b), and confirmed that they would collate any further responses received and inform Members before the Full Council meeting on 15 December.

In response to matters raised under Public Participation, officers confirmed that enforcement, and helping businesses to comply with licensing conditions, was a priority. The Executive



Members for Economy & Strategic Planning and Transport having spoken in support of the recommended options, it was

Recommended: (i) That the following changes be made to local guidance used in the determining of pavement café licenses under the Business and Planning Act 2020:

- a) Cafés only allowed on footways if 1.5m width remains for people to get past (width increased to 2m in high footfall areas, for example busy junctions, near bus stops, etc). In footstreets with access level between footways and carriageway (for example Coney Street), licences may be issued for pavement cafes to cover the full width of the footway. If a licence is refused under the Business and Planning Act it would be possible for the applicant to use the planning permission process (and licensing under Highways Act Part 7A) to seek permission for a pavement café area. If a permission and a licence were to be granted under this process, adequate access mitigations would be conditioned through the planning permission on a case-by-case basis and all costs associated with required highway improvements would need to be borne by the applicant.
- b) Café areas can be allowed in on-street parking bays, where sufficient parking and loading capacity remains (including for Blue Badge holders) and the café area can be protected from passing traffic (if required). The licence holder will be required to cover all associated costs (changes to the permanent TRO, changes to the kerb line/protection measures).
- c) To require the named licence holder to have completed the ACT Awareness E-learning course and provide additional

information to licence holders on the Protect Duty.

- d) To adopt the updated guidance document (Annex B) and proposals for additional information to be provided. Key changes are: updated barriers requirements and specifications, updated access width requirements, strengthened enforcement process, reintroduction of a £100 charge per licence. Additional information to be provided includes: design and set up guidance for licence holders, advice and support on 'How to set-up your pavement cafe area', and information on hospitality venues' duties under the Equality Act. Pavement café licence holders will be written to – to notify them of the changes.

Reason: To clarify the criteria against which pavement café applications will be assessed and mitigate the impact of some pavement cafes on accessibility and to clarify the criteria against which pavement café applications will be assessed and the standards licence holders will be expected to meet and provide additional support and guidance to licence holders.

- (ii) That the Policy for Pavement Cafes under the Business and Planning Act 2020 be reviewed by the Licensing & Regulatory Committee and be added to the list of functions of that committee. Officers will continue to determine applications made under that policy.

Reason: So that the Licensing & Regulatory Committee can review the policy.

**59. Capital Programme - Monitor 2 2022/23 (20:26)**

[See also under Part A]

The Chief Finance Officer presented a report which set out the projected outturn position for of the council's capital programme

for 2022/23, including any under/over spends and adjustments, along with requests to re-profile budgets to/from current and future years.

A decrease of £38.193m on the current approved programme was reported, resulting in a revised programme for 2022/23 of £154.557m. There was an increase of £6.094m and a re-profiling of budgets to future years of £44.287m in total. Variances against each portfolio area were set out in Table 1 at paragraph 19 of the report and detailed in paragraphs 20-71. The revised 5-year programme resulting from these changes was summarised in Table 2 at paragraph 72 and detailed in Annex A.

The Executive Member for Finance & Major Projects highlighted the continued progress made in respect of schools, the housing programme and libraries. The Chair noted that all councils faced a difficult year ahead in terms of their budgets and that York continued to make the case to government for long-term solutions.

Recommended: That Council approve the adjustments resulting in a decrease in the 2022/23 budget of £38.193m, as detailed in the report and contained in Annex A.

Reason: To enable the effective management and monitoring of the Council's capital programme.

Cllr K Aspden, Chair

[The meeting started at 5.32 pm and finished at 8.42 pm].

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**Forward Plan: Executive Meeting: 15 December 2022**

**Table 1: Items scheduled on the Forward Plan for the Executive Meeting on 26 January 2023**

Title and Description	Author	Portfolio Holder
<p><b>Draft Community Infrastructure Levy Charging Schedule</b></p> <p><b>Purpose of Report</b></p> <p>To present a Draft CIL Charging Schedule setting out the proposed charges to support delivery and to help mitigate the infrastructure costs associated with development.</p> <p>Executive will be asked to: review the Draft CIL Charging Schedule and agree to formally consult on the above schedule in line with the CIL Regulations 2010.</p>	Kirstin Clow	Executive Member for Economy & Strategic Planning
<p><b>Re-commissioning of Domestic Abuse Services</b></p> <p><b>Purpose of Report</b></p> <p>To seek approval for the North Yorkshire Police, Fire and Crime Commissioner (NYPFCC) to lead on the joint commissioning of the domestic abuse services provided across North Yorkshire and city of York. The existing contracts come to an end on 31 March 2024.</p> <p>Executive will be asked to: approve the re-commissioning of the domestic abuse services from 1 April 2024.</p>	Matthew Orme	Executive Member for Adult Social Care & Public Health

**Table 2: Items scheduled on the Forward Plan for the Executive Meeting on 9 February 2023**

Title and Description	Author	Portfolio Holder
<p><b>Re-commissioning of Sexual Health Services</b></p> <p><b>Purpose of Report</b></p> <p>To comply with the mandatory duty to provide appropriate access to free sexual health and contraception services, currently fulfilled by commissioning an Integrated Sexual Health Services (ISHS) contract with York and Scarborough Hospitals NHS</p>	Philippa Press	Executive Member for Adult Social Care & Public Health

Title and Description	Author	Portfolio Holder
<p>Foundation Trust and Long Acting Reversible Contraception (LARC) via a contract with NIMBUS Ltd representing GP Practices across York. These contracts are due to end on 30 June 2024.</p> <p>Executive will be asked to: approve the decision to recommission sexual health services.</p>		

**Table 3: Items Slipped on the Forward Plan**

None



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**Executive****15 December 2022**

Report of the Assistant Director Policy and Strategy  
Portfolio of the Executive Leader, incorporating Policy, Strategy & Partnerships

**York 2032: The 10-Year Plan****Summary**

1. The last three years have brought considerable challenges, with worldwide impacts, including significant impacts for our residents, businesses, and visitors to the city. Our response as a Council has needed a strong partnership approach with a wide range of other organisations. During the last year we have seen the relaxation of measures in response to the pandemic, but new challenges in particular the rising cost of living continues to affect residents and businesses.
2. Against this set of past and present challenges, now, more than ever, we need to work together across the city to consider how best to enhance our way of life, adapting to regional opportunities, learning and building on our response to the pandemic whilst mitigating the ongoing effects of Climate Change to achieve net zero carbon by 2030, reshaping the economy post-Brexit/COVID and tackling inequalities across the city.
3. Drawing on the extensive 18-month programme of resident, business and stakeholder engagement, together with public scrutiny and decision sessions that informed the development of the three 10-Year strategies considered by Executive in November, the council has collaborated with city partners to co-produce a 10-Year city plan. The plan sets out a broad vision for the city, a set of shared priorities, goals and actions, together with actions the city partners have committed to deliver together.

4. Executive are now invited to review York 2032: The City Plan (**Annex A**), and make recommendations to Council to approve and adopt it on behalf of the city.

### **Recommendations**

5. Executive are recommended to
  - a) Endorse the York 2032: 10-Year Plan before then making recommendations to Council to consider approving and adopting it on behalf of the city.

### **York 2032: The 10-Year Plan**

6. The York 2032: The 10-Year Plan's foundations are the ambitions and goals set out in the three 10-Year strategies reviewed by Executive in November:
  - Climate Change Strategy 2022-2032
  - Economic Strategy 2022-2032
  - Health and Wellbeing Strategy 2022-2032Together with two other city-wide strategies:
  - Skills Strategy 2020-2030
  - Cultural Strategy 2020-2025
7. It will be further refined over the months and years ahead. During 2023, the Local Transport Strategy, the Anti-racist strategy and recommendations from the Poverty Truth Commission will be published. In addition, the Local Plan is currently going through public enquiry and we anticipate it will be adopted in summer 2023. The Local Plan sets out the spatial developments in the city and once adopted the 10-Year plan actions will be updated to reflect the opportunities it presents.
8. York 2032: The 10-Year Plan has been co-produced by city partners in response to the resident and stakeholder feedback which informed the development of the 10-Year strategies, together with the evidence base published in the 10-Year strategies technical annex.
9. It is comprised of:



- An overarching vision with agreed priorities for the decade ahead.
  - 5 pledges city partners have made to confirm how they will work together to deliver the vision.
  - Actions city partners will work together on. It is anticipated that although the actions might change, the priorities will remain constant.
10. The goals in York 2032: The 10-Year Plan (the Plan) are those of the 10-Year strategies – set against the priorities in the Plan.
  11. The Plan is the starting point, not a fixed plan, which will continue to evolve as the city comes together to agree what we want the future of York to look like. It sets out how York will respond to challenges, influence strategy, policy and investment decisions and unites the council, institutions and communities through a shared direction and goals.
  12. Over the decade ahead there will be significant opportunity for members, including scrutiny committees, to work with city partners to develop and review further actions, refine activities proposed and, through the usual process, set out council actions in future Council Plans. In addition, the council will continue to engage residents, communities and stakeholders to consider different opportunities that focus on the priorities.
  13. The Plan is now presented to Executive to review and consider recommending to Council to adopt.

### **Development process**

14. The development of the Plan was informed by the below processes:
  - 1) Evidence collation and analysis: published as technical annexes of the 10-Year strategies. The 10-Year strategies technical annex presents the evidence set and provides a baseline going forward.
  - 2) Resident, business, partner and stakeholder insight and intelligence which has been gathered in line with the Resident Engagement Strategy (approved by Executive in April 2021) over the last 18 months.

- 3) Cross-party scrutiny, decision sessions and the Health and Wellbeing Board iteratively reviewed different aspects of the 10-Year strategies as they developed, providing recommendations and influencing the development process, strategies and action plans.
- 4) Equalities impacting to better understand the positive and potentially detrimental impacts of climate, economic or health ambitions on different groups of residents. Equalities impacting both informed the 10-Year strategies and 10-Year Plan and identified requirements for action plans, including those actions the city partners will work together on.
- 5) City partner workshops: City partners were invited to iteratively co-produce the 10-Year plan drawing on the evidence, insight and intelligence collated to develop the 10-Year strategies whilst considering the impact on their own sectors/institutions to shape a 10-Year plan that responds to the needs of the city, pre-empting future challenges and opportunities.

### **City partner workshops**

15. City partners came together in two independently (LGA) facilitated workshops and two council facilitated workshops to:
  - a) Confirm the strategic priorities that are the most important
  - b) Consider how to support delivery of the city's strategic ambitions articulated in the 10-Year strategies
  - c) Co-produce a unifying vision statement for the city based on the resident and stakeholder insight and intelligence and evidence of the city's challenges and opportunities.
  - d) Identify actions that will form the basis of a plan that can be used to attract future funding/investment opportunities
16. During two city partnership meetings (14 and 23 November), city partners provided feedback about York 2032: The 10-Year Plan which has been incorporated into Annex A for Executive to now consider.

### **Consultation and Engagement**

17. The process to co-produce the Plan is described above. It includes significant consultation and engagement across the city with residents, partners, stakeholders and regional partners feedback informing the development of the 10-Year strategies, related action plans and Equality Impact Assessments. The feedback from this consultation and engagement activity is published on the council website: Our Big Conversation – City of York Council
18. The 10-Year Plan builds on this consultation and engagement together with the city partner workshops described above. Following approval by Council, broader engagement led by city partners will take place.
19. A website will be launched to share information and keep people updated about opportunities to get involved. The website will also link to related activity to show progress, the current policy context and the evidence base including the consultation and engagement feedback.

## Council Plan

The 10-Year plan responds to the Making History, Building Communities Council Plan 2019-2023 priorities.

## Implications

- **Financial** The 10-Year plan has been co-produced with city partners and recognises the council has significant budget challenges and is unable to deliver everything that is needed to support the city. By working in close partnership, as articulated through the 10-Year plan, the city will benefit from additional resources whether investment, expertise or capacity to help achieve city wide ambitions. Funding council-led actions will be explored through successive council plans, with gaps in funding identified. The Plan sets out the vision and priorities to negotiate additional funding from alternative sources.
- **Human Resources (HR)** *(none)*
- **Equalities** Equalities Impact Assessments (EIAs) have been completed for the 10-Year strategies and published online with the 10-Year strategies. Actions from the EIAs will be/are included in the relevant 10-Year strategy Action Plans. The 10-Year Plan EIA is in Annex B and is a consolidation of the 10-Year strategies EIAs. If their own policy requires it, EIAs will be completed by lead city partner organisations for partner-led

actions as appropriate. The Council will ensure for their own council-led actions EIAs will be in place.

- **Legal** – The 10-year Plan forms part of the Council’s Policy Framework, and responsibility for its adoption rests with Full Council, having regard to the recommendations of the Executive. There are no direct legal implications arising from the adoption of the Plan, and any issues requiring legal support, arising from its subsequent implementation, will be addressed at the appropriate time.
- **Crime and Disorder** *none*
- **Information Technology (IT)** *none*
- **Property** *none*
- **Other** Communications and engagement remains a core element of implementation.

## **Risk Management**

**Priorities** Throughout the duration of the 10-Year Plan, there is a risk that the policy context, wider environment, or organisation priorities might change - altering the course of the 10-Year Plan. Sufficient flexibility has been built into the development of the 10-Year Plan that allows for future change and ongoing engagement with city partners and residents will shape future actions. In addition, there is a review point scheduled in 5 years to ensure the vision and ambitions are still right, and being delivered against.

**Engagement:** Recognising that the 10-Year Plan has not been developed in isolation, rather is a continuum of the development of the 10-Year Strategies there is the risk that different organisations feel important elements are missing. As well as the opportunity to involve different perspectives and engage more widely, the 10-Year Plan has been designed to be sufficiently flexible it can continue to evolve over the years ahead.

## **Contact Details**

**Author:**

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Assistant Director Policy and  
Strategy

**Chief Officer Responsible for the  
report:**

Ian Floyd  
Chief Operating Officer

**Specialist Implications Officer(s)** *List information for all*  
Corporate Management Team

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

**All**

**For further information please contact the author of the report**

**Background papers:** Executive 22 November 2022 [Agenda item - 10-Year Strategies \(york.gov.uk\)](#)

**Annex A:** York 2032: The 10-Year Plan

**Annex B:** Equalities Impact Assessment

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format – folded A1 poster with 8 pages of text/images/illustration and inside page poster for display in city partners premises – highlighted text is design notes

[front page ]

## **York 2032: The 10-year Plan**

**Setting priorities for the decade ahead, and beyond**

**2022-2032**

**York will be a vibrant, prosperous, welcoming and sustainable city, where everyone can share and take pride in its success.**

## **A city fit for the future**

### **York today (2022)**

York is renowned for its heritage, culture and beauty. It is a unique and very special city.

Regularly topping the best place to live polls, York is a safe city home to around 200,000 residents and welcoming 8m visitors a year.

York's foundations are built on strong communities in distinct neighbourhoods nestled between protected open green spaces. York is a city of many deep layers on which stand the Minster, the city walls, our Viking heritage and our creativity in music, theatre and art.

We have successfully retained our character and size over the centuries. This is one of the great strengths of our city.

We are large enough to be ambitious and yet compact enough to foster strong relationships. In York everyone who lives, works or visits York can participate in the city and make a difference for our neighbours, our families and our friends.

York's economy has been a global leader in railways, chocolate and confectionary. We proudly drive the regional economy and make a nationally significant contribution to social change.

### **Our building blocks for success**

York is a thriving, vibrant, forward-looking global city, one that welcomes communities from around the world, celebrates diversity, champions social justice, and strives to improve.

York is pioneering the future of 21<sup>st</sup> century industries in railtech, biotechnology, creative tech and the tech economies.

Collectively known as Higher York, our two world-leading universities and outstanding further education colleges drive economic innovation through their skills development, their research and the talent pipeline of their graduates.

Higher York opens up access to economic opportunity by working with schools and employers to identify and develop the skills, knowledge and behaviours needed to nurture a talented and dynamic workforce. The Higher York partnership engages with businesses large and small to collaborate in skills development, research, and innovation; starting, accelerating and scaling up new companies.

Our internationally renowned centres of excellence build on our history of being at the forefront of unique industries for centuries, such as stone masonry, arts and culture, tourism, events and chocolate and sugar confectionary.

York has made a nationally significant contribution to social change and will address the current issues of poverty that affect nearly a quarter of our population.



## Our future

It is this bold spirit that led to our shared vision for the city: **York will be a vibrant, prosperous, welcoming and sustainable city, where everyone can share and take pride in its success.**

Collectively, we know we can achieve so much for our city. The city-wide response to the pandemic showed us what's possible, if together we support one another on shared priorities. Collectively, city partners have a huge regional and national reach, influence and incredible power to make things better for everyone in the city, so everyone can share in our success.

Together, we can proactively shape a better future for the city we are proud to call home.

## York 2032

This is a vision for York for the decades ahead.

This is a starting point, not a fixed plan, which will continue to evolve as the city comes together to agree what we want the future of York to look like. It sets out how York will respond to challenges, influence strategy, policy and investment decisions and unite the council, institutions and communities through a shared direction and goals.

This Vision for York represents the next step on a journey that has been 2,000 years in the making. Together we support inclusive, sustainable targeted growth that enables inequalities in health, housing and income to be addressed, whilst celebrating our community strengths.

The vision underlines our commitment to make York a vibrant, prosperous, welcoming and sustainable city, where everyone can share and take pride in its success.

The 10-year plan has been co-produced by partner organisations in York to identify the priorities and inform the actions city partners, local communities, and wider city stakeholders will now take to make the vision a reality.

Together, we pledge to:

1. **Commit to the vision and shared priorities** – the vision and priorities are not owned by City of York Council or by any other partner. Instead, it focuses the energy, commitment, and efforts of all partners to prioritise those things that improve the city for the people who live, work and visit York.
2. **To operate with mutual respect, honesty and openness** to develop a deeper evidence-led understanding of each other's priorities, realities and opportunities, alongside the role of local democracy, to address the challenges we all face.
3. **Take evidence-led actions together** – be ambitious, optimistic and realistic about the change we can make, now and in the longer term.

4. **Work together, pool resources** where possible, increasing the sustainability and scalability of change by supporting and coordinating city resources through shared agendas and commons goals.
5. **Build momentum** to be able to react quickly, be dynamic in problem solving and communicate effectively to achieve our aims.
6. **Commit to priorities to attract future investment** to engage the mayor (subject to devolution being agreed in February 2023), health and care partners and investors, so when investment is available it is committed to those areas that are most important to York.

photo case study stories

Outbreak management

GBR HQ

Climate commission

York Alliance

Purple flag

Pride

Biotech

Industry partnering

### Pivotal challenges that are key today to the future success of our city

York has a strong economy, with high employment, wages above average, productivity among the highest in the North, a great education system, the most skilled workforce in the North and a reputation as a great place to live.

However, around 20% of York households are in areas that are some of the most deprived in the UK. Pay, housing, secure employment, health and healthy living are widely diverse, depending where in the city you live.

Covid together with rapidly accelerating societal challenges, for example in 2022 rising energy costs and the rising cost of living, have contributed to more people experiencing living standards below those many people in York enjoy and expect.

Despite accelerating delivery of affordable housing, providing sufficient homes to meet demand remains a challenge.

**Successes of the recent past** Illustrative drawing showing the different changes to the city over the next 10-years with call -out boxes of benefits - will feature along the bottom of pgs as a fold out picture) with 2030/32 image of York in inside poster

2020	The first two cases of covid in the UK are in York	The Outbreak Management Advisory Board brings city partners together on a shared goal
2020	City partners work together on the response to covid and the risk of flooding.	
2021	LNER York Community Stadium opens	Community partners and health and leisure facilities, home to York City Knights and York Football Club
2021	Lowfield Green first residents move in	165 energy efficient homes inc.19 community build, 6 self-build, 40% affordable
2021	10-year City Centre vision adopted	A city centre everybody wants to be part of
2021	City partners work together on Local Government Reorganisation and the response to flooding.	
2022	The restored Guildhall opens	Providing modern business space with public access, conference and event space
2022	Inclusive Equal Rights 3.0 UK launches	New organisation launched to make York the first anti racist and inclusive city in the North of England.
2022	York Central work begins on site	2,500 homes and 1.2m sq ft commercial space creating 6,500 new jobs
2022	City partners work together to attract Great British Railways HQ, finalise the Devolution Deal, the response to flooding and the Purple Flag accreditation.	
2022	The York St John Creative Centre opens	Providing a public arts venue for the region's creative industries
2022	Launch of three new academic Schools at the University of York	School for Business and Society, Schools of Arts and Creative Technologies, School of Physics, Engineering and Technology.
2022	Institute of Safe Autonomy opens	Strengthening the innovation opportunities in the rail sector
2022	York Community Woodland	50,000 trees planted

2022	Global Biorenewables Development Centre opens	Open access R&D centre working at the interface between academia and industry to scale-up and commercialise bio-based products
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**Opportunities delivered over the decade ahead** : Illustrative drawing showing the different changes to the city over the next 10-years with call -out boxes of benefits - will feature along the bottom of pgs as a fold out picture) with 2030/32 image of York in inside poster

2023	The Local Plan is adopted	25% increase in housing over the next 15 years.
2023	Launch of York Poverty Truth Commission	People with direct experience of poverty work with decision makers, sharing their knowledge about what's truly needed to make change.
2023	Anti racist strategy, evidence base and recommendations published	
2023	Work starts on a city wide plan to reduce feelings of loneliness and boost community participation	Reduce the proportion of adults who report feeling lonely from 25% to 20% of York's population by 2032
2023	Launch of Institution of Health and Care improvement at York St John University	
2023	York Station Gateway work begins on site	Better access, new public space, pedestrian friendly, a more welcoming gateway to York
2023	Duncombe Barracks first residents move in	34 passiv homes 40% affordable, 1 commercial unit
2023	National Railway Museum opens new gallery – Wonderlab	Inspiring future generations to consider science, technology and engineering roles
2023	Largest archaeological excavation in York for 50 years	Creating opportunities for all York school children to transform our understanding of the beginnings of the city.
2023	York Trailblazers community engagement begins	To discover and celebrate local heritage stories about people who are important to communities
2024	Castle Gateway	New public space
2024	Homes at Burnholme are available for residents	83 passiv homes, 40% affordable
2024	York Community woodland	210,000 trees are planted
2024	Ordnance Lane opens for residents	85 passiv homes, 40% affordable, 8 commercial units, 2 community facilities
2024	Haxby station opens for passengers	Welcoming commuters and passengers
2024	Mayor elected	York and North Yorkshire devolution unlocks £540m funding over 30 years
2024	Local Transport Plan	Developed at a regional level in collaboration with the Mayoral Combined Authority
2024	York Poverty Truth Commission begins to share findings	The commission's feedback informs action to reduce poverty over the years ahead
2023	York Trailblazers sculpture trail launches	Discovering new interpretations to celebrate local heritage
2025	Investment into the Biorenewals Centre	Strengthening innovation and business growth in biotech

2025	National Railway Museum opens new building - Central Hall	Exploring the creation of railways
2025	York Central early public spaces open	Early occupation of York Central could mean a new civil service hub
2025	York station frontage and station upgrade completed	Improvements to the gateway to the city and the station reinforce York's central rail in the railways
2025	University of York's new student centre opens as a gateway to the campus	
2026	York St John University celebrate providing higher education in the city for 185 years	
2026	Coney Street Riverside opens for visitors	250,000 sq ft of mixed use retail, leisure and commercial and residential space with a riverside walk and public space
2027	Roman Quarter opens for visitors	Ground-breaking new museum bringing together the achievements of York as the innovator in urban archaeology and the opportunities in digital heritage and creativity

## York 2032

York is a vibrant, prosperous, welcoming and sustainable city, where everyone shares and takes pride in its success.

2030	York launches the next City Vision	Co-designed with residents, community groups, businesses, partners and stakeholders.
2030	York delivers the Action Plan to become carbon neutral	
2032	Illustration based on the opportunities above to illustrate less cars, more active travel, happier healthier people living independent lives in comfortable energy efficient homes, with meaningful diverse work across range of sectors, enjoying rich cultural experience across city	

## Developing the 10-year vision

The country is experiencing significant change. Emerging from the pandemic, responding to complex international issues, experiencing a cost of living crisis, impact of Brexit, adapting to ever increasing extreme weather events - we are facing issues that haven't been experienced for generations, if at all.

Nationally, just as the pandemic accelerated changes to our high street economies and hybrid working technologies, the cost of living and changing weather is accelerating adoption of energy saving measures and renewable technologies. Although locally we cannot pre-empt outcomes, we do know that over the decade ahead the way we live, work and co-exist together may change further.

We know that to consider how best to enhance our way of life, adapt to regional opportunities, learn and build on our response to the pandemic whilst mitigating the ongoing effects of Climate Change to achieve net zero carbon by 2030, we must work together.

Everyone in York has a part to play to achieve our ambitions - the people who live and work here, the people who visit and enjoy the city, the people who champion and stand up for our city.

To develop the 10-year vision, we drew on three different interrelated approaches:

1. **Understanding the policy context:** the national, regional and local policy environment was drawn together to better understand the challenges the city faces. Evidence about the impact of carbon emissions, the economy post covid and the health and wellbeing of residents helped set the broad priorities for the city.
2. **Gathering resident, business, partner and stakeholder insight and intelligence:** Over the last 18 months, we set out to understand what is important to residents, what changes they would like to see and ultimately what future they saw for the city.
3. **Building on our shared commitment to the city:** to build on a strong culture of commitment to the city and collective action already evident in city partners approach to Covid, York Health and Care Partnership, the response to the cost of living crisis, preparing for devolution and other city-wide issues, city partners initially shaped the vision and plan prior to further citizen engagement to help inform the 10-year plan actions.

City partners represent key sectors across the city. They contributed a wide and diverse range of expertise covering tourism, rail, biotech, digital, health and care, community, higher education, research and innovation, local government, conservation and heritage, the voluntary sector and social research.

## **The 10-year vision – strategic framework**

The 10-year vision is more than a plan, it's a strategic framework that sets out what's important to drive the city forward.

The York vision, **to be a vibrant, prosperous, welcoming and sustainable city, where everyone can share and take pride in its success**, focuses on three core areas at the centre of everything we do.

- Economic growth
- Health and wellbeing
- Climate change

These three areas capture the things that will make the biggest difference to improving York and address many of the big challenges we face whilst making the very most of the opportunities we have.

To help focus on the outcomes, we have brought together city partners to define our priorities to tackle the biggest challenges we face. By working together and focusing on these priorities we will draw on expertise, energy and ambition.

Our priorities are focused on our biggest challenges. The actions that we take will change over time as we find new ways to address these age-old problems.

The priorities overlap and interact, To take just one example, all our priority actions will have an impact on poverty – and the causes of poverty – in York.

The 10-year plan sets our shared vision for the city, priority areas and goals. There are four key actions for the years ahead. As these become embedded, new actions will be co-designed. The 10-year plan sets a constructive challenge to all of us to join ambition with real intention to drive our collective action.

Our vision

York will be a vibrant, prosperous, welcoming and sustainable city where everyone can share in its success

Our priorities

HEALTH AND WELLBEING

EDUCATION AND SKILLS

ECONOMIC GROWTH

TRANSPORT

SUSTAINABILITY

Our goals

All York residents (young, old, and future residents) will enjoy happier, healthier, longer lives, in homes that meet their needs, able to actively participate in their communities, with access to the right support at the right time.

All ages will have access to learning throughout their lives to equip them with the skills to succeed commercially and socially, locally and nationally.

York's economy will be vibrant and inclusive with businesses supported to grow and prosper and talent nurtured, retained and supported. Our economy will be developed to be well balanced with a mix of different sectors providing opportunities for young and old.

York's transport networks will be inclusive and sustainable, connecting neighbourhoods and communities.

York will be carbon neutral and contribute to the regional ambition to be carbon negative, with iconic green spaces to enjoy today and the environment protected for future generations to enjoy.

Health and Wellbeing Strategy 2022 - 2032

Economic Growth Strategy 2022 - 2032

Climate Change Strategy 2022 - 2032

The **POLICY FRAMEWORK** Policies set the context. Policies typically include SMART objectives and / or targets. The Council's Executive approve council policy and related budget, with city partner's own governance arrangements responding to their own strategies and policies. Council Policies are called Plans, for example the Local Plan, the Local Transport Plan, the Council Plan, etc.

**ACTION PLANS:** Action plans set out the city partner's actions to deliver the vision and goals in the 10 year Plan and related 10 year strategies. City Partners own actions plans will respond (in part) to the priorities.

### 10 Year Plan framework

**Setting the vision:** City strategic ambitions are co-developed in partnership. The strategic ambitions are set for 10 years with 5 year review points, delivered with partners on behalf of the city.

By their nature, they are aspirational, inspirational and encourage experimentation.

**Establishing objectives:** In 5-10 year cycles with a review point in each Administration

**Delivering action:** Action plans are informed by citizen engagement and are reviewed annually.



[inside spread] The 10-year plan (will use colours to indicate how there are three principle / core strategies with two as enablers – poster to include 2030/32 illustration of how the city will have changed)

City vision	York will be a vibrant, prosperous, welcoming and sustainable city, where everyone can share and take pride in its success				
Our priorities	<b>Health and wellbeing</b>	<b>Education and skills</b>	<b>Economic growth</b>	<b>Transport</b>	<b>Sustainability</b>
Our ambitions	All York residents (young, old and future residents) will enjoy happier, healthier, longer lives, proud of their city and living in homes that meet their needs, able to actively participate in their communities, with access to the right support at the right time.	All ages will have access to learning throughout their lives to equip them with the skills to succeed commercially and socially, locally and nationally.	York's economy will be vibrant and inclusive with businesses supported to grow and prosper and talent nurtured, retained and supported.  Our economy will be developed to be well balanced with a mix of different sectors providing opportunities for young and old.	York's transport networks will be inclusive and sustainable, connecting neighbourhoods and communities.	York will be carbon neutral and contribute to the regional ambition to be carbon negative, with iconic green spaces to enjoy today and the environment protected for future generations to enjoy.
Targets	York's gap in healthy life expectancy between the richest and poorest communities will have significantly reduced.	York will be among the top 25% local economies for skill levels as measured by percentage of working age population who are qualified to NVQ Level 4 or higher, requiring the proportion with Level 4+ qualifications to remain above 50%  There will be ladders of opportunity for people to move on from precarious, low-skilled and low-paid work.	York will be among the top 25% of local economies in the UK in terms of productivity, pay and skills  York will be among the top 25% most productive local economies as measured by Gross Value Added per hour worked, requiring a 3.8% increase in productivity  York will be among the top 25% local economies for pay levels, with more varied and diverse employment opportunities and SMEs supported to prosper.	York will have a transport plan which enables and promotes modal shift to sustainable transport. It supports the Climate Change, Public Health and Economic Development strategies, and mitigates the transport consequences of the growth of the city.  It will support the equality, health and wellbeing of York's current and future residents, businesses and visitors and enables inclusive economic development whilst respecting the city's heritage.  Through the Plan, York will seek to minimise any negative environmental impacts of transport. A key part of the strategy will be supporting measures which reduce the need to travel, as well as those promoting modal shift.	York will be among the first cities in the UK, and lead the region, to be carbon net zero, with carbon emissions reduced every year.
Action Plans	Health and Wellbeing Action Plan delivered with the Health and Wellbeing Board	Skills Strategy 2020-2030 delivered with the York Skills Board	Economic Growth Action Plan delivered with the Economic Partnership	Local transport plan 4	Climate Change Action Plan with York Climate Commission and Sustainability Leads Group
City partnership action	<b>Embedding the cultural offer</b> York's ambitious Culture Strategy ensures culture is inclusive, relevant and accessible to everybody in York, including children and young people. It supports residents' health and wellbeing throughout their lives, placing culture at the heart of placemaking, ensuring talent development and retention, and raising York's profile nationally and internationally: as both a city renowned for its heritage and for its cutting-edge, contemporary approach to creativity.	<b>Access to a lifetime of skills and learning</b> From early years and throughout all life stages, York key anchor institutions and higher education providers offer residents the opportunity to learn the skills to weather economic shocks such as a global pandemic, as well as to thrive and support future sustainable growth and green jobs.	<b>Exploring the tourism offer</b> Drawing on evidence from Group NAO research and recommendations from across the city to co-design a sustainable Tourism Strategy and action plan that builds resident and visitor pride in York's unique attributes.  <b>Embedding the cultural offer</b> York's ambitious Culture Strategy ensures culture is inclusive, relevant and accessible to everybody in York, including children and young people. It supports residents' health and wellbeing throughout their lives, placing culture at the heart of placemaking, ensuring talent development and retention, and raising York's profile nationally and internationally: as both a city renowned for its heritage and for its cutting-edge, contemporary approach to creativity.	Action (s) will be developed with city partners once the Local Transport Strategy has been published.	Sustainability drives what we do
<b>Housing:</b> Take a city-wide perspective with key institutions, developers and registered providers confirming commitments, aligning action and co-ordinating opportunities leading to co-designed larger scale action aiming to alleviate pressure on York's housing stock by understanding where and how to make best use of available and future assets, including the Housing Delivery Programme and those identified in the Local Plan, (because the sum is greater than its parts).					
<b>Reducing poverty:</b> We will harness the capacity and capability in the city to tackle the causes of poverty. Recognising poverty and deprivation have direct impacts on health inequalities and economic opportunities, actions will focus on food, fuel, housing, financial inclusion and the resilience of the community sector.					

**(back page)**

**Related strategies**

- Climate Change Strategy 2022-2032
- Economic Strategy 2022-2032
- Health and Wellbeing Strategy 2022-2032
- Local Transport Strategy 2022-2032
- Financial Inclusion Strategy
- Skills Strategy 2020-2030
- Cultural Strategy 2020-2025

Boiler plate and partner logos

**City of York Council**  
**Equalities Impact Assessment**

**Who is submitting the proposal?**

<b>Directorate:</b>	Governance		
<b>Service Area:</b>	Corporate Policy and Strategy		
<b>Name of the proposal :</b>	York 2032 10 Year Plan		
<b>Lead officer:</b>	Claire Foale		
<b>Date assessment completed:</b>	23 November 2022		
<b>Names of those who contributed to the assessment :</b>			
<b>Name</b>	<b>Job title</b>	<b>Organisation</b>	<b>Area of expertise</b>
Shaun Gibbons	Head of Carbon Reduction	CYC	Climate Change
Peter Roderick	Public Health Consultant	CYC	Public Health
Simon Brereton	Head of Economic Growth	CYC	Economy

## Step 1 – Aims and intended outcomes

<p><b>1.1</b></p>	<p><b>What is the purpose of the proposal?</b> Please explain your proposal in Plain English avoiding acronyms and jargon.</p>
	<ol style="list-style-type: none"> <li>1. Drawing on the extensive 18 month programme of resident, business and stakeholder engagement and public scrutiny and decision sessions that informed the development of the three 10 year strategies considered by Executive in November 2022, the council collaborated with city partners to co-produce a 10 year city plan that would help address city wide challenges through ongoing and future opportunities.</li> <li>2. York 2032: The 10 Year Plan sets out a broad vision for the city, a set of shared priorities, goals and actions, together with actions the city partners have committed to deliver together.</li> <li>3. The York 2032: The 10 Year Plan’s foundations are the ambitions and goals set out in the three 10 year strategies reviewed by Executive in November 2022 which each have their own Equalities Impact Assessment:             <ul style="list-style-type: none"> <li>• Climate Change Strategy 2022-2032</li> <li>• Economic Strategy 2022-2032</li> <li>• Health and Wellbeing Strategy 2022-2032</li> </ul> </li> <li>4. It will be further refined over the years ahead, including once the Local Transport Strategy has been published in 2023.</li> </ol>

<p><b>1.2</b></p>	<p><b>Are there any external considerations?</b> (Legislation/government directive/codes of practice etc.)</p>
	<p>York 2032: The 10 Year Plan responds to the below (current) national and local policy environment:</p> <p>National policy</p> <ul style="list-style-type: none"> <li>• Health and Care Act to establish integrated care systems and the formation of the Humber and North Yorkshire Integrated Care Board (ICB) and York Health and Care Partnerships.</li> <li>• The Levelling Up White Paper and Regeneration and Levelling Up Bill which sets an expectation that York and North Yorkshire will progress a devolution deal</li> <li>• The Climate and Ecological Emergency Bill which seeks to limit global temperatures to 1.5C</li> <li>• The Net Zero Strategy Build Back Greener which sets the government ambition</li> <li>• The Environment Act 2021 which sets out targets, plans and polices for the natural environment.</li> </ul> <p>Local Policy</p> <ul style="list-style-type: none"> <li>• The Council Plan, Making History and Building Communities, 2019-2023</li> <li>• Local Plan</li> <li>• Local Transport Plan 4</li> <li>• The Climate Change Strategy 2022-2032</li> <li>• The Economic Strategy 2022-2032</li> <li>• Health and Wellbeing Strategy 2022-2032</li> <li>• Cultural Strategy 2020-2025</li> <li>• Skills Strategy 2020-2030</li> </ul>

<p><b>1.3</b></p>	<p><b>Who are the stakeholders and what are their interests?</b></p>
	<p><b>City of York Council</b>                  The council is a member of the city partners group and will convene and facilitate future discussions. Council specific actions are set out in Council Plans, the 10 Year Plan instead sets out the priorities and actions of city partners (in collaboration with the council).</p> <p><b>City Partners</b>                  The 10 Year Plan has been co-produced with city partners who have committed to the below:</p> <ol style="list-style-type: none"> <li>1. <b>Commit to the vision and shared priorities</b> – the vision and priorities are not owned by City of York Council or by any other partner. Instead, it focuses the energy, commitment, and efforts of all partners to prioritise those things that improve the city for the people who live, work and visit York.</li> <li>2. <b>To operate with mutual respect, honesty and openness</b> to develop a deeper evidence-led understanding of each other’s priorities, realities and opportunities, alongside the role of local democracy, to address the challenges we all face.</li> <li>3. <b>Take evidence-led actions together</b> – be ambitious, optimistic and realistic about the change we can make, now and in the longer term.</li> <li>4. <b>Work together, pool resources</b> where possible, increasing the sustainability and scalability of change by supporting and coordinating city resources through shared agendas and commons goals.</li> <li>5. <b>Build momentum</b> to be able to react quickly, be dynamic in problem solving and communicate effectively to achieve our aims.</li> </ol>

6. **Commit to priorities to attract future investment** to engage the mayor (subject to devolution being agreed in February 2023), health and care partners and investors, so when investment is available it is committed to those areas that are most important to York.

### **Residents**

The vision that York will be a vibrant, welcoming, sustainable city where everyone can be part of and proud of it's success means all residents (current and not yet arrived/born) can benefit from the city.

York is home to 210,000 people who have an active role to play in both supporting delivery of the 10 year plan and also informing and then benefiting from the actions. Around 20% of York households are in areas that are some of the most deprived in the UK. Pay, housing, secure employment, health and healthy living are widely diverse, depending where in the city you live. Covid together with rapidly accelerating societal challenges, for example in 2022 rising energy costs and the rising cost of living, have contributed to more people experiencing living standards below those many people in York enjoy and expect.

### **Visitors**

York welcomes 8.4 million visitors every year, with the sector contributing £909 million to York's economy. Despite reduced visitor numbers through the pandemic, York remains an attractive visitor destination with a strong regional market. The city's new tourism strategy will take a leap into the future with a bold new plan to rebuild the visitor economy in a more sustainable and integrated way. We want to see York develop as a liveable city, as well as a thriving visitor destination.

### **Investors**

Delivering the ambitions of the 10 Year Plan will require significant investment. The city will need to work with the financial sector and attract external investment to help deliver new infrastructure, financial mechanisms and funding for the different projects.

### **Academic institutions**

	<p>York has 63 schools, 2 further education colleges and 2 internationally renowned universities. Around 25,000 school-aged children live in York and a sixth of our population are under 18 years of age. Our academic institutions are crucial for providing new ways of thinking, innovative solutions, research, funding and talent to help develop new ideas and create a more vibrant and sustainable York. By educating students, we can ensure the next generation lead the way in climate action, viewing every job as a green job.</p> <p><b>York partnerships</b>                  There are four main partnerships working to deliver aspects of the 10 year plan, together and individually:                  The City Partnership                  The Health and Wellbeing Board                  The Economic Partnership                  York’s Climate Commission</p>
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<b>1.4</b>	<b>What results/outcomes do we want to achieve and for whom?</b> This section should explain what outcomes you want to achieve for service users, staff and/or the wider community. Demonstrate how the proposal links to the Council Plan (2019- 2023) and other corporate strategies and plans.					
	<b>Priorities</b>	<b>Health and wellbeing</b>	<b>Education and skills</b>	<b>Economic growth</b>	<b>Transport</b>	<b>Sustainability</b>
	<b>Ambitions</b>	All York residents (young, old and not yet born) will enjoy happier, healthier, longer lives, proud of their city and living in homes that meet their needs, able to actively	All ages will have access to learning throughout their lives to equip them with the skills to succeed commercially and socially, locally and nationally.	York's economy will be vibrant and inclusive with businesses supported to grow and prosper and talent nurtured, retained and supported.	York's transport networks will be inclusive and sustainable, connecting neighbourhoods and communities.	York will be carbon neutral and contribute to the regional ambition to be carbon negative, with iconic green spaces to enjoy today and the



		participant in their communities, with access to the right support at the right time.		Our economy will be developed to be well balanced with a mix of different sectors providing opportunities for young and old.		environment protected for future generations to enjoy.
	<b>Targets (goals and outcomes)</b>	York's gap in healthy life expectancy between the richest and poorest communities will have significantly reduced.	York will be among the top 25% local economies for skill levels as measured by percentage of working age population who are qualified to NVQ Level 4 or higher, requiring the proportion with Level 4+ qualifications to remain above 50%  There will be ladders of opportunity for people to move on from precarious, low-skilled and low-paid work.	York will be among the top 25% of local economies in the UK in terms of productivity, pay and skills  York will be among the top 25% most productive local economies as measured by Gross Value Added per hour worked, requiring a 3.8% increase in productivity  York will be among the top 25% local economies for pay levels, with more varied and diverse employment opportunities and SMEs supported to prosper.	York will have a transport plan which enables and promotes modal shift to sustainable transport to support the Climate Change, Public Health and Economic Development strategies, and mitigate the transport consequences of the growth of the city.  It will support the equality, health and wellbeing of York's current and future residents, businesses and visitors and enables inclusive economic	York will be among the first cities in the UK, and lead the region, to be carbon net zero, with carbon emissions reduced every year.

					<p>development whilst respecting the city's heritage.</p> <p>Through the Plan, York will seek to minimise any negative environmental impacts of transport. A key part of the strategy will be supporting measures which reduce the need to travel, as well as those promoting modal shift.</p>	
	<b>Action plans</b>	Health and Wellbeing Action Plan delivered with the Health and Wellbeing Board	Skills Strategy 2020-2030 delivered with the York Skills Board	Economic Growth Action Plan delivered with the Economic Partnership	Local transport plan 4	Climate Change Action Plan with through York Climate Commission and Sustainability Leads Group

## Step 2 – Gathering the information and feedback

2.1	<b>What sources of data, evidence and consultation feedback do we have to help us understand the impact of the proposal on equality rights and human rights?</b> Please consider a range of sources, including: consultation exercises, surveys, feedback from staff, stakeholders, participants, research reports, the views of equality groups, as well your own experience of working in this area etc.	
	<b>Source of data/supporting evidence</b>	<b>Reason for using</b>
Our Big Conversation 1 – public attitude survey		To provide a snapshot of individuals thoughts and priorities on city wide challenges : reaching net zero, strengthening the economy, reducing health and wellbeing inequalities
Our Big Conversation 1 – business survey		To provide a snapshot of businesses thoughts and priorities on where to be in 2032
Stakeholder roundtables		Informed discussion around opportunities and barriers with city partners and stakeholders and technical experts
Internal officer working groups		Conversations with service teams to gain informed insight into sections of the 10 year strategies
Our Big Conversation 2 – public engagement		Broadcast - to provide a snapshot of individuals thoughts and priorities on the 10 year strategies
Our Big Conversation 2 – focus groups		Targeted towards missing/less heard cohorts to provide individuals thoughts and priorities on the 10 year strategies and priorities for different groups
Climate Corner		Face to face discussions at Explore York to consider different themes of the 10 year strategies through the lens of climate change
Stakeholder feedback		Direct feedback from regional and local stakeholders and city partners about the 10 year strategies

<p>10 year Plan workshops</p>	<p>City partners came together in two independently (LGA) facilitated workshops and two council facilitated workshops to:</p> <ol style="list-style-type: none"> <li>1. Confirm the strategic priorities that are the most important</li> <li>2. Consider how to support delivery of the city’s strategic ambitions articulated in the 10 year strategies</li> <li>3. Co-produce a unifying vision statement for the city based on the resident and stakeholder insight and intelligence and evidence of the city’s challenges and opportunities.</li> <li>4. Identify actions that will form the basis of a plan that can be used to attract future funding/investment opportunities</li> </ol> <p>During two city partnership meetings (14 and 23 November), city leaders provided feedback about York 2032: The 10 Year Plan which has been incorporated into Annex A for Executive to now consider.</p>
<p>Scrutiny and decision sessions</p>	<p>Regular public scrutiny and decision sessions that invited public participation to shape and inform the 10 year strategies.</p>

### Step 3 – Gaps in data and knowledge

3.1	<b>What are the main gaps in information and understanding of the impact of your proposal? Please indicate how any gaps will be dealt with.</b>	
<b>Gaps in data or knowledge</b>		<b>Action to deal with this</b>
Demographic cohorts we have not been able to engage with		The vision for 2032: York will be a vibrant, prosperous, welcoming and sustainable city, where everyone can share and take pride in its success – means it is important everyone can have a voice and be heard. Used targeted engagement and focus groups to engage with missing/less heard cohorts One of the strategies core principles is to create ‘inclusive healthy and sustainable communities which includes supporting individuals who need it the most’. We need to hear as many insights as we can to ensure the strategy can meet this principle
How certain demographics will be impacted by the effects of the 10 year plan		Creating a more resilient city to the effects of climate change and economic uncertainty Using targeted engagement to engage with missing/less heard cohorts Keep informed of latest data/predictions/modelling of economic, health and climate change indices Regular reviews inc. public review of the 10 year plan scorecard/dashboard to ensure no cohort is left behind

### Step 4 – Analysing the impacts or effects.

4.1	<p><b>Please consider what the evidence tells you about the likely impact (positive or negative) on people sharing a protected characteristic, i.e. how significant could the impacts be if we did not make any adjustments? Remember the duty is also positive – so please identify where the proposal offers opportunities to promote equality and/or foster good relations.</b></p>		
Equality Groups and Human Rights.	Key Findings/Impacts	Positive (+) Negative (-) Neutral (0)	High (H) Medium (M) Low (L)
Age	<p>Overall positive impact, working to reduce the impact of climate change for all demographics and strengthen economy and health and wellbeing by being inclusive</p> <p>For this demographic some negative impacts have been identified that we aim to mitigate</p> <p><b>Engagement</b> – elderly people without access to internet/a computer and may not be able to access information, public engagement surveys or focus sessions</p> <p><b>Health and wellbeing</b> – ambition recognises all residents young and old, The HWB strategy takes a life-course approach and thus covers all ages. The Health and Wellbeing Board has sponsored programmes of work to, for instance, make York a WHO-accredited Age Friendly city, and has recently set up a Children and Young People’s Health and Wellbeing Programme Board - city partner action to ensure considers wide range of perspectives to shape</p>	<p>+</p> <p>-</p>	<p>H</p> <p>L</p>

	<p>delivery (so either end of the age range, including not yet born)</p> <p><b>Education and Skills</b> – ambition recognises all ages to have access to skills by broadening training opportunities and to re-skill, Economic Strategy recognises older workers typically are less engaged which could have a negative impact – city partner action to consider different routes in, motivations and barriers to access to inspire all ages</p> <p><b>Economic Growth</b> – ambition recognises role of talent and requirement to nurture, retain and support – Economic Strategy seeks to create more part-time job roles in higher skilled occupations which would provide more opportunity for different ages – city action which initially focuses on tourism to reflect role all ages can play in driving and contributing to sustainable tourism (aligning with city partner skills action)</p> <p><b>Transport</b> – ambition reflects requirement to be inclusive – city partner actions to follow Local Transport Strategy publication, will need to consider how different ages use and access transport networks (whether very young or very old) to better connect communities</p> <p><b>Sustainability</b> - retrofit may be harder and longer with more disruption for elderly people with special home modifications</p>		
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<p><b>Disability</b></p>	<p>Overall positive impact, working to reduce the impact of climate change for all demographics, whilst reducing health inequalities, supporting an inclusive economy and transport networks</p> <p>For this demographic some negative impacts have been identified that we aim to mitigate</p> <p><b>Engagement</b> – may not have access to internet/a computer and may not be able to access information, public engagement surveys or focus sessions</p> <p><b>Health and wellbeing</b> – the Health and Wellbeing Strategy is mindful there are some groups in York where there is evidence of poorer outcomes. To achieve ambition, city partner actions to consider how to target actions to most need</p> <p><b>Education and skills</b> - ambition recognises all ages to have access to skills by broadening training opportunities and to re-skill - city partner action to consider different routes in, motivations and barriers to access to support all disabled people</p> <p><b>Economic Growth</b> – Economic Strategy recognises the 5<sup>th</sup> component of the Good Business Charter to monitor diversity of workforce and close disability pay gaps – city partner</p>	<p>+</p> <p>-</p>	<p>H</p> <p>L</p>
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	<p>action to consider role of GBC and disability confident employers</p> <p><b>Transport</b> – active travel can be harder for some types of disability meaning they still need to use cars and/or need home deliveries (freight) – city partner action to be mindful of ambition for inclusive networks</p> <p><b>Sustainability</b> – ambition focuses on green spaces and environment and city partner action to consider how York green spaces are accessible to all.</p>		
<p><b>Gender</b></p>	<p><b>Health and wellbeing</b> – overall positive ambition reflects all residents – Health and wellbeing strategy recognises differences in life expectancy across different wards and city partner action to consider where to target action to deliver most impact (and support target of reducing gap in richest/poorest communities)</p> <p><b>Education and skills</b> – positive impact</p> <p><b>Economic Growth</b> – overall positive impact – Economic Strategy focuses on equal pay, creating more part-time job opportunities in highly skilled occupations and growth in green jobs – ambition in 10 year plan reflects inclusive and vibrant economy with city partner action focuses on tourism strategy</p>	<p><b>+</b></p>	<p><b>H</b></p>

	<p><b>Transport</b> – positive impact – city partner actions to consider different ways different genders use transport networks and, particularly, safe aspects</p> <p><b>Sustainability</b> - Overall positive impact, working to reduce the impact of climate change for all demographics</p>		
<b>Gender Reassignment</b>	Overall positive impact – noting York has declared it is a trans-friendly city and city action to support	+	H
<b>Marriage and civil partnership</b>	Overall positive impact	+	H
<b>Pregnancy and maternity</b>	Overall positive impact, working to reduce the impact of for all demographics	+	H
	<p>For this demographic some negative impacts have been identified that we aim to mitigate</p> <p><b>Health and wellbeing</b> – overall positive noting the Health and Wellbeing Strategy recommends special emphasis on key formative early years as the best place investment can go – for city partner action to consider going forward</p> <p><b>Transport</b> – city partner actions to consider how active travel can become harder for pregnant people or those with very young babies/children meaning they still need to use cars and/or need home deliveries (freight)</p>	-	L

	<b>Sustainability</b> - retrofit disruption will not work for pregnant people or people with very young babies/children – some waste streams that babies need can be difficult to stop using or move to a reusable option		
<b>Race</b>	Overall positive impact, working to reduce the impact of climate change, reduce health inequalities and a more inclusive economy – the 10 year plan will be updated with recommendations from the anti-racist strategy when it is published in 2023	+	H
<b>Religion and belief</b>	Overall positive impact	+	H
<b>Sexual orientation</b>	Overall positive impact	+	H
<b>Other Socio-economic groups including :</b>	<b>Could other socio-economic groups be affected e.g. carers, ex-offenders, low incomes?</b>		
<b>Carer</b>	Overall positive impact  For this demographic some negative impacts have been identified that we aim to mitigate  <b>Health and wellbeing</b> – overall positive – ambition is to help residents live happier lives and Health and Wellbeing Strategy notes carers do not have as much social contact as	+	H
		-	L

	<p>they would like – with city partner cultural action looking to support reducing social exclusion</p> <p><b>Education and skills</b> ambition recognises access to skills by broadening training opportunities and to re-skill - city partner action to consider different routes in, motivations and barriers to access to support people who care for disabled people, and their availability</p> <p><b>Economic Growth</b> – Economic Strategy aims to encourage more businesses to adopt the Good Business Charter which requires employers to pay the real living wage</p> <p><b>Transport</b> – city partner action to consider how different people use inclusive transport networks, including carers supporting disabled people</p> <p><b>Sustainability</b> – overall positive although noting the ambition focuses on green spaces (today and in the future) and city partner action to consider that accessibility may be reduced in some areas where more greenery/trees are planted</p>		
<p><b>Low income groups</b></p>	<p>Overall positive impact, working to reduce the impact of for all demographics</p> <p>For this demographic some negative impacts have been identified that we aim to mitigate</p>	<p>+</p> <p>-</p>	<p><b>H</b></p> <p><b>L</b></p>

	<p><b>Engagement</b> - may not have access to internet/a computer and may not be able to access information, public engagement surveys or focus sessions</p> <p><b>Health and wellbeing</b> – 10 Year Plan has been co-developed with partners in the middle of a cost of living crisis and the impact of rising poverty is anticipated to negatively impact on health inequalities – the Cost of Living Summit is an action of the 10 Year Plan and will continue to build momentum as partners come together to co-design action – all city partner actions will have a positive impact on tackling the root causes of poverty</p> <p><b>Education and skills</b> - ambition recognises access to skills by broadening training opportunities and to re-skill - city partner action to consider different routes in, motivations and barriers to access particularly for those from lower income groups across different areas of the city</p> <p><b>Transport</b>– ambition notes inclusive networks and city partner action to be developed once Local Transport Strategy published – noting cost of e-cars and public transport and how to mitigate to prompt modal shift (where possible)</p> <p><b>Sustainability</b>– retrofit can be cost a lot of money where funding is not available. Retrofitted houses or those built to a higher energy standard may also increase house prices</p>		
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	and/or energy costs can increase in the move away from gas boilers.		
<b>Veterans, Armed Forces Community</b>	Overall positive impact, working to reduce the impact for all demographics	+	H
<b>Other</b>		-	M
<b>Impact on human rights:</b>			
List any human rights impacted.	<b>None</b>		

### Step 5 - Mitigating adverse impacts and maximising positive impacts

<b>5.1</b>	<b>Based on your findings, explain ways you plan to mitigate any unlawful prohibited conduct or unwanted adverse impact. Where positive impacts have been identified, what is been done to optimise opportunities to advance equality or foster good relations?</b>
City partners to work together to co-design actions that mitigate impacts on different groups including work to engage with all demographics included those with protected characteristics that may be harder to reach to influence and steer future action.	

## Step 6 – Recommendations and conclusions of the assessment

<b>6.1</b>	<p><b>Having considered the potential or actual impacts you should be in a position to make an informed judgement on what should be done. In all cases, document your reasoning that justifies your decision. There are four main options you can take:</b></p>
	<p>- <b>No major change to the proposal</b> – the EIA demonstrates the 10 Year Plan is both robust and flexible enough to incorporate mitigations that would better support and focus on protected communities identified above.</p>

<b>Option selected</b>	<b>Conclusions/justification</b>
Continue with the proposal	There is an overall positive impact from the 10 Year Plan and there are mitigations for any potential negative impacts.

## Step 7 – Summary of agreed actions resulting from the assessment

<b>7.1 What action, by whom, will be undertaken as a result of the impact assessment.</b>			
<b>Impact/issue</b>	<b>Action to be taken</b>	<b>Person responsible</b> (Heads of Service names published only)	<b>Timescale</b>
City partners to consider impact of actions on protected groups and how to mitigate any adverse impacts	City partnership discussion at relevant boards and partnerships	Claire Foale, AD PS	Ongoing
Co-produce actions with different communities	City partner discussions with their own communities	City Partners inc. CYC (Claire Foale)	Ongoing
Transport impacts not yet fully explored	Develop city partner action(s) in 10 Year Plan once Local Transport Strategy published	Claire Foale to prompt discussion	Early 2023
Anti-racist recommendations and Poverty Truth recommendations not yet published	City partners to consider how best incorporate these recommendations once published	Claire Foale in consultation with City partners and related boards	Throughout 2023



## Step 8 - Monitor, review and improve

<b>8. 1</b>	<b>How will the impact of your proposal be monitored and improved upon going forward?</b> Consider how will you identify the impact of activities on protected characteristics and other marginalised groups going forward? How will any learning and enhancements be capitalised on and embedded?
	On going engagement and consultation including future public attitude surveys Annual report at Health and Wellbeing Board to share progress and impact Regular discussions at 10 Year Plan partnerships and boards Review in 5 years of 10 year Plan

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**Executive****15 December 2022**

Report of the Chief Finance Officer  
Portfolio of the Executive Member for Finance & Major Projects

**Financial Strategy 2023/24 to 2027/28****Summary**

1. The Financial Strategy 2023/24 to 2027/28 will be presented to Executive on 9 February 2023 and Full Council on 23 February 2023.
2. The purpose of this report is to provide background information for the overall Financial Strategy, to outline some of the key challenges, proposals for budget consultation and a timeline for future reports and the overall decision-making process.

**Recommendations**

3. The Executive are asked to:
  - Note the financial challenges being faced by the Council and high level financial assumptions that feed into the forecast budget gap.
  - Note the budget consultation process as outlined in paragraphs 20 to 28.
  - Note the decision making process and timeline outlined in the report.
  - Reason: To ensure that the Council has a robust, balanced budget.

**Background and analysis**National context

4. On the 17<sup>th</sup> November the Chancellor's Autumn Statement announced the Government's spending plans for 2023/24 and a number of announcements were made that are relevant to local government finances.

5. The Chancellor confirmed that additional flexibilities would be available around council tax with the limit for increases now being set at 2.99%. A further 2% precept in respect of Adult Social Care is also available, meaning an overall increase of 4.99% is allowed without a referendum.
6. Additional funding has been announced for Adult Social Care, to be allocated through ringfenced grants and the Better Care Fund to ensure people can be discharged from hospital on time. At the same time, it was announced that some aspects of adult social care charging reform will be delayed to 2025 at the earliest. The funding expected for these reforms will still be allocated to local government to support the pressures being seen across both adults and children's social care. The funding will be allocated through ring fenced grants and it is therefore unlikely that this funding will be available to support other budget pressures outside social care. Further details are awaited on the detailed allocations and any conditions that may be attached to the funding.
7. Full details of the specific authority funding allocations will not be announced until the provisional settlement which is expected sometime in the week commencing 19<sup>th</sup> December 2022. Therefore, the assumptions included in this report remain estimates and subject to change in the New Year.

#### Local context

8. As previously reported to Executive in both the Finance & Performance Monitor 2 and Addressing the Cost of Living Crisis reports at November Executive, we are facing unforeseen financial pressures and demand for our services, which is having an impact on our budgets both in the current year and in the next year.
9. The 2022/23 budget was set just as the country was emerging from the Covid-19 pandemic and the crisis in Ukraine was beginning. Since that time, we have seen rising energy, fuel and food prices, inflationary increases in contracts, supplies and other expenses that are making it difficult for the council to balance its budget, resulting in an in year financial pressure totalling £7.7m.
10. Many of these increases in costs are expected to continue, at least in the short to medium term, and this therefore creates further budget pressure in 2023/24. We need to ensure that we include sufficient growth in the budget to cover these known cost pressures.

11. The budget in 2023/24 will need to be increased to cover inflationary increases on a range of contracts and direct costs. An assumption is being made that the cost of the pay award will again be broadly similar to that in 2022/23.
12. Based on the financial assumptions outlined in this report the initial forecast budget gap was estimated at £15m. Following the announcements made in the Autumn statement we have been able to revise our estimates but there remains a forecast budget gap of some £10m. As outlined in the Addressing the Cost of Living Crisis report to Executive in November, given the significant additional costs being faced by all councils across the country since 202/23 budgets were set, it is clear that further funding is needed from Government to allow councils to meet these financial challenges whilst continuing to deliver for residents.
13. The Council will clearly need to identify how this gap can be bridged. This could be through a range of measures, including
  - Reviewing the cost of schemes in the capital programme
  - Service efficiencies and reductions
  - Reviewing fees and charges, including the level of Council Tax increase that could be applied
14. This is an estimate based on the financial assumptions being used for 2023/24 budget planning purposes only. All budget decisions will be made at Executive and Full Council in February 2023.
15. It is clear, however, that the Council continues to face long standing financial challenges, particularly with regard to uncertainty over national funding streams and growing demand for Council services, especially within adult and children's social care.
16. Specific details of future year's savings proposals will be covered in future budget reports, due in the New Year and following the publication of the financial settlement for local government. The eventual scale of savings that are required will be driven by the outcomes of the future spending reviews and economic recovery, alongside the extent to which service demands affect the council. Looking beyond 2023/24 is difficult at this time, given the wide range of uncertainties.

#### Principles that will shape the budget process

17. The budget setting process will take into account the following issues;

- i. Consideration of the 2022/23 position.
  - ii. Consideration of unavoidable cost increases.
  - iii. How to create the capacity in priority areas and driving service improvement and innovation.
  - iv. Consideration of reductions in grant funding.
  - v. Ensuring that the budget is robust and prudent and is based upon the strategic financial advice of Chief Finance Officer as s151 officer.
  - vi. Ensuring there is a strong link between the capital and revenue budgets and that the delivery of priorities fully considers the two budgets hand in hand.
18. It is critical that the council continues to support a strong local economy, recognising the significant financial benefits in the form of retained business rates, and the creation of jobs. Ensuring that there is a strong link between the capital and revenue budgets to support the delivery of council priorities is essential.

#### Decision Making Process

19. Following this report, it is proposed that the timeline for future reports is as follows:
- Executive Member Decision Session 12<sup>th</sup> January – Portfolio Holder for Finance & Major Projects will present the overall budget proposals to allow for consideration of provisional settlement to take place and early publication of detailed proposals, along with an opportunity for residents to contribute their views directly
  - Executive 9<sup>th</sup> February – Full suite of budget reports, including the results of the consultation and the Equalities Impact Assessment, presented to Executive
  - Council 23<sup>rd</sup> February – to approve the budget

#### **Consultation**

20. The council is consulting with residents and businesses to identify the services that matter most to them and to understand their priorities for spending the council budgets.

21. The 2023/24 budget consultation launches in December and closes on the 9<sup>th</sup> January.
22. The consultation includes a number of question sets from previous years on council tax and the social care precept, to allow us to track and assess feedback.
23. The consultation was promoted to residents through various channels via Our City publication, social media, local media, forum groups, newsletters, published on the council's consultation page, and promoted in Council Buildings such as Libraries and Leisure Centres.
24. Our City was delivered to all households from 19<sup>th</sup> December. Paper responses are sent back at no cost to residents via Freepost to West Offices.
25. The online survey was promoted within the business community via existing business network links and distribution groups such as York Business Week, Make It York, BID, York Chamber of Commerce, York Federation of Small Businesses and asking them to pass on to their members.
26. In addition to the distribution of the survey, 3 focus groups will also be held to gather qualitative information on the overall budget situation, building on the focus group that was first trialled during the previous budget setting process.
27. At the time of writing arrangements are being made for a focus group to be consulted in December which allows a more in-depth discussion with participants. Further focus groups are expected to take place before the final Executive decision in February 2023.
28. Feedback from the Budget Consultation Focus Group and all views and data gathered during the consultation will in due course be published on the York's open data platform [www.yorkopendata.org](http://www.yorkopendata.org)

### **Council Plan**

29. The budget will continue to be developed in line with the priorities outlined in the Council Plan 2019 – 2023.

### **Equalities**

30. An impact assessment will be completed for each individual saving as required. Once the budget proposals are completed, an assessment will be made of the overall impact of the budget proposals and will be

published in the budget report to Executive in February 2023. The impact assessment will consider risks associated with savings proposals to ensure any negative impact for a particular group, sector or community is eliminated or counterbalanced. Decisions taken will also consider the impact on the Councils carbon budget alongside benefits such as improvements to service users or a reduction in energy costs.

### **Specialist Implications**

31. This report has the following implications;

#### **Financial**

32. The financial implications are contained within the body of the report.

#### **Human Resources (HR)**

33. The contents of this report are for information only at this stage. The HR implications of the budget setting process will be covered in detail in the report to Executive in February.

#### **Legal**

34. The contents of this report are for information only at this stage. The legal implications of the budget setting process will be covered in detail in the report to Executive in February.

#### **Risk Management**

35. An assessment of risks is completed as part of the annual budget setting exercise and details of this will be included in the February report to Executive. These risks are managed effectively through regular reporting and corrective action being taken where necessary and appropriate.

36. As the Council's Section 151 Officer, the Chief Finance Officer has a statutory responsibility for ensuring that the Council makes arrangements for the proper administration of its financial affairs. Section 114 of the Local Government Finance Act 1988 requires a report to all Council members to be made by the s151 officer, in consultation with the Monitoring Officer, if there is or is likely to be an unbalanced budget.



**Contact Details**

**Author and Chief Officer  
responsible for the  
report:**

Debbie Mitchell  
Chief Finance Officer

**Report  
Approved**

**Date** 6/12/2022

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

**All**

**For further information please contact the author of the report**

Background Papers:

Finance and Performance Monitor 2 – Executive 22<sup>nd</sup> November 2022

Addressing the Cost of Living Crisis – Executive 22<sup>nd</sup> November 2022

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**Executive****15 December 2022**

Report of the Director of Housing Economy and Regeneration

Portfolio of the Executive Member for Housing and Safer Neighbourhoods

**2023-2028 Housing Asset Management and Energy Efficiency Retrofit Plan****Summary**

1. This report sets out an investment of £123.65m of capital and revenue funding over a 5 year period in improving existing and increasing the amount of council housing stock in York and sets out a vision for the housing service as “One Team, Healthy Home, Better Lives”. This vision will be delivered through a robust long-term approach to Housing Asset Management, providing structure and accountability to our investment programme for council housing. This will support our ambition of providing **safe, sustainable, affordable** and **good quality council** homes for our residents over the long term.
2. To support this asset management approach is a Retrofit Action Plan, providing clarity on how we will invest in our council homes to improve energy efficiency, supporting climate neutral ambitions, ensuring our homes are healthy and warm, and reducing residents energy bills. This plan also seeks to support retrofit within other housing sectors through collaborative working, advice and green skills development.
3. This report sets out plans for how we will meet the following objectives:
  - For all council homes to consistently meet the City of York Council Property Standard, reflecting the ambitions of the government’s Decent Home Standard.
  - To utilise a data led approach to investing in our council housing, supporting the achievement of value for money in meeting our ambition of providing **safe, sustainable, affordable** and **good quality** homes.
  - Providing new high quality mixed tenure affordable homes through continued investment in the Housing Delivery Programme; and

- Improving the average energy performance rating of council houses alongside supporting further retrofit in the wider affordable and private sectors.

## **Recommendations**

4. Executive are asked to approve the following recommendations.
  - i) Approve the Housing Asset Management approach for 2023-28 as outlined within this report, ensuring that we invest well in our council housing stock in order to provide safe, sustainable, affordable, and good quality homes, by:
    - a. continuing to deliver to the government's Decent Home Standard
    - b. adopting the enhanced York Standard
    - c. continuing to identify and work to deal with damp and mould in homes
    - d. adapting more homes to meet the needs of people with mobility difficulties, older and disabled people, including children with long term illnesses and complex conditions
    - e. delivering homes for older people that support and enhance independence, safety and care; and
    - f. building new homes to a high standard to meet the growing and changing needs of the city's residents.
  - ii) Note the expected HRA business plan investment into the repair, modernisation and improvement of existing properties of around £53m over the next five years with the ambition to increase this sum via the award of government grant and other funds to drive forward energy efficiency retrofit.
  - iii) Approve the Retrofit Action Plan (Annex A), providing a strategic framework to improving the energy efficiency and the thermal performance of both council houses and those in the private sector.
  - iv) To bring an annual report to the Decision Session of the Executive Member for Housing and Safer Neighbourhoods describing performance against the ambitions of the Asset Management and Retrofit objectives outlined in this report, providing increased oversight and transparency for council house residents.

*Reason: To provide a robust asset management approach to our capital investments, ensuring council homes are safe, sustainable, affordable and good quality.*

## **Background**

### Stock Profile

5. The Council provides housing services across a range of different tenures and assets. The Housing Revenue Account (HRA) currently holds approximately 7,500 tenanted homes, together with over 540 leasehold properties and more than 900 garages. Most of the properties are 'general needs' houses and flats while some 500 are clustered into Independent Living communities for older and vulnerable people. Our apartment blocks are served by 579 communal entrance areas and stairways.
6. The most common type of home within our stock are post 1945 low-rise flats with over 22% of the stock found within this category. Medium rise flats are also a highly prevalent housing type with almost 20% of the stock within this category. In total, flats account for over 49% of the city's council housing stock.
7. Approximately 1,000 homes are classified as 'non-traditional' by construction type, these homes were predominantly constructed during the 1920s and then again in the 1950s and 1960s. A variety of methods were used, including system build steel and concrete frames, concrete panels, timber frame and "rationalised-traditional", with a mix of brick-and-block cavity walls with some sections of non-masonry or solid wall. These sections are typically rendered or clad in hanging tiles. The non-traditional homes are often more complex to maintain and present particular challenges in respect of retrofitting them to higher thermal performance levels. Central government grant funding is earmarked to support investment in the energy efficiency of some of these homes.

### Stock Condition Survey

8. An extensive Stock Condition Survey was carried out in 2019. Overall, this highlighted that our approach to home improvement investment, including new kitchens, bathrooms, and re-wires, alongside our considerable investment in day to day, cyclical and void property maintenance has helped us to keep York's council homes "decent" (i.e. satisfying the Government's "Decent Home" standard). The report also provided data to identify short-to-medium-term stock condition priorities. A number of homes were at risk of becoming non-decent without the correct

investment over the next five years. The key priorities identified by the stock condition survey were:

- To complete the current 30-year cycle of home improvements in things like kitchens and bathrooms
- To continue to address rising and penetrating damp issues where it is prevalent in some house types and/or areas
- To invest in the thermal efficiency of some homes including non-traditional house types
- To complete the programme of replacement older wooden external doors through the installation of new, composite and highly secure doors; and
- To complete the programme of replacement of first-generation UPVC windows which no longer meet modern standards or which are experiencing excess repair needs.

Building on the Stock Condition Survey to ensure safe, secure, sustainable and good quality homes

9. The ambition of a housing asset management plan is to prioritise investment into the right areas, at the right time, to ensure homes are safe, sustainable, secure and good quality. Alongside this, it provides greater transparency to our council house residents regarding our approach and priorities, providing both better understanding of our investment programme alongside supporting greater accountability for our decisions. The recommendations and approach outlined in this report are based on significant interrogation of stock condition information, an analysis of where repair resources have been allocated, and through further analysis of the priorities of council house/flat residents. This report provides a clear plan for decision-making and the prioritisation of resources over the next five years, providing a framework around the annual budget setting process.
10. The key measure of the success of a social housing asset management plan is the number of homes which meet the government's Decent Home Standard. This standard sets the baseline for determining the physical condition of homes. Within this standard are considerations of stock against Category 1 hazards as defined within the Housing Health and Safety Rating System. The Decent Home standard also requires that

socially rented homes are in a reasonable state of repair, that building components are kept in a good condition and that the home has reasonably modern facilities such as a modern kitchen and bathroom. Further, the standard states that each home should provide a reasonable degree of thermal comfort including having efficient heating, at least 50mm of loft insulation (where there is a loft) and that each property has a Standard Assessment Procedure (SAP) rating of its energy performance which is significantly greater than 35. In most cases, the fact that a home doesn't meet all the decent homes criteria doesn't make the home unfit to live in. The key purpose of the decent homes process is to inform priorities and where investment in improvements should be focussed.

11. The City of York Council reports its performance against the Decent Home Standard on an annual basis. As highlighted within the table below we have worked hard and successfully in recent years to improve performance via house modernisation and other investments.

<b>Standard</b>	<b>2018/19</b>	<b>2019/20</b>	<b>2020/21</b>	<b>2021/22</b>
% of dwellings failing to meet the decent homes standard	9%	11%	9%	4.8%

12. However, the challenge continues, with the need for the authority to step-up work to test electrical systems in homes to confirm that they are in a good condition, and to increase expenditure on the replacement of wooden front and back doors to assure security, both of which will help to significantly reduce the remaining percentage of non-decent housing reported above.
13. Within the decent homes definition is the need for homes to meet energy performance criteria. For many years the council has invested in good quality combination gas boilers and communal heating which provide controllable and efficient heat and hot water to 98% of our homes. We will continue to invest in efficient gas heating in the short term, where needed due to technical and resource limitations, whilst increasing investment in other forms of heating such as electricity and lower-carbon alternatives. During the next five years, and guided by national plans and strategies, we will plan a way forward which will allow the transition from gas heating to low-carbon alternatives.
14. In December 2019, Executive approved the recommendations of a report that sought to both begin energy efficiency retrofit works and to undertake strategic planning to embed carbon neutrality into housing

asset management as well as considering our role in supporting retrofit works across all tenures.

15. Since this report significant progress has been made, both in terms of delivering physical retrofit works and finalising a Retrofit Action Plan (Annex A). To date, the council has successfully attracted grant funding under the Social Housing Decarbonisation Fund (SHDF) Wave 1 and Local Authority Delivery (LAD) 1, 2 and 3 programmes. This has supported 228 retrofit installations so far with a further 362 installations planned using existing funding. Alongside this work, a new 'quick wins' service is underway, aiming to provide improvements such as draught proofing to support 250 of our most vulnerable council house/flat residents this winter.
16. York's council housing stock currently has an average SAP rating of 70.6, equating to a "C" Energy Performance Certificate rating. However, the "C" EPC average across our stock, while welcomed, masks the fact that at least a third of our homes (estimated to be 2510) have an EPC rating of "D" or below, with bungalows, non-traditional houses and the oldest (pre-1945) houses having the lowest SAP rating of 67.6, 68.6 and 68.8 respectively. It is these that we seek to target for further investment to improve the energy efficiency and thermal comfort for tenants.
17. Our own investment in energy efficient combination gas boilers (98% of York's council homes have one) and double-glazed windows has allowed us to achieve the average "C" rating for the authority. Grant funding has been crucial in supporting improvement to our least energy efficient homes and the continuation of our own investment will further improve those "D" rated homes.
18. Investment in energy efficiency retrofit must go hand-in-hand with the overall investment in homes to ensure that they remain in good and decent condition, remaining affordable while still maintaining the overall investment in the building fabric and facilities. After all, the retrofit of poorly maintained homes would be a retrograde step and not help tenants in the long run.
19. This plan will link with the Carbon Reduction, Economic and Skills strategies and provide a coherent and wider city level approach which touches upon all areas of domestic energy retrofit.

## Funds



20. Investment in the city's housing stock is delivered via the prudent management of the 30-year Housing Revenue Account Business Plan. As part of this plan, an allocation is made for investment which is equal to the assumed depreciation of the value of the housing stock in that year, known as the Major Repairs Reserve (MRR). As the Business Plan currently stands, the MRR will support the following annual capital investment projects:

	2023/24	2024/25	2025/26	2026/27	2027/28	TOTAL
<b>MRR funds</b>	£9.58m	£10.34m	£10.85m	£11.03m	£11.24m	£53.04m

21. These funds are utilised to deliver such works as: new kitchens and bathrooms, re-roofing, new external windows and doors, standing water works, and heating system upgrades. Funds for investment in retrofit works has so far sat outside of this allocation, with Members, via the diversion of revenue to support capital investment, supporting such works through one off funds which are utilised primarily to match fund central government funding. Moving forward, it is proposed to deliver significant retrofit works alongside home modernisation, standing water and voids works, reducing disruption for residents and creating contractor and cost efficiencies.
22. Whilst the capital investment numbers are significant, these funds support planned investment into around 7500 council homes. The funding isn't sufficient to allow investment in all areas of all council houses/flats, as such, prioritisation is needed to help us both meet resident expectations and legislative requirements set out, such as the Decent Home standard.

### Consultation

23. We are committed to listening to people's views and using their feedback to shape our customer focussed services. We sent our tenant satisfaction survey to more than 4,000 tenants last year; almost half of these tenants told us that being able to influence how services are delivered is important to them.
24. To date this year, we have contacted over 2,000 tenants for their feedback on services: including a new Contractor Code of Conduct, timeframes around responding to tenant queries, living room fires and our

Home Improvement (previously called Tenants Choice) programme. Their feedback is being used to shape these services moving forward.

25. Where we are reviewing a service, we will continue to contact tenants to ask their views to ensure we are delivering services in the way residents want us to. We will use a variety of methods (text, email and letters) to increase the gathering of satisfaction levels from tenants to ensure we build on good service and improve in the areas residents have told us we need to.
26. The Energy Efficiency Retrofit plans have been the subject of discussion and engagement with partners and residents. This includes a presentation to the Housing and Community Safety Policy and Scrutiny Committee on Tuesday 19 July 2022. A subsequent citywide consultation took place on a draft version of the plan. There was broad support for the retrofit action plan and the responses identified a significant interest from residents in improving the energy efficiency of their own home. Key challenges identified from residents were around finding a suitable builder available to undertake works and costs.

### **The Five-Year Housing Asset Management Plan**

27. The vision that will guide how we work is “One Team, Healthy Home, Better lives”. Our Mission is:

“We are ONE TEAM, working with you in positive and responsive ways, always listening and improving our services. **We invest in and plan for the future, ensuring we support safe, sustainable, affordable, and good quality homes.** Working in partnerships, we aim to support strong and diverse communities where you can live well and thrive.”

28. The overarching asset management objectives for the next five years are:
  - That all homes consistently meet the City of York Council Property Standard;
  - An information led assessment of all homes will set investment priorities targeting sustaining safety, security and quality as well as improving sustainability; and
  - We will continue to invest in new high-quality mixed tenure affordable homes, both through development and acquisition.
29. Key measures of success will be:

- Compliance with Decent Homes Standard – 100%
- Percentage of properties with a valid Gas Safety Certificate – 100%
- Percentage of properties with a valid Electrical Inspection Certificate – 100%
- Homes with an EPC rating of C above – 95%
- An annual carbon saving, compared to 2022 use, of 1,975 tonnes of CO2
- Sustaining customer satisfaction with the quality and maintenance of their home
- Delivery of plans within budget
- Eradicating damp and mould caused by structural or maintenance issues

30. We will aim to ensure that all of our homes meet the Decent Homes Standard, as outlined below this will broadly mean:

- Category 1 Hazards – None of our homes contain any hazards which fall within this category
- Reasonable State of Repair – All of our homes will meet this standard. One or more 'key' components, or two or more other components, must be both old and in poor condition to render the dwelling non-decent.
- Reasonably modern facilities – All of our homes will (if they do not currently) meet this criteria. A 'non-decent' home lacks three or more of the following facilities:
  - a kitchen which is 20 years old or less
  - a kitchen with adequate space and layout
  - a bathroom which is 30 years old or less
  - an appropriately located bathroom and WC
  - adequate external noise insulation (where external noise is a problem); and
  - adequate size and layout of common entrance areas for blocks of flats.
- Reasonable Thermal Comfort – all of our homes will meet this requirement.
- Effective insulation & heating – all council homes will meet this standard, meaning they have either gas programmable central heating; electric storage heaters; warm air systems; underfloor systems; programmable LPG/solid fuel central heating; or similarly efficient heating systems which are developed in the future.

The level of insulation that is appropriate is:

- For homes with gas/oil programmable heating, cavity wall insulation (if there are cavity walls that can be insulated effectively) or at least 50mm loft insulation (if there is loft space) is an effective package of insulation; and
- For homes heated by electric storage heaters/LPG/programmable solid fuel central heating a higher specification of insulation is required: at least 200mm of loft insulation (if there is a loft) and cavity wall insulation (if there are cavity walls that can be insulated effectively)

31. A home lacking two or fewer of the above is still classed as decent. Therefore, we will continue to modernise both bathroom and kitchens on the 30 years Home Improvement (previously called Tenants Choice) programme as this will keep tenant disruption to a minimum and remain affordable, because it is not necessary to modernise the kitchen at 20 years if a home meets the remaining criteria. We will continue to fit good quality kitchens; however, we will set aside monies in each year of this plan fund the replacement of kitchens that fail before their 30<sup>th</sup> year.

### **City of York Council Property Standard**

32. In addition to meeting Decent Homes Standards, we will work to ensure our homes meet a City of York Council Property Standard. We will work to ensure all of our homes meet this standard by 2027:

<b>CYC Standard</b>	<b>Why</b>	<b>To achieve Vision...</b>	<b>How</b>
a) An Energy Performance Certificate (EPC) rating of C or better [or SAP rating 69 or above].	To reduce carbon use and save on tenant heating and lighting bills.	Sustainable  Affordable	Via externally funded and self-funded retrofit-programme and as part of normal investment works.
b) Effective protection in walls and floors to prevent damp	To ensure that the home is a healthy place to live	Good Quality	Via a reviewed and revised Rising & Penetrating Damp

CYC Standard	Why	To achieve Vision...	How
penetration and measures to manage or eradicate water below suspended floors, where problems have been identified.			investment programme, targeting the “worst first”.
c) Double glazed windows in all homes where possible and triple-glazed in new homes.	To reduce carbon use and save on tenant heating and lighting bills.	Sustainable Affordable	Investment into the upgrading of “first fit” double glazed windows which have failed and specification of triple-glazing for all new homes.
d) Secure, ideally composite, external doors, replacing softwood doors as a priority	To ensure that homes are safe and secure.	Safe	Check and replace softwood doors in advance of the periodic external painting programme.
e) Hard wired smoke detectors installed when the home is re-wired.	To ensure that the home is a safe and healthy place to live	Safe	Hard wired smoke detectors installed when the home is re-wired
f) CO2 detectors in all homes with gas appliances.	To ensure that the home is a safe and	Safe	CO detectors installed in each home with a gas

CYC Standard	Why	To achieve Vision...	How
	healthy place to live		appliance and checked annually.
g) Extract fans in kitchen and bathroom ideally humidistat controlled.	To ensure that the home is a healthy place to live	Good Quality	Upgrade to humidistat control when replacement is needed or at modernisation.
h) Over-bath showers.	To ensure that the home meets modern standards and tenant expectations.	Good Quality	Installed at the next home modernisation if not currently in place
i) Choice of colour/styles for kitchen units, wall & floor tiles, & worktops when home modernisation takes place.	To ensure that the home meets modern standards and tenant expectations.	Good Quality	Installed at the next home modernisation if not currently in place
j) Loft insulation which is at least 100mm thick and, ideally, 300mm thick.	To reduce carbon use and save on tenant heating and lighting bills.	Sustainable Affordable	Via externally funded and self-funded retrofit-programme, as part of normal investment works and/or when the home becomes vacant.
k) Where reasonable and practical to improve the	To meet the long-term needs of tenants	Safe Good Quality	Via our adaptations and accessibility

CYC Standard	Why	To achieve Vision...	How
accessibility of homes			works and to the Standards set out later in this Plan.

### Damp and Mould

33. The Housing Ombudsman published a report in October 2021 looking at damp and mould in rented housing, drawing upon evidence from more than 500 responses to their call for evidence across 142 landlords. These range in size from primarily large urban high-rise properties to landlords with fewer than 50 properties. Following the research, they have made 26 recommendations based on good practice they observed. Their advice has guided our plan, set out below.
34. The Ombudsman asks that landlords approach a zero-tolerance approach to damp and mould. This does not mean zero-cases, but a prescribed proactive attitude to review stock and tackle damp in an energised and effective way. It should inform strategic thinking regarding their assets through a risk assessment that identifies which dwellings are more prone to damp and mould.
35. We set a commitment to deal with damp and mould, setting aside an estimated £7m over the next five years and guided by a systematic review of current and known cases and a proactive examination of similar property types.
36. We are also advised to establish a clear and transparent procedure for identifying and diagnosing whether damp and mould is structural or not, potentially with the help of independent expertise.
37. We will procure new partners to help us undertake damp surveys and a contractor partner to work with us to design and deliver effective solutions to identified damp and mould.
38. When it comes to minimising damp and mould, there is a systemic lack of useful information for tenants. The Ombudsman finds tenants feel patronised and stigmatised with such advice, which can be particularly frustrating given the fundamental issue of blame leading to a poor tenant-landlord relationship.

39. Through tenant engagement the council will co-design literature to provide meaningful advice and guidance to help “share responsibility” in preventing damp and mould.
40. We will also identify opportunities for extending the scope of our diagnosis within buildings, for example by examining neighbouring properties, and make the most of opportunities to identify early signs of damp and mould, to ensure the response early on is as effective as possible.
41. This will be supplemented by a data driven, risk-based approach with respect to damp and mould. This will reduce our reliance on residents to report issues, help us to identify hidden issues and support us to anticipate and prioritise interventions before a complaint or disrepair claim is made. We will learn from complaints and identify trends in complaint data to manage our stock.

#### Creating accessible and adapted homes for the future

42. There are increasing numbers of older and disabled people living within our existing homes, including children with long term illnesses and complex conditions. We need to ensure that we build new homes that offer flexibility, whilst ensuring that our existing homes are fit for the future and meet the needs of individuals who live in them. By doing this we will improve the health, well-being, and quality of life of individuals and their families, by maximising their independence, safety, privacy, confidence, and dignity, and enabling them to continue living at home.
43. Where reasonable and practicable, we will build accessibility improvements into the delivery of wider works e.g.
- Where an external door is replaced, introduce a more accessible replacement, including removal of thresholds where practicable.
  - Where a tap is replaced, replace with an easy-to-use lever alternative if the customer chooses this option.
  - Where new sockets are installed, or rewired, we will continue to fit at a height in line with most current building regulations to be suitable for wheelchair users.
  - Where new switches or controls are added, or re-wired, we will continue to fit at a height and location in line with most current building regulations to be suitable for wheelchair users.



44. Where general improvement work is being carried out through other programmes (e.g., Home Improvements), we will consult with tenant/household member regarding their individual needs. Where appropriate, in partnership with the Occupational Therapy Service, and/or other relevant professionals, we will ensure that any work being carried out will not have a negative impact on the use of their home.
45. We will consider the property type, and the likelihood that someone occupying that home may need an enhanced accessibility standard. Where this is the case, we will consider how we can best meet current and future needs, particularly in the case of ground-floor accommodation and Independent Living Communities.
46. Going forwards we will continue to provide a separate adaptations budget to meet the needs of individual tenants, funding a wide range of tailored solutions that will typically include, but not be limited to:
  - level access showers,
  - level access ramps,
  - stair-lifts/through floor lifts
  - Ceiling track hoists
  - automatic door openers
  - wash/dry toilets
47. Wherever possible, we will work towards the latest regulations and guidance for accessible design when we carry out adaptations.
48. Where a shower adaptation is needed, we will aim to install a level access shower and adopt a 'whole bathroom approach'.
49. When level access to a home is needed, we will consider a landscaped solution where the home is either a bungalow, or ground-floor flat.
50. During the lifetime of this strategy, we intend:
  - To review our adaptations policy for council homes with reference to wider housing services, including Capital Projects, Repairs, Voids, and Housing Development.
  - To reprocure the contractors who carry out adaptation work within our homes, and work towards developing a considered and consistent approach to materials.

51. We will also maximise the use of existing ICT systems to record information about adaptations and accessibility features within existing homes, so that we understand our housing better and so that homes can be most appropriately matched to tenants when they become available.
52. We will continue to recognise the growing importance of technology and look for opportunities to provide such technologies to tenants where appropriate, to help them occupy their homes safely and independently. Examples of these include medication reminders, remotely control lighting and heating, and falls detection. We will work with internal and external partners, including our own ICT Service and Social Care, to evaluate and consider technological solutions.

### Acquisition and disposals

53. At times it is appropriate that we review individual homes or groups of homes to determine whether we can maintain our standard in a financially sustainable way and/or whether the property continues to be suitable for its use. Where assets are unsustainable in the long term the decision may be taken to dispose of the asset.
54. There are several methods by which a property interest may be disposed. Sale by competition is the best way of demonstrating that the best price has been obtained but there are sometimes situations where competition is not appropriate or where best price is not the principal objective. The method of disposal will be agreed on a case-by-case basis. Disposal decisions will be taken in consultation with Executive Member for Housing and in line with the Council's Constitution, the Council's Financial Procedure Rules and relevant scheme(s) of delegation/agreed delegated authorities
55. The Council own several high value properties across the city, and when one of these properties becomes vacant it is assessed using the property condition matrix. Approval to dispose of a property would be sought where it is determined that a property is of high value, large in proportions, expensive to heat, repair and maintain.
56. There are occasions when we may acquire properties on the open market. This could occur when we have the 'right of first refusal' where someone has previously exercised their Right to Buy and now want to sell their home. We may also acquire properties in areas where we are looking to regenerate or redevelop as part of a wider regeneration strategy.

### New Build and Growth

57. The Housing Delivery Programme (HDP) at City of York Council sets ambitious targets to deliver 600 homes to high environmental standards. City of York Council owns land assets across the city which the HDP may utilise to deliver high quality housing that meets housing need.
58. Through building homes and creating communities, the HDP will:
- deliver the housing our residents need
  - build healthy homes and neighbourhoods
  - create distinctive and beautiful places which bring communities together
  - reduce our impact on the environment and residents' energy bills
  - support sustainable transport choices and connectivity
59. The council is delivering the programme itself to ensure better outcomes for local communities, resulting in delivery of at least double planning policy levels of affordable housing across the new build programme and this will be increased where grant funding is available to support higher levels of affordable housing. The Housing Delivery Programme will use data gathered through the council's housing waiting list, Local Housing Needs Assessment (LHNA) along with emerging 2021 census data to ensure house types are developed to actively address housing need in the city.
60. New build homes delivered by the council aim to be both zero carbon in use and embody low carbon in construction, taking a whole-life approach to climate change reducing both the impact on the environment but also significantly reducing fuel poverty.
61. Where HRA sites are too small or not viable for housing development through the HDP the Council will look for alternative ways to use the sites to meet housing need. The options below will be considered for available sites:
- Regeneration opportunities now or in the future
  - Self-Build
  - Affordable housing scheme with a Registered Provider
  - Specialist housing scheme
  - Land swap

62. Decisions on small sites will be made in consultation with the Executive Member for Housing and in line with the Council's Constitution, the Council's Financial Procedure Rules and relevant scheme(s) of delegation/agreed delegated authorities
63. The standards achieved at new build will be maintained as the home moves into occupation and long-term management and maintenance by the authority.

#### Older Persons Provision

64. City of York Council continue to review and increase the older persons housing offer to our residents both through direct delivery included within the Council's Housing Delivery Programme and by utilising land assets to support delivery through third party organisations.
65. Following the Older Persons Accommodation Survey 2019, along with the Local Housing Needs Assessment, there is a clear desire from those surveyed to live independently in their own home for as long as possible. Using this information all homes delivered by the Council meet high accessibility standards meaning they are adaptable to meet changing needs of residents as they age. Additionally, single level housing such as flats and bungalows are incorporated into new build projects. Opportunities for intergenerational living will be maximised to combat isolation and loneliness in later life.
66. The Council also currently owns and manages 11 Independent Living Communities (ILCs). Two of these, Marjorie Waite Court and Lincoln Court, have been modernised in recent years with a further refurbishment project underway in the original building of Glen Lodge, due for completion in 2024.
67. The remaining 8 ILCs will be subject to analysis using the ILC condition matrix to assess the condition of the properties including staffing and communal areas to develop a clear strategy for the ongoing management, extension, or redevelopment.
68. The ILC condition matrix will be informed by a detailed Condition Survey over 2023-25 of the 8 ILCs to identify details and 30-year investment needs including:
- Demand level and value to residents/customers in housing need
  - Accessibility and suitability for residents with mobility needs and other disabilities

- Building structure and resolving defects
- Fabric thermal performance
- Heat decarbonization planning and microgeneration opportunities
- Market valuation and Net Present Value, or comparable methodology

69. In alignment with the council's emerging Internet of Things and smart technology strategy, real world data collection and performance modelling from temperature, humidity, CO2 decay, and other sensors may be incorporated into the survey approach.

#### Legislative and Regulatory changes

70. CYC Housing Department are regulated by the Regulator of Social Housing and must abide by current and new legislation. We will look forward to, and be aware of, relevant legislative and regulatory change and as the Plan progresses, adapt our approach and priorities when needed.

71. Recent requirements and changes, which we have already addressed, or are progressing, include:

- The need to provide a carbon monoxide alarm in each room where there is a gas appliance (with the exception of a gas cooker). Alarms have been fitted when we have serviced the boiler in the home, and we continue to urge tenants to allow access for servicing and the installation of monoxide alarms.
- Smoke alarms on each floor of a home. Again, we have fitted smoke alarms when we service boilers and carry out other works to non-gas boiler homes. We continue to urge tenants to allow us access in order to install smoke alarms.
- The expectation that government will legislate to require social landlords to have an up-to-date (ie less than five years old) electrical test certificate for each home. Approximately 40% of our homes are currently covered and we are working to have test certificates for the rest. The vast majority of our homes have electrical wiring which is less than 30 years old.

#### Materials

72. A key expenditure item in our Asset Management work is materials – the kitchens, boilers, baths, and other key components that we fit into

existing and new homes. It is important that material choices are considered and consistent. We need to consider:

- quality
- usability and customer likes
- durability
- ease of maintenance
- ease of replacement, like for like, where damage occurs.

73. As a priority, we will review key materials and ensure consistency during repairs & maintenance, investment cycles and at new build.

### **Energy Efficiency Retrofit**

74. Alongside the development of a robust and transparent approach to asset management this report also presents details regarding the Retrofit Action Plan, included in Annex A.

75. Reducing the carbon emissions from heating and running the homes in the City of York is a key part in addressing the climate emergency, as recognised in the Climate Change Strategy. It is also essential to tackle fuel poverty in the current cost of living context with a doubling of energy bills from 2021 to winter 2022/23, and to improve residents' health and wellbeing.

76. City of York Council has set an ambition for York to be a net-zero carbon city by 2030. To take us on this journey we need all our properties to meet a minimum of an EPC C or higher through a fabric first approach. Adopting this approach will achieve sustainable bill reductions for tenants and avoid the risk of expensive re-work after 2030 but means that the emphasis will be placed on improving insulation and reducing heat demand. This will lay the foundations for net zero in our council housing stock but due to the high cost and limited budgets this will not on its own be sufficient to deliver it for the majority. We will seek grants and other funds to increase the number of homes which are net zero, and anticipate that by the start of the next five-year plan (i.e. from 2028 onwards) if not sooner, will be able to make further progress to achieve this ambition.

77. To maximise cost effectiveness of improvements and build in a no-regrets approach, improvements to fabric energy performance and installation of renewable technologies will be prioritised for properties at EPC band D and below during cyclical maintenance and capital works.

78. Analysis of the energy performance data we hold about our stock indicates that around 2,750 of our homes will require further investment to reach an EPC C rating target by 2030. A third of these homes are due home improvement or may become empty during the five years of this Plan.

79. The breakdown of properties by EPC rating is:

- Bands A - C: 5,777
- Band D: 1,612
- Bands E-G: 34

80. However, there are a significant number of properties with features still to be identified to feed into this dataset which, when added to the various limitations of how EPC ratings are calculated gives the approximate figure of 2,750 properties at EPC Rating D or below and which will therefore need intervention works to get them to a C.

81. To assist in the gathering of data we will commission a new EPC when a property becomes void or when works involving the installation or replacement of insulation, heating measures or new heating controls, double glazing or solar PV panels.

82. Energy Retrofit works will be carried out alongside planned home improvement works, when the home becomes empty or as part of a proactive programme of works. When planning and carrying out the works we will always seek to keep disruption to the tenant to a minimum, particularly by planning works to take place at the same time (e.g., internal wall insulation at the same time as electrical re-wiring)

83. When a home becomes empty, we will seek to undertake energy retrofit works if they are needed to bring the home up to an EPC C Rating. These works could include:

- Full draught proofing exercise
- Heating controls to maximise efficiency subject to boiler design capability
- Removal of electric secondary heating
- Optimise heating system e.g., radiator placement, boiler settings and age

- Insulate suspended floors, providing sub-floor ventilation adequate and no damp risk – if band D or where otherwise considered cost-effective
- Wall insulation – approach for different property types and internal / external to be determined
- Solid wall properties and other uninsulated wall types/sections: if plaster replacement work, assess and consider for Thin Internal Wall Insulation or other interventions, ideally when we are doing other works such as re-wiring or installing new kitchens or bathrooms
- Cavity Wall Insulation for straightforward-to-treat cavity walls.

84. When we plan home improvement or other investments, we will also seek to carry out the following energy retrofit works if the home has a low ECP Rating:

- For Empty Homes as above, plus:
- Overhaul loft insulation unless assessed as high-quality existing installation – 300mm, updating, if necessary, roof vents as part of property ventilation strategy where needed
- Air tightness / draught proofing – to include sample of air tightness testing and targeted performance level
- If any windows replaced – high performance double glazing with high quality air tightness installation
- insulate solid floors with thin over floor insulation where possible and damp risk assessment indicates minimal risk
- Walls to be insulated:
- Uninsulated walls below bay windows and bay window roof where possible
- Other non-traditional and system build types considered for insulation were cost effective
- External wall insulation for non-cavity or “hard to treat” cavity walls where complementary works carried out
- Roof replacements – to consider including Solar PV, Solar Thermal or PV-Thermal



85. Having regard to this plan, in addition to the above, we will also investigate the introduction of renewable technologies to support tenants to move away from reliance on fossil fuel heating systems.
86. Retrofit works are complex and can be expensive. Using a traditional financial model, the landlord does not obtain a financial return on its investment. However, there are examples of innovative investment models being developed which could support additional investment, utilising a shared benefits approach. This approach requires residents to pay a charge (less than the reduction in utility costs as a result of the retrofit works). Over time, this charge would repay the initial investment made by the landlord. We will continue to monitor and evaluate these approaches and look to bring forward options which could work in York and support a greater investment in council house retrofit.
87. This five-year plan will, subject to the securing of relevant grants and other funding decisions, seek to deliver the following Retrofit Standards to our council housing stock:

<b>Retrofit Standard</b>	<b>Why</b>	<b>To achieve Vision...</b>	<b>How</b>
a) Current storage heater and direct electric immersion heater hot water tanks upgraded to more efficient solution	To reduce carbon use and save on tenant heating and lighting bills. Also, to reduce the water hygiene risk of stored water.	Sustainable Affordable Safe	Approximately 160 homes including two sheltered housing schemes would benefit from this change.
b) All remaining straightforward-to-treat cavity wall properties with to have Cavity Wall Insulation.	To reduce carbon use and save on tenant heating and lighting bills.	Sustainable Affordable	An estimated 150 to 250 homes need this work with works carried out during home improvements, when the home becomes

			empty or via pro-active investigation, such as analysis of damp and mould issues.
c) Flats and maisonettes with floors above external air and unheated voids to be insulated where practical	To reduce carbon use and save on tenant heating and lighting bills	Sustainable Affordable	An estimated 40 to 60 homes need this work with works carried out during home improvements, when the home becomes empty or via pro-active investigation.
d) Further policy notes to be brought forward to cover complex areas such as solid and non-traditional walls, and air tightness	To reduce carbon use and save on tenant heating and lighting bills	Sustainable Affordable	Around 1,500 homes needing additional wall insulation to be considered  A review of air tightness will inform this approach.

### Supporting energy efficiency retrofit works in the private sector

88. The Retrofit Action Plan sets out an analysis of retrofit challenges and opportunities across private tenures, looking to build on the council's existing delivery projects to identify pathways to accelerating and scaling up energy improvements in private tenure homes. This can maximise the impact of council investment by addressing interlinked barriers and moving towards a mass consumer market for retrofit that will support high

quality suppliers and a new generation of high skill retrofit workers, including those already employed in other sectors.

89. Through the successful application for central government grant funding, the council has facilitated the delivery of around 170 retrofit works to low income households in the private sector this year. This work is continuing through the Local Authority Delivery and Home Upgrade Grant programmes. The Retrofit Action Plan looks to support private sector retrofit through a combination of advice for residents and supporting green skills and the supply chain.

### **Advice**

90. The council has allocated £175k from the UK Shared Prosperity Fund to support the provision of advice and support for residents to increase the take up of energy efficiency retrofit measures. Creating an advice service offer to all residents could unlock significant investment from “able to pay” residents who currently lack reliable advice on energy efficiency improvements to their home.

### **Skills and supply chains**

91. Partnerships with York College and other providers are being utilised to raise the profile of retrofit skills development as part of economic growth and green skills agendas. The Retrofit Academy skills pathways that are required for government funded programmes set a coherent framework for expanding capacity and quality through Further Education, apprenticeship and re-skilling of existing workers, including within the council and its contractors.

### **Oversight of the Plan**

- The delivery of this Plan, the performance of our repairs & maintenance services, delivery of our investment programmes and new build plans will be the subject of oversight and scrutiny through an annual report to the Executive Member for Housing and Community Safety to enable greater transparency and accountability of outcomes. This will also be considered by tenants engaging in our panels and engagement processes and will be available for further scrutiny by the elected members sitting on the Housing and Community Safety Policy and Scrutiny Committee.

### **Council Plan**

92. This plan and the actions that arise from it will help to achieve the following outcomes of the **Council Plan 2019 – 23 Making History, Building Communities**, updated in May 2021:

- Creating homes and world-class infrastructure
- A greener and cleaner city
- Good health and wellbeing
- Safe communities and culture for all.

## Implications

### Financial

93. The HRA Business Plan covers a 30-year period 2021 – 51. It focuses largely on those activities relevant to the management of the Council's housing related assets and challenges facing key service delivery areas. It includes an Investment Programme, formulated on a 5 and a 30-year basis.

94. For the period 2023-28 the HRA Business Plan allocates the following funds each year to Asset Management, approximately:

- £53m capital investment will be invested over the next 5 years to maintain and improve the council homes that we provide.
- £51m revenue funding in responsive repairs and cyclical maintenance over the same period.
- A further £0.25m of further funds to match grant funds for energy retrofit.
- £0.9m to fund adaptations in council owned homes.
- £18.5m to fund the current New Home Building Programme on council owned sites.

95. This is an agreed investment of £123.65 of capital and revenue funding over a 5 year period in improving existing and increasing the amount of council housing stock in York. At these levels of investment, we can have confidence that we can deliver the Asset Management Plan and maintain the standards of our existing housing stock. However, cost and income pressures, and competing priorities, mean that we may not have enough money to do everything that we might want to. The Plan is a guide to delivering on our priorities within existing budget allowances.

96. The plan acknowledged the desire to go quicker and deeper with retrofit but this is not achievable without further central government

investment. Self-investment in energy efficiency retrofit would have to be balanced against priorities elsewhere within the HRA.

### **Public Health**

97. The provision of homes which are safe, sustainable, affordable, and good quality will help to provide the environment to allow people to be physically and mentally well. Poor quality housing is a known factor in causing health conditions such as asthma, respiratory illness and heart disease.
98. Of particular concern is the risk of mould in homes that can be damaging to health. The improvement in the thermal comfort of the home and work to keep damp and mould out of homes will assist with beneficial health and wellbeing outcomes.

### **Equalities**

99. The Council needs to take into account the Public Sector Equality Duty under Section 149 of the Equality Act 2010 (to have due regard to the need to eliminate discrimination, harassment, victimisation and any other prohibited conduct; advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it and foster good relations between persons who share a relevant protected characteristic and persons who do not share it in the exercise of a public authority's functions). The Equality Act also requires the Council to make 'reasonable adjustments' to its premises, or in the provision of services it provides, to remove or deal with any physical features of its premises or practices in the provision of services, which put a disabled person at a substantial disadvantage.
100. The Retrofit Action Plan has been developed with the needs of our more vulnerable tenants in mind, including a review of our approach to the provision and maintenance of accessible homes, and the delivery of energy use reductions to help older, vulnerable, and poor tenants to ensure they enjoy improved thermal comfort.
101. An Equalities Impact Assessment has been carried out and is annexed to this report at Annex B.

### **Legal**

102. The procurement of any building contractor(s) and any service advisor(s) in connection with the proposed improvement works will need

to be undertaken in accordance with the Public Contracts Regulations 2015 and the Council's Contract Procedure Rules.

103. The future disposal of any properties or the acquisition by the Council of any properties will need to comply with the Council's Constitution and the Council's Financial Procedure Rules. Where the disposal constitutes a procurement (for example, where conditions are attached to the disposal) the Public Contracts Regulations 2015 and the Council's Contract Procedure Rules will also apply.

104. The Housing Act 2004 requires social housing to satisfy the Decent Home standard in accordance with the Housing Health and Safety Rating System.

### **Property**

105. Included withing the report

### **Risk Management**

106. Key risks that could impact upon our ability to deliver this Plan include:

- Shortage of suitably qualified staff and contractors.
- Rises in the cost of materials and contract prices.
- Tenant refusal of works meaning that we cannot achieve the required standard in their home.
- Inadequate information and data to allow us to make informed decisions.
- The lack of timely decisions and management capacity to drive forward delivery.

107. We will manage these risks by:

- Continuing to work with our building materials supply partner to secure and sustain affordable prices for quality goods.
- Engaging in the re-procurement of works in key areas, including home improvement and energy retrofit, including market engagement to judge interest from contactors, and market making by supporting the development of skill and expertise, particularly in energy retrofit.

- Engaging quantity surveying expertise to aid us in the structuring of our pricing requirements for bidders and assessment of bid prices to ensure that we can secure value for money.
- Strengthening of the resources in the investment team to ensure that vulnerable tenants can receive the support they needed to allow them to make the decision to allow works to take place in their home.
- Deploying resources into the investment team to ensure that we maintain good data on our housing stock and to guide our year-on-year investment decision so that we deploy resources towards areas of highest priority.
- Adopt a more rigorous project management approach to the planning and delivery of the investment programme, including greater oversight by senior managers via an Asset Management Board.
- Working alongside Public Health and GP practices to identify council house/flat residents who have health conditions which would support a prioritisation of investment in retrofit works at their home.

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**Report  
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**Date** 5/12/22

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

**All**

**For further information please contact the author of the report**

**Background Papers:**



A Decent Home: Definition and guidance for implementation, June 2006 – update. Department for Communities and Local Government.

Spotlight on: Damp and mould, October 2021, Housing Ombudsman Service.

## **Annexes**

A - Retrofit Action Plan

B - Equalities Impact Assessment

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## **City of York Council Retrofit Action Plan December 2022**

### **1.Context**

This Action Plan covers energy efficiency improvements to existing homes to reduce carbon emissions and save residents' energy bill costs, which is referred to as retrofit.

In December 2019, Executive approved the recommendations of a report that sought to both begin energy efficiency retrofit works and to undertake strategic planning to embed decarbonisation into council housing asset management as well as considering our role in supporting retrofit works across all tenures. A draft focused on council-owned Housing Revenue Account stock was considered at the 14 July 2022 Decision Session of the Executive Member for Housing and Safer Neighbourhoods. This current Action Plan is now fully cross-tenure.

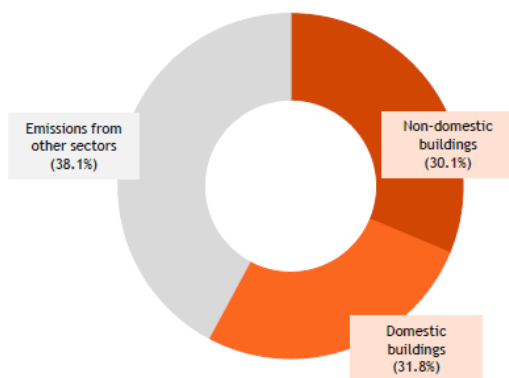
Since the initial report significant progress has been made. The council has successfully attracted grant funding under the Social Housing Decarbonisation Fund and LAD 1, 2 and 3 programmes for energy upgrades to several hundred properties across all tenures. This approach has brought millions of pounds into the city to support retrofit works on council homes as well as for low income families in the private rented and homeowner sectors. We have also developed a small team leading on this delivery work. Grant funding has been crucial in supporting this ambition but it is clear that if we are to make a significant impact on carbon emissions in the residential sector, we need to have a clarity of approach and ambition. As such, alongside this work we have developed this Retrofit Action Plan. This strategy will link with the approved Carbon Reduction, Economic and Skills strategies and provide a coherent and wider city level approach which touches upon all areas of domestic energy retrofit.

## 2. Retrofit Action Plan summary

In 2019, City of York Council formally recognised the Climate Emergency and set the ambition for York to be a net-zero carbon city by 2030<sup>1</sup>.

Domestic buildings are the single largest carbon producing sector locally, accounting for an estimated 31.8% of locally derived emissions.

Figure 5.1.1: SCATTER 2018 inventory for the buildings sector in the City of York.



### The benefits of home energy upgrades – “retrofit”

As a result, reducing the carbon emissions from heating and running the approximately 90,000 homes in the City of York is key in addressing the climate emergency, as recognised in the Climate Change Strategy<sup>2</sup>. It is also essential to tackle fuel poverty in the current cost of living context with a doubling of energy bills from 2021 to winter 2022/23, and to improve residents’ health and wellbeing across the City.

The financial savings can be significant. Had the estimated 55%-65% homes rated D or below in Energy Performance Certificates (EPCs) been improved to a basic EPC C standard before this winter, local energy bills could have been around £10m-15m lower, or a total of around £50m-100m over 10 years dependent on future energy costs. Similarly this could have offered a saving in the region of 15,000 tonnes CO2 equivalent greenhouse gas emissions, notwithstanding the limitations of the RdSAP/EPC methodology for achieving medium-term retrofit ambitions.

<sup>1</sup> <https://www.york.gov.uk/ClimateChange>

<sup>2</sup>

<https://www.york.gov.uk/ClimateChange10YearStrategy#:~:text=The%20York%20Climate%20Change%20Strategy%20will%20be%20a%20shared%20strategy,planting%20and%20sourcing%20renewable%20energy.>

## **Retrofit challenges and solutions**

The council is delivering significant government funded retrofit programmes, however scaling up to decarbonise homes of all tenures across the City is required, which can only be achieved with a partnership approach where community groups, suppliers, residents and the council are working together to deliver this important wellbeing and decarbonisation priority.

Challenges to tackle include skills in the sector, financial products to fund works, maximising delivery of government funded schemes and integrating energy efficiency investment in the council's own stock with other capital programmes such as kitchen and bathroom upgrade modernisation. There are significant opportunities for both 'fabric improvements' of insulation and airtightness, and low carbon renewables technologies such as heat pumps and rooftop Solar Photovoltaic (PV) panels.

In addition to direct economic benefits from as much as £1bn of retrofit work that could be carried out in the City over the next decade across homes in all tenures, residents would have additional spending power for the local economy due to energy bill savings.

## **Council plans and key actions**

This document sets out plans for the council to leverage its strategic position as owner of around 7,500 homes to build a scaled up supply chain over the longer term, by accelerating retrofit delivery in its own stock and integrating with other improvement works in council homes as a long-term commitment from 2022/23 onwards. Alongside private tenure government programmes such as Local Authority Delivery (LAD 1B, 2, 3) and Energy Company Obligation 4 (ECO4) this can bring down fuel poverty levels and support local residents.

To maximise these opportunities, engage local communities and support residents who are able to pay for home energy upgrades but unsure about the next steps, an energy advice service is proposed offering assessments and advice across all tenures and income groups. Home retrofit and energy advice is identified as a key gap in the sector in a number of reports and this has also been highlighted in local stakeholder engagement. A high quality advice service is expected to build confidence in suppliers that these are important skills for investment, and to expand the market for innovative new financial products that expand the affordability of home energy retrofit improvements.

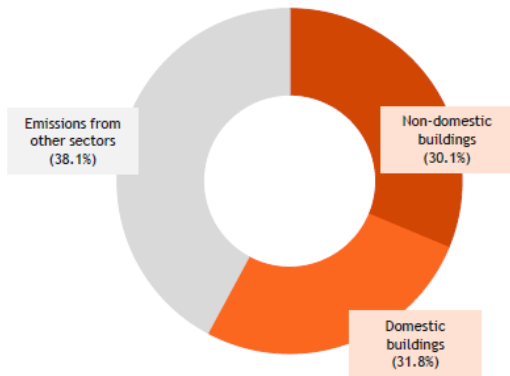
Key actions summary	Tenures addressed	Timescale
Identify resource to establish a cross-tenure <b>energy advice service</b> for all residents during 2022/23, combining support for residents facing fuel poverty with advice for “able to pay” residents in taking the first step	All tenures	2022/23 onwards
Deliver improvements to bring a minimum of <b>70 council owned properties up to EPC C</b> standard by March 2023 through government LAD2 and Social Housing Decarbonisation Fund Wave 1 programmes	Council owned homes	2022/23
Set out plans for investment to raise <b>110-115 further council homes to achieve EPC C</b> standard during <b>2023-2025</b> as a bid for the Social Housing Decarbonisation Fund Wave 2	Council owned homes	2022-2025
Include retrofit improvements within the council housing <b>Asset Plan 2023-2028</b> to identify pathway for up to 3,000 properties to be improved to EPC C standard by 2030 as part of a pathway to full decarbonisation, ensuring all stock reaches this level as a minimum	Council owned homes	2022-2027
Deliver the current significant programme of <b>government funded retrofit work</b> for residents at risk of fuel poverty in home ownership and the private rented sector	Private tenures	2022-2025
Maximise delivery of future government programmes where feasible, and scale up <b>Energy Company Obligation (ECO4/ECO+)</b> programme in the City of York, subject to final details to be announced by the government and Regulator (Ofgem)	Private tenures	2023/24
Explore innovative financing and services provision opportunities with other partners engaged in the sector	All tenures	2022/23 onwards
Alongside the Economic Development team, extend existing links with local colleges and to other training providers to develop a <b>retrofit skills pathway</b> whether in Further Education or new decarbonisation competencies of the council, existing suppliers and workers, also supporting apprenticeships and market entrants	All tenures	2022/23 onwards

### 3. Introduction and key priorities

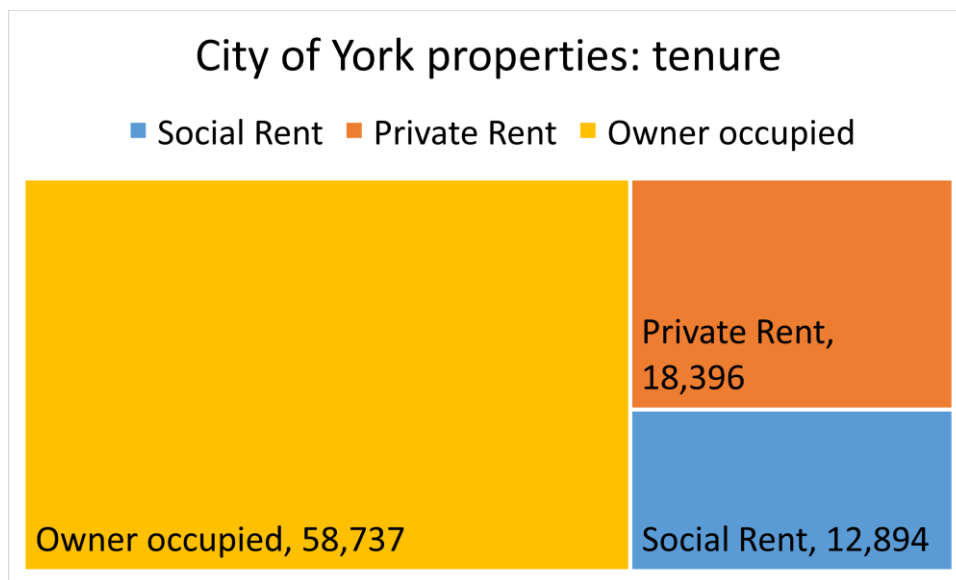
In 2019, City of York Council formally recognised the Climate Emergency and set the ambition for York to be a net-zero carbon city by 2030<sup>3</sup>.

Domestic buildings are the single largest carbon producing sector locally, accounting for an estimated 31.8% of locally derived emissions.

Figure 5.1.1: SCATTER 2018 inventory for the buildings sector in the City of York.



The Retrofit Action Plan covers all tenures, with strategic approaches for decarbonisation of council, Registered Provider, owner occupied and Private Rented Sector stock. The distribution of the estimated 90,587 properties within the council area is shown below.

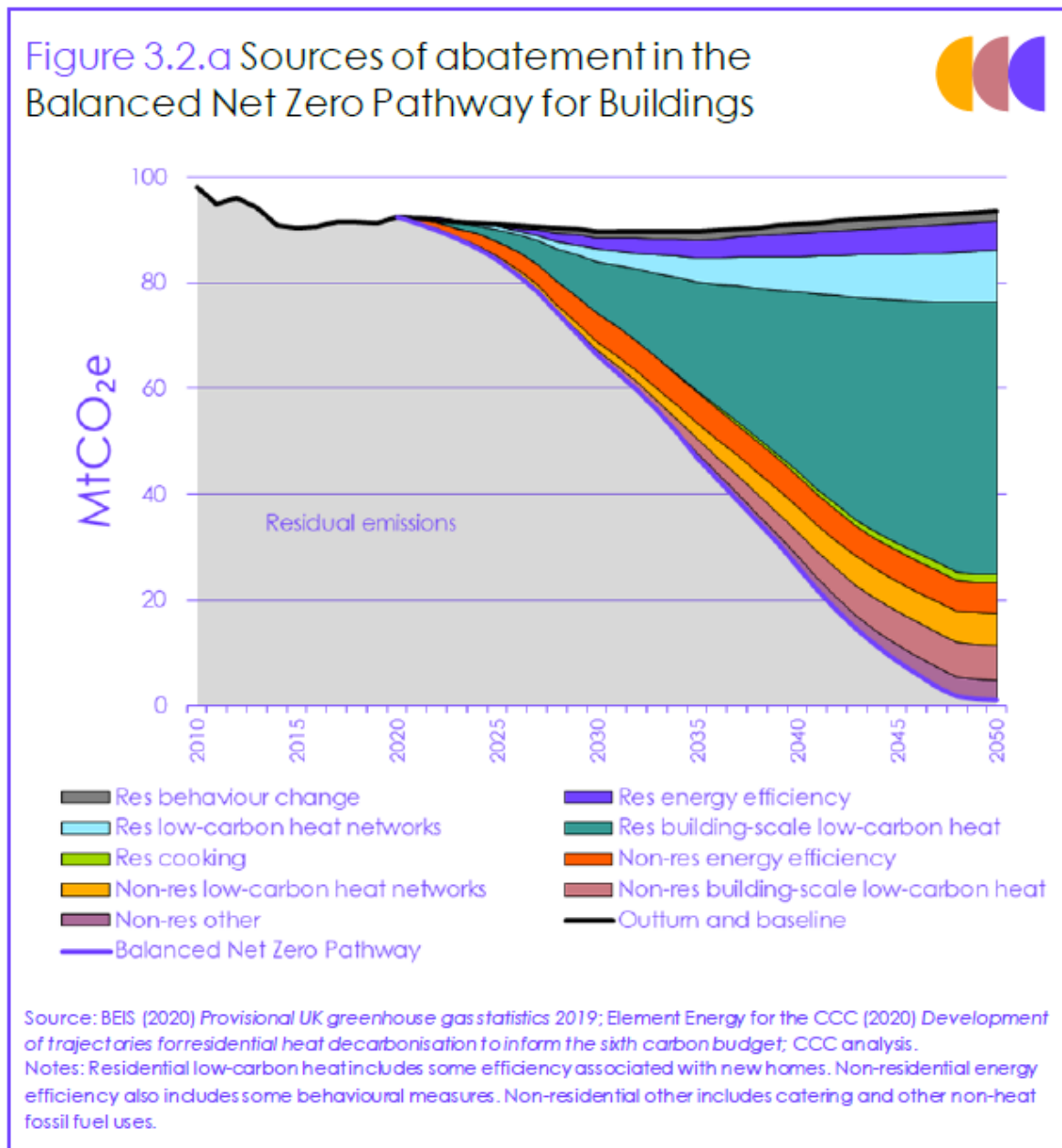


Source: MHCLG data

Domestic buildings are amongst the most significant sources of emission reductions in future pathways, as shown in the Climate Change Committee's

<sup>3</sup> <https://www.york.gov.uk/ClimateChange>

“Sixth Carbon Budget; The UK’s Path to Net Zero”<sup>4</sup> below. It should be noted that the council’s ambitions are for a more rapid decarbonisation route than the UK, but the figure illustrates the scale of residential energy use reductions needed.

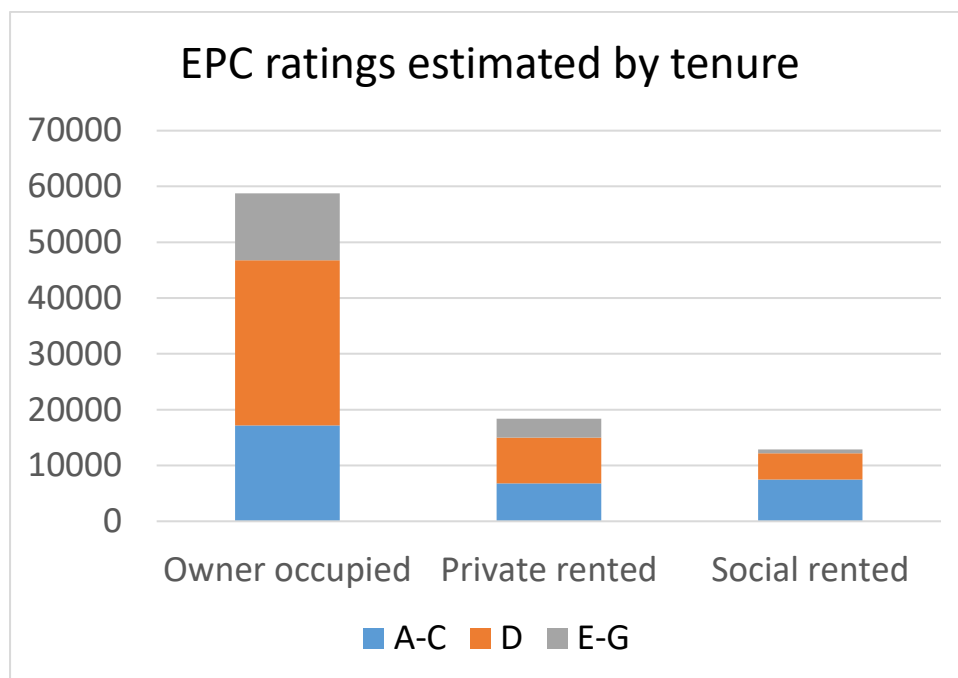


Analysis of Energy Performance Certificate (EPC) data highlights the extent of the challenge across all sectors. The government have established EPC C rating as the intended acceptable level through the mid-2020s, for example through the terms of grant applications and through minimum energy efficiency requirements coming into the private rented sector market in future years. As the figure below demonstrates, many homes within York are outside of an A-C rating.

<sup>4</sup> <https://www.theccc.org.uk/publication/sixth-carbon-budget/>



It may be noted that while the RdSAP methodology used for EPC has numerous recognised shortcomings<sup>5</sup>, it is used as a starting point for much of the quantitative analysis in this document. The advantages are that it is a large dataset and provides a standardised measure with various fabric improvements recognised, and there is some justification in real world data on existing properties<sup>6</sup>. However it is also important to progress beyond RdSAP to deliver full decarbonisation programmes over the medium-to-long-term.



Source: MHCLG data and Open Communities EPC records

### 3.1 Why retrofit?

The overwhelming majority of domestic carbon emissions are produced by currently existing properties. There is a pathway to reducing this to net zero in coming years through improved fabric energy efficiency and low carbon heating solutions such as heat pumps. Furthermore with households facing an unprecedented doubling of energy bills from April 2021 to October 2022, improving energy efficiency is essential to protect the health and wellbeing of lower income residents who are now disproportionately in fuel poverty.

Already prior to recent and unprecedented bill rises, the King's Fund concluded that "Every £1 spent on improving warmth in homes occupied by 'vulnerable' households can result in £4 of health benefits"<sup>7</sup> Cold homes were estimated to

<sup>55</sup> <https://www.levittbernstein.co.uk/research-writing/making-sap-and-rdsap-11-fit-for-net-zero/>

<sup>6</sup> <https://www.gov.uk/government/statistics/national-energy-efficiency-data-framework-need-report-summary-of-analysis-2021>

<sup>7</sup> p4 of report available at <https://www.kingsfund.org.uk/blog/2020/09/poor-housing-covid-19>

cost the NHS £2.5bn in 2019<sup>8</sup>. Further impacts include negatively affecting child educational achievement and welfare through exacerbating adult stress in the household; additional financial stress; while a cold home environment can exacerbate mental health conditions.

It is important that the quality of new build properties is driven up as it is most feasible to ensure desirable energy performance at the construction stage, however new build development will typically fall within a bound of 0.5%-1.5% of total stock. While this fluctuates dependent on market conditions and land availability, the urgent need to improve energy performance of existing homes is clear.

The Office for National Statistics (ONS) highlights the potential benefits of improving existing stock energy performance. The details of this are shown on the following two pages.

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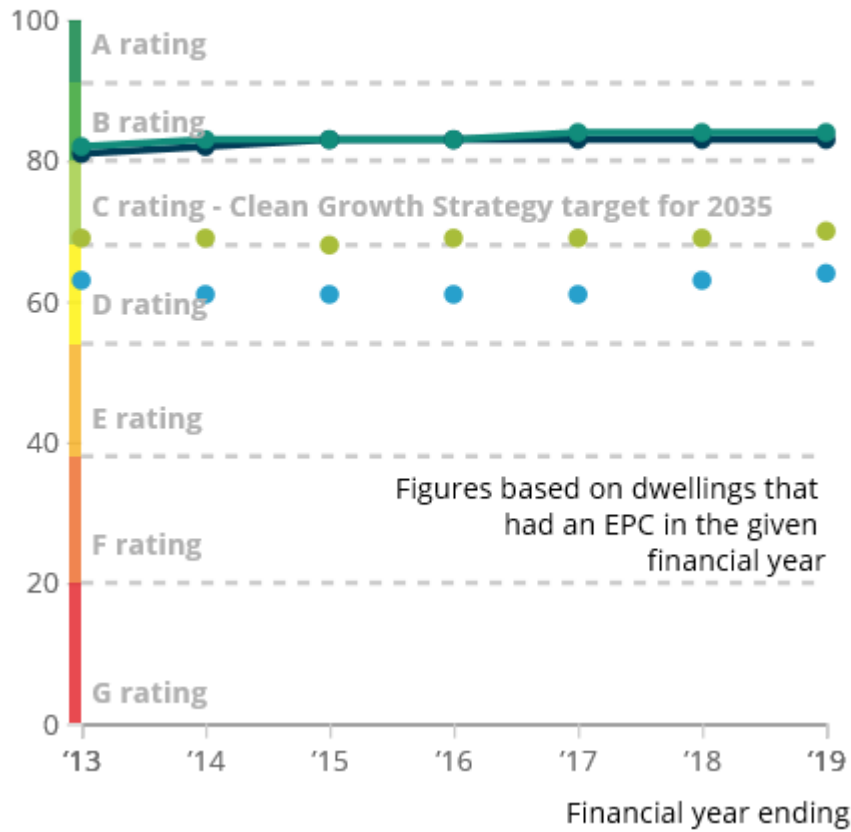
<sup>8</sup> P4 <https://www.instituteofhealthequity.org/resources-reports/the-health-impacts-of-cold-homes-and-fuel-poverty/the-health-impacts-of-cold-homes-and-fuel-poverty.pdf>

Median energy efficiency scores for new and existing flats and houses, financial year ending 2013 to financial year ending 2019<sup>9</sup>

- New houses
  - Existing houses (subset of all existing houses)
- New flats
  - Existing flats (subset of all existing flats)

## England

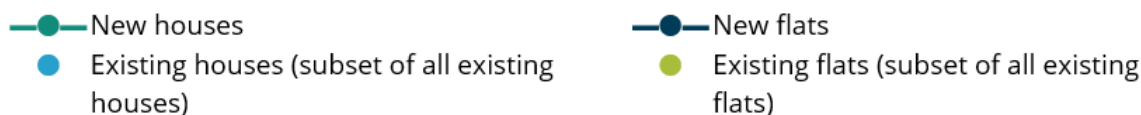
Median energy efficiency score



<sup>9</sup>

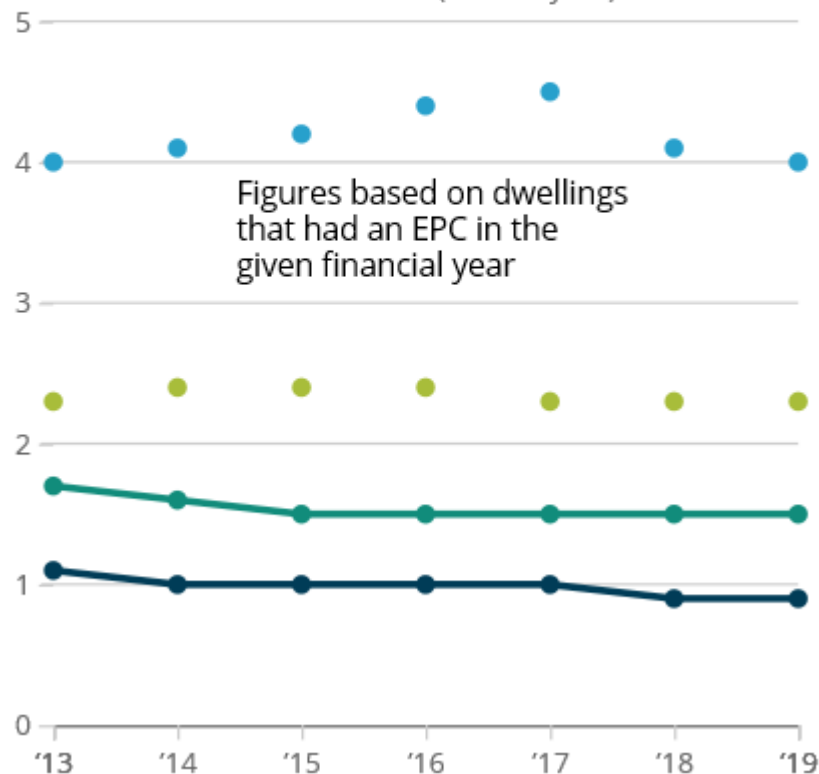
<https://www.ons.gov.uk/peoplepopulationandcommunity/housing/articles/energyefficiencyofhousinginenglandandwales/2020-09-23#energy-efficiency-of-new-and-existing-dwellings>

Median estimated Carbon Dioxide (CO<sub>2</sub>) emissions (tonnes/year) for new and existing flats and houses, financial year ending 2013 to financial year ending 2019



## England

Median estimated CO<sub>2</sub> emissions (tonnes/year)



### 3.2 Energy price rises 2021-23

The economic and social welfare value of energy saving work is particularly heightened by the current context of escalating energy costs, driven by rises in the wholesale price of natural gas. From April 2021 to October 2022 the price cap rise has brought typical bills<sup>10</sup> from £1,138 to £2,500, even under the government's Energy Price Guarantee. Taking into account the £400 Energy Bills Support Scheme for households, the effective increase is still a near-doubling of bills from 2021 to winter 2022-23.

Measures to reduce domestic energy use can benefit residents greatly in this context, with the New Economics Foundation estimating that the lowest

<sup>10</sup> <https://www.ofgem.gov.uk/publications/energy-price-cap-increase-april-consumers-should-switch-save-money>  
<https://www.ofgem.gov.uk/publications/price-cap-increase-ps693-april>

income households may lose 5-10% of income due to current inflation levels – significantly more than other households and potentially pushing residents who may have been struggling already into crisis<sup>11</sup>.

With energy bills constituting a substantial driver in the level of inflation, well-targeted retrofit measures across all tenures have the potential to significantly improve health and welfare for some of the City’s most vulnerable residents.

### 3.3 How can retrofit achieve domestic decarbonisation?

Key elements of an effective approach to decarbonising homes are:

- Fabric improvements as part of a ‘pathway’ to domestic decarbonisation
- Use of energy efficient heating and other appliances, including switching from gas boilers to electric heat pumps
- Behavioural changes

Replacement of gas boilers with electric heat pumps offering 250-400% efficiency<sup>12</sup> is essential to decarbonise the housing stock. Fabric improvements reduce bills, increase comfort and support the electrification of home heating, facilitating efficient operation of heat pumps: this can be in individual properties and across district heating and ground or water source ‘shared loop’ heat networks<sup>13</sup>. On site energy generation (e.g. Solar PV) can also make an important contribution to achieving net zero, with new storage technologies providing further opportunities.

Where financial savings from retrofit can be predicted with confidence then models such as “comfort as a service” may become possible, with households billed at a fixed rate for a warm and comfortable home from a service provider or social landlord. This would replace billing by energy usage and makes possible home efficiency improvements delivered by providers who can achieve a predictable investment return, while bringing in larger finance options such as institutional lending by providing a reliable return<sup>14</sup>.

The same principles can be applied across all tenures, and building the supply chain, enhancing local skills and increasing the number of high-quality jobs in the sector are all opportunities for the retrofit programme. Development of

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<sup>11</sup> <https://neweconomics.org/2022/05/losing-the-inflation-race>

<sup>12</sup> <https://www.gov.uk/government/publications/cost-optimal-domestic-electrification-code>

<sup>13</sup> <https://heatthestreets.co.uk/shared-ground-loop-array/>

<sup>14</sup> <https://www.greenfinanceinstitute.co.uk/wp-content/uploads/2020/06/Financing-energy-efficient-buildings-the-path-to-retrofit-at-scale.pdf>

energy efficiency knowledge and supply chain capacity is also an important area of interconnection between strategies for domestic and non-domestic buildings, with shared challenges and opportunities.

Tackling overheating is also an increasingly important consideration as the climate changes, which was illustrated in stark terms by record high temperatures in the UK during summer 2022. Many of the fabric measures that reduce heat loss will also maintain cooler indoor temperatures during the summer months due to reducing the movement of heat into a home. Additionally, building improvements such as carefully designed shading and in some cases, high efficiency cooling systems that can also function as heat pumps during winter, may be beneficial for vulnerable residents.

Key measures are summarised below – the fabric upgrades are all considered by the Climate Change Committee as part of its decarbonisation scenario modelling<sup>15</sup>. Some of these are low disruption and many highly cost effective.

Fabric measures	Type of property suitable	Programme considerations
<b>External or internal wall insulation</b>	Solid brick, pre-1980s system build, “hard to treat” cavity wall homes	External wall insulation involves lower disruption levels for the occupant, however may face planning challenges due to aesthetic impact  Internal wall insulation can be cost effective and practical in many circumstances
<b>Cavity wall insulation</b>	Cavity wall homes: frequently 1920s onwards in York	Highly cost effective for suitable properties, around a quarter may still have uninsulated cavity walls <sup>16 17</sup>
<b>Loft and roof insulation</b>	All homes with a loft/roof	Another highly cost effective measure, with a large majority of lofts now insulated. Roof insulation such as form “room in roof” properties is more expensive and causes additional disruption to occupants, but with significant energy savings.
<b>Floor insulation</b>	Predominantly suspended timber floors, usually pre-WW2; although solid	Floor insulation requires careful consideration to avoid unintended consequences, but high quality insulation will reduce heat loss and improve comfort: due to lower conduction through the floor

<sup>15</sup> <https://www.theccc.org.uk/publication/analysis-work-to-refine-fabric-energy-efficiency-assumptions-for-use-in-developing-the-sixth-carbon-budget-university-college-london/>

<sup>16</sup> <https://www.gov.uk/government/statistical-data-sets/energy-performance>

<sup>17</sup>

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/335152/Chapter\\_2\\_Hard\\_to\\_treat\\_properties.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/335152/Chapter_2_Hard_to_treat_properties.pdf)

Fabric measures	Type of property suitable	Programme considerations
	floors may be considered	fabric and avoiding air infiltration/draughts in timber floors
<b>Draught proofing and air tightness improvement with associated ventilation</b>	All homes although some types may see restricted ventilation options limiting potential extent of air tightness	Air infiltration is a complex source of heat loss which needs a property-specific response, sealing gaps while ensuring ventilation is adequate e.g. through installation of Mechanical Ventilation with Heat Recovery
<b>Replacement doors and windows</b>	Minority of homes would see benefit, may be heritage challenges	Over 90% of homes nationally now have double glazing. Nevertheless the benefit may be significant either for first time double glazing or in replacing older or poor quality double glazing with air-tight installations of high performance doors/glazing.

Heating option	Type of property suitable	Programme considerations
<b>Individual property heating system upgrades</b>	All homes subject to household costs consideration	Households with existing low efficiency gas or electric heater systems can benefit greatly from air source heat pump installation. Homes with modern combi boiler based systems will need more careful consideration because electricity is currently around 4x more expensive than gas per kWh.
<b>Low carbon district heating such as “ambient loop” networks</b>	All homes where infrastructure is provided on appropriate scale	<p>Opportunities for these to be explored within the City of York to deliver scale benefits from use of heat pump sources such as ground or river ambient warmth, and possibly thermal storage. Smaller networks of e.g. a single apartment block are also possible.</p> <p>Mixed use areas can offer additional benefit by reducing demand variability and peaks, or even by incorporating waste heat such as from IT equipment or supermarket freezers into the loop.</p>

### 3.4 Links to other strategies and policies

The central government strategy **Sustainable warmth: protecting vulnerable households in England**<sup>18</sup> adds:

- The “worst first principle”, which is tackling the lowest energy performing properties first – improving EPC rated D and especially E/F/G properties to Band C
- A strong emphasis on fuel poverty, defined using the “Low Income Low Energy Efficiency” (LILEE) measure of households that:
  - Have a residual income below the poverty line (after accounting for required fuel costs) and
  - Live in a home that has an energy efficiency rating below Band C
- It may be noted that this measure is likely to significantly under-estimate the numbers of people facing hardship due to energy bills, which could now frequently be unaffordable in EPC C and above properties

These goals are important and are built into the government’s funded programme design. However, as explored below, they can create additional challenges to decarbonising York’s housing stock, especially in the private rented and owner occupation tenures.

Other linked strategies include<sup>19</sup>:

- Council Plan
- Climate Change Strategy
- Local Plan climate change policies CC1 and CC2
- York Economic Strategy
- York Health and Wellbeing Strategy

### 3.5 Meeting the scale required: key challenges

Challenges highlighted below are explored further in tenure-based themes in this Action Plan.

- Responding to the challenge by developing a team with the right knowledge and skills
- Awareness raising, resident engagement, advice, support and behaviour change
- Supply chain and local skills development, with opportunities within the council, in procurement and for working with local education providers

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<sup>18</sup> <https://www.gov.uk/government/publications/sustainable-warmth-protecting-vulnerable-households-in-england>

<sup>19</sup> <https://www.york.gov.uk/10YearStrategies>



- Leveraging central government funding opportunities alongside development partnerships to accelerate new financial products
- Embedding a whole-house retrofit pathway approach to EPC Band C with significant reductions in heat demand and then a net-zero end point
- Understanding local stock profiles and setting out a path to net zero
- Partnership working for a sector that is ‘more than the sum of its parts’
- Identifying ‘fuel poor’ households and targeting interventions
- Tackling the poorest performing Private Rented Sector (PRS) homes

### 3.6 PAS2035

PAS2035 is a national standard aiming to achieve uniformly high-quality retrofit work and sponsored by the central government Department for Business, Energy and Industrial Strategy:

The standard drives the 'whole house approach' including the 'fabric first' methodology. It defines the qualifications and responsibilities of individual retrofit roles and respective activities required prior to and post EEM [Energy Efficiency Measures] installation. It also includes a risk assessment process that builds incrementally robust requirements depending on what requirement path (A, B, or C) the retrofit project is assessed to fall within<sup>20</sup>.

The standard specifies a higher level of skills and a certified process to avoid issues that have been experienced in past retrofit work, such as defects, poor design and a lower level of energy savings than expected (known as the ‘performance gap’). This introduces additional cost and complexity to projects in the short term and is undergoing continuous review and improvement as further experience of the protocol is developed. However, it is a requirement of government funding programmes and it is proposed to utilize PAS2035 in council retrofit works where practicable.

The key roles in delivering this process point to priority skills needs, including Retrofit Assessors, Retrofit Co-ordinators<sup>21</sup>, Retrofit Designers and Installer competencies under the related TrustMark/PAS2030 requirements.

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<sup>20</sup> <https://www.trustmark.org.uk/tradespeople/pas-2035>

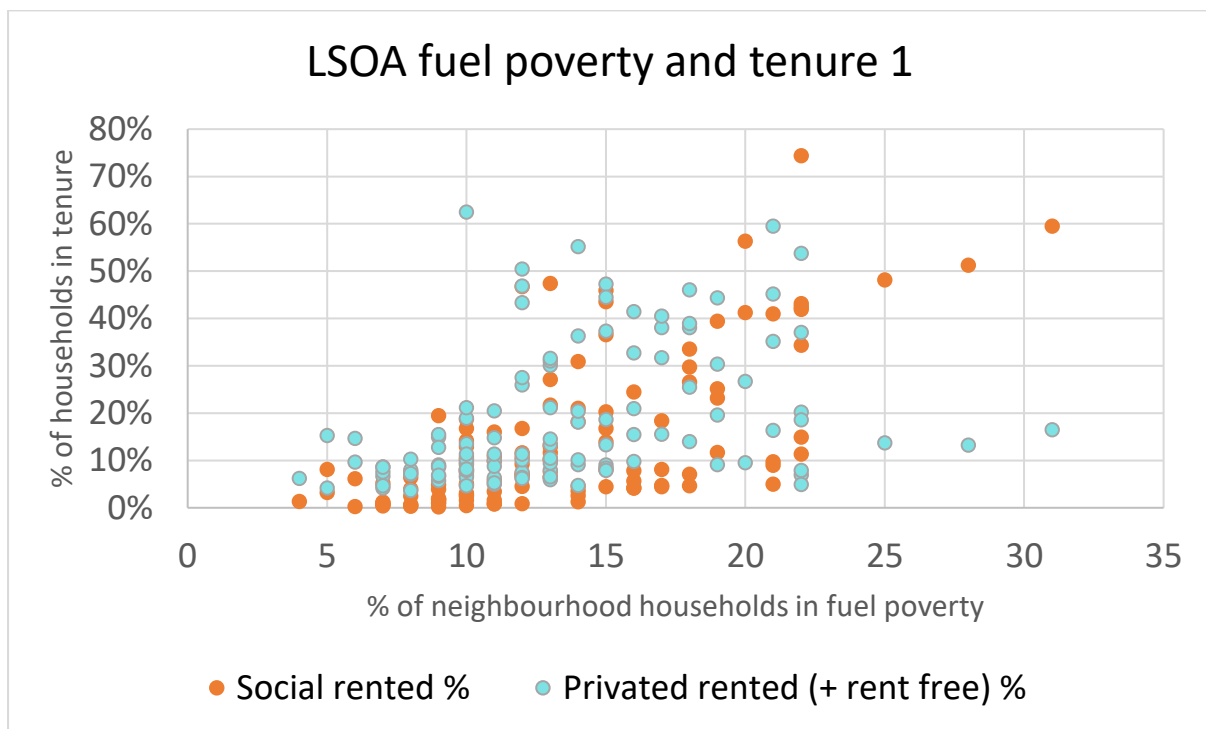
<sup>21</sup> <https://retrofitacademy.org/what-is-the-retrofit-coordinator-role/#:~:text=Retrofit%20coordinators%20provide%20oversight%20for,the%20new%20PAS%202035%20framework.>

### 3.7 Fuel Poverty

The tenure-specific context of fuel poverty in York is explored spatially in later sections. BEIS and other central government programmes are largely operated around eligibility criteria prioritizing households in fuel poverty, consequently this is an important factor in targeting delivery of programmes including Local Authority Delivery rounds 1b, 2 and 3 (LAD1b/2/3), Social Housing Decarbonisation Fund (SHDF) and the Energy Company Obligation (ECO).

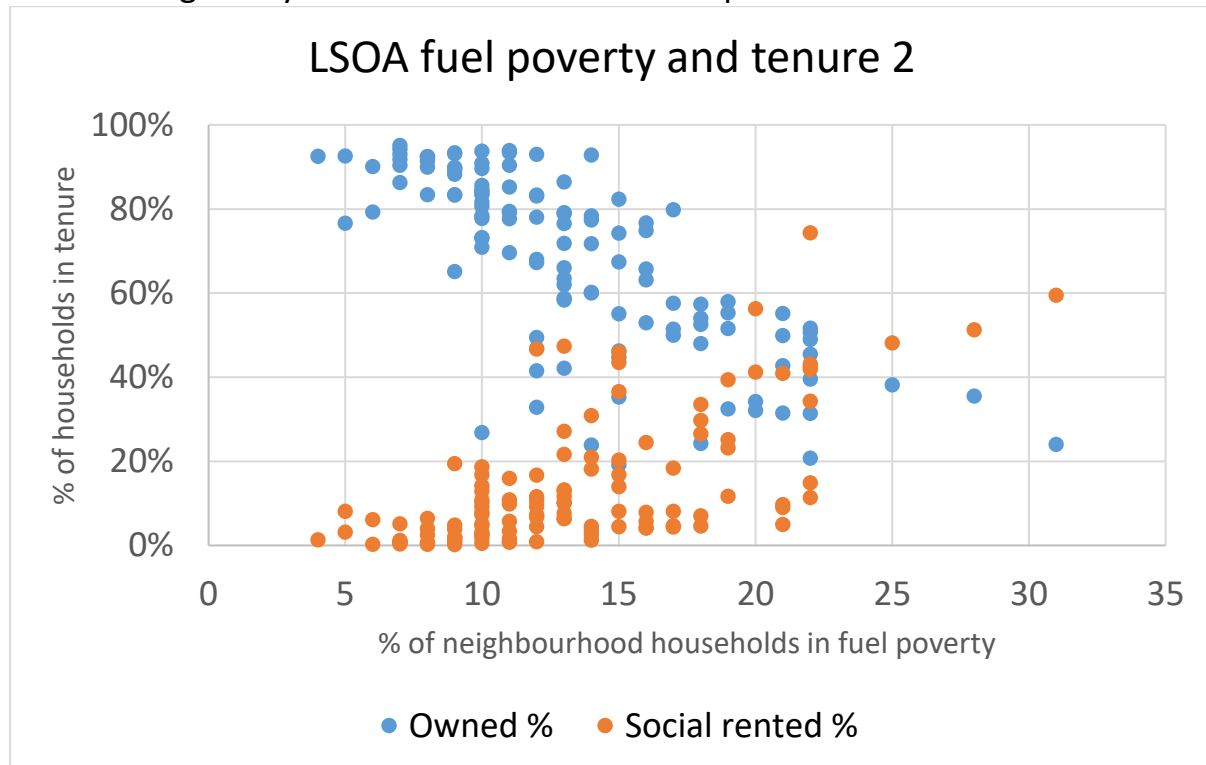
Whilst fuel poverty exists across all tenures in York, the relatively high average incomes amongst homeowners and private renters, and the needs-based social housing allocation policies create a distinctive pattern. It is also important to note that, as highlighted above, costs of home energy has become an urgent issue for many households outside the formal fuel poverty definition as prices rise over 2021-22.

Using Lower Super Output Area (LSOA) neighbourhood-level data shows that fuel poverty is significantly correlated with social rented tenure homes (over page):



Source: MHCLG, analysis of central government fuel poverty modelling

It is also negatively correlated with owner occupied home incidence:



Source: MHCLG, analysis of central government fuel poverty modelling

### 3.8 Actions and future timescale

This Action Plan sits under the Climate Change Strategy, which sets the overall pathway and informs the details and targets of this document. It is intended that as our retrofit programmes develop further detail on the pathways to net zero will be added to the Action Plan and this document maintained for updates to guide investment planning and strategic approaches in this fast-moving sector. A summary of current actions is shown below.

#### **Social rented sector**

- SHDF and LAD2 programme delivery for over 70 properties across both the council's own stock and through a Registered Provider partner
- Prepare Social Housing Decarbonisation Fund (SHDF) Wave 2 bid to improve around 110-115 council owned properties to EPC C standard
- LAD2 programme delivery across both the council's own stock and through a Registered Provider partner
- "Rapid response" smaller efficiency measures programme for council tenants who are identified as vulnerable to high heating costs during 2022-23
- Use of Parity Projects Portfolio energy modelling analytics to produce archetype specific plans for CYC homes and identify the range of works needed for the pathway from current level to EPC C and on to net zero carbon
  - Identification of "business as usual" retrofit opportunities in planned capital works, voids and vulnerable tenant support

- Procurement of multi-year strategic delivery partner during 2022-3
- Deployment of innovative building performance monitoring technologies to maximise benefit from all retrofit projects and understand “shared benefits payments” or “comfort as a service” bill savings potential
- Ongoing skills programme for Building Services staff to build capacity
- Determine target for all CYC properties to reach EPC C minimum and commission data informed pathway to whole-stock net zero ambition by 2030

### **Private rented sector**

- Delivery of LAD1B, LAD2 and LAD3 programmes by March 2023
- Pilot small scale resident practical support where this can increase uptake of retrofit work for eligible households at risk of fuel poverty
- Maximise ECO4 delivery in York over the programme lifecycle 2022-26
- Proactive engagement with landlords around current and future regulatory obligations, including work with partners towards a “one stop shop” energy advice centre service
- Explore regional loans opportunities with other partners engaged in the sector
- Incorporate PRS properties within HRA stock programmes where possible on a neighbourhood basis
- Explore procurement/direct labour opportunities to build consumer provider market through council programmes
- Set pathway to 2030 with annual EPC-based targets of homes to be improved

### **Owner occupied sector**

- Identify resource to establish a cross-tenure energy advice service for all residents during 2022/23
- Delivery of LAD1B, LAD2 and LAD3 programmes by March 2023
- Pilot small scale resident practical support where this can increase uptake of retrofit work for eligible households at risk of fuel poverty
- Produce retrofit communications plan to engage communities and raise awareness
- Maximise ECO4 delivery in York over the programme lifecycle 2022-26
- Explore innovative financing and services provision opportunities with other partners engaged in the sector
- Incorporate owner occupied properties within HRA stock programmes where possible on a neighbourhood basis
- Support community of residents motivated to improve the efficiency of their home despite challenges faced in a rapidly innovating, still maturing sector
- Explore procurement/direct labour opportunities to build consumer provider market through council programmes
- Set pathway to 2030 with annual EPC-based targets of homes to be improved
- Extend existing links with local colleges in addition to other training providers to develop a retrofit skills pathway whether in Further Education or new

decarbonisation competencies of existing suppliers and workers, also supporting apprenticeships

- Climate Change Supplementary Planning Document (SPD) produced
- Local Area Energy Planning exercise is already underway, this will inform spatial based responses including potential heat network options which can accelerate low carbon heating electrification

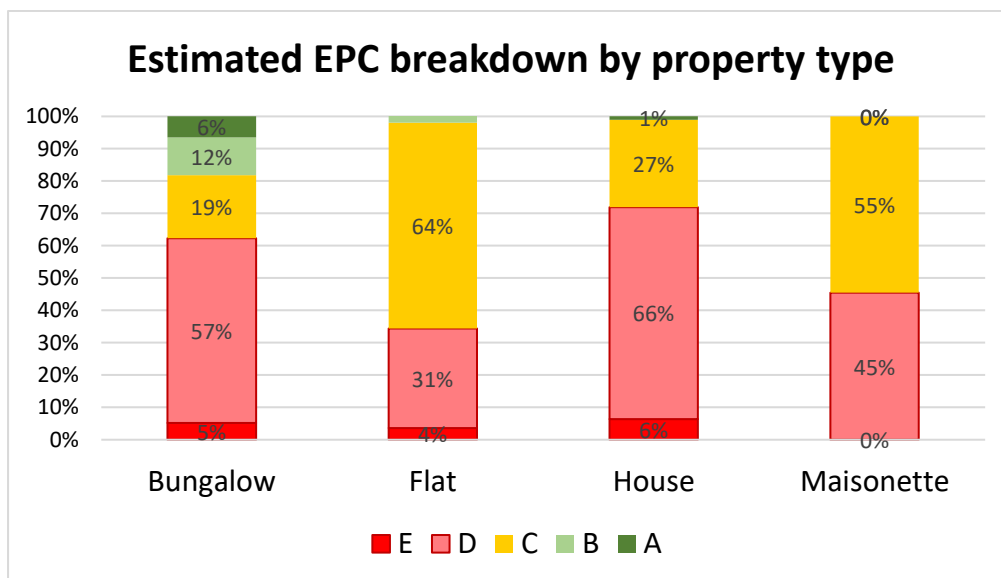
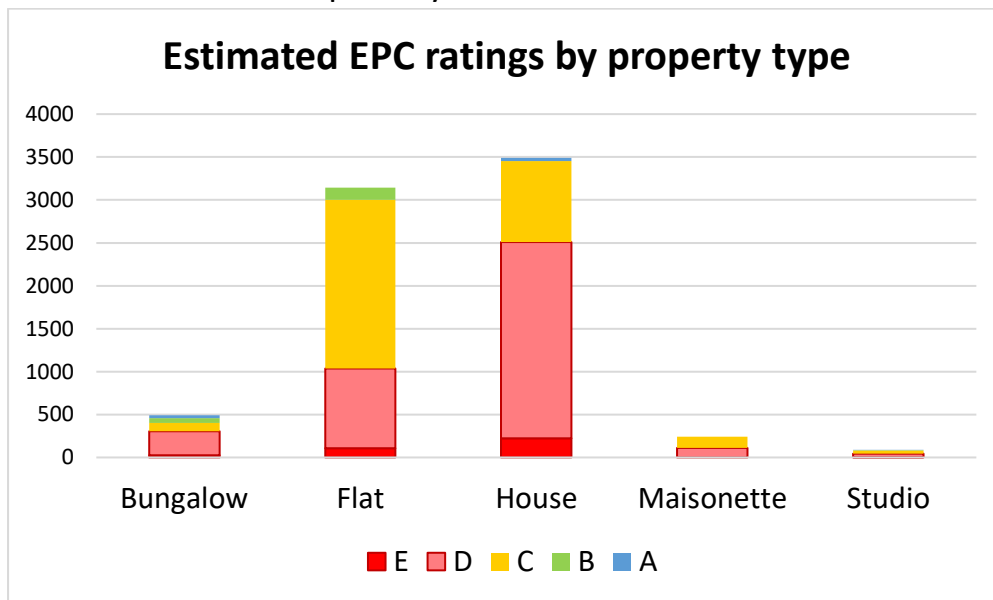
### **Cross-tenure responses**

- Identify resource to establish a cross-tenure energy advice service for all residents during 2022/23
- Alongside the Economic Development team, extend existing links with local colleges in addition to other training providers to develop a retrofit skills pathway whether in Further Education or new decarbonisation competencies of existing suppliers and workers, also supporting apprenticeships and new market entrants
- Local Area Energy Planning exercise is already underway, this will inform spatial based responses including potential heat network options which can accelerate low carbon heating solutions
- Build on existing partnerships to set up a local Retrofit Forum to share knowledge, ideas, skills and good practice examples

## 4. City of York Council Housing Revenue Account and Registered Provider Stock

EPC survey data shows that the council’s HRA stock is better performing than the City’s residential stock as a whole, due to higher quality maintenance standards and additionally a greater proportion of cavity wall properties, and apartments in the stock. Apartments benefit from high density conserving shared heat from neighbouring properties due to a lower ratio of external surface area to habitable space, reducing average heat loss.

Broad property types estimated from a sample of over 500 EPC surveys undertaken over the past 5 years are shown below:



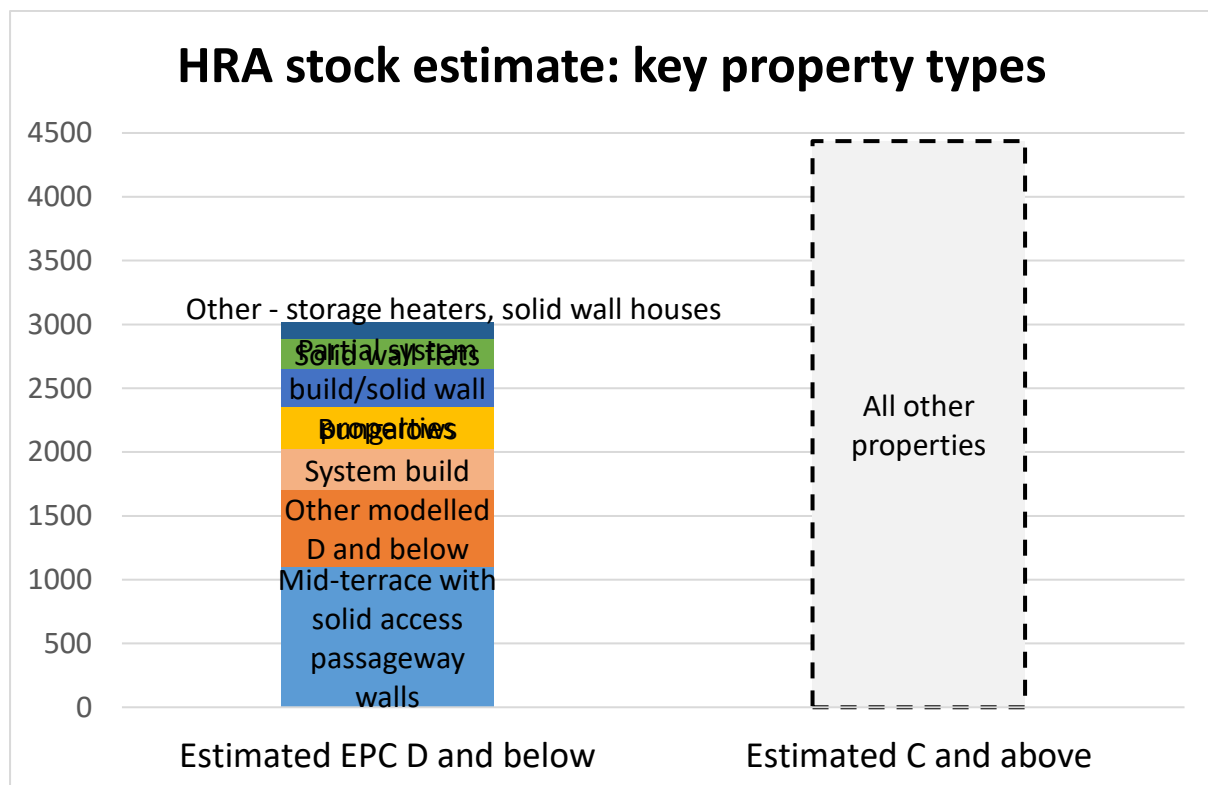
The council’s 2019 HRA stock modelling exercise identified the following key archetypes as retrofit investment priorities:

- Pre-1945 small terrace house, 522 properties
- All other pre-1945 houses, 937 properties
- Non-traditional houses, 577 properties
- Bungalows, 474 properties

These priority stock types constitute around 1/3 of the total HRA properties, but a large majority of the lowest energy efficiency performing homes. As explored below, properties across the social rented sector in York are more likely to have a good EPC rating than properties in other tenures.

It is important to note that blocks of flats are generally not exclusively rated D or below, where there are D banded properties this is generally with a mix of properties that are C or above – creating some additional challenges for delivery at speed and scale with funding targeted towards lower EPC rated properties.

The concentration of lower performance within certain types is illustrated in modelled data informed by the industry standard Parity Projects Portfolio system:



A comparison of the types shown above with higher thermal performance types such as post-1950 traditional build houses and apartments highlights the potential for use of modelled data to prioritise typologies and areas for investment and funding bids.

Further review of the HRA stock data is ongoing, with potential for improvement in the accuracy of the modelled performance data for some more complex property types. Site surveys will be used to inform this where necessary.

Analysis of HRA retrofit opportunities suggests emerging priorities to improve the quality of homes, reduce tenant bills and decarbonise the housing stock are:

- Fabric improvements to homes with uninsulated walls and other high cost-effectiveness measures on “worst first” basis
- Hybrid heat pumps in gas heated homes, which can potentially reduce gas boiler use for heating by 80% and heating / hot water CO2 equivalent emissions by over 50%<sup>22</sup>
- Solar PV and PV-Thermal to mitigate energy poverty and reduce carbon emissions
- Replace direct electric heating / hot water and pilot high efficiency heat loops

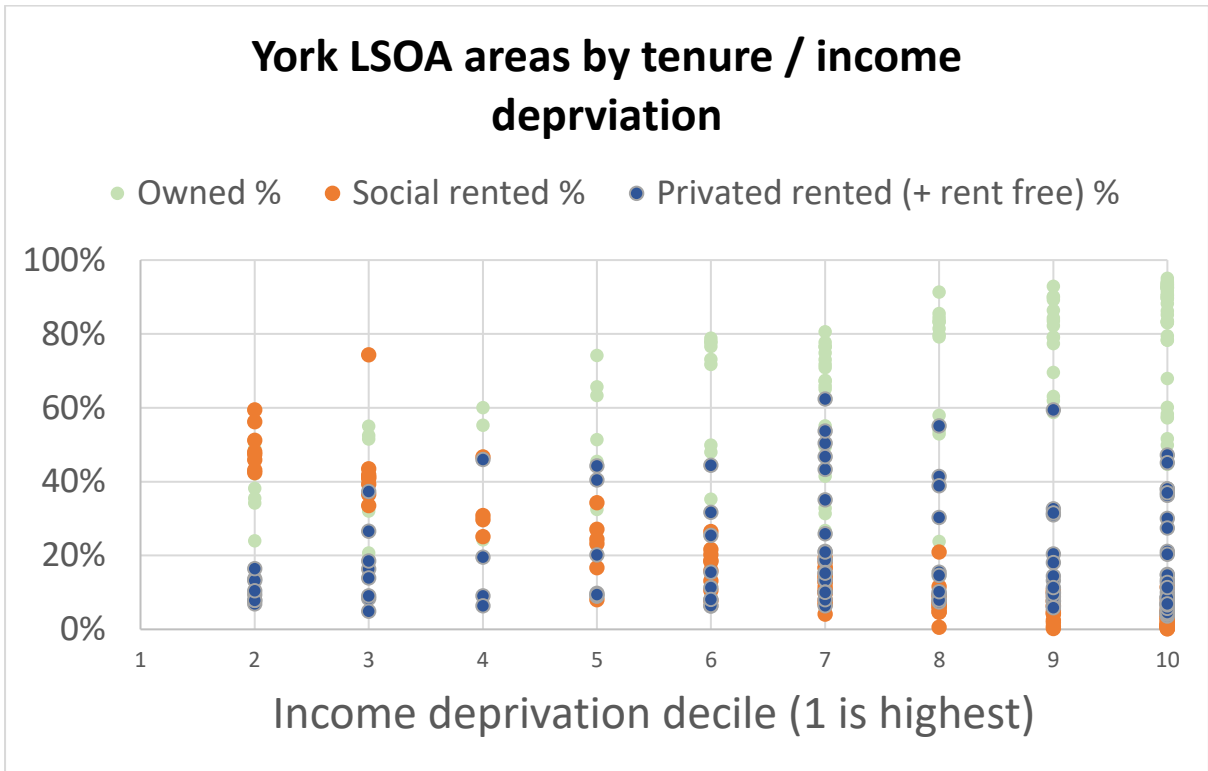
### **4.1 Tackling fuel poverty**

A significant proportion of fuel poor residents in the City of York are social rented tenants, with the majority of social rented properties being HRA homes. In neighbouring cities where incomes are lower, fuel poverty may be widespread across all tenures, however in York low income residents are disproportionately likely to live in social rented homes. This is illustrated in the figure below showing strong correlation between neighbourhood income deprivation and social rented tenure properties at the Lower Super Output Area (LSOA) level:

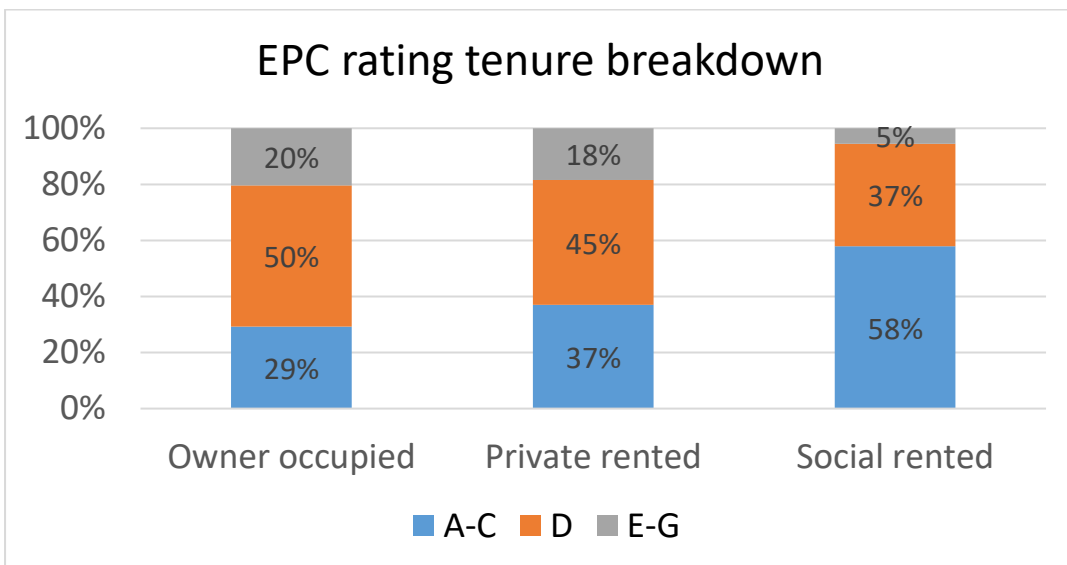
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<sup>22</sup> Appendix 1 <https://www.gov.uk/government/publications/cost-optimal-domestic-electrification-code>





Fuel poverty is also an important consideration for other tenures, as examined elsewhere in this paper. However, due to the essential role of social rented tenure in meeting the most urgent housing needs, the lowest income households are predominantly resident in this tenure. It is also important to note that a lower proportion of EPC D and below rated properties are found in this sector, which itself reduces fuel poverty levels and enables more low income residents to live in homes with more affordable energy bills.



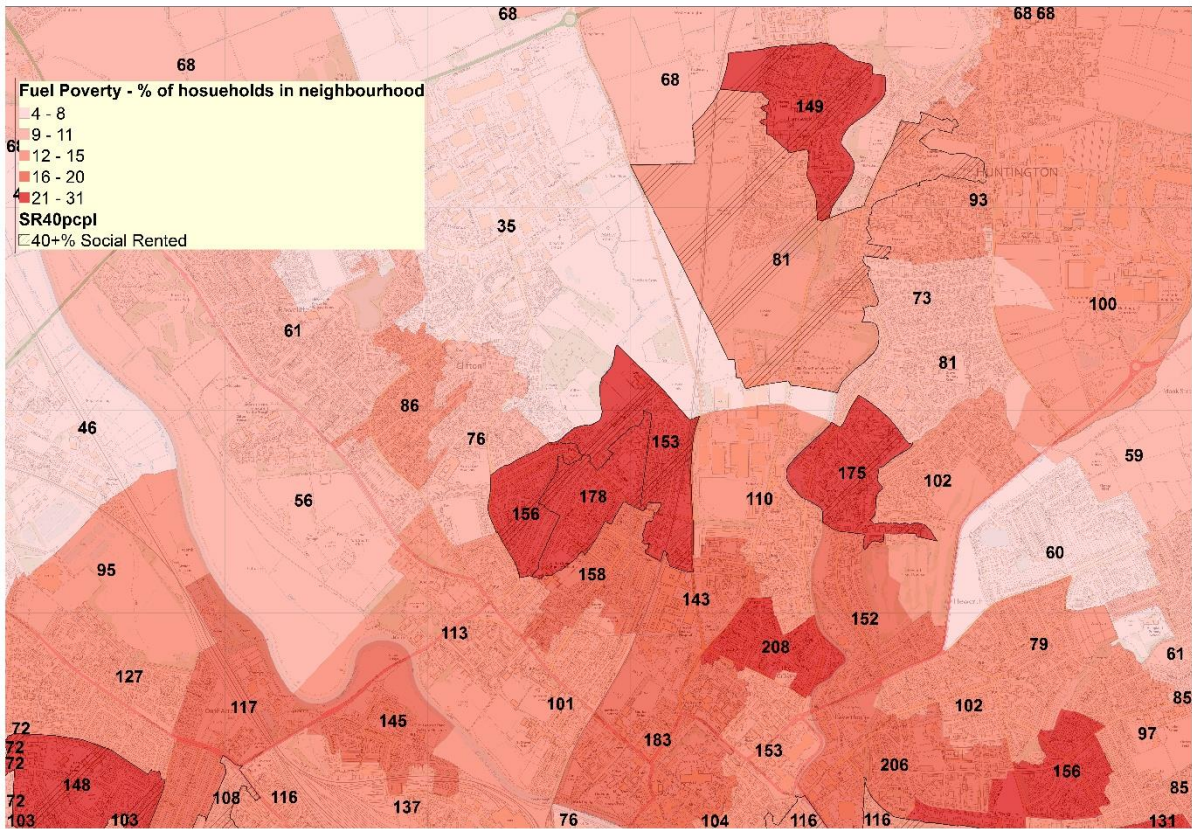
This is highlighted in a comparison of neighbourhood areas in York with high levels of fuel poverty identified in government statistics<sup>23</sup>. Fuel poor households are concentrated in areas of high social housing or student-oriented private rental tenure such as Clifton and New Earswick in the North York map, with Acomb (West) and Tang Hall (East) shown in the South York map.

The numbers shown are the number of estimated fuel poor households in each neighbourhood area, the colour intensity indicates the proportion of the total properties this represents. Shaded and outlined areas have 40% or more social rented stock in total. The maps are shown on the following page.

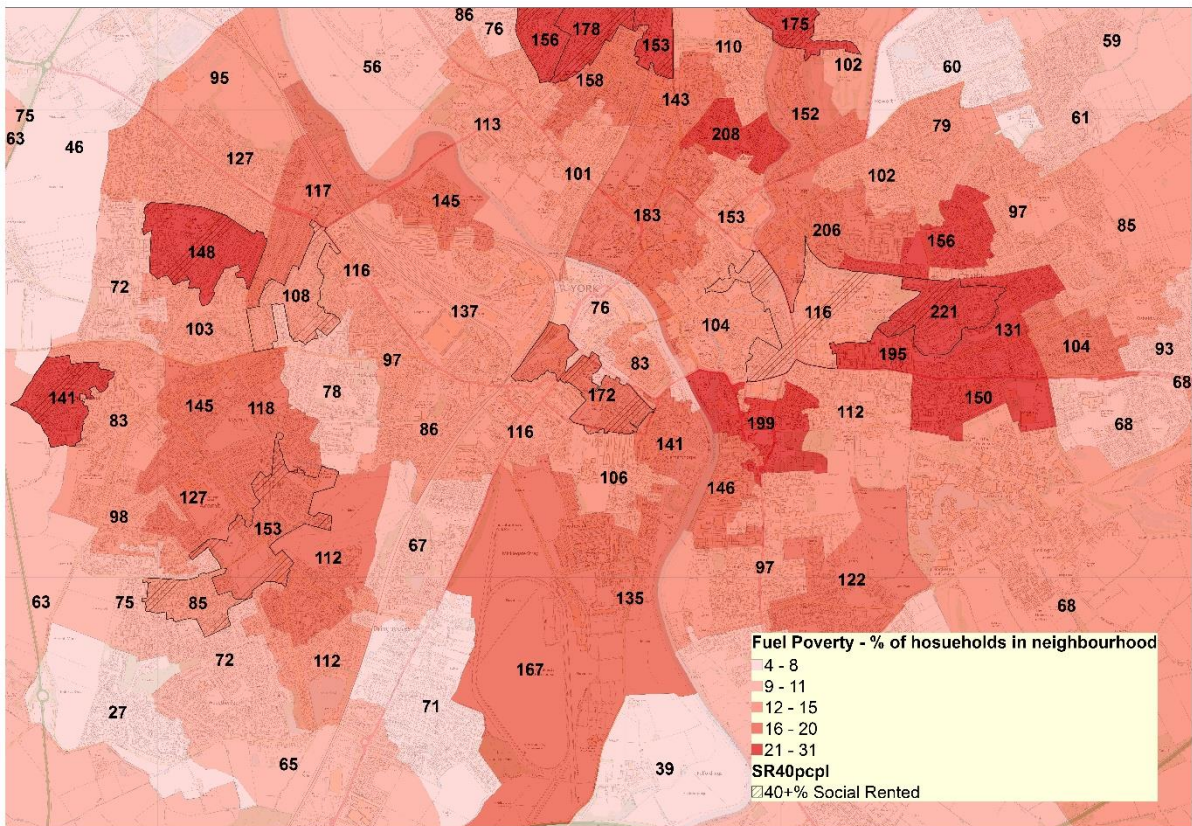
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<sup>23</sup> <https://www.gov.uk/government/collections/fuel-poverty-statistics>

Fuel poverty and social rented sector concentration map: **North York**



Fuel poverty and social rented sector concentration map: **South York**





## 4.2 HRA Investment Programme

Using an estimate of £5,000 per property, the cost to bring the approximately 2,750-3,000 HRA homes currently at EPC D-F up to a C rating, would be between £13.75-15m at current cost. This takes into account some potential for match funding as well as savings from incorporating work into other capital programmes. While in many cases it will be possible to reach EPC C at lower cost than £5,000 per property this illustrative scenario builds in flexibility to maximise fabric improvement as part of the pathway to net zero.

Potential greenhouse gas emissions savings from bringing these homes up to an EPC C rating are in excess of 1,600 tonnes of CO<sub>2</sub> equivalent annually. This could bring a combined total annual energy savings in the region of £725,000 at an estimated average of £300/year per home – much of which is likely to be spent in York's local economy. This is addition to the benefits from improved comfort and healthier homes for tenants.

EPC C is considered a key milestone on the pathway to net zero, with an estimated saving representing around 10-15% of the estimated emissions from HRA homes, dependent on the set of measures carried out. But it is essential that works are designed with a decarbonised end point in mind beyond EPC C. There is a useful 2021 report appraising the shortcomings of the "Reduced SAP" method used in producing EPCs of existing homes and pointing to the improvements needed for the method to be the data-led home decarbonisation tool needed<sup>24</sup>.

In July 2019, the Executive's Interim Budget established a £1m budget to kick-start a council retrofit programme of increasing the energy efficiency of our housing stock. The February 2020 Budget allocated a further £250k pa in the HRA capital budget for 20/21, 21/22, 22/23, 23/24 bringing the total budget for the Council Housing Energy Retrofit Programme to £2m.

To scale up the works and leverage the council's investments other routes could include:

- A primary route for investment is likely to be Band D properties eligible for 50% funding through the government's Social Housing Decarbonisation Fund programme in the event the council's bid is successful, with a Wave 2 delivery window running from April 2023 to March 2025

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<sup>24</sup> <https://www.levittbernstein.co.uk/research-writing/making-sap-and-rdsap-11-fit-for-net-zero/>

- Use of service charges to generate a revenue stream via “comfort charge”, sharing the benefits of energy bill savings with tenants
- Planned capital maintenance and voids works incorporated into “business as usual” energy upgrades, explored below
- Enabling support for residents, for example practical decluttering of loft or roof spaces to facilitate high cost effectiveness insulation and fabric improvement measures
- Opportunities to increase the scale of retrofit improvements across the City by boosting supply chains through either procurement or direct delivery, with neighbourhood-based work across all tenures

### 4.3 Planned capital maintenance and other investment opportunities

The stock modelling report also identified significant opportunities to improve energy performance of HRA homes through intergrating energy efficiency works with other ongoing maintenance and capital works. For example, 5-year boiler capital costs are estimated at £4.2m to 2026/27, with similar costs for future 5-year periods. The below figures are indicative and subject to review via the accompanying Asset Plan 2022-27.

Capital investment items	5-year investment sum (to 2026/27)
Heating system	£4.2m
Kitchen/bathroom Tenants Choice	£10.4m
Standing water projcet	£3.9m
Roof replacements	£1.2m
Windows	£1.1m
Structural works	£0.96m
<b>Total</b>	<b>£21.8m</b>

Key energy efficiency enhancement opportunities in delivery of these works include:

- improvements to insulation, including potential combination of external wall insulation and/or solar PV with roof and/or window works
- draught proofing and increased air tightness when carrying out a wide range of works, provided that ventilation is assessed with an appropriate response as part of the measures
- installation of energy efficient heat pumps and building performance monitoring technology to optimise value of measures undertaken
  - This can include various forms of heat network, potentially reducing costs for residents by delivery of a larger, cross-tenure network, and

by innovations such as use of waste heat from commercial sources and long-duration thermal storage

- resident engagement to raise awareness of potential individual and community benefits from other improvements to capital work processes building in energy efficiency enhancements to roofing, windows, flooring and upgrades to kitchens/bathrooms
- Supporting behavioural change

It is intended to identify a minimum fabric standard that would be achieved in every void property let and other works carried out with measures detailed for the more prevalent property types owned by the council, or targeted to priority property types.

#### 4.4 National good practice examples: social housing

Leeds Council is currently replacing electric heating systems in council-owned apartment blocks with Ground Source Heat Pumps (GSHP)<sup>25</sup>, using a mix of HRA and central government funding sources. Similar approaches have been carried out in Sunderland<sup>26</sup> and Adur and Worthing<sup>27</sup>. While there are no comparable large blocks in York to the Leeds and Sunderland schemes, GSHP or Air Source Heat Pumps (ASHP) may be incorporated into capital investment programmes in York's local context, with property-specific solutions identified.

Nottingham City Homes<sup>28</sup> and Sutton Council<sup>29</sup> are delivering retrofit projects using the Energiesprong model. This uses components that are largely manufactured offsite and require less internal installation work. Consequently, the model is intended to avoid much of the disruption of other retrofitting methods. The capital costs of the works may be paid back over a number of years through a resident comfort plan, which functions as a service charge while guaranteeing lower bills than before the retrofit works as well as enhanced comfort and home health.

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<sup>25</sup> <https://news.leeds.gov.uk/news/thousands-of-leeds-tenants-to-enjoy-cheaper-energy-bills-as-council-appoints-contractor-to-deliver-gbp-24m-heating-upgrades>

<sup>26</sup> <https://www.kensaheatpumps.com/social-housing/the-uks-largest-ground-source-heat-pump-gas-replacement-programme-in-tower-blocks/>

<sup>27</sup> <https://www.adur-worthing.gov.uk/news/archive/pr21-155.html>

<sup>28</sup> <https://www.nottinghamcityhomes.org.uk/news/news/more-ultra-low-energy-homes-on-the-way/>

<sup>29</sup>

[https://www.sutton.gov.uk/info/200670/environmental\\_sustainability/2291/sutton\\_s\\_zero\\_carbon\\_retrofit\\_pilot\\_project](https://www.sutton.gov.uk/info/200670/environmental_sustainability/2291/sutton_s_zero_carbon_retrofit_pilot_project)

The Scottish Government has created a Fund managed by the Scottish Federation of Housing Associations to provide the following in response to the energy bill rises:<sup>30</sup>

- specialist energy advice services
- financial support to allow tenants to clear debts and switch to a cheaper energy tariff
- fuel vouchers to allow tenants to top-up their prepayment meters
- energy efficiency measures such as radiator panels, draft excluders, thermal curtains, smart thermostats, energy-efficient lightbulbs, and carpets.

Fuel vouchers and some forms of financial support, in addition to the services offered by York Energy Advice are already available. A rapid-response handyman service has been established to offer “quick win” immediate improvements for vulnerable council tenants such as draft proofing, LED lightbulbs and loft hatch insulation, supporting residents during the unprecedented energy costs of winter 2023. Other programmes of support delivered by the council include Fuel Vouchers, the Household Support Fund, the Energy Rebate Scheme and the York Financial Assistance Scheme <sup>31</sup>.

### Social rented sector: key actions and targets

Action	Progress / notes
Retrofit works to 60 HRA phase 1 properties, informing the phase 2 programme	A minimum of 70 properties will be delivered by March 2023 through LAD2 and Social Housing Decarbonisation Fund Wave 1 – with over 100 further expected to follow in Wave 2 if successful
Prepare Social Housing Decarbonisation Fund (SHDF) Wave 2 bid for around 110-115 properties	Significant £800m programme expected nationally, with minimum bids of 100 properties requested and delivery April 2023-March 2025.
LAD2 programme delivery across both the council’s own stock and through a Registered Provider partner	Installation of Solar PV panels on 45 CYC properties during Summer 2022

<sup>30</sup> <https://www.sfha.co.uk/news/news-category/sfha-news/news-article/housing-associations-support-tenants-struggling-with-energy-costs>

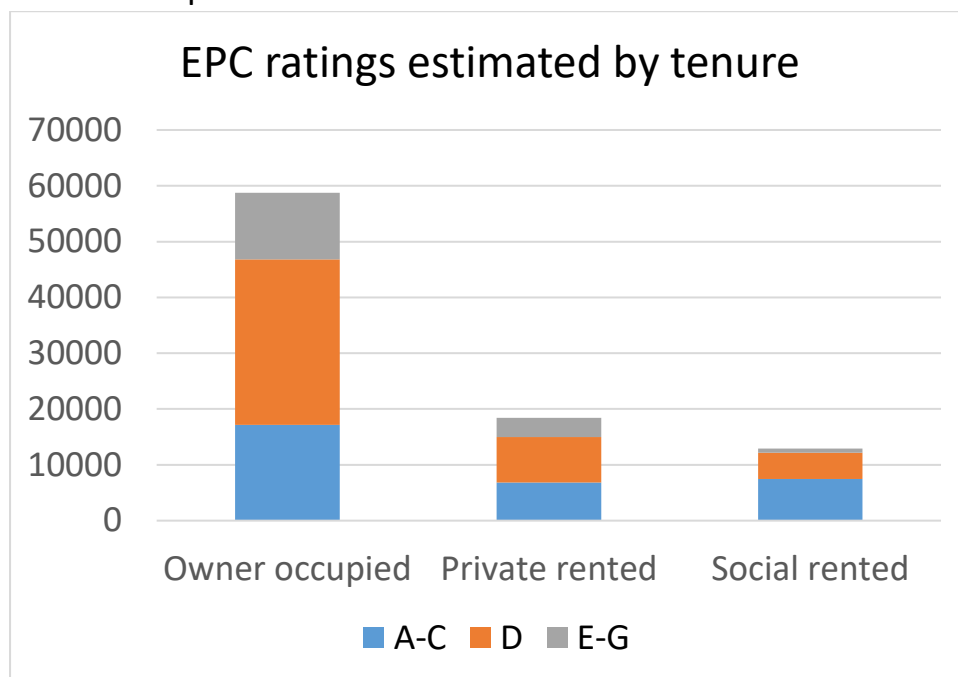
<sup>31</sup> <https://democracy.york.gov.uk/ieListDocuments.aspx?CId=733&MId=13292> Item 6

Action	Progress / notes
	(included in retrofit phase 1 total figure)
“Rapid response” smaller efficiency measures programme for council tenants who are identified as vulnerable to high heating costs during 2022-23	Handyperson service in action to deliver “quick win” rapid intervention improvements during winter 2022-23
Identification of planned capital works opportunities for example potential for heat pump installation, roofing, windows and other cyclical maintenance programmes	This has been incorporated into SHDF Wave 2 bid, and the HRA Asset Plan 2022-27 which will incorporate a new Retrofit Standard
Procurement of multi-year strategic delivery partner during 2022-3	This will reflect the council’s ambitions and learning from programmes to date, for delivery of SHDF Wave 2 if successful alongside other programmes
Ongoing skills programme for Building Services staff to build capacity in low carbon heating, PAS2030 installer competencies and PAS2035 Retrofit Assessor and Retrofit Co-ordinator roles	To date, 4 Building Services engineers have attended the BPEC Air and Ground Source Heat Pump Systems Training; Passivhaus tradesperson training also provided
Develop archetype specific plans for CYC homes to identify the range of works needed for the pathway from current level to EPC C and on to net zero carbon	Potential measures for archetypes have been identified, work with delivery partner on costs underway
Build existing relationships with Registered Providers to accelerate delivery, share skills and maximise benefits to tenants across the City	Registered Provider forum established with retrofit and decarbonisation a key topic, including attendance from asset managers
Determine target for all CYC properties to reach EPC C minimum and commission data informed pathway to whole-stock net zero ambition by 2030	This will be informed by ongoing work and analysis



## 5. Owner occupier sector

It is clear that a large majority of existing low energy performing dwellings are in the owner occupied sector. Tackling this sector will be essential to a decarbonisation pathway effectively addressing the climate emergency. Using EPC rating data and ONS tenure split estimates, it is estimated that 70% of EPC D rated properties and 74% of EPC E-G rated properties in the City of York are owner occupied.



Source: estimates from combined EPC and ONS tenure data

Homeowners could benefit significantly from reduced energy costs through retrofit investments<sup>32</sup> however research from the UK Green Building Council<sup>33</sup> highlighted that key barriers to realising these benefits include:

- Uncertainty over government grant and other funding eligibility
- Challenges in navigating supplier marketplace
- Limitations of existing financial products

The West Yorkshire Combined Authority “*Scaling Up Better Homes Yorkshire*”<sup>34</sup> identifies the need for a “Customer Journey” that:

Starts with knowledge of what needs improving in each home, informs independent advice to occupants and owners which they can trust putting them on a path to a retrofit that retains that trust.

<sup>32</sup> <https://pcancities.org.uk/energy-and-carbon/york>

<sup>33</sup> <https://www.ukgbc.org/news/ukgbc-publishes-new-insights-into-home-retrofit/>

<sup>34</sup> <https://shapuk.files.wordpress.com/2020/12/wyca-final-report.pdf>

Engaging residents motivated by a sense of purpose around reducing carbon emissions and improving home comfort through retrofit home improvements will also be essential in building the sector, sharing knowledge and establishing successful supply chains. The role of the innovation diffusion curve has been recognised in many areas of consumer driven climate change action<sup>35</sup>, with a growing minority who are willing to make more significant investments in future resilience and home comfort, often alongside other home improvements. These households are leading the way to a broader scale-up.

These priorities are particularly important given the local demographics of domestic energy efficiency in York, as highlighted below.

### 5.1 Fuel Poverty

Where homeowners in properties with poor energy performance also have a low household income, they may be considered to be in fuel poverty and eligible for grant based schemes. The council has a key role in delivering some government funded programmes and in widening access to others, with around £4m programmes to be delivered up to March 2023.

To meaningfully address carbon emissions in owner occupied properties however, other options will also be needed. Comparison of neighbourhood areas in York with high levels of fuel poverty identified in government statistics<sup>36</sup> illustrates that fuel poor households are concentrated in areas of high social housing or student-oriented private rental tenure such as Acomb, Clifton, New Earswick and Tang Hall. These priorities can be taken into account in maximising opportunities through the new Energy Company Obligation 4 (ECO4) and ECOflex fuel poverty retrofit schemes<sup>37</sup>.

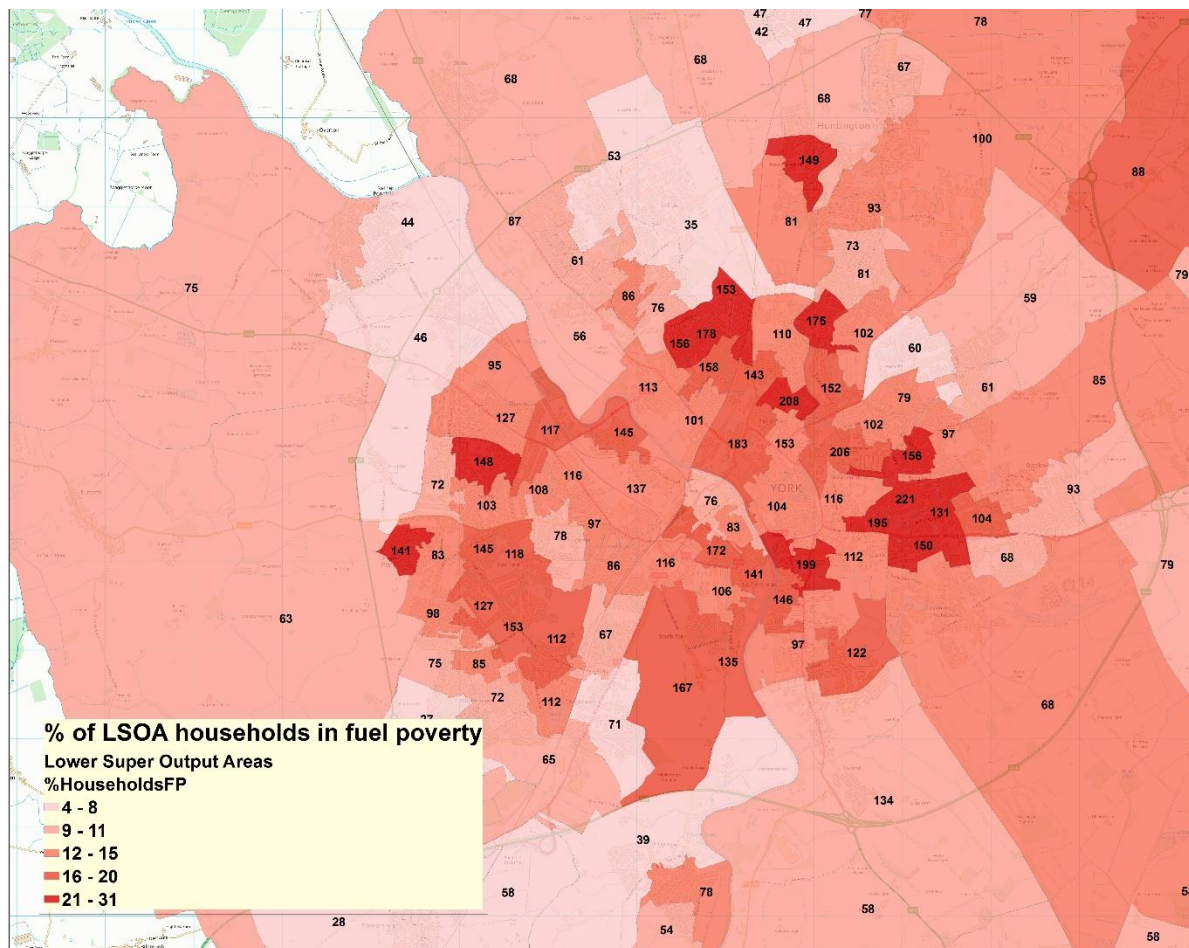
Furthermore from the experience of programme delivery to date, support for some households to navigate potential temporary disruption and uncertainty may be necessary to enable successful delivery of the retrofit works.

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<sup>35</sup> <https://www.nesta.org.uk/project-updates/how-understanding-user-journey-heat-pump-adoption-will-generate-innovation/>

<sup>36</sup> <https://www.gov.uk/government/collections/fuel-poverty-statistics>

<sup>37</sup> <https://www.ofgem.gov.uk/publications/draft-energy-company-obligation-eco4-guidance-delivery-v01>



## 5.2 Building a consumer market and energy advice provision

The UK Green Building Council research identified a need for an effective consumer market for “whole-house retrofit”. This would encompass both supply and demand. Support for both of these is needed to scale up the improvements in housing stock that are necessary to meet the decarbonisation ambitions and benefit local residents. Demand provides companies with the economic incentives and confidence to improve the retrofit ‘offer’ and deliver a service more in line with customer expectations; this in turn is needed to reduce barriers for homeowners in carrying out the works.

To build a **consumer supply market** both contractors/providers and longer term skills base are important. This would offer a simplified approach for residents without the extensive project management of different contractors currently required. The council can leverage significant influence in this area, through approaches discussed below.

**“The customer journey”: household tailored advice**

Availability of high quality, property and resident specific advice is essential. York Energy Advice<sup>38</sup> have launched an innovative new service to develop this provision locally, with advice for residents tailored across income maximisation, the energy provider marketplace, and savings through home energy efficiency. This complements the local Warmer Homes York<sup>39</sup> service. Another example is People Powered Retrofit working across Greater Manchester, who offer a holistic service to households including “end to end” support from starting out to evaluation and handover<sup>40</sup>.

Scaling up the availability of these services is core to mass market retrofit in the owner occupied sector, and provision of trusted advice at no or low up-front cost is likely to be important in encouraging take-up of households who may be uncertain of the level of benefit in undertaking retrofit improvements. However in the current climate sources of funding are not clear. While presenting new opportunities the government’s Energy Company Obligation 4 (ECO4) scheme has a similar structure to the previous ECO3 in important respects with complex eligibility restrictions and limited funding availability likely to prevent large scale delivery through this route in York<sup>41</sup>. Other potential investment may be through engagement with private sector suppliers who have an interest in the development of long term demand for the marketplace. The Climate Change Commission earlier in 2022 identified a “Comprehensive public energy advice service” as a key need and opportunity to accelerate housing decarbonisation<sup>42</sup>, alongside other high priority policy improvements such as energy price reform.

This would also support broader resident awareness and motivation, and link to the potential for savings as energy prices rise. In this context it is clear that supporting the community of motivated households and providers who are towards the ‘innovator’ end of the uptake curve is essential to build this market and the supply chain and services associated with it. Building performance monitoring of temperature, humidity and ventilation pre- and post-works can also help provide additional certainty on benefits and support high quality projects through effective evaluation.

<sup>38</sup> <https://yorkenergyadvice.org.uk>

<sup>39</sup> <https://yorkcommunityenergy.org.uk/projects/warmer-homes-york/#:~:text=Insulating%20homes%20makes%20them%20easier,process%2C%20see%20this%20explainer%20article>

<sup>40</sup> <https://retrofit.coop/>

<sup>41</sup>

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/1065823/eco4-government-response.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1065823/eco4-government-response.pdf)

<sup>42</sup> <https://www.theccc.org.uk/publication/2022-progress-report-to-parliament/#downloads>

The trajectory from household advice and assessment through to full project management and performance monitoring is summarised below. The provision of the initial service offer presents development potential over time with the potential to support the mass consumer retrofit market that will be needed for decarbonisation of housing.

### **Levels of Retrofit Advice Service – costs and expertise requirements increase with each level**

1. Basic property and household assessment with advice on options and grant funding; community engagement
2. Detailed property assessment with surveys and ‘whole house plan’
3. Support in identifying contractors for ‘whole house plan’ items
4. Project management of householder retrofit works
5. Post-works evaluation of retrofit project and supply chain development

It is proposed to explore opportunities for resourcing a cross-tenure energy advice service for all residents that can build the consumer market for home retrofit and support the economic, financial wellbeing, health and decarbonisation benefits of home energy efficiency upgrade projects. Enabling support for residents may also be a valuable service, for example practical decluttering of loft or roof spaces to facilitate high cost effectiveness insulation and fabric improvement measures.

### **Neighbourhood based retrofit programmes**

Due to the impact of the Right to Buy, HRA stock is largely located in mixed tenure estates including a substantial proportion of owner occupiers. HRA stock programmes will be designed to include an ‘offer’ that residents in other tenures can also benefit from, where possible, on a ‘whole streets’ basis. This may be through a combination of other funding sources or for residents who are self-funding.

### **Strategic use of procurement and direct labour**

The council will be a significant purchaser, enabler and provider of housing decarbonisation work. This gives an opportunity to use procurement

strategically in shaping the market, building supply chains for the future and working with partners to build the local skills base.

Additionally this can support supplier confidence through a 'pipeline' of work that give medium-term certainty for private sector investment decisions, supporting the consumer-oriented market that is needed.

There are also significant opportunities to increase **demand for 'whole-house retrofit'**.

### **Access to affordable finance**

The West Yorkshire Combined Authority "Scaling Up Better Homes Yorkshire" report sets out the need for financial products that enable home owners to invest in retrofit and achieve a net return based on energy bill savings.

Access to cheap, patient, flexible borrowing is important to creating an attractive offer to all forms of customer, other than those who can use their own savings. Providing an attractive finance offer enables quality control by specifying approved contractors. If the interest rate is kept low this could create a margin to pay for delivery costs<sup>43</sup>.

Products to avoid up-front costs while increasing resident disposable income include some form of loan which is only paid back against a portion of the resident's energy bill savings, or an equity loan without ongoing repayments. There is increasing awareness of this in the financial sector, for example Nationwide Building Society recently led a joint call with others across the industry for a "retrofit revolution" including working towards better finance options<sup>44</sup>. This faces some challenges around payback times and only certain forms of work with high returns on financial investment will be suitable for this approach, with programmes offering 0% and part-subsidised finance ultimately essential to deliver the wider social benefits of successful retrofit programmes.

### **"Comfort as a service"**

A service provision model where energy is not charged by the kWh, but instead delivered as part of a predictably priced comfort package<sup>45</sup> addresses split-

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<sup>43</sup> <https://www.ukgbc.org/news/ukgbc-publishes-new-insights-into-home-retrofit/>

<sup>44</sup> <https://www.nationwidemediacentre.co.uk/news/industry-leaders-call-on-government-for-retrofit-revolution-to-hit-crucial-2050-net-zero-targets>

<sup>45</sup> <https://www.greenfinanceinstitute.co.uk/wp-content/uploads/2020/06/Financing-energy-efficient-buildings-the-path-to-retrofit-at-scale.pdf>



incentives and knowledge-gap factors slowing retrofit deployment across all tenures. This has not been delivered at scale yet however elements are included as part of schemes such as the Welsh Government's Optimise Retrofit programme<sup>46</sup>.

The appropriate geographical scale for piloting this approach needs to be identified, but it is possible that this could be explored through the Devolution arrangements.

### **Planning process requirements**

A new Supplementary Planning Document will be produced, providing guidance on the Climate Change policy areas of the Submitted Local Plan document. Requirements through the planning process for home energy efficiency upgrades will be reviewed to minimise barriers to residents undertaking improvement measures.

### **5.3 Owner occupied sector: key actions and targets**

#### **Short term: significant milestones in 2022/23**

- Identify resource to establish a cross-tenure energy advice service for all residents during 2022/23
- Delivery of LAD1B, LAD2 and LAD3 programmes by March 2023
- Produce retrofit communications plan to engage communities and raise awareness
- Extend existing links with local colleges in addition to other training providers to develop a retrofit skills pathway whether in Further Education or new decarbonisation competencies of existing suppliers and workers, also supporting apprenticeships
- Climate Change Supplementary Planning Document (SPD) produced
- Local Area Energy Planning exercise is already underway, this will inform spatial based responses including potential heat network options which can accelerate low carbon heating electrification

#### **Medium term: progress during 2023/24, further milestone may follow**

- Pilot small scale resident practical support where this can increase uptake of retrofit work for eligible households at risk of fuel poverty

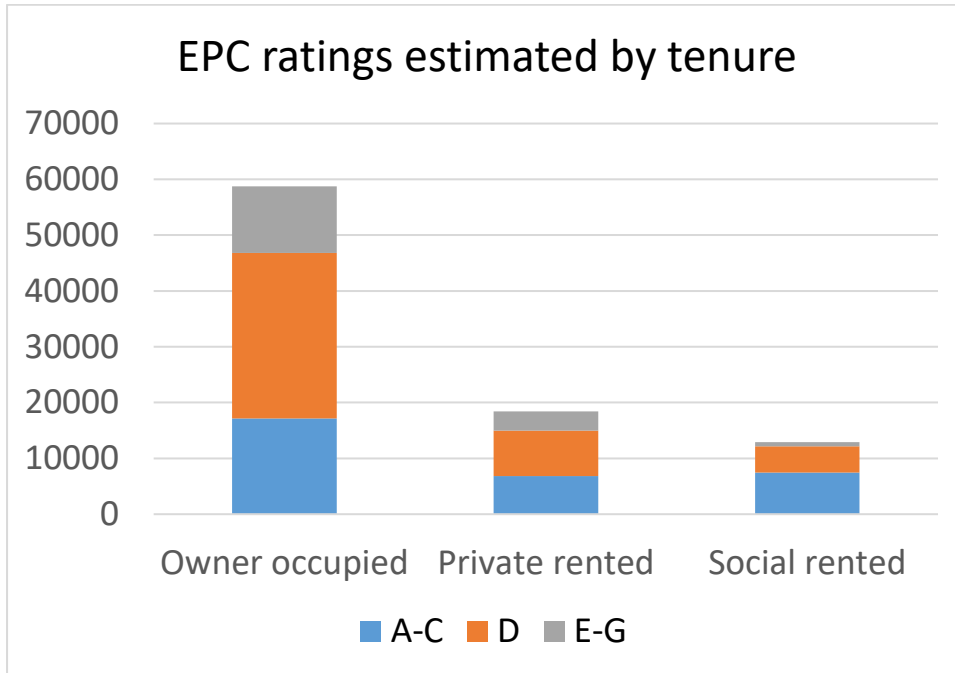
<sup>46</sup> <https://gov.wales/optimised-retrofit-programme>

- Maximise ECO4 delivery in York over the programme lifecycle 2022-26
- Explore innovative financing and services provision opportunities with other partners engaged in the sector
- Incorporate owner occupied properties within HRA stock programmes where possible on a neighbourhood basis
- Support community of residents motivated to improve the efficiency of their home despite challenges faced in a rapidly innovating, still maturing sector
- Explore procurement/direct labour opportunities to build consumer provider market through council programmes
- Set pathway to 2030 with annual EPC-based targets of homes to be improved



## 6. Private rented sector

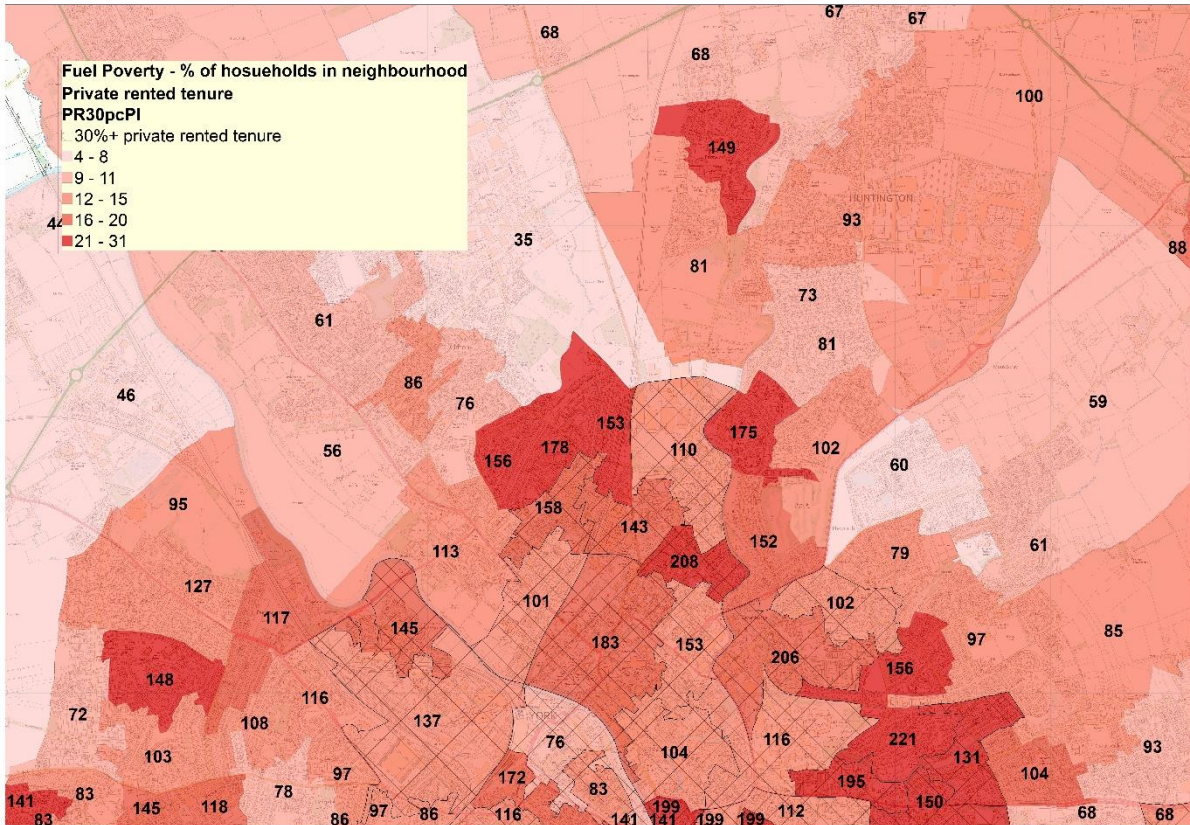
A significant proportion of the properties in York that are EPC rated D and below are in the private rented sector (PRS).



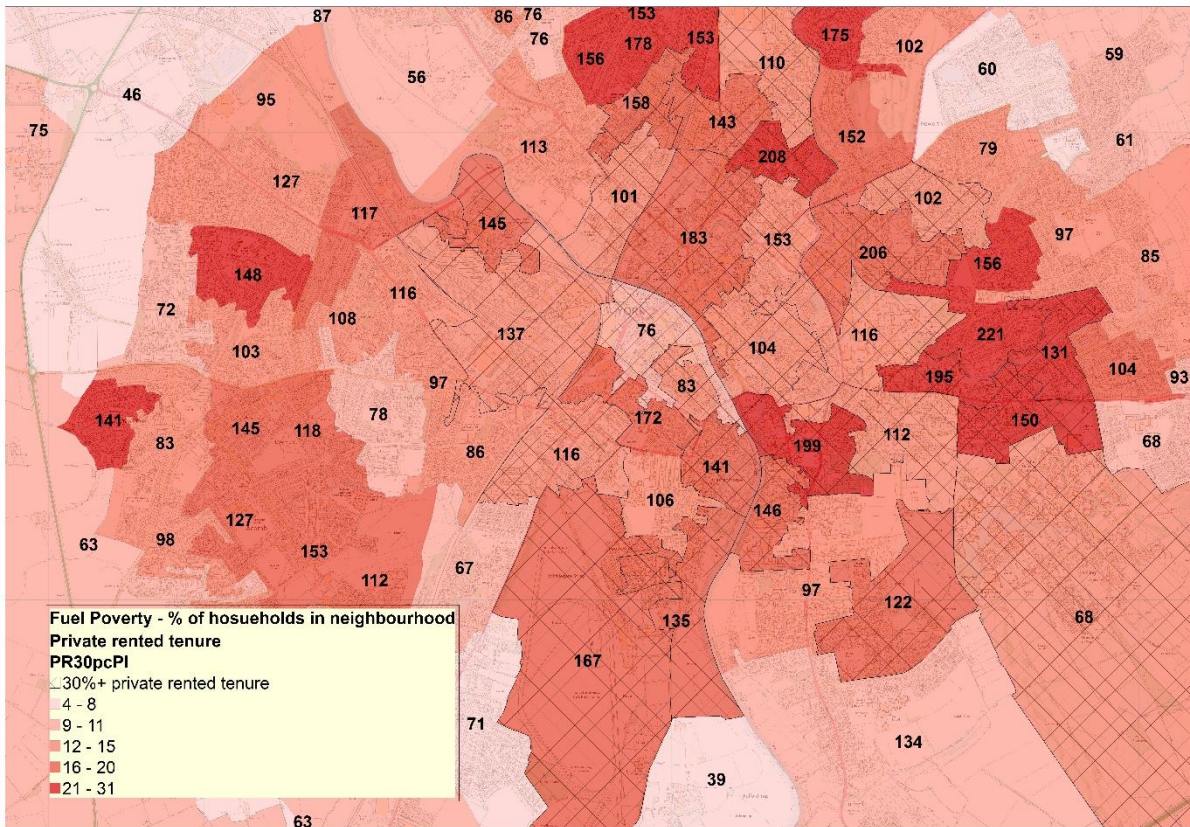
Source: estimates from combined EPC and ONS tenure data

There are also some concentrations of PRS fuel poverty in the City, predominantly located in areas including substantial student accommodation numbers. Identifying fuel poor households in this sector is important as it is usually either a requirement or a priority for central government funding programmes.

Fuel poverty and PRS concentration map: **North York**



Fuel poverty and PRS concentration map: **South York**





To improve energy efficiency in private rented sector homes, there are several interlocking areas of opportunity for the council:

- Central government funded schemes LAD2, LAD3 and HUG2 and the energy company funded ECO4
- Minimum Energy Efficiency Standards (MEES) and other regulatory changes
- HMO licensing
- Landlord and resident engagement
- Finance, service and supply chain innovation to provide an attractive offer for landlords that can deliver a return on investment
- Enabling support for residents may also be a valuable service, for example practical decluttering of loft or roof spaces to facilitate high cost effectiveness insulation and fabric improvement measures.

### **6.1 Central government funded schemes and consumer market innovation**

Government LAD1B/LAD2/LAD3 funded schemes include delivery of improvements in PRS properties.

The Energy Company Obligation 4 (ECO4) programme 2022-25 has recently had a government consultation response<sup>47</sup>. The outlined proposals would offer opportunities for some landlords to meet the future MEES as set out below. Another important resource to support this is the provider and finance consumer market innovations outlined in the Owner Occupiers section above.

### **6.2 Minimum Energy Efficiency Standards (MEES)**

Since April 2018 it has been unlawful to rent out residential premises that do not reach a minimum energy efficiency standard of E on a new tenancy. Since April 2019, landlords of domestic properties with an EPC rating below E must carry out up to £3,500 worth of works to improve their energy efficiency even if they cannot obtain third-party funding to meet the costs. Since April 2020 it has been unlawful to let any residential property whose EPC doesn't meet an E as a minimum, unless they have a valid exemption in place.

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<sup>47</sup>

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/1065823/eco4-government-response.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1065823/eco4-government-response.pdf)

Councils are responsible for enforcing compliance with the domestic minimum level of energy efficiency. This presents a resource challenge to Local Authorities. To try and find ways of addressing this City of York Council has participated in a central government funded pilot delivering a more proactive enforcement service. Outcomes have been estimated for F & G rated PRS properties where a new, valid EPC has been produced following contact from the project:

- The total amount of CO<sub>2</sub> being produced by 50 properties has reduced by 193.4 tonnes per year;
- The estimated energy used to heat 45 properties has reduced by 243,546 kWh per year, which equates to a saving of £33,900 (based on a cost of 13.92p per kWh for the Yorkshire region)

The Government are looking to further increase the standards required of PRS housing in 2025. This will provide additional challenges at a resource level but new opportunities to tackle the climate emergency, improve the health of our residents and reduce incidences of fuel poverty.

The proposals are to amend the minimum standards so that from April 2025 it will be unlawful to let a residential premises that does not reach a minimum energy efficiency standard of C on a new tenancy and from April 2028 to make it unlawful to let any residential property whose EPC doesn't meet an C. There would be an increased maximum investment amount to a £10,000 cost cap, and some additional powers. Resources would also be needed for Local Authority enforcement.

It should be noted that currently the approach by the government is that government funding should not be used to make these properties compliant with existing regulations, but funding may be used in addition to landlord investment to improve the property beyond the minimum legal requirement. There is an expectation for improvements by April 2025 which will present an opportunity to work collaboratively with landlords in energy efficiency improvement programmes to support compliance and maximise benefits of local schemes. Equity loans or other retrofit-oriented finance products may offer substantial value to landlords in meeting regulatory obligations and reduce the burden on the council's enforcement activity.

### 6.3 Houses in Multiple Occupation (HMO) licensing

Our HMO local implementation policy for licensing requires landlords to provide full Energy Performance Certificates to ensure that they comply with the Minimum Energy Efficiency Standards so that properties with F and G ratings are not being let unless the licence holder has registered their property on the Government Exemption register and has provided the relevant evidence to support the exemption.

Once the EPC has been examined, if necessary, conditions can be attached to the licence requiring recommendations within the EPC or measures that have not been undertaken, such as cavity wall or loft insulation, to be carried out within a set timescale.

### 6.4 Private rented sector key actions and targets:

- Identify resource to establish a cross-tenure energy advice service for all residents during 2022/23
- Delivery of LAD1B, LAD2 and LAD3 programmes by March 2023
- Pilot small scale resident practical support where this can increase uptake of retrofit work for eligible households at risk of fuel poverty
- Maximise ECO4 delivery in York over the programme lifecycle 2022-26
- Proactive engagement with landlords around current and future regulatory obligations, including work with partners towards a “one stop shop” energy advice centre service
- Explore regional loans opportunities with other partners engaged in the sector
- Incorporate PRS properties within HRA stock programmes where possible on a neighbourhood basis
- Explore procurement/direct labour opportunities to build consumer provider market through council programmes
- Set pathway to 2030 with annual EPC-based targets of homes to be improved
- Extend existing links with local colleges in addition to other training providers to develop a retrofit skills pathway whether in Further Education or new decarbonisation competencies of existing suppliers and workers, also supporting apprenticeships
- Local Area Energy Planning exercise is already underway, this will inform spatial based responses including potential heat network options which can accelerate low carbon heating electrification

## 7. Retrofit Action Plan consultation

The strategy development process to date has been informed by discussion across the council and with key partners such as Registered Providers and energy efficiency social enterprises. In addition the Building Retrofit Roundtable event as part of the Climate Change Strategy has provided important insights.

Draft proposals were reviewed at Housing and Community Safety Policy and Scrutiny Committee in October 2021 and July 2022. Further consultation with partners, stakeholders and residents followed culminating in a City-wide resident consultation which closed on Monday 31<sup>st</sup> October 2022, with 70 formal responses received. Invaluable feedback has been provided through these routes which have supported improvements to the Retrofit Action Plan through the drafting process.

The results supported the overall direction and purpose of the Retrofit Action Plan, with large majorities agreeing that:

- Climate change and reducing carbon emissions in York is “extremely important” (84%)
- 90% said home energy retrofit is either extremely important or important (65% extremely important plus 25% important); and 98% said it is either extremely important or important for the cost of living (71% extremely important 27% and important).
- A Retrofit Action Plan was considered extremely important or important by 88% (65% extremely important and 23% important)
- Large majorities of respondents who expressed an opinion considered that the “opportunities for domestic energy efficiency retrofit are recognised in the draft Retrofit Action Plan”, and that “the draft Retrofit Action Plan identifies appropriate local policy responses to take advantage of these opportunities”.

A number of valuable qualitative comments were also received which can be taken into account, including additional examples of successful retrofit projects and suggestions around some of the solutions noted in this paper. The full quantitative question responses are shown below.

	Extremely important/useful	Very important/useful	Not at all, not so much, or somewhat important/useful
How would you rate the importance of climate change and reducing carbon emissions for York?	84.2%	10.5%	5.3%
How important do you consider home energy efficiency to be in tackling climate change and reducing carbon emissions?	64.9%	24.6%	10.5%
How important do you consider home energy efficiency to be in tackling the cost of living?	71.4%	26.8%	1.8%
How useful do you consider a Retrofit Action Plan to be in supporting residents to reduce energy bills and cutting carbon emissions?	65.1%	23.3%	11.6%

	Yes	No	Don't know	Proportion of respondents expressing an opinion: Yes
Do you feel that the opportunities for domestic energy efficiency retrofit are recognised in the draft Retrofit Action Plan?	81.1%	18.9%	0.0%	81.1%
Does the draft Retrofit Action Plan identify appropriate local policy responses to take advantage of these opportunities?	51.3%	10.3%	38.5%	83.3%
Does the draft Retrofit Action Plan set out an overall direction for York that offers alignment with your organisation, or that you feel addresses the important issues for you?	54.1%	2.7%	43.2%	95.2%
Would you consider hybrid heat pump systems, which retain a fossil fuel boiler for hot water but use a low carbon heat pump for the majority of the heating, to be an acceptable carbon saving compromise for homes where a full heat pump system installation may be challenging?	42.9%	31.0%	26.2%	58.1%

What would you consider the main challenges of making your home more energy efficient through retrofit improvements to be?	Responses	
The cost and what will be most cost efficient	68.42%	39
Finding a builder that I can trust who are available to do it	54.39%	31
If I can afford the works	43.86%	25
Don't know what will work best for my home	35.09%	20
The disruption/possible moving out while work is done	24.56%	14
Don't know where to start	21.05%	12
Other (please specify)	15.79%	9

The Retrofit Action Plan is intended to be a 'living document' in consideration of the rapidly developing home retrofit sector, and will be reviewed on a regular basis to take into account newly emerging evidence, funding and technological opportunities.



## 8. Retrofit Action Plan summary: key actions and targets by tenure

The common themes and distinct tenure-specific actions are highlighted below.

### Social rented sector

- SHDF and LAD2 programme delivery for over 70 properties across both the council's own stock and through a Registered Provider partner
- Prepare Social Housing Decarbonisation Fund (SHDF) Wave 2 bid to improve around 110-115 council owned properties to EPC C standard
- LAD2 programme delivery across both the council's own stock and through a Registered Provider partner
- "Rapid response" smaller efficiency measures programme for council tenants who are identified as vulnerable to high heating costs during 2022-23
- Use of Parity Projects Portfolio energy modelling analytics to produce archetype specific plans for CYC homes and identify the range of works needed for the pathway from current level to EPC C and on to net zero carbon
  - Identification of "business as usual" retrofit opportunities in planned capital works, voids and vulnerable tenant support
  - Procurement of multi-year strategic delivery partner during 2022-3
  - Deployment of innovative building performance monitoring technologies to maximise benefit from all retrofit projects and understand "shared benefits payments" or "comfort as a service" bill savings potential
  - Ongoing skills programme for Building Services staff to build capacity
  - Determine target for all CYC properties to reach EPC C minimum and commission data informed pathway to whole-stock net zero ambition by 2030

### Private rented sector

- Delivery of LAD1B, LAD2 and LAD3 programmes by March 2023
- Pilot small scale resident practical support where this can increase uptake of retrofit work for eligible households at risk of fuel poverty
- Maximise ECO4 delivery in York over the programme lifecycle 2022-26
- Proactive engagement with landlords around current and future regulatory obligations, including work with partners towards a "one stop shop" energy advice centre service
- Explore regional loans opportunities with other partners engaged in the sector
- Incorporate PRS properties within HRA stock programmes where possible on a neighbourhood basis
- Explore procurement/direct labour opportunities to build consumer provider market through council programmes
- Set pathway to 2030 with annual EPC-based targets of homes to be improved

### **Owner occupied sector**

- Identify resource to establish a cross-tenure energy advice service for all residents during 2022/23
- Delivery of LAD1B, LAD2 and LAD3 programmes by March 2023
- Pilot small scale resident practical support where this can increase uptake of retrofit work for eligible households at risk of fuel poverty
- Produce retrofit communications plan to engage communities and raise awareness
- Maximise ECO4 delivery in York over the programme lifecycle 2022-26
- Explore innovative financing and services provision opportunities with other partners engaged in the sector
- Incorporate owner occupied properties within HRA stock programmes where possible on a neighbourhood basis
- Support community of residents motivated to improve the efficiency of their home despite challenges faced in a rapidly innovating, still maturing sector
- Explore procurement/direct labour opportunities to build consumer provider market through council programmes
- Set pathway to 2030 with annual EPC-based targets of homes to be improved
- Extend existing links with local colleges in addition to other training providers to develop a retrofit skills pathway whether in Further Education or new decarbonisation competencies of existing suppliers and workers, also supporting apprenticeships
- Climate Change Supplementary Planning Document (SPD) produced  
Local Area Energy Planning exercise is already underway, this will inform spatial based responses including potential heat network options which can accelerate low carbon heating electrification

### **Cross-tenure responses**

- Identify resource to establish a cross-tenure energy advice service for all residents during 2022/23g
- Alongside the Economic Development team, extend existing links with local colleges in addition to other training providers to develop a retrofit skills pathway whether in Further Education or new decarbonisation competencies of existing suppliers and workers, also supporting apprenticeships and new market entrants
- Local Area Energy Planning exercise is already underway, this will inform spatial based responses including potential heat network options which can accelerate low carbon heating solutions
- Build on existing partnerships to set up a local Retrofit Forum to share knowledge, ideas, skills and good practice examples

**City of York Council**  
**Equalities Impact Assessment**

**Who is submitting the proposal?**

<b>Directorate:</b>		Place Directorate	
<b>Service Area:</b>		Housing Services	
<b>Name of the proposal:</b>		2023-2028 Housing Asset Management and Energy Efficiency Retrofit Plan	
<b>Lead officer:</b>		Tracey Carter	
<b>Date assessment completed:</b>		29 <sup>th</sup> November 2022	
<b>Names of those who contributed to the assessment:</b>			
<b>Name</b>	<b>Job title</b>	<b>Organisation</b>	<b>Area of expertise</b>
Michael Jones	Head of Housing Delivery and Asset Management	City of York Council	Housing

## Step 1 – Aims and intended outcomes

<b>1.1</b>	<b>What is the purpose of the proposal?</b>
	The adoption of the five-year Housing Asset Management and Energy Efficiency Retrofit Plan which will guide the authority's actions to invest in its existing council housing stock and ensure that Decent Home Standards are maintained the energy efficiency of homes improved, and carbon use reduced.
<b>1.2</b>	<b>Are there any external considerations?</b>
	Yes. The Council must ensure that council homes are maintained to a decent standard as defined by government in its document "A Decent Home: Definition and guidance for implementation, June 2006 – update". The Council must also fulfil obligations regarding the adaptation of existing homes in order to assist independent living for older and disabled people, including children with long term illnesses and complex conditions.
<b>1.3</b>	<b>Who are the stakeholders and what are their interests?</b>
	Stakeholders are all of our tenants and their families and others who live in their home. Their interests are to experience a home which is safe, sustainable, affordable, and good quality.
<b>1.4</b>	<b>What results/outcomes do we want to achieve and for whom?</b>
	We invest in and plan for the future, ensuring we support safe, sustainable, affordable, and good quality homes. Working in partnerships, we aim to support strong and diverse communities where you can live well

	<p>and thrive. This plan and the actions that arise from it will help to achieve the following outcomes of the Council Plan 2019 – 23 Making History, Building Communities, updated in May 2021:</p> <ul style="list-style-type: none"> <li>• Creating homes and world-class infrastructure</li> <li>• A greener and cleaner city</li> <li>• Good health and wellbeing</li> <li>• Safe communities and culture for all.</li> </ul> <p>The Plan sets the following objectives:</p> <ul style="list-style-type: none"> <li>• All homes to meet the City of York Council Property Standard consistently.</li> <li>• Information led assessment of all homes to set investment priorities targeted on sustaining safety, security and quality as well as improving sustainability.</li> <li>• Growth, via development and acquisition, of approximately 600 new homes by 2027</li> </ul> <p>Key measures of achievement will be:</p> <ul style="list-style-type: none"> <li>• Compliance with Decent Homes Standard – 100%</li> <li>• Percentage of properties with a valid Gas Safety Certificate – 100%</li> <li>• Percentage of properties with a valid Electrical Inspection Certificate – 100%</li> <li>• Homes with an EPC rating of C above – 95%</li> <li>• Delivery of plans within budget.</li> </ul>
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**Step 2 – Gathering the information and feedback**

<b>2.1</b>	<b>What sources of data, evidence and consultation feedback do we have to help us understand the impact of the proposal on equality rights and human rights?</b>
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<b>Source of data/supporting evidence</b>	<b>Reason for using</b>
Data sets and surveys	They show us the current condition of properties and identify the work that we must do to improve the condition in order to reach the required standard.
Reports, good practice and the skill and knowledge of the team	So that plans and interventions are shaped by good and best practice and adapted to meet York's needs.
Tenant engagement and feedback.	So that plans and priorities for investment are shaped by tenants' priorities.

### **Step 3 – Gaps in data and knowledge**

<b>3.1</b>	<b>What are the main gaps in information and understanding of the impact of your proposal? Please indicate how any gaps will be dealt with.</b>	
<b>Gaps in data or knowledge</b>	<b>Action to deal with this</b>	
Ongoing feedback from tenants will guide each step of the programme.	We will seek ongoing feedback from tenants.	
Contractor and partner input into price and methods of work will be continuously updated	We will seek, via competitive tender, input into price and the best methods of work in order to guide the implementation of the plan.	

### **Step 4 – Analysing the impacts or effects.**

4.1	<b>Please consider what the evidence tells you about the likely impact (positive or negative) on people sharing a protected characteristic, i.e., how significant could the impacts be if we did not make any adjustments?</b>		
<b>Equality Groups and Human Rights.</b>	<b>Key Findings/Impacts</b>	<b>Positive (+) Negative (-) Neutral (0)</b>	<b>High (H) Medium (M) Low (L)</b>
<b>Age</b>	Many of your homes are occupied by, or specifically designed for, older people. Therefore, where we can we make suitable adaptations or modify works to accommodate the needs of older people, such as providing accessible plug and light switched in all homes. The emphasis upon safety and sustainability are features which are highly valued by older tenants.	Positive	High
<b>Disability</b>	Some of our homes are occupied by, or specifically designed for, disabled people. The Plan prompts us and guides us to enhance provision in order to assist independent living for disabled people, for example by providing level thresholds when we install new external doors and allows for investment in adaptations to homes to meet individual needs. By doing this we will improve the health, well-being, and quality of life of individuals and their families, by maximising their independence, safety, privacy, confidence, and dignity, and enabling them to continue living at home.	Positive	High
<b>Gender</b>	The plan seeks to assure that homes are safe, sustainable, affordable, and good quality homes, attributes which will benefit tenants irrespective of their gender identification.	Neutral	Medium

	Some tenants who live alone may particularly welcome the attention given to the provision of a safe home, for example the increase in investment in high security external doors.		
<b>Gender Reassignment</b>	The properties which we provide are the place where the tenant can call “home” and where they can feel safe and secure so that they can lead the life, and adopt the gender, of their choice. With an emphasis on safety and quality, we also seek to assure that the community is a safe place, working with community leaders and other partners to achieve this.	Positive	Medium
<b>Marriage and civil partnership</b>	Homes are let to single tenants, who share with friends, who co-habit with a partner and to tenants who are married or in a civil partnership. The quality of the home is maintained regardless of the relationship status of the tenant/s.	Neutral	Medium
<b>Pregnancy and maternity</b>	Our homes are safe and secure, giving the tenant the security they need to have and to raise children. The provision of safe and decent accommodation ensures that health during pregnancy and maternity can be maintained, to the benefit of both parent and child.	Positive	High
<b>Race</b>	The properties which we provide are the place where the tenant can call “home” and where they can feel safe and secure so that they can lead the life and express their identity as they choose. With an emphasis on safety and quality, we also seek to assure that the community is a safe	Positive	Medium



	place, working with community leaders and other partners to achieve this.		
<b>Religion and belief</b>	The properties which we provide are the place where the tenant can call “home” and where they can feel safe and secure so that they can lead the life and express their religion and belief as they choose. With an emphasis on safety and quality, we also seek to assure that the community is a safe place, working with community leaders and other partners to achieve this.	Positive	Medium
<b>Sexual orientation</b>	The properties which we provide are the place where the tenant can call “home” and where they can feel safe and secure so that they can lead the life and express their identity as they choose. With an emphasis on safety and quality, we also seek to assure that the community is a safe place, working with community leaders and other partners to achieve this.	Positive	Medium
<i>Other Socio-economic groups including:</i>	<i>Could other socio-economic groups be affected e.g., carers, ex-offenders, low incomes?</i>		
<b>Carer</b>	The attention which is given to design and adaption to assist older and disabled people to live in our homes also allows carers to operate with safety and dignity by, for example, providing level access showers which allow self-bathing.	Positive	High
<b>Low income groups</b>	The plan provides emphasis upon improving the energy efficiency of homes so that the cost of heating and hot water	Positive	High

	can be managed and, ideally, reduced. This will be of particular benefit to tenants living on a low income.		
<b>Veterans, Armed Forces Community</b>	Our homes are let to veterans and members of the armed forces community how are in housing need and, therefore, the provision of a home which is safe, sustainable, affordable, and good quality homes will be of benefit to this group.	Neutral	Medium
<b>Impact on human rights:</b>			
The Right to Housing	The plan assures that tenants can enjoy a safe, sustainable, affordable, and good quality home, allowing them to asset their Human Rights.	Positive	High

### Step 5 - Mitigating adverse impacts and maximising positive impacts

<b>5.1</b>	<b>Based on your findings, explain ways you plan to mitigate any unlawful prohibited conduct or unwanted adverse impact. Where positive impacts have been identified, what is been done to optimise opportunities to advance equality or foster good relations?</b>
We do not identify adverse impacts of the Plan. However, a key feature of our approach to asset management is that we adapt to meet new and changing circumstances, such as anticipated legislation regarding Electrical Testing. The plan seeks to undertake tests, as a matter of good practice, in advice of compulsion by government. In a similar way, we have always been mindful of damp and mould in properties and have invested considerable sums in works to deal with water standing below floors; the new plan updates this approach to widen our attention to both penetrating and	

rising damp, as well as insulation, affordable heating and ventilation – all ways in which damp and mould can be tackled.

## Step 6 – Recommendations and conclusions of the assessment

6.1	Having considered the potential or actual impacts you should be in a position to make an informed judgement on what should be done. In all cases, document your reasoning that justifies your decision.	
<b>Option selected</b>	<b>Conclusions/justification</b>	
<b>No major change to the proposal</b>	<p>The EIA demonstrates the proposal is robust.</p> <p>There is no potential for unlawful discrimination or adverse impact, and we have taken all opportunities to advance equality and foster good relations.</p> <p>We commit to continuing to monitor and review the Plan and its impact.</p>	

## Step 7 – Summary of agreed actions resulting from the assessment

7.1	What action, by whom, will be undertaken as a result of the impact assessment.		
Impact/issue	Action to be taken	Person responsible	Timescale
Modify the Plan to take account of changing needs and legislation	Regularly review the impact of the Plan	Head of Housing Delivery and Asset Management	Each year or as legislation or need changes.

## Step 8 - Monitor, review and improve

8. 1	How will the impact of your proposal be monitored and improved upon going forward?
	<p>The delivery of this Plan, the performance of our repairs &amp; maintenance services, delivery of our investment programmes and new build plans will be the subject of oversight and scrutiny by:</p> <ol style="list-style-type: none"> <li>a. Members sitting on the Housing and Community Safety Policy and Scrutiny Committee.</li> <li>b. Tenants engaging in our panels and processes.</li> <li>c. Managers via Senior Management Team and Departmental Management Team.</li> <li>d. An Asset Management Board and the existing New Build Housing Delivery Board.</li> </ol>



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**Executive****15 December**

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

**City of York Planning Policy Housing Delivery Action Plan (HDAP)  
Update and Local Development Scheme (LDS) Update****Summary**

## Housing Delivery Action Plan

1. The Planning Policy 'Housing Delivery Action Plan' (HDAP) Update (Annex A) has been prepared in response to the Government's publication of the 2021 Housing Delivery Test (HDT) results (published 14th January 2022). The HDT is an annual measure of how many new homes have been delivered within the Local Planning Authority (LPA) area over the past three years against how many homes should have been delivered. The result is expressed as a percentage and the City of York has a score of 65% recorded for 2021.
2. As a consequence of not delivering 95% of the housing requirement, and in accordance with the NPPF, an action plan (the HDAP) must be prepared and published.
3. This HDAP updates the first version approved by Executive on 9<sup>th</sup> December 2021, which was developed in response to the 2020 HDT result (83.7%). The HDAP has been prepared with input from key stakeholders from across the council. It presents the context of York's housing market and recognises where the council is already successfully helping to improve housing delivery. The HDAP is embedded in the work of the council across all teams.
4. The HDAP articulates the work already underway in the council to support delivery of housing. The 'Action Plan' seeks to enhance those streams of work and to further embed them across all relevant

teams. It should be noted that the Action Plan is necessarily limited to the areas of work the council can influence.

5. The Council's proactive approach is in line with the Council Plan priority to create homes and world-class infrastructure. As part of this, the council's Housing Delivery Programme (HDP) is making a significant contribution to the city's housing stock as well as leading the way in terms of raising housing standards and developing local construction supply chains.

#### Local Development Scheme

6. The Council is required to prepare and regularly review a Local Development Scheme (LDS) under the Planning and Compulsory Purchase Act 2004 (as amended by the Localism Act 2011).
7. An LDS sets out a timetable for the production of new or revised Development Plan Documents (such as a Local Plan) by the local council. The LDS (Annex C) supersedes all previous versions and sets out a planning work programme for the Council from November 2022 until December 2024 with indicative timeframes beyond also shown.

#### Recommendations

8. Executive is asked to:
  - i) Approve the update to the Housing Delivery Action Plan (Annex A and B) and support the continued implementation of the Plan across corporate teams.

Reason: To ensure that the council complies with its duties as set out within the NPPF and PPG (setting out appropriate actions for the council to consider and explore in the short, medium and long term in an attempt to increase housing supply and delivery), and to fulfil the council's commitment to 'creating homes and world-class infrastructure' within the Council Plan (2019 – 2023).

- ii) Delegate authority to Corporate Director of Place to include within the Housing Delivery Action Plan the full council resolution (22 October 2022) calling on Executive to action work concerning "controlling the concentration of short term and holiday lets".

Reason: To acknowledge and reflect this stream of work in the Housing Delivery Action Plan.

- iii) Delegate authority to Corporate Director of Place for sign off of the publication version of the HDAP

Reason: To agree presentation of the publication version of the HDAP

- iv) Approve the Local Development Scheme Update (Annex C)

Reason: To ensure that the Council Complies with the Planning and Compulsory Purchase Act 2004 (as amended by the Localism Act 2011).

## **Background**

### Housing Delivery Action Plan

9. Housing delivery is of critical importance both nationally and locally. To help boost the supply of housing, changes to the NPPF were introduced in 2018 which included a standard methodology for calculating local housing need and increasing LPA accountability for its housing delivery performance through the use of the HDT.
10. The standard method changes the approach to calculating a local plan housing requirement set out in the 2012 NPPF. However, the emerging Local Plan is being examined under transitional arrangements which means its housing requirement of 822 dwellings per annum reflects the 2012 NPPF, not the standard methodology. As the Local Plan is not yet adopted, the HDT uses the standard methodology figure and this results in higher annual figures than the Local Plan proposes. Upon adoption of the Local Plan, the HDT measure will be set against the lower Local Plan annual requirement figure. For comparison, Table 1 includes both the standard method and local plan requirement.

<b>Table 1. City of York Housing Delivery Test</b>	<b>2018/19</b>	<b>2019/20</b>	<b>2020/21</b>	<b>Total</b>
No. of homes required (Standard Method)	1066	979 <sup>1</sup>	683 <sup>2</sup>	<b>2,728</b>
No. of homes required (Local Plan annual requirement)	822	754 <sup>1</sup>	548 <sup>2</sup>	<b>2,124</b>
No. of homes delivered <sup>3</sup>	451	627	704	<b>1,782</b>

11. The result dictates the actions or measures the LPA is either required to undertake or the penalties it faces, as stated in the National Planning Policy Framework (NPPF) 2021. This is as follows:

- 95% = A pass
- Below 95% = An action plan needs to be prepared to assess why the council under delivered and identify actions to remedy it.
- Below 85% = a buffer of 20% more land to be included within five-year housing land supply calculations (in addition to developing an action plan).

Below 75% = the presumption in favour of sustainable development (NPPF paragraph 11) will apply in decision-taking.

12. National Guidance outlines that a HDAP should consider the root causes of under delivery and identify the actions that respective authorities will undertake to help increase housing delivery in future years. The scope and nature of an action plan is not fully prescribed

<sup>1</sup> Covid-19 adjustment applied to reflect the temporary disruption to house building caused by national lockdowns. The period for measuring the homes required in 2019/20 is reduced by 1 month.

<sup>2</sup> Covid-19 adjustment applied to reflect the temporary disruption to house building caused by national lockdowns. The period for measuring the homes required in 2020/21 is reduced by 4 months.

<sup>3</sup> Includes adjustments for student and other communal accommodation as calculated by MHCLG using two nationally set ratios based on England Census data and informed by the Authority's Housing Flows Reconciliation (HFR) return.



by national policy or guidance, but the approach taken must relate to local circumstances and needs.

### Local Development Scheme

13. The LDS must specify the documents which will comprise the development plan for the area. The LDS must be made available publicly and kept up to date to ensure that local communities and interested parties can keep track of progress. Planning Practice Guidance makes clear that Local planning authorities must also publish the LDS on their websites<sup>4</sup>. Up-to-date and accessible reporting on the LDS is an important way in which authorities can keep communities informed of plan making activity.
14. The LDS outlines the remaining stages of Local Plan examination and steps to adoption. It also presents the work programme to adopting the Community Infrastructure Levy Charging Schedule and two Supplementary Planning Documents (SPDs) relating to Climate Change and Affordable Housing. These two SPDs will form part of a suite of SPDs that will be brought forward to support the implementation of Local Plan policies.
15. The draft Local Plan identifies a host of SPDs covering a range of topics. These are currently being reviewed with the expectation that a consolidated list will be identified in the report presented to members to accompany the Local Plan main modifications approval.

### Consultation

16. The HDAP was widely consulted on with colleagues across the council namely: Planning and Development Services, Transport, Highways and Environment, Housing, Economy and Regeneration, Asset Management, Housing Strategy and Policy, and Housing Standards and Adaptations. Colleagues have also been consulted on its update.
17. As documents in the LDS come forward and progress towards adoption, they will each be subject to separate consultation activities. These will be individually tailored and, where necessary,

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<sup>4</sup> Planning Practice Guidance <https://www.gov.uk/guidance/plan-making#evidence-base>

conform to statutory consultation requirements that must also be met.

## **Options**

18. Option 1 - A do nothing approach to updating the HDAP and LDS.
19. Option 2 - The positive preparation and adoption of the HDAP and LDS.

## **Analysis**

### Housing Delivery Action Plan

20. Option 1 would result in the council not complying with the National Planning Policy Framework and PPG and the 'Council Plan 2019 to 2023', all of which take a positive approach to delivering housing in accordance with local need.
21. A do nothing approach also risks undermining the council's positive approach to housing and planning, both development management and planning policy.
22. Option 2 is an opportunity to ensure that the council complies with its duties under the NPPF and in line with Planning Practice Guidance (PPG), whilst also reasserting the council's positive stance to delivering housing according to local needs.
23. Further, option 2 builds on the housing monitoring work the council already undertakes annually and reflects this work in its identification of the challenges, opportunities, and actions for maximising housing delivery.
24. Maintaining and adopting an updated HDAP also has the advantage of further focusing discussion across the council to appropriately resource and coordinate with colleagues to realise the action plan

## Local Development Scheme

25. Option 1 would result in the Council not meeting the provisions of the Planning and Compulsory Act 2004 as amended by the Localism Act 2011.
26. Option 2 ensures the Council complies with its legal obligations referred to above. It secures an up-to-date LDS, which is an essential tool for the Council to effectively manage document production and for monitoring to take place.

## Council Plan

27. The HDAP directly supports the achievement of one of the Council Plan 2019-2023 outcome areas, Creating homes and world-class infrastructure. Both the HDAP and LDS indirectly supports the other seven outcome areas.

## Implications

28. **Financial** – The Housing Delivery Action Plan as presented in this report can be delivered within currently approved budgets.
29. The LDS does not have direct financial implications. However, the documents identified in the LDS have their own financial implications, which will be separately reported as they are brought forward for Executive consideration.
30. **Human Resources (HR)** – There are no human resources (HR) implications. Both the HDAP and the LDS are produced using resource within existing Strategic Planning Policy Team.
31. **Equalities** – An equalities impact assessment (EIA) of the HDAP has been undertaken and is attached at Annex D. The EIA has identified that the Action Plan is likely to have a positive effect on social considerations through the continued positive support and provision of housing delivery.
32. Documents identified in the LDS will be subject to their own EIA, undertaken as part of their individual preparation.

33. **Legal** – The Government produced a Levelling Up and Regeneration Bill<sup>5</sup> that was published on 11 May 2022 that is seeking to introduce new planning reforms in the longer-term. At this stage, it is not known whether the target of delivering 300,000 homes per year nationally will continue, but it is still expected that housing delivery will be a forefront of national planning policy moving forward.
34. The Government’s Housing White Paper, named ‘Fixing our Broken Housing Market’ was followed up by revisions to the National Planning Policy Framework (NPPF) in July 2018, February 2019 and lastly in July 2021. In addition, updates to National Planning Practice Guidance (PPG) were made. Both these documents have introduced a number of new measures and reforms to the planning system intended to deliver more housing, improve housing affordability and where possible, remove barriers to new housing development.
35. The HDT and Housing Action Plan was first introduced within the revised NPPF. The mechanisms for the HDT are outlined within the revised NPPF and in the Housing Delivery Test Measurement Rule Book<sup>6</sup>.
36. All LPAs (with the exception of National Parks) are subject to this annual test and the requirements/penalties then placed upon each authority are dictated by the results. The council could decide not to comply with the NPPF and PPG. However, this could make any challenges to the council not having a NPPF compliant five-year housing land supply more difficult to defend.
37. If the council does not provide a framework for greater delivery through the HDAP it could be a material factor in decision making if the ‘presumption in favour of sustainable development’ as set out in the NPPF is engaged. This could potentially lead to far more housing than is actually required and that development could be built in locations which are seen as less desirable than those identified within the emerging Local Plan, as either specific housing allocations or as indicated by a settlement’s development boundary for example.

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<sup>5</sup> <https://www.gov.uk/government/collections/levelling-up-and-regeneration-bill>

<sup>6</sup> <https://www.gov.uk/government/publications/housing-delivery-test-measurement-rule-book>

38. The Council is required to prepare and regularly review its LDS under the provisions of the Planning and Compulsory Act 2004 as amended by the Localism Act 2011.
39. **Crime and Disorder** – There are no crime and disorder implications.
40. **Information Technology (IT)** – There are no IT implications.
41. **Property** – There are no property implications. Should property implications arise from work undertaken to implement the Planning Policy HDAP, these will be reported as appropriate.
42. **Other** – there are no other known implications.

### **Risk Management**

43. There are no direct risks inherent in approving the HDAP update. The HDAP is designed to mitigate the risk against being in a position where the ‘presumption in favour of sustainable development’ is engaged and the housing supply policies in a council’s Local Plan carry less/limited weight, allowing development to take place in less desirable locations. However, in practice, the NPPF’s presumption in favour of sustainable development already applies to decisions on planning applications in York as the council has been without an adopted local plan and has not been able to demonstrate an NPPF compliant five-year housing land supply in recent years.
44. It should also be recognised that the HDAP is not the silver bullet to increasing house building in the city as many of the factors involved are outside the control of the council. This ranges from a site owner’s desire/priorities in building out, how much a landowner is financially asking for their site, right through to the wider political and financial climates of which the housing development industry operates.
45. The publishing and Member endorsement of the Action Plan update reduces risk against challenge to housing delivery and may be used as a material consideration in future decision-making. In advance of the adoption of York’s Local Plan (likely in 2023), lack of an up-to-date action plan presents an opportunity for continued challenge

against the council's approach, particularly in the short-term relating to the five year housing land supply.

46. The publishing and Member endorsement of the LDS update reduces the risk of legal challenge to the Council not having an up-to-date LDS.

## Contact Details

### Author:

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Principle Strategic Planning  
Policy Officer

### Chief Officer Responsible for the report:

Neil Ferris, Corporate Director of  
Economy and Place, 01904 551448

**Report  
Approved**



**Date** 2/12/22

Kirstin Clow  
Interim Head of Strategic  
Planning Policy  
Planning

### Specialist Implications Officer(s)

Legal  
Ruhina Choudhury  
Senior Solicitor  
01904 555086

### Wards Affected:

All



**For further information please contact the author of the report**

### Background Papers:

City of York Planning Policy Housing Delivery Action Plan, December 2021 (available at: <https://www.york.gov.uk/HousingDeliveryActionPlan#:~:text=to%20help%20support%20and%20create,housing%20to%20meet%20local%20needs.>)

City of York Local Development Scheme 2017 (available at: <https://www.york.gov.uk/downloads/download/833/local-development-scheme> )

National Planning Policy Framework (2021) (available at: <https://www.gov.uk/government/publications/national-planning-policy-framework--2> )

Planning Practice Guidance (available at: <https://www.gov.uk/government/collections/planning-practice-guidance> )

Housing Delivery Test Measurement Rule Book (2018) (available at: <https://www.gov.uk/government/publications/housing-delivery-test-measurement-rule-book> )

Housing Delivery Test: 2021 measurement (2022) (available at: <https://www.gov.uk/government/publications/housing-delivery-test-2021-measurement> )

Planning and Compulsory Purchase Act 2004 (as amended by the Localism Act 2011) (available at: <https://www.legislation.gov.uk/ukpga/2004/5/contents> )

Town and Country Planning (Local Planning) (England) Regulations 2012 (as amended) (available at: <https://www.legislation.gov.uk/uksi/2012/767/contents/made> )

## **Annexes**

Annex A: City of York Planning Policy Housing Delivery Action Plan Update, November 2021

Annex B: HDAP Historic Housing Completions Data

Annex C: City of York Local Development Scheme 2022

Annex D: Equalities Impact Assessment

## **List of Abbreviations Used in this Report**

HDAP - Housing Delivery Action Plan

HDP - Housing Delivery Programme

HDT - Housing Delivery Test

LDS – Local Development Scheme

LPA - Local Planning Authority

PPG – Planning Practice Guidance

NPPF - National Planning Policy Framework



**Annex A:**

**City of York  
Planning Policy Housing Delivery Action Plan Update**

**December 2022**

## 1) Introduction

- 1.1 The Housing Delivery Test (HDT) was introduced by Government in November 2018 as a means of encouraging more homes to be built across England and as a monitoring tool to demonstrate whether local areas are building enough homes to meet their housing need. It measures the number of homes built within a local planning authority (LPA) area as a percentage of total housing needs over a rolling three-year period. The City of York recorded a result of 65% in the latest published figures for 2021<sup>1</sup>.
- 1.2 Authorities that fall below 95% are required to prepare an action plan. This document has been prepared on that basis and is an update to the previous Planning Policy Housing Delivery Action Plan (HDAP) published by the Council in December 2021.
- 1.3 The scope and nature of an action plan is not fully prescribed by national policy or guidance. Best practice suggests that plans should respond to local circumstances and needs. To this end, this document provides commentary on the following:
- The Housing Delivery Test and what the measurement means for the City of York;
  - The council's approach to housing delivery;
  - An overview of historic delivery in the City
  - Key issues and barriers
  - The Action Plan

## 2) What is the Housing Delivery Test?

- 2.1 The aim of the HDT is to encourage local planning authorities to boost housing supply and is a means of monitoring housing delivery locally. This is achieved through measuring the net additional supply of new homes against the number of homes required over the previous three years. LPAs performance results are published by Government annually.
- 2.2 The methodology for the HDT is set out in the Housing Delivery Test Measurement Rule Book<sup>2</sup>. It dictates that, in the absence of an adopted Local Plan, the 'standard method' for assessing annual local housing need is used to generate the housing requirement figure.

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<sup>1</sup> <https://www.gov.uk/government/publications/housing-delivery-test-2021-measurement>

<sup>2</sup> <https://www.gov.uk/government/publications/housing-delivery-test-measurement-rule-book>

- 2.3 Government has applied a 'Covid-19 adjustment' to reflects the temporary disruption to house building caused by national lockdowns over recent years. As a result, the period for measuring the homes required in 2020/21 has been reduced by 4 months. A 1-month reduction in the period for measuring the homes required in 2019/20 also still applies.
- 2.4 The consequences for LPAs with housing delivery having fallen short of the housing requirement over the previous three years are set out in the National Planning Policy Framework (NPPF) (2021):
- the authority should publish an action plan if housing delivery falls below 95%.
  - a 20% buffer on the LPA's five year land supply if housing delivery falls below 85%; and,
  - the presumption in favour of sustainable development is engaged if housing delivery falls below 75%<sup>3</sup>.

### 3) What does the Housing Delivery Test mean for the City of York?

- 3.1 The Housing Delivery Test Measure, published in January 2022 provides confirmation of the housing requirement figures and net completions applied to the calculation (Table 1), which result in a test result figure of **65%**.

<b>Table 1.</b> City of York Housing Delivery Test	<b>2018/19</b>	<b>2019/20</b>	<b>2020/21</b>	<b>Total</b>
No. of homes required (Standard Method)	1066	979 <sup>4</sup>	683 <sup>5</sup>	<b>2,728</b>
No. of homes required (Local Plan annual requirement)	822	754 <sup>4</sup>	548 <sup>5</sup>	<b>2,124</b>
No. of homes delivered <sup>6</sup>	451	627	704	<b>1,782</b>

#### HDT vs York's emerging Local Plan

- 3.2 In advance of an adopted Local Plan, the housing requirement for York is not calculated using the annual figure set out in the emerging plan. It is, instead, established using the Government's standard methodology, which generates a higher annual requirement.

<sup>3</sup> For further information see <https://www.gov.uk/guidance/housing-and-economic-landavailability-assessment#housing-delivery-test>

<sup>4</sup> Covid-19 adjustment applied to reflect the temporary disruption to house building caused by national lockdowns. The period for measuring the homes required in 2019/20 is reduced by 1 month.

<sup>5</sup> Covid-19 adjustment applied to reflect the temporary disruption to house building caused by national lockdowns. The period for measuring the homes required in 2020/21 is reduced by 4 months.

<sup>6</sup> Includes adjustments for student and other communal accommodation as calculated by MHCLG using two nationally set ratios based on England Census data and informed by the Authority's Housing Flows Reconciliation (HFR) return.

- 3.3 In accordance with Annex 1 of the NPPF (2021), the City of York Local Plan is being examined under transitional arrangements following its submission in May 2018. The Council is therefore not bound to using the standard method to calculate its housing need. Based on evidence, the Plan proposes an annual average requirement of 822 homes.
- 3.4 Whilst the HDT sets a higher requirement benchmark to that which the council is advancing through its Local Plan, and the consequence of the 2021 measurement is that the ‘presumption’ is applied to decisions on planning applications, direct effects are considered to be minimal. In practice, the NPPF’s presumption in favour of sustainable development already applies to decisions as the Council has been without an adopted plan and does not have an NPPF compliant five-year housing land supply (for the purposes of its decision making).
- 3.5 The City’s Green Belt has provided strong policy protection to speculative applications that might otherwise have sought to capitalise on the ‘presumption’ being engaged. It is, however, increasingly being challenged in planning applications that seek to demonstrate ‘very special circumstances’. As the Local Plan moves closer to adoption (anticipated in 2023), the risk reduces significantly.

## 4) The council’s existing approach to housing delivery

- 4.1 The council’s approach to housing delivery is embedded in the City of York Council Plan (2019-2023) which establishes eight key outcomes (seven of which will improve the quality of life for all residents, and one will enhance the way the council works):
- good health and wellbeing
  - well paid jobs and an inclusive economy
  - getting around sustainably
  - a better start for children and young people
  - a greener and cleaner city
  - **creating homes and world-class infrastructure**
  - safe communities and culture for all
  - an open and effective council.
- 4.2 Progressing the emerging Local Plan through to adoption is the council’s key driver for ensuring housing delivery that meets local needs and is supported by relevant infrastructure. It identifies a pipeline of sustainable and deliverable housing sites in line with the city’s strategic objectives and once adopted will set the regulatory framework for spatial development across the city.

- 4.3 The City of York Housing Delivery Programme (HDP) commits to developing over 600 new homes over the next 5 years on 8 council owned sites as part of the HDP. As part of this programme, the council has committed to a minimum of 40% affordable homes on these sites. Eight sites were originally identified to deliver this ambition, however over time new opportunities are being explored for sites both within and outside of the programme.
- 4.4 The HDP operates on a cross subsidy model whereby the market sale homes on each site help to fund the development costs of the affordable homes. This way the programme is financially sustainable in the long term, allowing the council to develop a second phase of the HDP beyond the initial 8 sites identified. It is anticipated that additional windfall sites will be identified to support this ambition.
- 4.5 The HDP also aims to provide new and flexible opportunities for housing delivery including self and community builds, the strategic disposal of land, and through the second hand shared ownership programme.
- 4.6 The Council maintains a register of previously developed ('Brownfield') land in accordance with the Town and Country Planning (Brownfield Land Register) Regulations 2017<sup>7</sup>. Sites within Part 1 of the Register are either draft allocations within the new Local Plan or have the benefit of planning permission subject to meeting the required threshold (i.e. has an area of at least 0.2 hectares or is capable of supporting at least 5 dwellings).
- 4.7 At this time, no sites are deemed as having 'permission in principle', however work may be undertaken to move sites into Part 2 of the Register following the Local Plan's examination.
- 4.8 It is recognised that York shares a housing market area with Selby District Council and links strongly to neighbouring districts. Work with neighbouring authorities under the Duty to Cooperate establishes that there is no requirement for the City of York to meet unmet provision in the wider area; it is accepted that each authority will meet its own identified housing need.
- 4.9 Given the commitment to housing delivery, data is gathered on a regular basis to inform the Council's Key Performance Indicators (KPIs) and to update regional monitoring reports and Housing Flows Reconciliation (HFR) returns to Government. Data collection and information gathering exercises are refined regularly to improve the quality of understanding on land supply and delivery issues.

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<sup>7</sup> The Register, which is accompanied by an interactive map is available here and is updated annually: <https://www.york.gov.uk/BrownfieldRegister>

- 4.10 Six-monthly monitoring updates of the council's housing performance are available on the Council's website<sup>8</sup> and capture data from a number of sources:
- Results from 6 monthly site visits to verify the number of housing completions,
  - Analysis of monthly Building Control completions returns that provide information of both City of York Council and private building inspection records,
  - Regular contact with developers/applicants for each site with consent for over 10 dwellings, communal establishments and university managed student accommodation to accurately monitor completions and to estimate completions over the term of the build programme, and
  - Monitoring of extant consents, new permissions, developments allowed on appeal and the inclusion of development through certificates of lawful development previously not included within housing returns.
- 4.11 This information is also fed into the Council's Local Plan evidence base and is particularly relevant to its land supply calculations<sup>9</sup>.
- 4.12 The Council's affordable housing performance is monitored by the Housing Team with annual updates also provided online<sup>10</sup>.

## 5) An overview of historic delivery in the City

### Historic Data

- 5.1 A detailed overview of the council's housing performance over the previous ten-year period (2012 to 2022) can be found in Appendix 1. It should be noted that the records provided in Appendix 1 do not include development resulting from communal accommodation schemes such as care homes and student halls of residence but reflect all other development that falls into the general dwellings<sup>11</sup> definition.
- 5.2 A ten-year timescale has been deemed appropriate for our analysis as it represents a significant market cycle over which time trend data is meaningful in determining the achievements of actions within our housing market area. A shorter monitoring period may well magnify short term trends whilst a longer period may even out fluctuations to the point where market signals are missed.

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<sup>8</sup> The latest reports available at: <https://www.york.gov.uk/downloads/download/819/annual-monitoring-reports>

<sup>9</sup> CYC Housing Land Supply Update June 2022 ([EX/CYC/76a](https://www.york.gov.uk/downloads/file/8100/ex-cyc-76a-housing-land-supply-update-addendum-response-to-representations-21-june-2022)): <https://www.york.gov.uk/downloads/file/8100/ex-cyc-76a-housing-land-supply-update-addendum-response-to-representations-21-june-2022>

<sup>10</sup> <https://www.york.gov.uk/housing/affordable-housing-completions/1>

<sup>11</sup> Dwellings are defined in the DLUHC Housing Flows Reconciliation User Guide see link: [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/1093173/HFR\\_Guidance\\_-\\_2021-2022.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/1093173/HFR_Guidance_-_2021-2022.pdf)

- 5.3 Our historic housing completion data indicates that housing completion trends have remained relatively stable and have averaged 676 net additional homes over the 10-year period with new build homes providing a significant majority of these completions (74.1%) and changes of use, including prior approvals, accounting for 24.2%.
- 5.4 Over 80% of housing completions have taken place on brownfield sites which reflects the council's policy aims of prioritising brownfield sites over greenfield locations where possible. However, this trend may change over coming years as developments get underway on the greenfield sites allocated in the emerging Local Plan.
- 5.5 Net housing consents have followed an upward trend over the last 10 years, although 2021/22 saw the lowest number of homes approved in that period (a total of 327). The annual figure takes account of previously approved housing sites having their capacities reduced by 128 homes. A further 247 homes had a resolution to grant approval subject to legal agreement (once signed, these sites are expected to be included in the 2022/23 figures). A number of schemes are also awaiting Secretary of State decisions, which includes 970 homes on the site at Monks Cross<sup>12</sup> (Local Plan allocation ST8).
- 5.6 On 1st April 2022 sites benefitting from planning permission equated to a total of 7,648 net additional homes. Notwithstanding the Council's evidence that around 10% of all consents are not implemented<sup>13</sup>, this represents a healthy level of provision. With 88.4% of all net unimplemented consents located on brownfield sites that tend to demand longer lead in times to delivery, it is reasonable to assume that these consents will more gradually translate to completions rather than providing an immediate spike in delivery rates.
- 5.7 The physical constraints relating to the development of brownfield sites together with the continued impact of new working practices associated with the recent pandemic added to current shortages of labour and materials make for challenging market conditions affecting the house building industry not just locally but also across the country.
- 5.8 During the last 10 years by far the largest proportion of new homes from windfall sites has been the result of conversions/change of use and from very small windfalls (sites below 0.2ha)<sup>14</sup>. This has been factored into recent assessments of housing supply anticipated over the period covered by the Local Plan and is reflected in the council's housing trajectory.

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<sup>12</sup> Appeal Ref: APP/C2741/W/21/3282969

<sup>13</sup> See SHLAA Appendices May 2018 [SD049B] Annex 5 paragraphs 1.1 to 1.6:  
<https://www.york.gov.uk/downloads/file/1528/sd049b-strategic-housing-land-availability-assessment-2018-appendices>

<sup>14</sup> See Windfall Update Technical Paper 2022 [EX/CYC/77] using link:  
<https://www.york.gov.uk/downloads/file/7923/ex-cyc-77-windfall-update-technical-paper-2022>

5.9 Appendix 1 also provides details of completions and consents for 2021/22 (1st April 2021 – 31st March 2022) with some of the headline figures provided below:

- 58.5% of all net housing completions took place on brownfield sites whilst almost 70% of all new homes were on sites with a capacity of 50 or more homes.
- Almost 59% of all net housing completions took place within the urban area. A further 22.6% of homes were provided in sub-urban locations, whilst 11.2% were completed in the city centre and its extensions and 7.5% were in rural or village locations. In each area of the authority new build properties formed the largest proportion of all net additional completions.
- A net total of 327 new homes were approved during the monitoring year, the largest proportion of which was for new build properties with approval for 257 new homes (78.6%). Notable housing schemes approved during the monitoring year included sites at the Former York City Football Club, Bootham Crescent (93), Burnholme Community Hub (83) and Former Duncombe Barracks site (34)
- It should be noted that several previously approved development sites had overall capacities reduced by 128 homes during the monitoring period that impacted on the overall net approval figures
- A further 104 student cluster flats at Mecca Bingo, 68 Fishergate, 83 homes at Eastfield Lane, Dunnington and 48 homes at Cherry Tree House, 218 Fifth Avenue had a resolution to grant planning permission subject to legal agreements prior to 31st March 2021. These are in addition to the 327 homes with full approval and it is anticipated that these sites will be included within the 2022/23 consented figures.
- The largest contributor to the overall consented homes was new build schemes approved in the urban locations. The 126 net homes approved in this location made up almost 38.5% of all net approvals granted in the authority area.
- Sites with a capacity of more than 50 new homes made up the greatest number of net homes approved in the authority area and this was reflected in all areas other than in rural and village locations where changes of use had slightly the greatest number of approvals.
- On 1st April 2022, of the 7,648 net housing approvals 7,073 (92.5%) were on sites with a capacity of greater than 50 new homes.

## **Determination of Planning Applications**



- 5.1 City of York Council's performance over the previous 3 years<sup>15</sup> has exceeded the national target for determination of applications within the statutory timeframe for major and minor applications as shown in the table below:

Table 2: Determination of major and minor applications against statutory timeframes

Year	Majors	Minors
2019-20	100.00%	84.75%
2020-21	100.00%	93.17%
2021-22	96.30%	91.03%
National Target	80%	70%

- 5.2 Further analysis of performance reveals that an approval rate of almost 86% has been achieved when determining both major and minor applications over the last 3 monitoring years.

Table 3: Major application grant and refusal rates.

Year	Granted		Refused	
	Number	%	Number	%
2019-20	41	97.62%	1	2.38%
2020-21	46	92.00%	4	8.00%
2021-22	21	77.78%	6	22.22%
Overall	108	90.76%	11	9.24%

<sup>15</sup> Data in tables 2, 3 and 4 is taken from Government PS1/PS2 returns ([DLUHC PS1/PS2 Returns Dashboard](#) please click to gain access), which excludes appeal information which was included in equivalent tables in the 2021 Housing delivery Action Plan.

Table 4: Minor application grant and refusal rates.

Year	Granted		Refused	
	Number	%	Number	%
<b>2019-20</b>	237	84.04%	45	15.96%
<b>2020-21</b>	210	84.34%	39	15.66%
<b>2021-22</b>	258	85.71%	43	14.29%
<b>Overall</b>	<b>705</b>	<b>84.74%</b>	<b>127</b>	<b>15.26%</b>

## 6) Understanding the key issues and barriers

6.1 The Council has gathered evidence from a wide range of sources including planning appeals and views from colleagues and key stakeholders involved in the planning and housing delivery process in order to understand the potential influencing issues and barriers associated with housing delivery in York. The identified key issues and barriers are below:

- a. The planning process
- b. Economic Drivers
- c. Resources and Capacity
- d. Physical and Environmental Constraints
- e. Other

6.2 Many of the issues and key barriers are well documented, with some of them intrinsic to the physical character of the City of York area and some of the emerging from central government's economic policies. The Council's ability to influence each of the barriers ranges but it is noted that each barrier requires a multitude of steps and stakeholders to come together to achieve the agreed aim.

6.3 Circumstances have not changed significantly since publication of the Council's 2021 Housing Delivery Action Plan. The issues identified below are therefore largely unchanged from those set out in the previous document.

### a) The planning process

6.4 **Adopting a Local Plan and defining of the Green Belt boundaries.** Plan preparation is demonstrably slower in Green Belt areas than elsewhere<sup>16</sup>. The

<sup>16</sup> Lichfields (April 2017): Planned and Deliver – Local Plan making under the NPPF: [https://lichfields.uk/media/3000/cl15281-local-plans-review-insight\\_mar-2017\\_screen.pdf](https://lichfields.uk/media/3000/cl15281-local-plans-review-insight_mar-2017_screen.pdf)

City of York does not have an up to date Local Plan and is tasked with defining the detailed Green Belt boundaries in the authority. Examination of the submitted Local Plan is currently ongoing<sup>17</sup> with phase 2 - 4 hearings having been completed in 2022.

- 6.5 Determining planning applications in the absence of an up to date Local Plan and confirmed Green Belt boundaries.** City of York have saved from the Yorkshire and Humber Regional Spatial Strategy (RSS) (2008) (YH9(C) and Y1 (C1 and C2)) which relate to York's Green Belt and the key diagram insofar as it illustrates the general extent of the Green Belt. These policies set the general extent of York's Green Belt to approximately 6 miles from the city centre. In line with the decision of the *Court in Wedgewood v City of York Council [2020]* Judgment<sup>18</sup>, and in advance of the adoption of a Local Plan, decisions on whether to treat land as falling within the Green Belt for development management purposes may need to take into account the RSS general extent of the Green Belt, the draft Local Plan (April 2005) (DCLP), the emerging Local Plan (2018), insofar as can be considered against paragraph 48 of the NPPF (2019) and site specific features in deciding whether land should be regarded as Green Belt.
- 6.6 Twelve of the Local Plan's housing allocations are within the general extent of York's Green Belt which has, in the past, made it difficult to grant planning permission on these sites where developers submitted applications intended to coincide with a much sooner conclusion of the examination process. However, that position is changing as a result of the significant progress made in the examination during 2022. The Council is now progressing applications that have long been 'in the system' and is working through technical issues on schemes to be in a position to grant permission. The Secretary of State decision (October 2022) not to call-in an application supported by members and officers for development on an allocated site in Copmanthorpe<sup>19</sup> further supports the Council's approach of seeking to positively determine applications.
- 6.7 Delivering supporting infrastructure.** Over 12,000 new homes within the Council's housing trajectory are from strategic sites (sites above 5 hectares), with four of the strategic sites due to deliver between 1000 and 4000 new homes. This level of development not only needs considerable time to prepare the site, but considerable investment in infrastructure from a multitude of agents. York Central (ST5), brought forward by York Central Partnership, is an example of this. Not only are there multiple landowners, there are a number of pieces of infrastructure across different phases that need to come together to unlock the delivery on the site and support quality of place and services.

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<sup>17</sup> See <https://www.york.gov.uk/planning-policy/new-local-plan-examination/1>

<sup>18</sup> Case ref: [2020] EWHC 780 (Admin), 2020 WL 02086186

<sup>19</sup> Planning application reference: 18/00680/OUTM

- 6.8 **Proportionate approach to planning, specifically self-build.** Whilst the Council supports the delivery of housing in a range of ways, there is a view that the approach to securing planning consent should be more proportionate according to the type of development to be consented. As an example, for self-build consents is considered that the planning approach is not proportionate as it is the same process for determining a single plot as it is for strategic sites of over 5ha.
- 6.9 **Lack of clarity in planning definitions.** In relation to older people's independent living and extra care properties there is a lack of clarity about whether these homes are to be considered Use Class C2 or C3. Developers are looking to build extra care accommodation (independent living apartments with on-site care) and they are keen for this to be classified as Use Class C2, to avoid social housing S106 contributions. This then leads to protracted discussion and debate and requirement for additional evidence. Clearer national guidance is required for this as there is case law which supports both C2 and C3 classifications.
- 6.10 Developers hoping to build independent living and extra care accommodation for older people as Use Class C2 are then seeking to develop on green belt and unallocated sites as they are arguing that it should not detract from land allocated as C3 housing.
- 6.11 Additional and well documented issues across the board also include:
- Sufficient resourcing and skills within planning departments
  - Protracted S106 negotiations and timescales
  - Time needed to prepare large strategic sites

## b) [Economic drivers](#)

- 6.12 **High land prices** – The council's Housing Delivery Programme (HDP) currently utilises council owned land, however, once exhausted it will be difficult to acquire more as the cost of land is extremely high. This is exacerbated when competing against large house builders who will not necessarily provide the same level of affordable housing that publicly funded schemes aspire to provide.
- 6.13 High land purchase prices within York can result in viability issues should the housing market experience fluctuations. A number of sites have been held back for development until the market corrected itself.
- 6.14 High land values also result in some developers looking to other authority areas with lower land prices. Market conditions vary across the region and many

developers are building the same design of property in a number of locations without the associated high land acquisition costs incurred in York.

- 6.15 Access to land is consistently brought up by Registered Provider (Housing Association) partners as a significant barrier to developing in York. For affordable housing delivery specifically, this is linked to the insufficiency of government (Homes England) capital grant funding to compete for sites in the York market.
- 6.16 Registered Providers being unable to access land impacts on both affordable housing and overall delivery, as Registered Providers can develop at a faster build out rate due to not relying on maintaining market prices via a slow “absorption rate” of completions.
- 6.17 The land supply challenge is exacerbated by some large landowners assigning development a low priority at current market returns – e.g. multinational owners of brownfield sites.
- 6.18 **Site Viability.** Land bought by developers when land values were at their peak, over 10 years ago, has resulted in a small but significant number of sites that have either taken a considerable amount of time to develop as the market conditions correct themselves or has been land banked for future development to ensure that the viability of residential projects is achieved. Additionally, as viability of the site changes, this has resulted in some renegotiation in relation to contributions the sites should make towards meeting policy requirements and S106 contributions.
- 6.19 **Alternative high yielding land uses.** The city centre and fringes have experienced significant student accommodation and hotel developments in recent years, both uses achieving greater returns to investors than that of C3 residential schemes.
- 6.20 Currently developers of student flats, and office-to-residential conversion, do not pay affordable housing commuted sums and some/any other s106 requirements. As well as disadvantaging other forms of residential development for the sites, this also reduces sums available for strategic investment in affordable housing and other infrastructure.
- 6.21 **Sales complexities.** Delivery of alternate uses to residential development, such as hotel and student accommodation, is less complex as a single operator can purchase the whole scheme, whereas, a residential development usually requires the sale of properties to a large number of individuals or investors. Some of this risk can be offset in residential development through the Private Rented Sector (PRS), with whole developments being built for sale to institutional investors. However, this remains a relatively new and untested concept in York.

6.22 **Competition.** Much of York's housing land is in the control of a small number of commercial house builders. This lack of competition does not incentivise a quick and efficient build out of homes. Often a commercial builder will not have two sites under construction if competing for the same buyers.

6.23 **Absorption rates.** the rate at which newly constructed homes can be sold or believed to be able to be sold into the local market, are seen as a fundamental driver in build out rates once detailed planning permission is granted. This is reflected in changes to the NPPF since its introduction in 2012 which seek to encourage different tenures and a number of different buyers markets such as purpose build student accommodation, build to rent, starter homes which in turn will encourage higher build out rates and can support the business plan of the multi-national housebuilders. This includes affordable housing. It has been found that "schemes with more affordable housing (more than 30%) built out at close to twice the rate as those with lower levels of affordable housing as a percentage of all units on site."<sup>20</sup>The homogeneity of housing delivery can also stifle the creation of different products and consequently markets and again stifle build out rates.

6.24 **Remediation costs.** In the council's experience, there is still a strong view amongst many landowners that remediation should be considered a legitimate development cost that should be netted off planning gain rather than land value. A landowner of a contaminated site still expects to achieve market value. This means that the only viable form of development is high density apartments that achieve enough yield to cover market value plus remediation, otherwise the site remains undeveloped, thus constraining supply. The inherent challenges could result in low quality developments that do not necessarily meet the city's housing need, or the site viability remains too risky for a developer to secure finance.

6.25 **Vacant properties.** A study undertaken in the mid-2010s by the North East Civic Trust identified that there was potential for up to 1,500 apartments in the vacant city centre spaces above commercial areas. Consequently, the council, working with housing associations to try to obtain government funding to address this opportunity, has found it incredibly difficult to release these spaces as the cost of converting often difficult/inaccessible spaces does not provide a viable yield. This is in part made more difficult by conservation issues. Feedback from developers and agents has identified that if there were to be some relaxation of the requirements inside buildings to retain existing layouts and some period features it may be possible to make these spaces economic for residential based redevelopment. This will become ever more pressing as

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<sup>20</sup> "Start to Finish, What factors affect the build-out rates of large scale housing sites?"  
Second Edition, Lichfields

the current decline of the retail market leaves more and more potentially vacant properties in the city centre.

**6.26 Brownfield site constraints.** Large brownfield sites identified in the Plan have been delayed significantly as a result of remediation requirements, the infrastructure needed for access and utilities, whilst the sourcing of government funding can also cause significant delays. It is widely acknowledged that here are inherent delays associated with developing these sites compared to less complex construction on Greenfield land.

**6.27 Access to funding for developers.** It is difficult for small developers to access funding at sensible rates, either from banks or from private investors. As a result, new builds are released slowly as smaller developers often do not have sufficient working capital to work on (say) three houses at the same time. Larger developers can sometimes be vulnerable to this, particularly for more marginal areas or sites.

c) [Resources and capacity](#)

**6.28 Grant funding -** The uncertainty of funding has caused viability issues for the council's affordable housing projects. Delays are being experienced in the process of gaining funding from Homes England that would allow for the discounted sale or shared ownership of affordable self-build homes on land for self-builds and negotiations have not concluded.

**6.29 Labour, material shortfalls and high costs -** It is well documented that in the construction industry that there are significant labour supply shortages, with a significant reduction (nationally) of people joining the construction sector, many existing construction workers retiring early and a lack of relevant skills amongst existing construction workers in trades such as bricklayers, plasterers, architects and quantity surveyors, constraining the house building market. The Letwin Review identifies a shortage of bricklayers as being a particular cause of concern to the industry, needing urgent remedial action.

**6.30** The ongoing shortage of materials and their increasing costs, along with labour issues are likely to impact in the future.

**6.31 Improving construction and environmental standards -** moving towards higher constructions standards specifically in relation to carbon emissions places requires upskilling of the entire workforce across the sector and for additional financing to meet new standards.

**6.32** One example of this is when delivering of zero carbon Passivehaus housing that the (HDP) aspires to achieve in its next phase of schemes, it is resulting in more time spent liaising with contractors before going out to the market.

**6.33** Additional well document constraints include:

- Funding cuts from central government
- Resourcing within planning departments
- Lack of sufficient engagement throughout the process

## d) Physical and environmental constraints

York is characterised by a compact urban area surrounded by several small settlements. The compactness of the main urban area and the distinct settlement pattern is a key feature of the city.

- 6.34 York is located within a vale and at the confluence of two rivers. Development is restricted by flood plains and a mix of ground conditions ranging from heavy clay to sandy land. This can often result in the need for more expensive and complex foundations adding time to build programmes that can impact on the financial viability of sites and in the case of flooding, residential development will need to apply mitigation measures.
- 6.35 York is restricted from expansion beyond its urban edge by Green Belt identified primarily to safeguard the character and setting of the city. The city is unique in England with the only complete medieval city walls in England and its easily recognisable medieval street pattern, 2,000 years of unbroken urban development, rich and varied historic archives, the largest and grandest of northern Europe's Gothic cathedrals. It has one of the highest concentrations of designated heritage assets in England. It has well preserved and deep archaeological deposits. Taken together, this means the need to protect and enhance these assets necessitate the design and conservation policies provide a critical framework for discussions around site capacity, massing, density, heights and views.
- 6.36 York's Green Infrastructure includes nine Sites of Special Scientific Interest (SSSI); three of which (Strensall Common, the River Derwent and Derwent Ings) are also of international importance as indicated in the City of York Biodiversity Audit (2011).
- 6.37 The road network combines a series of main arterial routes leading to the compact historic city centre that is enclosed by the bar walls. The outer ring road is only partially dualled meaning both congestion and accessibility are factors that need to be assessed in the planning process. Funding streams for the northern part of the ring road have helped to plan for major improvements in future years that will allow for major planned housing developments to take place.



## 7) The Action Plan

- 7.1 The action plan will support more homes to be built in York but will not guarantee delivery against the HDT Measurement target for the reasons outlined in the previous section (Understanding key issues and barriers) as many of the factors are beyond the council's control or influence.
- 7.2 The areas within the council's influence will also require sufficient stakeholder engagement with landowners, agents and other stakeholders and partners in the delivery process such as Homes England.

### a) The planning process

1. **Corporate prioritisation of the emerging Local Plan Work to secure its adoption.** This will set a clear planning policy framework to give direction for future growth of the city. The issues surrounding the appropriate housing requirement for York will be addressed, the formal setting of the Green Belt boundaries will provide clarity on the land that can be developed outside the urban area.
2. **Introduction of the HDT to Duty to Cooperate (DtC) Meetings.** Ensure that the agenda for DtC meetings includes a discussion on the housing delivery and the housing delivery test. This will similarly apply to forthcoming work with the new North Yorkshire Council.
3. **Support clarity in decision making.** Complete a series of Supplementary Planning Documents (SPDs) are to provide specific guidance on the application of policies within the Local Plan. The series includes an Affordable Housing SPD and Climate Change SPD.
4. **Preliminary work to support applications.** The council is working with developers of strategic sites allocated in the emerging Local Plan to support and assist with work that will feed into the preparation of planning applications. These applications will only be submitted once the plan is adopted, and this work is intended to help bring forward submissions soon after the Local Plan's adoption.
5. **Enhance monitoring procedures.** Developers are now requested to complete a pro-forma that includes details of lead in times and housing delivery programmes whilst also being asked to add comments about potential delays that may be incurred in the delivery of their sites. This is intended to improve our ongoing monitoring work and assist in making more accurate housing projections. In turn this will have positive effects of future planning of requirements, for example, in predicting accurate additional school place requirements and transport modelling.

Should information be provided by developers that indicates potential delays to projects this can be flagged up to various teams within the council that may

be in a position to assist and work collaboratively to prevent sites stalling. This has been carried out on sites in the past where, for example, additional funding has been identified through Homes England and helped deliver homes in a timely manner.

The scope of the new permitted development rights for uses falling into Class E is significant and may result in a significant level of housing delivery via this route. The Council will monitor the impact of new permitted development rights, Class MA, on housing delivery.

- 6. Continue to implement the review S106 agreement process and conditions attached to planning permissions.** This exercise looked back over recent permissions at different points within the process and identified challenges in the planning application process that could simplify or streamline the process.
- 7. Improve engagement with developers, landowners, registered providers and university estates.** Continue to keep in regular contact with applicants of sites with 10 or more homes planned to confirm phasing and progress. Increase engagement via the council's Developers Forum and York Chamber of Commerce's Property Forum, to include housing cooperatives to support and facilitate cooperative and community housing schemes. Discuss the HDAP with developers at the bi-annual Developers Forum and ask for comment and ideas on the document as well as their ideas about local skills and resourcing.
- 8. Set out a clear process for determining whether an extra care site can be considered to be C2 or C3** so that this does not have to be reviewed for each application. This will be explored with colleagues across the council and in neighbouring authorities to determine an efficient mechanism to do this. Where appropriate greater clarity and guidance will be sought from central government.
- 9. Maintain the Brownfield Register.** The Brownfield register will be reviewed to identify suitable sites where appropriate.
- 10. Ensuring necessary infrastructure provision.** Secure funding and further improvements to the highways network, notably the outer ring road and around York Station and seeking and build on successful delivery of infrastructure programmes such as the improvements to the York Outer Ring Road completed in 2019.

b) [Organisational focus](#)

- 11. Develop a housing strategy.** The strategy will reflect who we are as the Strategic Housing Authority in York, what we do, why we do it, what our priorities are and how we interact/influence across all housing tenures.

**12. Supporting the deliverability of the Housing Development Programme.**

This programme is currently involved in the development and delivery of eight council owned sites for housing and actively provides affordable homes within the local authority area. The programme goes beyond the delivery of these eight sites and includes work to unlock grant funding and additional sites for affordable homes to meet different incomes across the City of York area as well as seeking to improve processes and skills across the city.

**13. Working in partnership on major regeneration sites.** The council is committed to working collaboratively and creatively on major regeneration sites such as Castle Gateway and York Central.

**14. Bring forward the council portfolio.** The council owns a number of commercial properties across the city centre that will be explored for their residential capacity in the coming years. An example of this is the building occupied by Holland and Barrett on Coney Street purchased by the council in 2019.

**15. Updating the process for identifying, preparing and selling of small custom-build and self-build sites.** The council is working through options to improve this process to reduce any potential VAT liabilities, improve timescales and bring forward the plot typologies that the data from the self-build register suggests York residents are looking for.

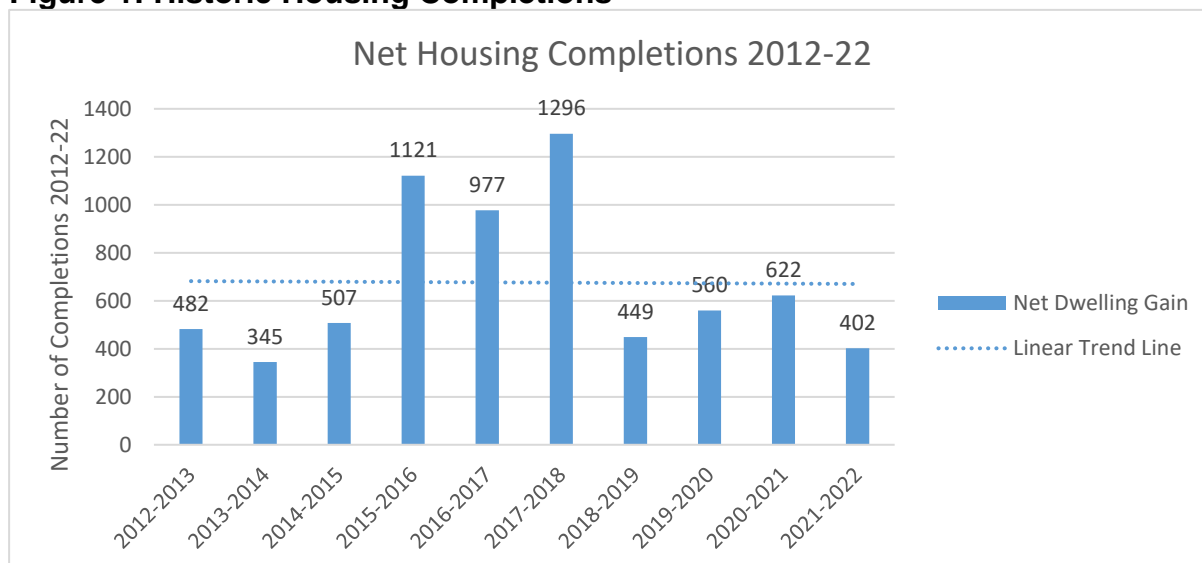
**16. Look at construction skills in the local economy.** Work alongside the economic growth team to understand local pressures related to existing construction skills and labour and identify objectives the council and stakeholders can move towards to improve the strength of the local construction industry.

**17. Consider the role and impact of Modern Methods of Construction (MMC) and modular building.** Work with local developers and explore their potential to improve delivery rates.

**18. Improve engagement with the public – residents, businesses and visitors.** An engagement project called, my city centre, is shaping a new long term vision for the city centre with local stakeholders providing. This exercise will provide greater clarity for all stakeholders as well as provide a starting point for initiating new projects and making applications for funding.

**19. Ensuring York is an attractive place to invest.** City of York Council is the sole shareholder of Make It York a commercial business that was established in 2015 to bring together the marketing and promotion, economic development and tourism functions of the city.

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**Figure 1: Historic Housing Completions**

When adding a linear trend line for the period 2012/13 to 2021/22 Figure 1 indicates that housing completions in York have remained stable averaging 676.1 net additional homes per year over the ten-year period. Significant completion levels were experienced over the three-year period 2015/16 to 2017/18 when a net total of 3,394 homes were added to the housing stock. Completions for 2021/22 reversed an upward trend experienced during the previous three monitoring years and resulted in a total of 402 net additional homes. This fall in housing delivery can in no small part be attributed to the impact the recent pandemic has had on the housing market that is still recovering from new working practices and shortages in both the supply of materials and labour.

It should be noted that a number of equivalent homes resulting from development of communal establishments will be added to these figures when confirmed in our Housing Flows Reconciliation return later in the year. These will align with government approved ratios applied to completed care home and student halls of residence bed spaces carried out during the monitoring year<sup>1</sup>.

<sup>1</sup> See the Housing Delivery Test Measurement Rulebook (paragraphs 10 & 11) for full details: <https://www.gov.uk/government/publications/housing-delivery-test-measurement-rule-book/housing-delivery-test-measurement-rule-book>

**Figure 2: Historic Housing Completions by Type**

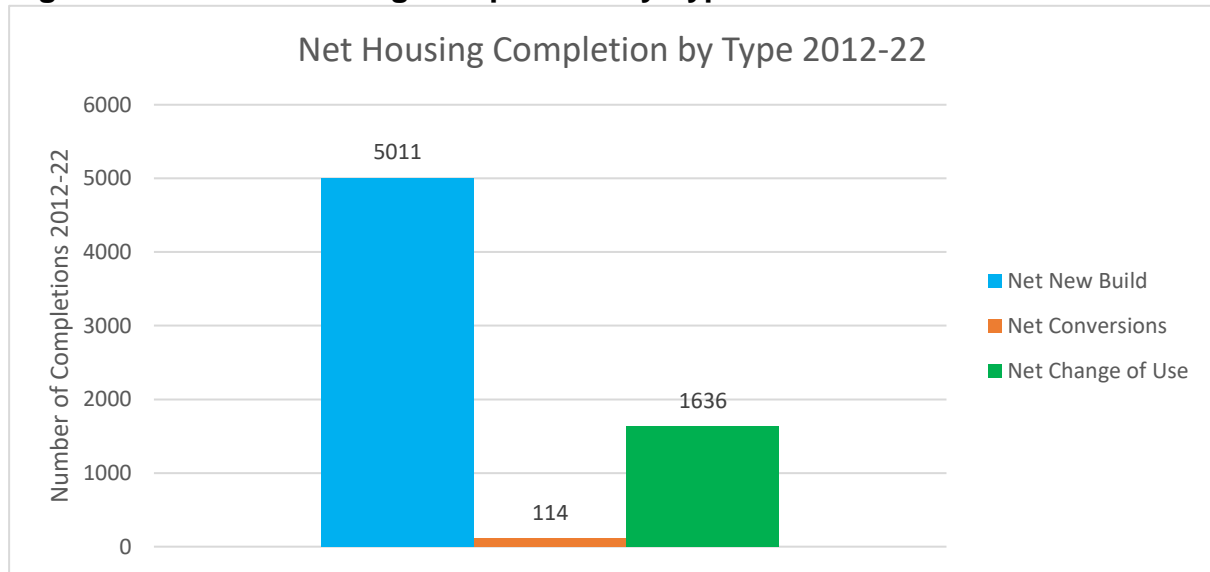


Figure 2 reveals that of the 6,761 net completions 5,011 (74.1%) were new build homes, whilst 1,636 (24.2%) resulted from changes of use from non-residential properties.

**Figure 3: Development on Previously Developed Land**

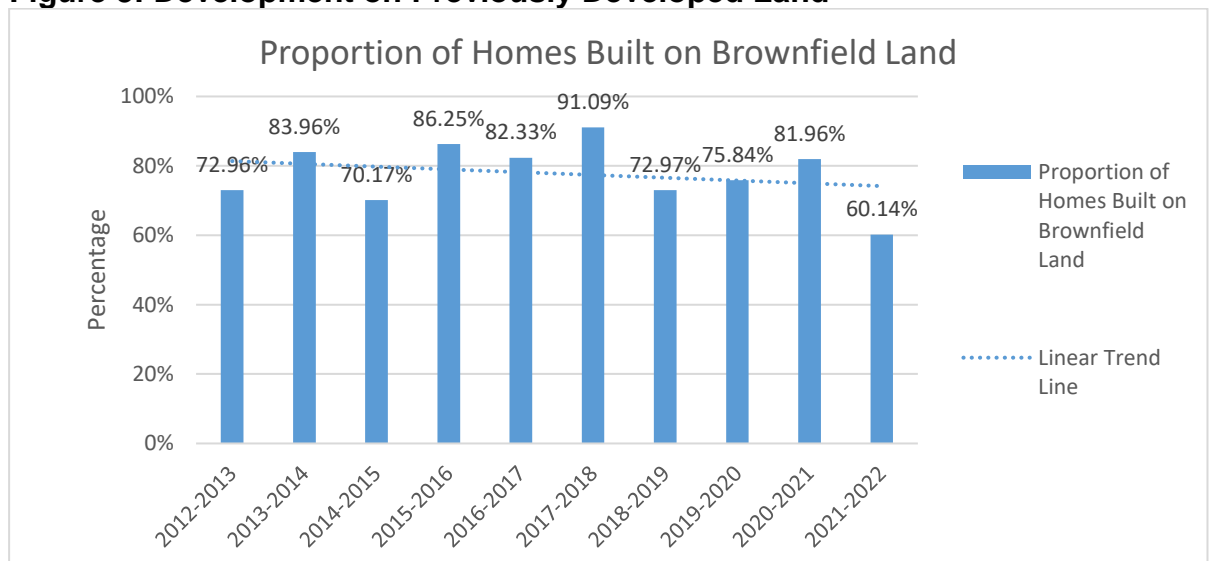
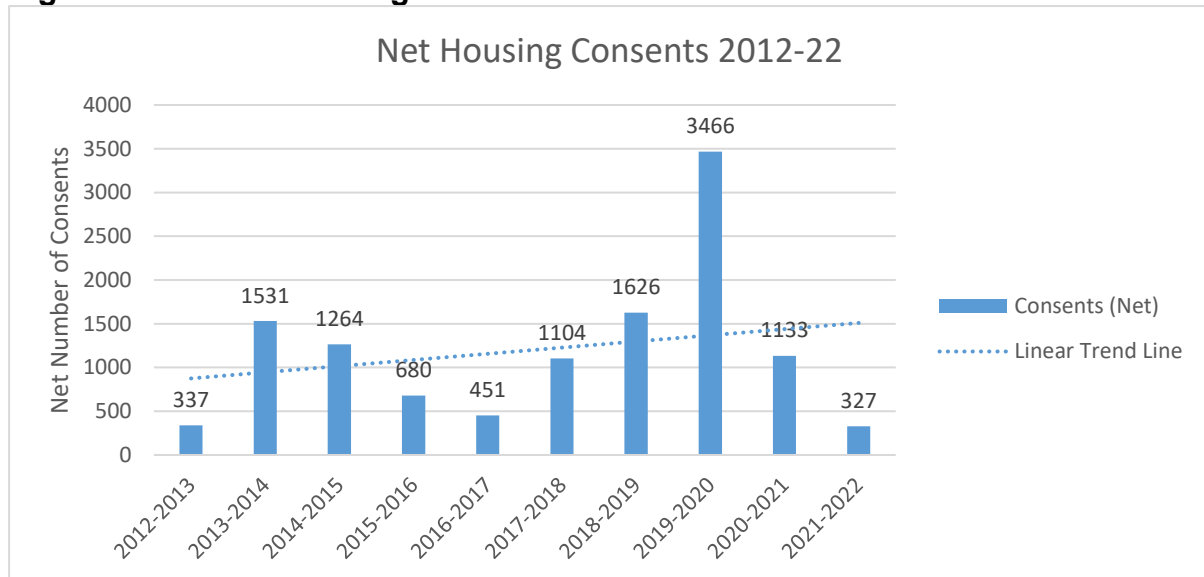


Figure 3 shows that over the previous 10-year period an average of 80.6% of all gross housing completions took place on brownfield land. The linear trend line reveals that there has been a slight decline in the figures during the monitoring period and can generally be attributed to large greenfield sites such as Germany Beck and ones identified through the Local Plan process including development at York St John University Playing Fields, Windmill Lane providing significant completions in recent years. Large brownfield sites such as the Former Nestle Factory site and York Central are programmed for future development. However, should our Local Plan be adopted following examination further greenfield sites have been identified as draft allocations and a trend of proportionately lower brownfield

housing completions is likely to be experienced over future years if these sites are deemed appropriate for development.

**Figure 4: Historic Housing Consents**



An upward trend in housing consents can be seen in Figure 4 which highlights that a significant 3,466 net additional homes were approved in 2019/20 and a further 1,133 net homes in 2020/21. Whilst just 327 net additional homes were approved in 2021/22 a number of previously approved sites had their capacities reduced by an overall -128 net total following amendments to their layouts. Further, four sites had resolutions to grant approval subject to legal agreements for a net additional total of 247 homes during the twelve-month monitoring period and these sites are anticipated to be included within consents for 2022/23.

Previous analysis of housing permissions suggests that up to 10% of all consents will not be implemented. With more than to 88.4% of all commitments being on brownfield sites that often require remediation and potential infrastructure delays this indicates a phased future housing supply rather than an immediate increase to housing completions. However, with net unimplemented consents remaining high together with the prospect of the adoption of the Local Plan in the near future that would bring forward identified sites for development there is much room for optimism in our future housing supply meeting the requirement.

**Figure 5: Net Unimplemented Consents each 1<sup>st</sup> April.**

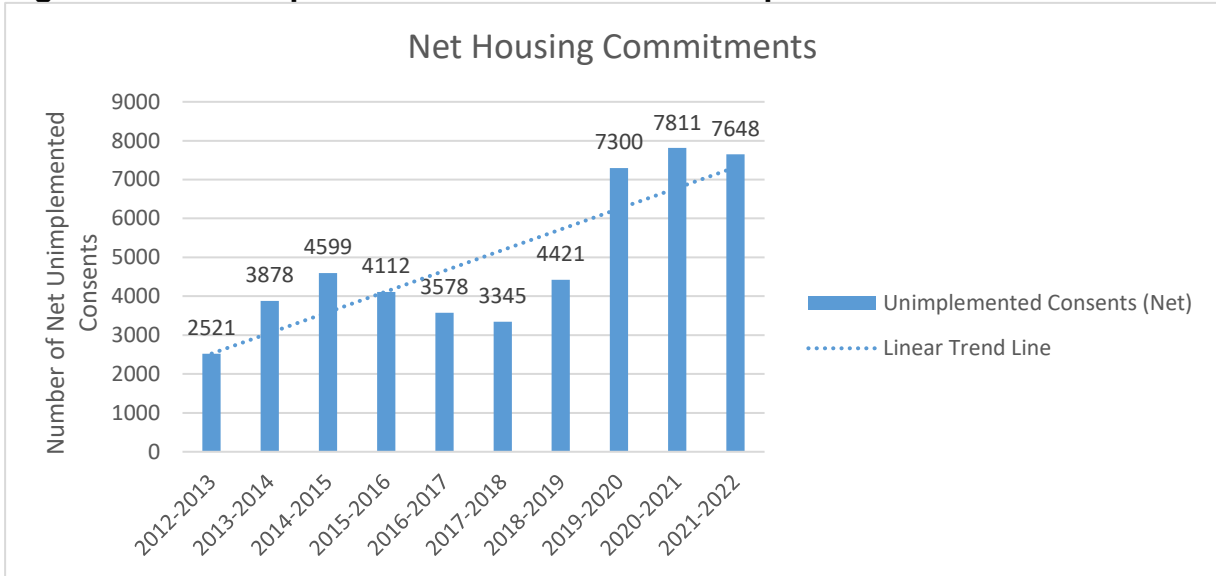
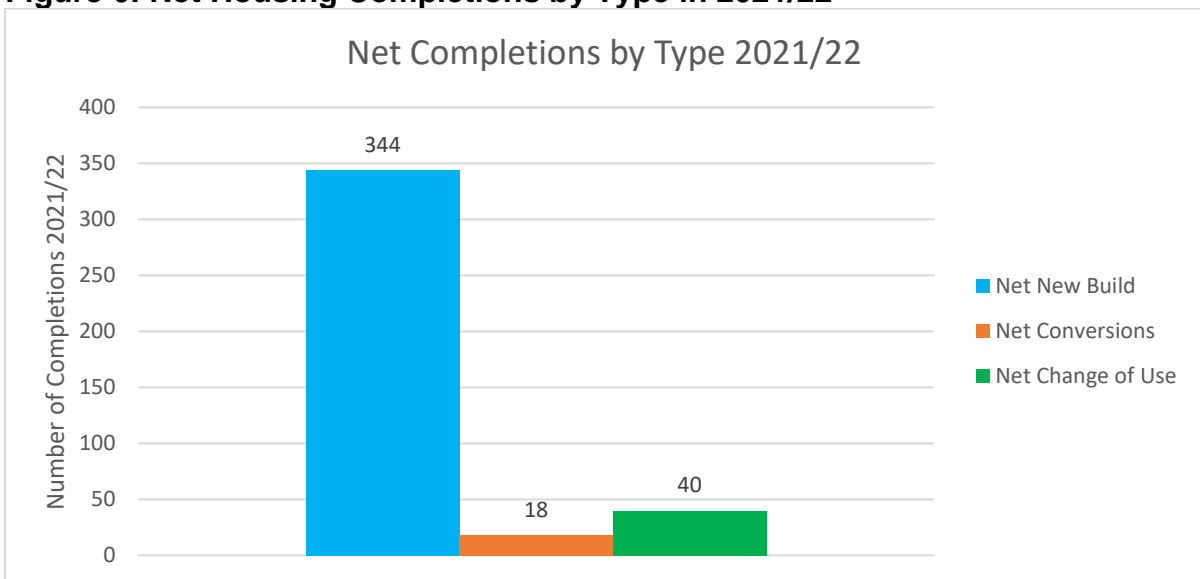


Figure 5 indicates the level of net unimplemented consents on 1st April each year for the past 10 years. The linear trend line shows that there has been a general increase in housing commitments (consented and extant applications) over the monitoring period. On 1st April 2022 a total of 7,648 net additional homes had gained approval and under normal circumstances this should indicate a healthy level of consents to be confident of sustained housing growth in future years. However, new working practices and the economic realities of Brexit, Covid-19 and the conflict in Ukraine may suppress this optimism and the future monitoring of housing commitments and delivery will help to determine the impact these factors have on the housing development industry in future years.

### Housing Completions 2021/22

**Figure 6: Net Housing Completions by Type in 2021/22**





Net housing completions in 2021/22 are separated into the various completion categories in Figure 6, above. Of the 402 net completions 85.6% were new build, whilst 10% were through changes of use. For a full breakdown of both completions and consents please view our 2021/22 housing monitoring update.

**Figure 7: 2021/22 Net Housing Completions Split into Site Capacity and by Brownfield/Greenfield Land**

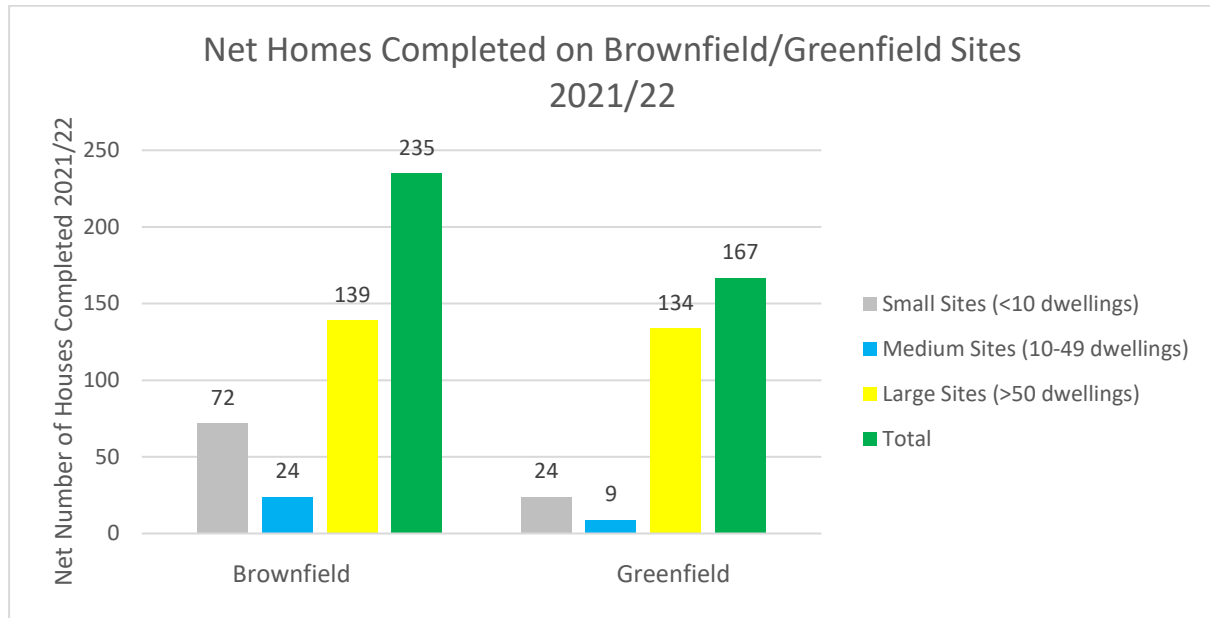


Figure 7 shows that 58.5% of net housing completions in 2021/22 took place on brownfield land and that 273 (67.9%) new homes on both brownfield and greenfield land took place on sites with a capacity of over 50 new homes.

**Figure 8: Location and Type of Completion Carried out in 2021/22**

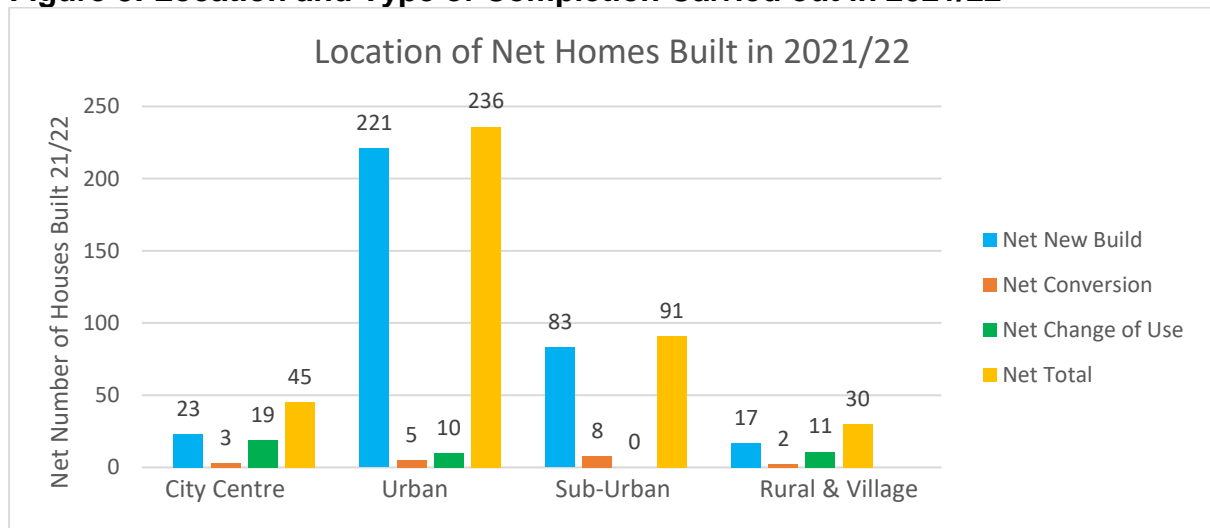
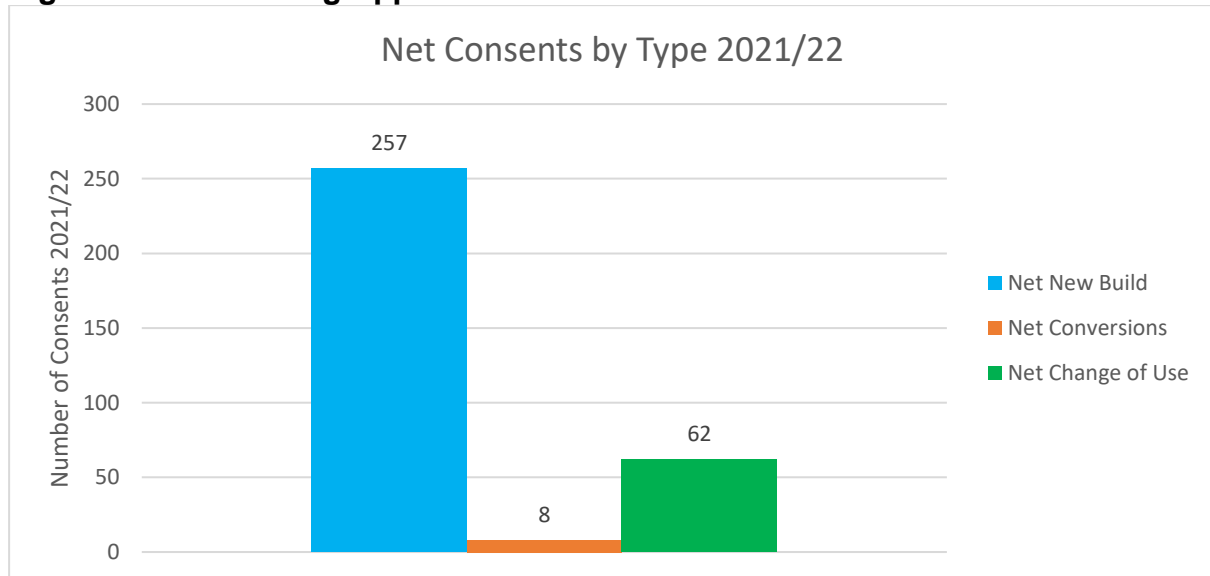


Figure 8 shows that 58.7% of all net housing completions took place within the urban area during 2021/22. A further 22.6% of homes were provided in sub-urban locations, whilst 11.2% were completed in the city centre and 7.5% were in rural or

village locations. In each area of the authority new build properties formed the largest proportion of all net additional completions.

**Figure 9: Net Housing Approvals in 2021/22**



In 2021/22 a net total of 327 new homes were approved, the largest proportion of which was for new build properties (78.6%). Notable housing schemes approved during the monitoring year were for draft housing allocation H7: Former York City Football Club, Bootham Crescent (93), Burnholme Community Hub (83) and Former Duncombe Barracks site (34) all of which were for new build schemes.

**Figure 10: Net Housing Consents Granted in 2021/22 Split into Brownfield and Greenfield Sites**

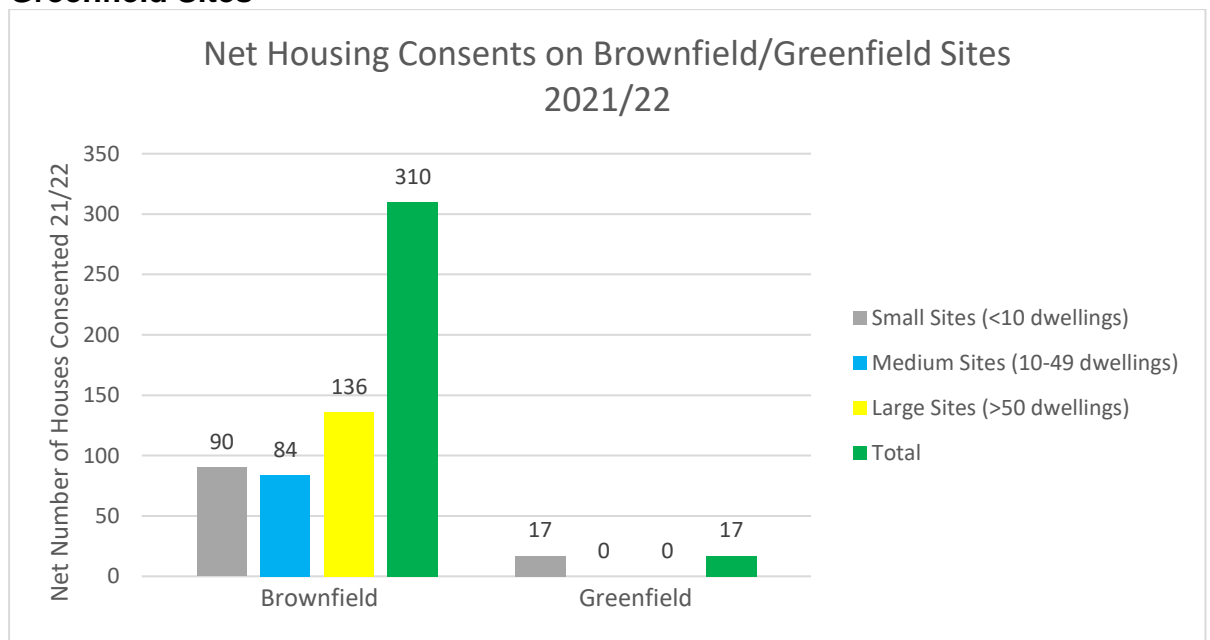
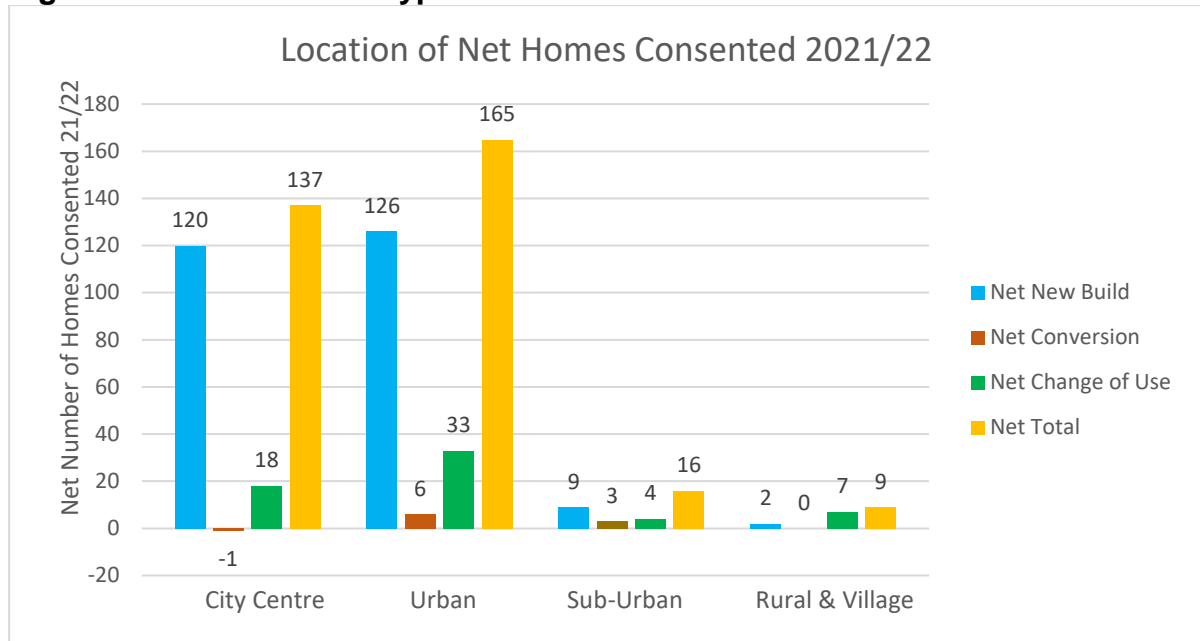


Figure 10 shows that 94.8% of all approvals granted in 2021/22 were on brownfield sites and of this total almost 43.9% were on sites with a capacity of over 50 new

homes. Approvals on greenfield sites accounted for 5.2% of all consents with all 17 net approvals being granted on small sites of less than 10 homes.

**Figure 11: Location and Type of Home Consented in 2021/22**



As shown by Figure 11, the largest contributors to the overall consented homes were for new build schemes approved in both the city centre and its extensions and in the urban area. The 246 net new homes approved in these locations made up 75.2% of all net approvals granted in the authority area.

**Figure 12: Location and Capacity of Sites Granted Approval in 2021/22**

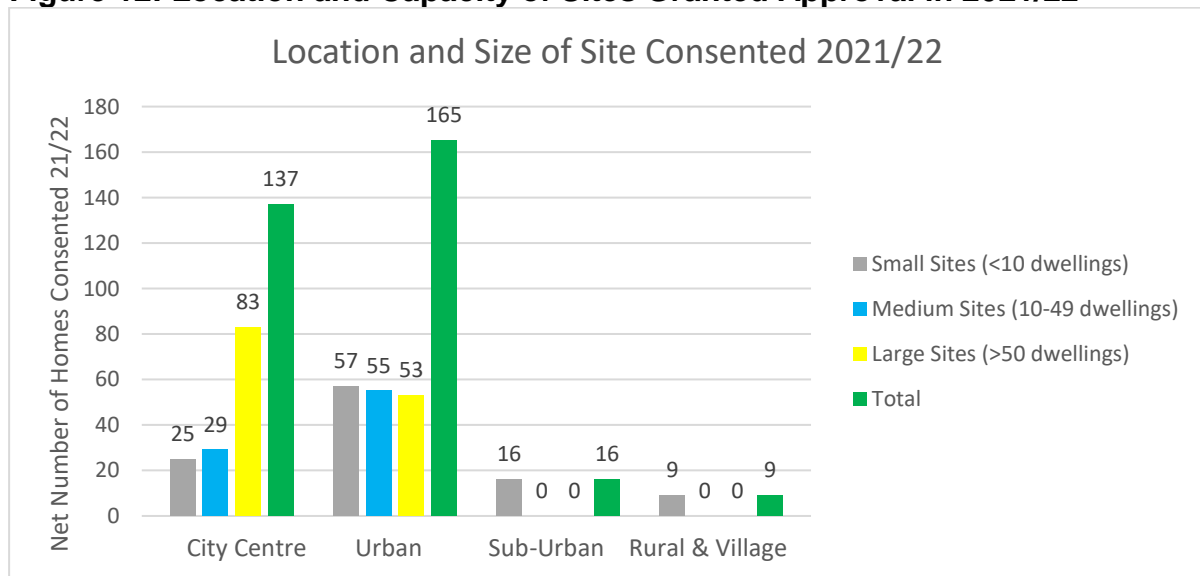
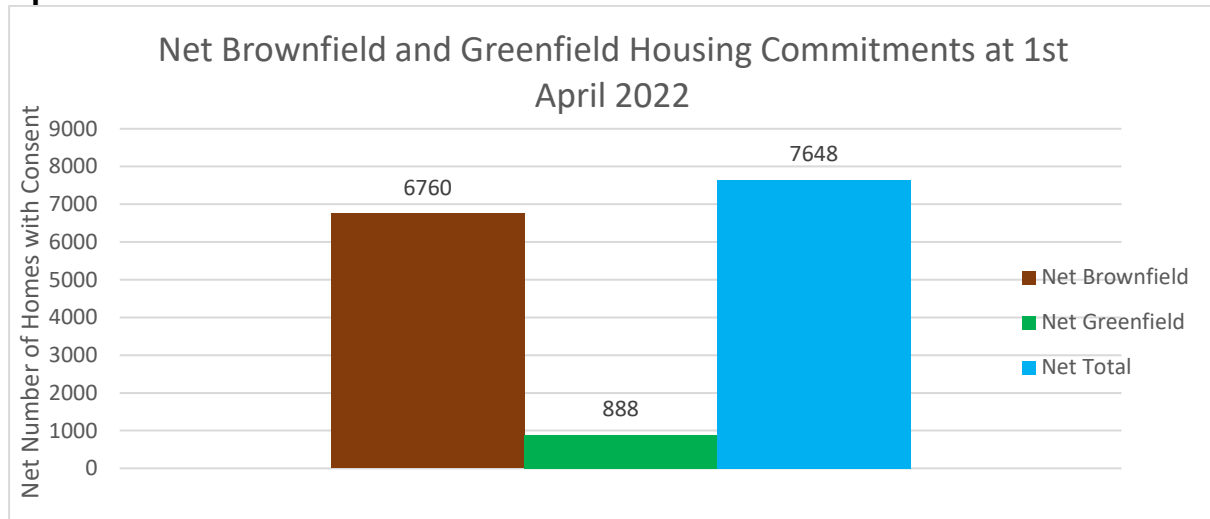


Figure 12 provides evidence to show that 83 homes (60.6%) on sites with a capacity of more than 50 new homes made up the greatest number of net homes approved in the City Centre. The approved homes in the Urban Area were split evenly between

each category, whilst approvals on small sites of less than 10 homes in both sub-urban and rural/village locations made up all of the consented development.

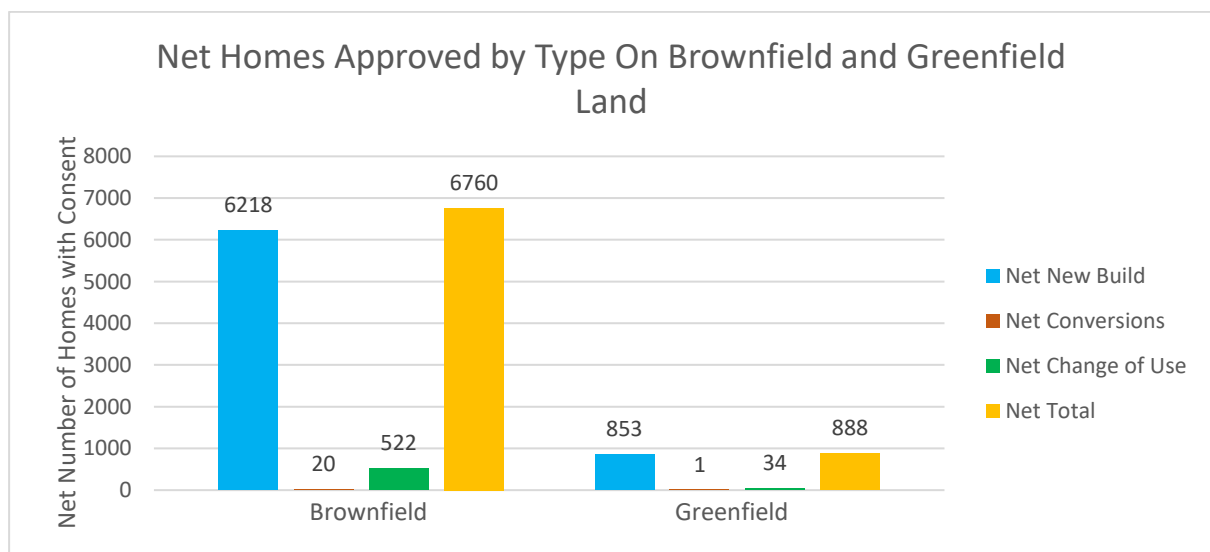
### Housing Commitments at 1<sup>st</sup> April 2022

**Figure 13: Housing Commitments on Brownfield and Greenfield Sites at 1<sup>st</sup> April 2022**



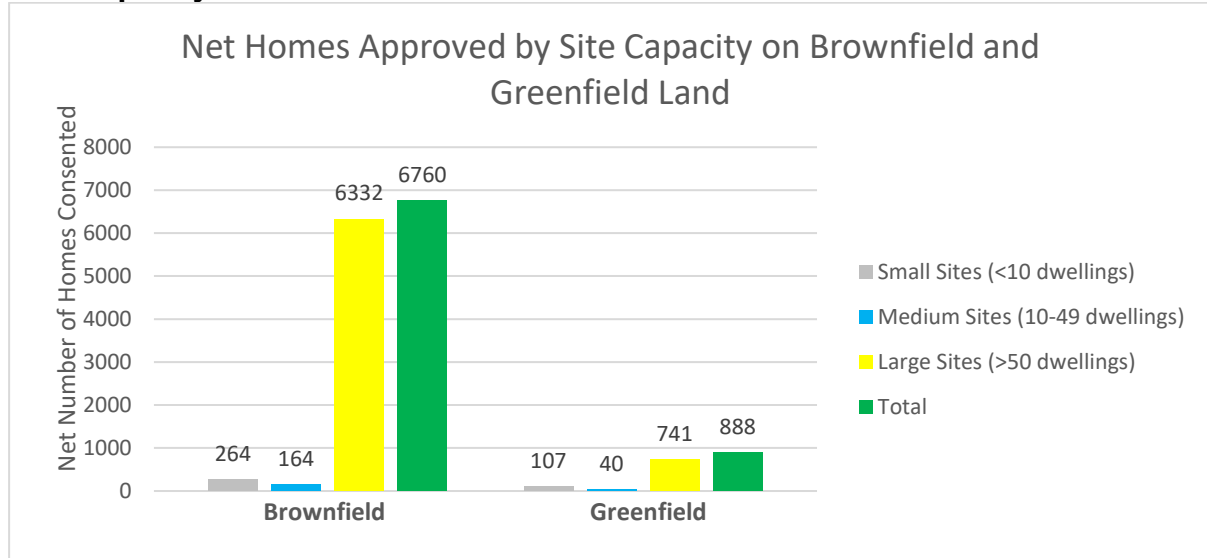
As shown in Figure 13, 88.4% of all net unimplemented housing consents at 1st April 2022 were on brownfield sites. City of York Council are committed to a policy of prioritising brownfield sites over greenfield locations where possible, and this analysis reflects this principal. In order that our housing requirements are met in future years and as the number of brownfield sites with sufficient capacity to meet our needs will be reduced the greenfield sites identified through the draft allocations process will assist in achieving our housing requirement. When this takes place the proportion of brownfield land in our housing commitments is certain to reduce.

**Figure 14: Housing Commitments on Brownfield and Greenfield Land Split by Housing Type**



Of the 7,648 net housing commitments at 1st April 2022, 7,071 (92.5%) are for new build housing with 691 net homes (7.3%) planned for schemes involving changes of use.

**Figure 15: Housing Commitments on Brownfield and Greenfield Land Split by Site Capacity**



At 1st April 2022, of the 7,648 net housing approvals 7,073 (92.5%) were on sites with a capacity of greater than 50 new homes. Whilst this may well achieve the housing requirements for future years, the heavy reliance on a relatively small number of large capacity site does have its associated risks as the unforeseen delays may well affect the future phasing of supply.

**Figure 16: Location and Type of Housing Commitments at 1st April 2022**

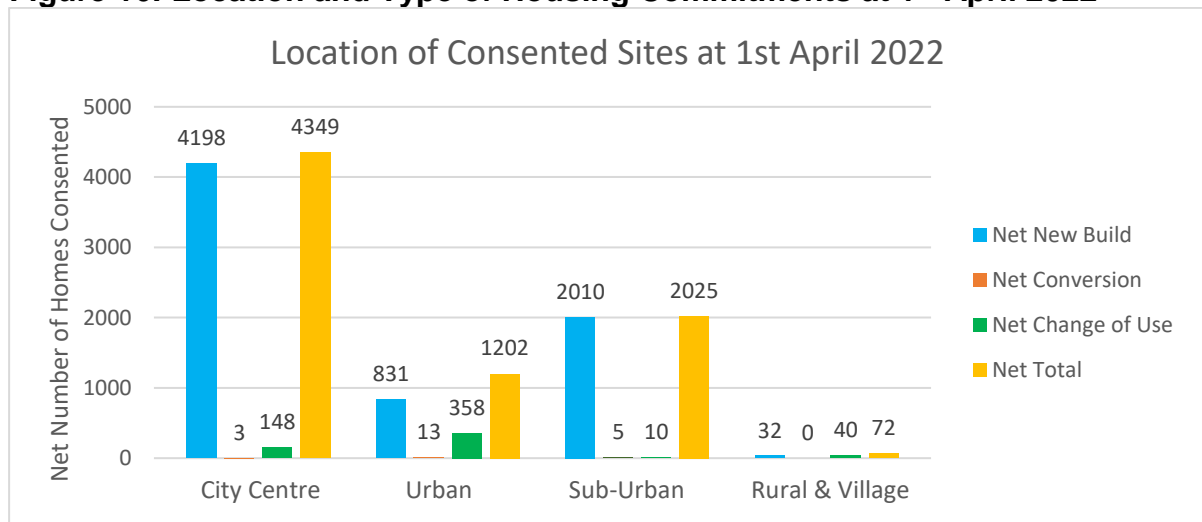


Figure 16 shows the level of housing commitments throughout the authority area and breaks this down to the type of approval granted at 1st April 2022. New build schemes have the greatest number of approvals in each area of the City other than in the village/rural area where changes of use have slightly greater numbers. The City Centre and its extensions make up 4,349 (56.9%) of all commitments.

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## 1 Introduction

- 1.1 The Planning and Compulsory Purchase Act 2004 (as amended by the Localism Act 2011) introduced the requirement for local planning authorities to prepare and maintain a Local Development Scheme (LDS). An LDS sets out a timetable for the production of new or revised Development Plan Documents (such as a Local Plan) by the local council.
- 1.2 This LDS, which supersedes all previous versions, sets out a planning work programme for the Council from November 2022 until December 2024 with indicative timeframes beyond this. It will be reviewed as necessary to keep it up to date.
- 1.3 This LDS covers the following documents:
- The City of York Local Plan
  - The Community Infrastructure Levy (CIL) Charging Schedule
  - Neighbourhood Plans
  - Supplementary Planning Documents (SPDs)
  - Statement of Community Involvement



## **2 The Development Plan for the City of York**

### **Regional Spatial Strategy (RSS)**

- 2.1 The York Green Belt has been established for many years but has never been defined in an adopted local plan. Whilst the Regional Strategy for Yorkshire and Humber has otherwise been revoked, its York Green Belt policies have been saved together with the key diagram which illustrates those policies and the general extent of the Green Belt around York.

### **Minerals and Waste Joint Plan (North Yorkshire County Council, North York Moors National Park Authority and City of York Council).**

- 2.2 Following the receipt of the Inspectors Report and Appendix of Main Modifications on 4 February 2022, each of the three Authorities progressed the Plan to adoption.
- 2.3 North Yorkshire County Council adopted the Plan on 16 February 2022 and North York Moors National Park Authority adopted the plan on 21 March 2022.
- 2.4 The City of York Council agreed to adopt the Minerals and Waste Joint Plan at its Full Council meeting on 27 April 2022.

### **City of York Local Plan (Emerging)**

- 2.5 The City of York Council does not have a formally adopted Local Plan. The emerging City of York Local Plan is currently at Examination with adoption intended in Summer/Autumn 2023.
- 2.6 It was submitted to the Planning Inspectorate in 2018 with Phase 1 of the Examination in Public (EiP) held in 2019. Three further phases of EiP were held in 2022 with Phase 4 concluding in September.
- 2.7 It is intended to formally consult on the proposed modifications to the Plan in February and March of 2023 with submission to the Planning Inspectorate for the final report in May 2023.
- 2.8 Please refer to Table 2.1a for the intended work programme.

### **Community Infrastructure Levy (CIL)**

- 2.9 Alongside the Local Plan, a CIL Charging Schedule is being developed. It is intended to formally consult on the Charging Schedule in February and March of 2023 with submission to the Planning Inspectorate for examination in May 2023. Currently, adoption of CIL is proposed for late 2023.
- 2.10 Please refer to Table 2.1b for the intended work programme.

**Neighbourhood Plans**

- 2.11 These offer local communities (via a Neighbourhood Forum or Parish Council) the opportunity to prepare locally specific policies in conformity with the Local Plan. A neighbourhood plan attains the same legal status as the Local Plan once it has been agreed at a referendum and is 'made' by the local planning authority (i.e. brought into legal force following an independent Examination).
- 2.12 A number of Neighbourhood Plans have already been made and a further three are currently being worked on by Parish Councils. Strensall Neighbourhood Plan has been through the Examination process and will proceed to the final stages mid 2023.
- 2.13 Both Murton Neighbourhood Plan and Heslington Neighbourhood Plans are being advanced by their respective Parish Councils. It is anticipated that formal consultation and submission to for Examination will take place in 2023 for both plans. Timeframes are currently being agreed.
- 2.14 Please refer to Table 2.1c for the intended work programme.

**Supplementary Planning Documents**

- 2.15 Supplementary Planning Documents (SPDs) provide additional advice and guidance on policies contained within the Local Plan.
- 2.16 SPD's relating to Climate Change and Affordable Housing are currently being worked on with intended adoption dates of late 2023. The timing of further SPDs and areas of focus are to be agreed to support the implementation of the Local Plan and the LDS will be updated to reflect these. An initial review of the wider SDP work programme is expected to be considered alongside the Local Plan adoption process.
- 2.17 Please refer to Table 2.1d for the intended work programme.

**Statement of Community Involvement**

- 2.18 A Statement of Community Involvement (SCI) sets out the processes by which the community will be engaged in consultation on each type of document and at every stage of its preparation. The SCI also sets out how the community will engage in the consideration of major development management decisions.
- 2.19 The Council is at the beginning of the process of updating the current SCI.
- 2.20 Please refer to Table 2.1e for the intended work programme.

**Table 2.1a Development Plan Document (DPD) Work Programme - Local Plan**

	2022		2023												2024								
	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	
<b>Overall timescale</b>																							
Preparing Proposed Modifications	■	■	■																				
Consultation on proposed modifications and evidence base				■	■																		
Preparation and submission to the Planning Inspectorate					■	■	■																
Inspectors Report								■	■	■													
Adoption										■	■												

**Table 2.1b Work Programme – Community Infrastructure Levy Charging Schedule**

	2022		2023												2024								
	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	
<b>Overall timescale</b>																							
Draft Charging Schedule preparation	■	■	■																				
Consultation on Draft Charging Schedule				■	■																		
Analysis / consideration of responses						■	■	■															
Submission to the Planning Inspectorate and Examination Period									■	■	■	■	■										
Adoption														■	■								

**Table 2.1c Work Programme – Neighbourhood Plans**

	2022		2023												2024								
	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	
<b>Overall timescale</b>																							
<b>Strensall Neighbourhood Plan</b>																							
Agreement to proceed to referendum																							
Referendum																							
Plan 'made' (adopted)																							

**Table 2.1d Work Programme – Supplementary Planning Documents**

	2022		2023												2024								
	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	
<b>Overall timescale</b>																							
<b>Climate Change SPD</b>																							
Preparation of draft																							
Approval for formal consultation																							
Public consultation																							
Analysis / consideration of responses																							
Approval and adoption by the Council																							
<b>Affordable Housing SPD</b>																							
Preparation of draft																							
Approval for formal consultation																							
Public consultation																							
Analysis / consideration of responses																							
Approval and adoption by the Council																							

**Table 2.1e Work Programme – Statement of Community Involvement**

	2022		2023												2024								
	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	
<b>Overall timescale</b>																							
Preparation of SCI																							
Consultation																							
Analysis / consideration of responses																							
Adoption																							

### **3 Programme Management and Reporting**

#### **Programme Management**

- 3.1 The overall management of the Local Plan falls under the Corporate Director of Place with day to day management by the Head of Strategic Planning Policy.

#### **Reporting**

- 3.2 Issues relating to the Local Plan, CIL, Neighbourhood Plans and SPDs are normally reported to Council Members via the Local Plan Working Group. This is a formally constituted cross party advisory committee of the Council which meets in public and makes recommendations to the Council's Executive. The Council's Executive is responsible for making decisions relating to the production of the Local Plan, CIL, Neighbourhood Plans and SPDs. Full Council is responsible for agreeing the adoption of the Local Plan.

### **4 Review**

- 4.1 This LDS will be kept under review and updated regularly to reflect changes in timescales or the production of additional documents

**City of York Council**  
**Equalities Impact Assessment**

**Who is submitting the proposal?**

<b>Directorate:</b>	Economy and Place		
<b>Service Area:</b>	Forward Planning		
<b>Name of the proposal :</b>	City of York Planning Policy Housing Delivery Action Plan (PPHDAP)		
<b>Lead officer:</b>	Laura Bartle, Principal Strategic Planning Policy Officer		
<b>Date assessment completed:</b>	8/11/22		
<b>Names of those who contributed to the assessment :</b>			
<b>Name</b>	<b>Job title</b>	<b>Organisation</b>	<b>Area of expertise</b>
Kirstin Clow	Interim Head of Strategic Planning Policy	City of York Council	Planning policy

## Step 1 – Aims and intended outcomes

<b>1.1</b>	<p><b>What is the purpose of the proposal?</b> Please explain your proposal in Plain English avoiding acronyms and jargon.</p>
	<p><i>The purpose of the Planning Policy Housing Delivery Action Plan (“Action Plan”) is to identify and implement a number of steps that will support the delivery of net additional homes. The Action Plan Update builds on existing work underway to deliver housing that the City of York has identified in the emerging Local Plan and as such identifies steps that will enhance existing work streams in the Place Directorate. It considers root causes and historic trends in relation to the council’s record of delivering net additional homes in the City of York area with a view to creating an action plan to boost housing delivery in the area.</i></p>
<b>1.2</b>	<p><b>Are there any external considerations?</b> (Legislation/government directive/codes of practice etc.)</p>
	<p><i>The Action Plan is necessitated by central government in accordance with the National Planning Policy Framework (NPPF) as the council did not deliver 95% of the housing requirement, a local housing target provided by central government. The council’s duties under the Equalities Act 2010 and the Human Rights Act 1998 are key considerations.</i></p>
<b>1.3</b>	<p><b>Who are the stakeholders and what are their interest</b></p>
	<p><i>Stakeholders include residents, businesses including private developers, housing associations and landowners across the entirety of the City of York area. The physical impacts of undersupply and or the additional supply of new housing has social, economic and environmental impacts for all users of the City of York area. Interests include, but are not limited to, the quality of the environment in terms of residents and users living, visiting, working and relaxing; the needs of local people to access housing that is affordable, high quality housing that meets their family and health requirements and the business plans of businesses including developers and landowners. In accordance with the emerging Local Plan and consultation that has taken place, and continues to take place, the Action Plan seeks to provide housing for all groups including those with affordable or specialist need so that quality housing can be accessible for all residents regardless of their income or their protected characteristics.</i></p>



<b>1.4</b>	<b>What results/outcomes do we want to achieve and for whom?</b> This section should explain what outcomes you want to achieve for service users, staff and/or the wider community. Demonstrate how the proposal links to the Council Plan (2019 - 2023) and other corporate strategies and plans.
	<p><i>As previously stated, the Action Plan builds on existing work taking place in the Council. Not only the emerging Local Plan but also the Housing Delivery Programme, forthcoming housing strategy and housing focused Supplementary Planning Guidance. The Action Plan directly seeks to support the Council Plan outcome 'Creating homes and world class infrastructure' and indirectly contribute to all of the outcomes by ensuring sustainability, quality, health and equality of people and of places are at the core of decision making related to housing. Outcomes include:</i></p> <ul style="list-style-type: none"> <li><i>• delivering high quality net additional housing commensurate with the housing requirement and local need</i></li> <li><i>• closer working relationships across corporate teams to realise the action plan</i></li> <li><i>• closer working relationships with landowners, developers and their agents to realise the action plan</i></li> <li><i>• improved consultation and engagement with residents and businesses to realise the action plan</i></li> </ul>

## Step 2 – Gathering the information and feedback

<b>2.1</b>	<b>What sources of data, evidence and consultation feedback do we have to help us understand the impact of the proposal on equality rights and human rights?</b> Please consider a range of sources, including: consultation exercises, surveys, feedback from staff, stakeholders, participants, research reports, the views of equality groups, as well your own experience of working in this area etc.	
<b>Source of data/supporting evidence</b>	<b>Reason for using</b>	
<b><i>Regulation 19 Local Plan, submitted to the Secretary of State, May 2018 and consultation responses prior to and subsequent to this date on the emerging Local Plan.</i></b>	<i>The purpose of this document was to assess the potential impact of the policies of the Local Plan on different groups within York. The Action Plan seeks to deliver in accordance with the policies established in the emerging Local Plan with the exception of Policy SS1 as the Action Plan seeks to contribute a greater level of net housing than that identified in Policy SS1.</i>	
<b><i>Regulation 19 Local Plan Evidence Base</i></b>	<i>The Local Plan evidence base includes a considerable amount of data regarding housing need (affordable and market) and delivery and the council's strategy for</i>	

	<i>delivering against this need. This strategy was subject to an Equalities Impact Assessment (Incorporating the Better Decision Making Tool) in April 2018.</i>
<b>Housing delivery Action Plan 2021, Equality Impact Assessment</b>	<i>The EIA provides an appropriate basis for considering this EIA associated with the Action Plan Update.</i>

### Step 3 – Gaps in data and knowledge

<b>3.1</b>	<b>What are the main gaps in information and understanding of the impact of your proposal? Please indicate how any gaps will be dealt with.</b>	
	<b>Gaps in data or knowledge</b>	<b>Action to deal with this</b>
	<i>The Action Plan establishes steps for further work. It is not feasible to know the impacts of work arising from further work such as the Housing Strategy or Housing SPD and as such there may be consequences that have not been anticipated.</i>	<i>The Housing Strategy and Housing SPD will be supported by an Equalities Impact Assessment.  Other actions within the Action Plan will be monitored, reviewed and updated on an annual basis for the foreseeable future and actions and consequences arising from further work will be reviewed and supported by an equalities impact assessment on an annual basis also.</i>
	<i>The outcome Local Plan examination is not yet known. The outcome may provide further insight into the mechanisms for delivering net additional housing.</i>	<i>The outcome of the Local Plan examination and how this relates to the Planning Policy Housing Delivery Action Plan will be addressed in the next iteration of the Planning Policy Housing Delivery Action Plan.</i>

## Step 4 – Analysing the impacts or effects.

4.1	<p><b>Please consider what the evidence tells you about the likely impact (positive or negative) on people sharing a protected characteristic, i.e. how significant could the impacts be if we did not make any adjustments?</b> Remember the duty is also positive – so please identify where the proposal offers opportunities to promote equality and/or foster good relations.</p>		
Equality Groups and Human Rights.	Key Findings/Impacts	Positive (+) Negative (-) Neutral (0)	High (H) Medium (M) Low (L)
<b>Age</b>	<i>The Action Plan supports net additional delivery of housing in line with the emerging Local Plan and will meet housing needs and provide a range of house types for all ages.</i>	+	H
<b>Disability</b>	<i>The Action Plan supports net additional delivery of housing in line with the emerging Local Plan and will meet housing needs and provide a range of house types.</i>	+	H
<b>Gender</b>	<i>No impacts identified</i>	0	n/a
<b>Gender Reassignment</b>	<i>No impacts identified</i>	0	n/a
<b>Marriage and civil partnership</b>	<i>No impacts identified</i>	0	n/a
<b>Pregnancy and maternity</b>	<i>No impacts identified</i>	0	n/a
<b>Race</b> (including migrants, asylum seekers and refugees, and ethnic minorities.)	<i>The Action Plan supports delivery of all housing needs identified in the Local Plan and its supporting evidence base. This includes Gypsy, Traveller and Travelling Showpeople's accommodation.</i>	+	H

<b>Religion and belief</b>	<i>No impacts identified</i>	0	n/a
<b>Sexual orientation</b>	<i>No impacts identified</i>	0	n/a
<b>Other Socio-economic groups including :</b>	<b>Could other socio-economic groups be affected e.g. carers, ex-offenders, low incomes?</b>		
<b>Carer</b>	<i>No impacts identified</i>	0	n/a
<b>Low income groups and homeless households</b>	<i>The Action Plan supports delivery of affordable, specialist and supported housing needs identified in the Local Plan and supporting evidence base.</i>	+	L
<b>Those with specialist housing needs</b>	<i>The Action Plan supports delivery of affordable, specialist and supported housing needs identified in the Local Plan and supporting evidence base.</i>	+	H
<b>Veterans, Armed Forces Community</b>	<i>Meeting affordable (specifically First Homes) housing needs in line with Written Ministerial Statement on 24 May 2021 (Statement UIN HLWS48).</i>	+	H
<b>Other</b>	<i>n/a, no other groups identified</i>	n/a	n/a
<b>Impact on human rights:</b>			
List any human rights impacted.	<i>The Convention rights applicable are: • Article 8 - protects the right of the individual to respect for their private and family life, their home and their correspondence. The private life part of this right covers things like wellbeing, autonomy, forming relationships with others and taking part in our community.</i>		

	<p>· Article 14 - protects the right to be free from discrimination when enjoying other rights, such as Article 8.</p> <p>The equalities impact assessment identifies positive and neutral impacts arising from the Action Plan</p>		
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**Use the following guidance to inform your responses:**

Indicate:

- Where you think that the proposal could have a POSITIVE impact on any of the equality groups like promoting equality and equal opportunities or improving relations within equality groups
- Where you think that the proposal could have a NEGATIVE impact on any of the equality groups, i.e. it could disadvantage them
- Where you think that this proposal has a NEUTRAL effect on any of the equality groups listed below i.e. it has no effect currently on equality groups.

It is important to remember that a proposal may be highly relevant to one aspect of equality and not relevant to another.

<p><b>High impact</b> (The proposal or process is very equality relevant)</p>	<p>There is significant potential for or evidence of adverse impact The proposal is institution wide or public facing The proposal has consequences for or affects significant numbers of people The proposal has the potential to make a significant contribution to promoting equality and the exercise of human rights.</p>
<p><b>Medium impact</b> (The proposal or process is somewhat equality relevant)</p>	<p>There is some evidence to suggest potential for or evidence of adverse impact The proposal is institution wide or across services, but mainly internal The proposal has consequences for or affects some people The proposal has the potential to make a contribution to promoting equality and the exercise of human rights</p>
<p><b>Low impact</b> (The proposal or process might be equality relevant)</p>	<p>There is little evidence to suggest that the proposal could result in adverse impact The proposal operates in a limited way The proposal has consequences for or affects few people The proposal may have the potential to contribute to promoting equality and the exercise of human rights</p>

**Step 5 - Mitigating adverse impacts and maximising positive impacts**

<p><b>5.1</b></p>	<p><b>Based on your findings, explain ways you plan to mitigate any unlawful prohibited conduct or unwanted adverse impact. Where positive impacts have been identified, what is been done to optimise opportunities to advance equality or foster good relations?</b></p>
<p><i>The Action Plan supports the positive impact measures contained with the emerging Local Plan. The Housing Strategy and Housing Supplementary Planning Document (SPD), both of which are currently being prepared, will look for opportunities to advance equality and foster good relations, as will all of the actions detailed in the Action Plan.</i></p> <p><i>The Planning Policy Housing Development Action Plan will be updated annual and be supported by an annual equalities impact assessment.</i></p>	

**Step 6 – Recommendations and conclusions of the assessment**

<p><b>6.1</b></p>	<p><b>Having considered the potential or actual impacts you should be in a position to make an informed judgement on what should be done. In all cases, document your reasoning that justifies your decision. There are four main options you can take:</b></p>
<p>- <b>No major change to the proposal</b> – the EIA demonstrates the proposal is robust. There is no potential for unlawful discrimination or adverse impact. All opportunities to advance equality and foster good relations have been considered, and the Action Plan will be subject to continuing monitoring and review.</p>	

- **Adjust the proposal** – the EIA identifies potential problems or missed opportunities. This involves taking steps to remove any barriers, to better advance quality or to foster good relations.
- **Continue with the proposal** (despite the potential for adverse impact) – you should clearly set out the justifications for doing this and how you believe the decision is compatible with our obligations under the duty
- **Stop and remove the proposal** – if there are adverse effects that are not justified and cannot be mitigated, you should consider stopping the proposal altogether. If a proposal leads to unlawful discrimination it should be removed or changed.

**Important:** If there are any adverse impacts you cannot mitigate, please provide a compelling reason in the justification column.

<b>Option selected</b>	<b>Conclusions/justification</b>
<b>No major change to the proposal</b>	<i>The EIA demonstrates the proposal is robust. There is no potential for unlawful discrimination or adverse impacts. Opportunities to advance equality and foster good relations will be applied throughout the Action Plan steps and will be subject to annual monitoring and review (including a review of the EIA), with the exception of the Housing Strategy and Housing SPD which will be subject to separate EIAs.</i>



## Step 7 – Summary of agreed actions resulting from the assessment

7.1 What action, by whom, will be undertaken as a result of the impact assessment.			
Impact/issue	Action to be taken	Person responsible	Timescale
n/a			

## Step 8 - Monitor, review and improve

<b>8. 1</b>	<p><b>How will the impact of your proposal be monitored and improved upon going forward?</b> Consider how will you identify the impact of activities on protected characteristics and other marginalised groups going forward? How will any learning and enhancements be capitalised on and embedded?</p>
	<p><i>Monitoring and evaluation of the Action Plan will be undertaken on an annual basis. This will be undertaken by the Strategic Planning Policy team and be reported corporately by way of the Planning Policy Housing Delivery Action Plan Update Report. All Action Plan steps are supported by the council's existing corporate programme.</i></p>

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Executive

15 December 2022

Report of the Director of Economy & Place

## **Germany Beck Flood Alleviation Scheme Update**

### **Summary**

- 1) Significant highway flooding occurred in Fulford during the 2015 flood event, further flooding occurred during February 2019 and 2021 with flooding of properties avoided through operational interventions. Properties flooded in November 2000.
- 2) City of York Council (CYC) have taken the lead in the development of a flood alleviation scheme in Fulford as it has the potential to deliver wider benefits than property and business protection alone. Consultants working on the wider Environment Agency (EA) led programme have developed a range of options that would better maintain a dry access to the Fordlands community, protect properties in this location and enhance the existing flood protection works on the A19.
- 3) Following early appraisal, a preferred option that isolates high river levels in the River Ouse from Germany Beck and Tunnel Drain has been identified. A pumping station would maintain lower river levels in these watercourses this will directly protect 43 properties from current flood risks and the impacts of climate change, it will ensure more than 300 properties are able to access Fordlands Road and will add further resilience to the A19 flood works safeguarding more than 16,000 daily journeys on the A19 in times of flood.
- 4) The design, construction and whole life maintenance costs of the preferred solution are £4.9m including risk and contingency. £0.33m Defra flood defence grant funding is available if the scheme is approved. Current CYC funding of £0.6m is available for works at this location, £200k of this has been used to progress the current stage of project appraisal following approval by the Executive Member for Environment and Climate Change.

- 5) £1.5m of wider CYC flood risk funding is available to contribute to the delivery of wider benefits from the EA led programme, a significant proportion of this will be targeted to the scheme, an additional £2m of CYC funding has been allocated directly to this scheme.
- 6) Additional 'booster' funding is available for the EA to deliver the wider flood programme in York, £0.9m of this funding has been provisionally allocated to support wider CYC funding in the delivery of the project but due to potential project pressures on other schemes in the programme this element of the budget may be at risk.
- 7) The project team have developed the proposals to a stage where a planning application can be submitted, this report seeks approval to take the project through the planning process and to seek all other approvals necessary for it to be considered for construction and carry out a procurement process to appoint a construction contractor for the construction phase.
- 8) A further report will be brought to Executive for approval to award the contract to the winning bidder in the event the winning bid is in excess of the budget set out in paragraph 37 this report.

## **Recommendations**

- 9) The Executive is asked to:
  - i) note the contents of the report and progress of the scheme to date
  - ii) agree to submit a planning approval application for the project and commence all further approvals based on the work developed to date
  - iii) Approve the carrying out of a procurement process to procure a contractor to carry out the construction phase and to delegate to the Director of Place (in consultation with the Executive Member for Environment & Climate Change, the Chief Finance Officer and the Director of Governance or their delegated officers) the authority to take such steps as are necessary to procure, award and enter into the resulting contract subject to the winning bid being within the budget set out in paragraph 37 of this report. In the event the winning bid is in excess of the budget set out in paragraph 37 of this report a future paper will be brought to the Executive to seek approval to award the contract to the winning bidder.

Reason: to ensure the flood alleviate scheme in Fulford can be delivered

## Background

- 10) Following the development and publication of the York Five Year Plan (<https://www.gov.uk/government/publications/york-5-year-flood-plan>) the EA have developed the Defra Strategic Outline Business Case and financial approvals have been sought and obtained from Defra.
- 11) The EA continue to work closely with CYC on all aspects of the York Five Year Plan. Government committed £38 million to upgrade the Foss Barrier, as well as £45 million funding to provide better flood protection to properties along the Rivers Ouse and Foss in the city.
- 12) Schemes have been substantively completed in most areas with major construction works ongoing at Clifton Ings and the construction of a new flood storage reservoir upstream of Strensall. In total 18 areas of work have been developed across the city where flood defences are being constructed, including installing property level flood protection such as flood doors, temporary barriers, pumps and valves, which reduce the chance of flood water getting into a property.
- 13) The overall project milestone of better protecting over 2000 properties from flooding was achieved earlier this year. We are now working with the Environment Agency to develop long term whole river catchment works upstream of York to manage flows at source and to provide further climate change resilience to the cities defences.
- 14) Due to the multiple benefits that are achievable in the Fulford area, CYC are leading in the development of flood alleviation works here. The work to date on the Germany Beck Flood Alleviation Scheme has been developed for CYC by Aecom consultants as part of their work across the wider EA programme.
- 15) Flooding in the Fulford area is a consequence of high flood levels on the River Ouse preventing the effective drainage of Germany Beck and its tributary Tunnel Drain.
- 16) Flooding of properties in the Fordlands community occurred in 2000 and has been managed through pumping operations in 2012, 2015, February 2019 and February 2020. This flooding is caused by high river levels in the Ouse back flowing into Germany Beck and preventing the free discharge of its tributary, Tunnel Drain that flows in culvert below the Fordlands community.

- 17) Significant road flooding occurs to Fordlands Road in large flood events, 2000, 2012, 2015, 2019, 2020 and a number of more minor events have left the Fordlands community isolated by access from motor vehicles often for many days at a time. No properties are affected in this location, but residents have to rely on emergency access via boat, 4x4 vehicle or a temporary footbridge during these times severely affecting the community's ability to safely and easily carry out daily commuting and other tasks. 336 properties are indirectly affected by flooding when they are unable to use Fordlands Road.
- 18) The A19 Fulford Road is a major arterial route in and out of the city, the road has flooded with the same frequency as Fordlands Road causing significant impact on many 1000's of resident, commuter and tourist journeys. 2019 Department for Transport figures of Annual Average Daily Flow (taken as the last complete figures pre-Covid effects) for this section of the A19 show that there are on average 16,803 journeys per day.
- 19) A scheme to increase the resilience of the A19 to flooding was delivered by the contractors completing the access road to the Germany Beck housing development. CYC Flood Risk Management engineers worked closely with the developers to ensure an effective scheme could be developed alongside the needs of the access road.
- 20) A section of walls, embankments, flood gates and associated drainage adaptations have delivered a scheme that was able to prevent flooding of the A19 in recent flood events, most notably in February 2020.
- 21) The works were a condition upon the developers as part of the planning gain linked to the planning permissions for the housing development. Their plans did not in any way contribute to an increase in the flooding of Fordlands Road or properties within the community, as such the works were delivered in isolation of wider flood risk needs in the area.
- 22) The remaining risk of flooding to properties and Fordlands Road has driven the choice of options for a potential scheme. The preferred option has been developed to ensure that flood flows on the River Ouse are isolated from Germany Beck and Tunnel Drain and a small pumping station will then pass forward any flows in both watercourses maintaining levels that would not endanger housing or reach a high enough level to flood Fordlands Road.
- 23) In addition to this, the scheme would add further resilience to the A19 works, this solution currently requires additional pumping to manage

localised drainage during flood events, the potential scheme would also incorporate this.

- 24) This holistic scheme will directly protect 43 properties from current flood risks and the impacts of climate change for the 1 in 100 year flood – or one that has a 1% chance of occurring in any one year. It will ensure more than 300 properties are able to access Fordlands Road in times of flood and will add further resilience to the A19 flood works safeguarding more than 16,000 daily journey's on the A19 in times of flood. Whole life costs will be £4.871m.

### **Consultation**

- 25) Public consultations on the potential scheme have been held with members of the parish council and the wider community at regular intervals throughout the development of the project to date. Landowner and statutory and non-statutory consultees have provided input into the development of the planning stage appraisal and design works.

### **Options**

- 26) The principal option open to the Executive is to comment on and review the work undertaken to date, approve that the project should be submitted for planning approval and a procurement process undertaken to appoint a construction contractor for the construction phase within budget with further report being brought to Executive for approval to award the contract to the winning bidder in the event the winning bid is in excess of the budget set out in this report.

### **Analysis**

- 27) Consultants working on the York flood scheme have developed a detailed assessment of the flooding in the Fulford area supported by flood modelling and hydraulic analysis across a range of flood scenarios and potential options to reduce the impact of future flooding.
- 28) Like all of the schemes being developed in York the options appraisal report has utilised the national Flood and Coastal Erosion Risk Management – Appraisal Guidance methodology used by flood risk management authorities in England to appraise schemes and allocate funding.
- 29) Defra provides funding via the EA to flood alleviation schemes following the rules of the Partnership Funding calculator. The report has utilised

the hydraulic modelling to identify the cost of flooding to properties and infrastructure into the future with an assessment of the impacts of climate change. An assessment has also been made as to the likely costs of construction and future maintenance needs of the preferred option.

- 30) The funding calculator utilises information on the benefits of flooding that are avoided in future events from the proposed scheme and calculates the funding that could be provided from the agreed national flood funding programme to support the scheme. All schemes receive some allocation of funding based on their effectiveness to deliver flood risk improvements even if 100% funding cannot be justified.
- 31) All calculations include an assessment of additional cost to reflect the uncertainty and risk of costs that could arise as more detailed ground investigations, surveys and design of the built infrastructure commence. The additional cost, or optimism bias, is included to cover all likely worst-case scenarios that could occur during the delivery of the project – i.e. unforeseen ground conditions that are only understood when more survey information is obtained that could require a more complex, and likely costly, construction method to be used.
- 32) Treasury guidance is used to assign differing levels of optimism bias across all parts of the project – between 30 and 60% in increased costs at this stage of appraisal – these percentage uplifts are reduced, or removed, as more certainty is achieved through the delivery of further survey or design. This may well lead to a scheme delivery cost that is different to that indicated in paragraph 24, this will be continually reassessed as the project continues.
- 33) Executive have previously agreed, 9<sup>th</sup> February 2017, that the Executive Member for the Environment and Climate Change would monitor and assure the delivery of the wider flood alleviation scheme programme in the city. A paper taken to the Executive Member's 12<sup>th</sup> August 2020 decision session resolved that the development of the next stage of appraisal for the Germany Beck scheme should be commenced – including detailed design and all permissions including planning approval.
- 34) The preferred option has been developed further to a point where all plans and documentation have been produced for planning approval to be sought, a recommendation is made in this report for approval to be given for this to be undertaken.



- 35) The planning stage design works, and all associated survey work will enable final agreements to be made with regards land and access agreements and future operational and maintenance roles and responsibilities. Consultation has been ongoing with relevant landowners, including the Parish Council and an agreement in principle with regards to the future maintenance and operational aspects of the asset have been made with the Foss Internal Drainage Board. These discussions will commence in parallel with the planning approval process.
- 36) Following the award of planning approval, Officers will engage with the Council's procurement and legal teams to identify the most appropriate route to market and a procurement process will be carried out to appoint a construction contractor for the construction phase. In the event the winning bid is in excess of the budget for the project a further paper will be brought to the Executive for approval to award the contract to the winning bidder.
- 37) The funding package for the scheme includes Defra grant in aid funding, York Flood Alleviation Funding via the Environment Agency and CYC capital allocations:

Defra Flood Defence Grant in Aid/Partnership Funding	£0.329M
Environment Agency 'Booster Funding'	£0.9M
CYC Capital Funding	<ul style="list-style-type: none"> <li>• £0.6M originally allocated to improve the flood resilience of Fordlands Road</li> <li>• £1.5M (to contribute to the wider flood alleviation schemes across the city, a proportion of this is intended to be directed to this scheme)</li> <li>• £2M directly allocated to this scheme</li> </ul>

- 38) £200k of the £0.6M allocation is being used to develop the planning stage appraisal and design works and deliver the planning stage approvals.

- 39) The funding allocation to the EA flood scheme programme in York consists of direct flood defence grant in aid funding allocated in accordance with the partnership funding calculator and a further element of 'booster' funding provided by Government to manage the impacts of future flooding across the city. Any scheme utilising the booster funding is assessed in accordance with the wider processes detailed in paragraph 30, however, this funding can be targeted based on local need providing all schemes are cost beneficial and deliver the evaluation criteria needs of the cities wider flood programme.
- 40) £0.329m in direct flood defence grant in aid funding can be attracted to the scheme, an application to draw down this funding will be made following the granting of planning permission. £0.9m of booster funding has been allocated by the EA towards the delivery of the project but this element of funding may be at risk due to budgetary pressures on other flood schemes in progress in the city.
- 41) Although risk still exists over the availability of whole life funding for the project as detailed above further work will be undertaken to assess scheme delivery and future maintenance costs following the delivery of the planning stage detailed design work. Risk and uncertainty elements of the funding will be reassessed to reconfirm the expected whole life costs. Detailed site information and value engineering following key design solutions may lead to reductions in expected costs but wider economic pressures facing all civil engineering schemes will similarly have to be considered. Other flood risk funding options will be considered as required.
- 42) Once approved a submission will be made for planning permission in Late December 2022 / early January 2023. Once planning and all other permissions are in place it is expected that the construction phase design works can commence in early summer 2023 and delivery can commence following procurement and award of delivery partners in Autumn 2023. Construction completion would be expected in late 2024. All timings are indicative and dependant on all approvals being in place.

### **Council Plan**

- 43) Improved provision of flood defences supports a prosperous city for all through safer communities for residents, businesses and visitors. A wide range of consultation events will ensure this is in line with the needs and expectations of local communities.

- 44) The development of a flood scheme at this location is supported by actions 87-90 of the independent York Flood Inquiry which followed the 2015 flooding.

### Implications

- 45) **Financial** – Consultants working for CYC have identified £0.33m of funding is available through Defra Partnership Funding allocations, a further £0.6m of CYC funding is available through funding allocated to the protection of Fordlands Road. For appraisal purposes, the whole life costs of the scheme are £4.871m. Additional flood scheme contribution funding of £1.5m is available to support the delivery of wider benefits through the EA led programme and £2m of CYC funding has been directly allocated to the project, this funding was approved following the budget setting round of the 19/20 financial year.
- 46) Further ‘booster’ funding is allocated directly to the EA, the additional funding of £45m allocated to the delivery of improved flood defences in York contains a significant amount of booster funding. This funding has been allocated across a range of projects, £0.9m of booster funding has been allocated to the Germany Beck flood alleviation scheme but the EA have placed this funding at risk due to budget pressures on other ongoing flood alleviation works in the programme.
- 47) Project development to date is c. £200k funded from the £600k Fordlands Road budget in the capital programme. This has delivered the appraisal and design works needed to submit the scheme for planning and other approvals. There is a potential that as a result of the approvals process or confirmation of funding needs that no further work is approved and the scheme is ultimately not progressed. If this were the case it would be necessary to class these costs as abortive and written back to revenue.
- 48) **Property** – The preferred pumping station site lies within the boundary of CYC owned land under the management of the Fulford Parish Council. Discussions over the way in which the scheme can be delivered have been held with the parish throughout the development of the project to date. Final layout, design and access needs are now confirmed, and final discussions will be commenced with the Parish Council. A small element of work will be needed on the downstream face of the A19 road bridge, discussions have been held with landowners throughout and similar agreements will be sought utilising the details developed for the planning stage.

- 49) **Human Resources (HR)** – No implications
- 50) **One Planet Council/Equalities** – The Council needs to take into account the Public Sector Equality Duty under Section 149 of the Equality Act 2010 (to have due regard to the need to eliminate discrimination, harassment, victimisation and any other prohibited conduct; advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it and foster good relations between persons who share a relevant protected characteristic and persons who do not share it in the exercise of a public authority's functions). An Equalities Impact Assessment will be carried out as part of the planning phase.
- 51) **Legal** – The procurement of the construction contractor to carry out the construction phase will need to be undertaken in accordance with the Public Contracts Regulations 2015 and the Council's Contract Procedure Rules.
- 52) **Crime and Disorder** – No implications
- 53) **Information Technology (IT)** – No implications

### **Risk Management**

- 54) During the development of the appraisal and planning submission design works pre-consultation and communications work have identified relevant risks to the natural and built environment, all have been considered and designs adapted appropriately. However, there are still risks around the acceptability of such a project and this may impact on approvals.
- 55) Risk management work has been carried out to ensure construction phase techniques and construction methods are safe and effective, however, future construction phase risks will need to be considered further in the development of the construction management plans.
- 56) None approval of the construction phase will place final delivery at risk and abortive spend as detailed in paragraph 48.

**Contact Details**

**Author:**

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Highways  
07767 318116**

**Chief Officer Responsible for the report:**

**Neil Ferris  
Corporate Director of Place**

**Report**  **Date** 01/12/22  
**Approved**

**Wards Affected:** Fulford

**For further information please contact the author of the report**

**Background Papers:** None

**Annexes:** None

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**Executive****15 December 2022**

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

**Bus Network Review****Summary**

1. The report updates the Executive of actions taken so far and immediate recommendations to stabilise the local bus network.
2. The bus industry pre COVID in York was worth £24 million pounds and the council funded approximately £0.72 million of this through bus subsidy as well as funding the concessionary fares on the basis of operators being no better or worse off.
3. However, as a result of COVID the industry has shrunk to 80% of pre covid levels with 20% fewer passengers.
4. In addition, significant rise in operating costs and a national driver shortage is creating an extremely challenging context for bus service operation.
5. These challenges have seen operators submit multiple notifications of service withdrawals or changes, with further notifications of planned changes expected in the coming months. Work is being carried out to save and maintain reliable levels of services in the short term.
6. The Council has received £2.2 million pounds of revenue support this year, of which approximately a million pounds is for bus support including the restart of Poppleton Bar Park and Ride.
7. The network enhancement delivered through Bus Service Improvement Plan has to be sustainable. By stabilising the network and supporting the bus industry through driver recruitment etc it sets a foundation to encourage people to return and use public transport.

8. Officers have completed all actions in relation to securing the DfT BSIP funding, the funding grant agreement arrived with CYC on the 3<sup>rd</sup> November 2022.
9. Whilst the government has provided significant financial support in response to COVID to the bus industry, this support is set to end at the end of this financial year.
10. However, there is therefore a significant risk that unless usage of the bus increases then further service impacts will be felt.

## Recommendations

11. The Executive is asked to:

- 1) Agree the principle that maintaining the extent of bus network is the key priority within the budgets available. Preserving the routes takes priority over preserving bus frequency. To the extent that the Council won't fund current commercial services where a reduction in frequency is an option for the operator without significant impact on communities.

*Reason: Keeping the bus network even with a reduced frequency if necessary gives a better basis to build back in the future. There is limited funding to deliver bus subsidy.*

- 2) Delegate to the Director of Transport, Environment and Planning (in consultation with the Leader of the Council, Executive Member for Transport and the Director of Governance, Section 151 Officer or their delegated officers) the authority to:
  - a) Work with the Enhanced Bus Partnership to deliver bus support funding through the BSIP allocation.
  - b) To reduce bus frequency requirements of subsidised bus services to maintain the network if the overall bus subsidy is greater than the budget.
  - c) Work with all partners, Bus Operators, North Yorkshire County Council and the YNYLEP to identify ways of encouraging recruitment and driver training.
  - d) Work with the Park and Ride Operator towards reopening Poppleton Bar Park and Ride and returning all other Park and Ride sites to pre-pandemic levels of service by Easter 2023.



*Reason: to give officer the flexibility to act at pace and ensure the services are maintained*

- 3) Approve the removal of the bus subsidy criteria for a period of one year

*Reason: to give officer the flexibility to maintain services within the budget.*

- 4) To bring a report in the summer updating on the Government funding situation, the current levels of bus usage, the progress of action identified in this report and impact on bus services.

*Reason: to allow Executive to have oversight and review options and next steps*

## **Background**

12. Most bus services in York are operated commercially by independent companies, some of which are part of a larger groups of companies. Bus companies are free to decide how, where and when they will run any services that will provide a financial return. This includes the route, stops, timetables and fares.
13. Where bus companies are unable to provide a service commercially, the Council can provide financial support to operators willing to run the route on its behalf. In these cases, the Council generally sets the route, stops and timetable, monitoring the performance of each service to ensure that the City of York receives the best value for money from its public transport expenditure. These services are normally tendered and then operated under a contract. They are referred to as subsidised services.
14. In some cases, certain parts of a bus service are commercial, with the remainder of the journeys being subsidised. Bus operators are encouraged to show on their timetables which journeys are operated with support.
15. If an operator wishes to change or cancel a bus service. The operator must tell the local authority if changing or cancelling a bus service and must do this 28 days before they apply to the traffic commissioner.

16. Operators must apply to the traffic commissioner at least 42 days before the service changes or stops.
17. The local authority cannot veto or affect the content of a change or cancellation application in any way. Advance notice is intended only to give the local authority 28 days advance so that the local authority can consider if they require certain information to be provided in order to decide whether to commission a replacement service.
18. The council is currently spending approximately £720k on commission subsidised bus services.
19. From annual public accounts posted by local bus operating companies, it is possible to make a fair estimate of the total annual pre-Covid turnover of the York bus industry.
20. It is estimated that for the 2018/19 financial year pre COVID, the combined turnover of all the bus routes operating substantially within the York area was approximately £24m.
21. In this context, the council subsidy of £720k to support tendered bus services represents approximately 3% of the estimated local bus industry turnover.

### **Covid Impact**

22. The York Bus Network has been affected by decreased passenger numbers both on the Park & Ride and wider network with a 20% reduction in passengers compared to pre COVID.
23. Operators are also experiencing rising operating costs in terms of fuel with increases averaging 38% and staff costs increasing on average by 28%.
24. There are national and local driver shortages. The pool of drivers in York is very small and many have either changed to other professions or there has been an increase in retirements. Resource issues are a key problem in many sectors of the economy.
25. Without additional external assistance, the council does not have sufficient financial influence on its own to make much overall difference to the economic viability of the bus network in the long term.

## Government Support

26. Financial aid from Government has been important in supporting the provision of bus services since the start of the pandemic, but this is current due to come to an end in March 2023.
27. A range of support funding has been available to bus operators, these are outlined below:

**BSOG (Bus Service Operators Grant)** – has been in place since the early 2000's. In effect a fuel-duty rebate calculated based on the amount of diesel each operator uses. Since 2013, BSOG has not paid directly to tendered service operators. Instead, a fixed annual grant is paid to each LTA based on their 2012/13 tendered network, which each LTA can spend as they see fit on either tendered service support, bus infrastructure or community transport. The annual devolved BSOG payment to CYC has been around £150k each year since 2013 and this has been utilised to support bus services and staff who promote bus service usage and infrastructure across the network.

**CBSSG (Covid Bus Services Support Grant)**- ran from April 2020 until September 2021 to make up the gap between pre-Covid and current fares revenue, ensuring bus operators were not put out of business by Covid-related patronage decreases. CBSSG payments for tendered services were made to Local Transport Authorities LTAs, who were responsible for distributing the grant to operators of tendered services. CYC, CBSSG spend is publicly available at <https://www.itravelYork.info/covid-support-bus-operators>

**BRG (Bus Recovery Grant)**- ran from September 2021. Successor grant to CBSSG, with similar purpose but made on the assumption that patronage would recover to close to pre-Covid levels during 2022. Initially intended to cease in October 2022 but later extended to March 2023 due to lower than predicted patronage recovery across the bus industry. Tendered element of BRG was renamed **LTF (Local Transport Fund)** from April 2022-March 2023. Payments to operators are administered by LTAs.

## **Concessionary Fares**

28. Government have removed the legal requirement for Local Transport Authorities to ensure that bus operators are “no better off” as a result of the concessionary fares scheme (requirement to ensure “no worse off” remains). This has accompanied Department for Transport advice to maintain payments at pre-Covid levels from April 2020 until March 2022.
29. For 2022/23 financial year, Department for Transport initially published a recovery strategy recommending a declining percentage from pre-Covid payments for concessionary fares throughout the financial year to a point that they reflected the concessionary usage. This has been the approach adopted by both CYC and NYCC.
30. This was later followed up by guidance from Department for Transport that Local Transport Authorities continue to pay concessionary fares at pre COVID levels, the indication being that the legal change to allow bus companies to be “better off”, will be extended for another year.
31. A letter from Baroness Vere in August 2022 cautioned LTAs against reducing payments to the bus sector and warned that LTAs which continue to do so may see a reduction in other government funding streams.
32. Officers believe that funding the bus industry is more transparent through bus subsidy than through the artificial payment of concessionary fares. It ensures a targeted approach aimed at the services which are financially struggling.

## **Council Motion of 20 October 2022**

33. At Council on the 20th October 2022 a motion was passed Protecting and improving local bus services. It said
  - i. Council believes that:
  - ii. A reliable, accessible and affordable bus service is essential to all York residents to access shops, services, leisure, employment and education, and to help tackle air pollution, congestion and the Climate Emergency.
  - iii. Continued engagement with bus operators through the ‘Enhanced Partnership’ will be vital in making best use of available financial resources and ensuring that bus routes and timetables are configured in a way that best serves the needs of residents.

- iv. The absence of certainty around Government funding support beyond March 2023 creates the risk of a 'cliff edge' situation where some bus services may be reduced or cut entirely, leading to a material impact on residents' lives.
- v. Council therefore resolves that:
- vi. Officers should continue negotiations with bus providers to retain as many routes as possible and to prevent a gap in service provision.
- vii. Officers should actively engage with members and user groups as part of their work with operators to review bus routes and timetables.
- viii. The Executive should use all opportunities, including working with regional political leaders, to continue to lobby Government for long-term funding to support public transport networks, including support for driver recruitment and training schemes.
- ix. Whilst the agreed 'Enhanced Partnership' approach should be pursued, alternative feasible models should be kept under review and lessons learned from the experience of other cities and regions."

### **Petition presented to Executive on 6 October 2022**

34. A petition was presented to the Executive by Carole Green, on behalf of residents of Bishopthorpe and those along the No 11 Bus route requesting permanent funding of this route.
35. Discussions between officers and First York have established that service 11 is not currently under threat of cancellation, however a slightly reduced service frequency is likely to be required from early 2023 in order to improve reliability during the ongoing driver shortage.
36. Short term tenders have stabilised the 412 and 13 services and that principle would be followed where budgets permit.

### **Current Response**

37. Bus Service Improvement Plans provide a long term vision of the improvements to bus services, some authorities received government funding and York was amongst these.
38. An Enhanced Bus Partnership is a statutory agreement between a local authority and bus operators which sets out binding

commitments and expectations on both parties with regard to the provision of the local bus network and infrastructure to deliver bus support funding through the BSIP allocation. York's Enhanced Bus Partnership was created on the 27<sup>th</sup> September 2022.

39. Given the challenges facing the bus industry in terms of a shrinking bus industry the BSIP identified short term funding to help support the bus industry and encourage people to use the bus. They have delegated to Council officers the authority to spend this BSIP allocation.
40. The Enhanced Partnership in conjunction with other agencies has taken proactive actions to address the driver recruitment challenge across the wider region, and this has resulted in new drivers joining the York network, but it remains a significant challenge.
41. Operators have recently applied for short notice service changes which enables an operator to change services at less than the 72 days notice period. The Council can and have declined any short notice changes. The reason is that this does not allow time for officers to seek to commission replacement services .
42. The 13 and 412 operated by ConnexionsBuses have given notice that the service is no longer financially viable. Therefore officers have been through a short tender process.
43. The Council has awarded a short-term contract to Harrogate Coach Travel (trading as ConnexionsBuses) to ensure the continued operation of the weekday service 412 (York-Rufforth-Tockwith-Wetherby) and Saturday service 13 (Copmanthorpe-York-Haxby West Nooks) until 31st March 2023. This was awarded to the original operator but the Council is now paying a higher price for the service.
44. The short term continuations will be paid for with CYC BSIP funding in the case of service 13, and 50% from CYC BSIP / 50% from North Yorkshire County Council in the case of service 412.
45. A procurement exercise will be carried out ahead of March to attempt to secure the longer-term future of both services.
46. A number of other minor service changes to other routes are being worked through by officers to secure the services.

47. The risk remains that if government funding ends and bus usage does not return then the budget available may not be sufficient to safeguard all services at their current frequencies.

**Options and Analysis to further stabilise the bus network in York:**

48. In terms of giving direction to officers of how to best spend the available BSIP funding to support bus services there are a two options:
- i. the network of service is preserved as far as possible but with a reduced frequency for subsidised services if funding is no longer sufficient to subsidise the network as is. Where operators seek to reduce the frequency of commercial services these will be accepted if there is no significant impact on communities. This will deliver an efficient bus service which serves the same communities as now, all be it with quieter services at a reduced frequency. Any reductions in frequency would be made where they have least impact. Improvements in reliability are key to building services back. It is much easier to increase frequency in the future than it is to start a new service again once people have stopped using the bus.
  - ii. The alternative is to cut bus services which are no longer financially viable and invest the funding where bus usage is higher. This would have a devastating effect on some communities who would lose their public transport links. A further risk with this model is that any reintroduction of bus services is much harder and a financial risk for operators.
49. It is important to note that funding is not the only issue. Whilst the Council does have funding to be administered through the Enhanced Partnership it will not resolve issues affecting the bus industry such as driver shortages. It is recommended that work to stabilise the bus industry continues and the Council continue the work with partners to identify new ways of recruiting and training bus drivers for the future.
50. There are a number of challenges to the Commercial Park and Ride services. Following the start of the Pandemic in 2020, the contract was varied to allow First, the operator, to temporarily sublet the Poppleton Bar site to central government as a COVID testing facility.

51. The council also gave First temporary discretion to alter service frequencies as necessary in response to the pandemic. This has led to the actual level of service provision being somewhat different to the contract terms.
52. The Council is obviously keen to see service levels return to those it has contracted with the operator to provide. On that basis letters were sent by the council to First York in summer 2021 and summer 2022 outlining the areas where the level of service provision was below the contractual minimum and requesting a strategy to restore the service to the contractually required level as patronage recovers. But equally this should not be at the detriment of other services within the city and recognising the shortage of drivers some ongoing flexibility to the operator to build back is needed as regards frequency, although this should not decrease from current levels.
53. The Poppleton site has been out of action since March 2020 due to its use as an NHS COVID Testing Site. The testing site was decommissioned in August 2022 and is awaiting return to Park and Ride operation.
54. The relaunch of Poppleton is to be funded by support from the BSIP package – it is therefore important that it is done in a sustainable way. The DfT are very keen to see delivery of high profile improvements to networks, unfortunately the funding was received too late by the Council to launch for this Christmas.
55. This return of patronage to pre-Covid levels has not yet occurred therefore it is proposed to postpone the launch of Poppleton until the Spring/Summer 2023 subject to receipt of the funding from DfT for year 2023/24.
56. Obviously Christmas is a significantly busier time for the park and ride service. Some analysis of Park and Ride usage will be needed in the new year post Christmas and any lessons learnt incorporated into the relaunch of Poppleton Bar Park and Ride.
57. The council's current criteria for subsidy, is that a bus route will only be subsidised if it carries at least 9 passengers per bus hour and costs no more than £2.67 (at 2018 prices) per passenger, with no subsidy permitted for Sunday services as of 2016. The cost per passenger criteria was never rigidly applied, as it would mean villages such as Elvington would never qualify for a service. The decline in patronage



and increased costs post-Covid have also made these criteria quite out of date, with only around half of our tendered portfolio meeting both criteria. Therefore Executive are advised that this funding criteria is suspended for the next 12 months to allow officers the flexibility to stabilise the network. This does create the risk that some services will be subsidised with few passengers at a greater cost, but this gives time for service usage to return.

### **Consultation**

58. Consultation has been undertaken with Bus Operators and with the York Bus Forum in their response they are keen to support retaining as many services as possible across the City. Frequent updates will be brought to the various groups including both operators and users which form the Enhanced Partnership.

### **Council Plan**

59. The proposals in this report contribute to the following key outcomes in the 2019-23 Council Plan:
- i. A greener and cleaner city – key BSIP objectives include transferring journeys from car to bus and reducing vehicle emissions.
  - ii. Creating homes and world class infrastructure – BSIP commitments include working with developers to ensure high-quality public transport provision for new developments, and improvements to existing public transport infrastructure.
  - iii. Good health and wellbeing – by moving journeys from car to bus, realising air quality improvements and reducing congestion on the highway network, a secondary effect of the BSIP will be to facilitate complimentary growth in walking and cycling mode shares.
  - iv. A better start for children and young people – BSIP commitments include simpler, lower bus fares for children and young people.

### **Implications**

#### **Financial –**

60. As summarised in the report there are significant financial pressures around the bus industry. Passenger numbers have not returned to pre covid levels whilst costs have increased due to inflationary pressures both in terms of pay costs and fuel costs. Whilst the government have added further support to the end of March there remains concerns over the impact into the following year.

61. In terms of council support there are ongoing budgets for bus subsidies (net budget £654k) and concessionary fares (net budget £3,969k). There is a projected overspend of c£66k on subsidised bus services as inflationary costs of contracts have been higher than budget.
62. For concessionary fares the council implemented the DfT's "default recovery" strategy which reduced bus company's payments over time prior to concession numbers returning. The level of recovery has been slower than anticipated and this has resulting in a forecast underspend of approximately £600k as passenger numbers have been lower than forecast. The introduction of a maximum single fare of £2 between January and March 2023 will have impact to reimbursement as the average fare will reduce but activity may increase so this value will potentially change. The council will continue to pay concessionary fares in accordance with the strategy. The underspend is being utilised to fund the pressures across bus subsidies and also support the balancing of the 2022/23 council budget position.
63. The council has received the first tranche of BSIP funding £4,575k which is made up of a revenue grant (£2,200k) and capital grant £2,375k. The revenue funding outlined in the report is key to deliver much of the support outlined in the report.
64. As the report highlights there are further pressures facing the bus network in 2023/24 which particularly relate to the cessation of the government funded Bus Recovery Grant. For the council cost pressures are continuing which will increase council costs in both subsidised bus services and concessionary fares. The impact of these will be incorporated into inflation assumptions in the 2023/24 budget. The council cannot assume the level of concessionary fare expenditure will continue at the 2022/23 level as both concession numbers and average fares in the medium term are not in council control. It is possible that the expenditure in future years will increase to previous levels. The BSIP funding for next year is assumed at £2.3m revenue and £4.39m capital and will be key for the council support to the network. Any further support to the network would need to be considered as part of the 2023/24 council budget in February 2023.

**Human Resources (HR) – none.**

65. **Equalities** – the council will need to take into account the Public Sector Equality Duty under Section 149 of the Equality Act 2010 (to have due

regard to the need to eliminate discrimination, harassment, victimisation and any other prohibited conduct; advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it and foster good relations between persons who share a relevant protected characteristic and persons who do not share it in the exercise of a public authority's functions). An Equalities Impact Assessment will be carried out for each service as it is reviewed.

## **Legal**

66. The delivery of the BSIP through either an EP route or a franchise route is mandated by the Transport Act 2000. EP Plans and Schemes are statutory documents. The Bus Services Act 2017 incorporates a duty on local transport authorities to consult on EP Plans and EP Schemes into the Transport Act 2000.
67. The new Subsidy Control Act comes into force on 4 January 2023 and will govern how subsidies (formerly state aid) are awarded. The purpose of the legislation is to allow public authorities to award subsidies to achieve public policy objectives, whilst also limiting the negative effects of subsidies on domestic and international competition and investment. A subsidy control assessment would need to be carried out in relation to the removal or increase of the subsidy cap to ensure that public money was not causing undue distortion to the commercial market.

## **Risk Management**

68. The minimal-risk option is maintain the base network to support the delivery of the BSIP growth targets. gets

## Contact Details

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### Chief Officer Responsible for the report:

**James Gilchrist**  
**Director of Environment, Transport and  
Planning**  
Report  Date 26/10/2022  
Approved

## Specialist Implications Officer(s)

Finance – Patrick Looker (Head of Service Finance)  
Legal – Cathryn Moore (Corporate Business Partner - Legal)

### Wards Affected:

All  YES

**For further information please contact the author of the report**

## Background Papers:

Report, 20 May 2021 - "York's response to the National Bus Strategy"  
(<https://democracy.york.gov.uk/ieListDocuments.aspx?CId=733&MIId=12511>)

BSIP -

<https://democracy.york.gov.uk/documents/s152872/Annex%20A%20York%20BSIP.pdf>

## Annexes

Annex 1 – Service Changes

## List of Abbreviations Used in this Report

BSIP – Bus Services Improvement Plan  
DfT - Department for Transport  
EP – Enhanced Partnership

LTA – Local Transport Authority  
OOP – Operator Objection Period

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## **Annex 1 - Upcoming Service Changes**

Officers have worked with bus operators to undertake a bus network review. Discussion with Bus Operators in York have identified the following service challenges on Commercial Operated Services in the City. Operators are due to decreased patronage, increased operating costs and driver shortages proposing a number of changes. The principles outlined above would be applied.

### **Changes from 22<sup>nd</sup> January:**

**Subsidised Service 12/12A** (Foxwood/Woodthorpe-York-Monks Cross)– First to withdraw entire service.

Recommended action: Seek tender prices for the whole route, with options for current frequency and reduced frequency.

**Commercial Change to Service 10** (Poppleton-York-Stamford Bridge) – reduced to 40 minute from half hourly frequency to improve reliability with limited driver resource, route and hours of operation unchanged.

Recommended action: Do nothing, no major impact on communities, commercial service frequency change, keep under review.

**Commercial Change to Service 11** (Bishopthorpe-York-Heworth Ashley Park)– reduced to 45-minute from half hourly frequency to improve reliability with limited driver resource, route and hours of operation unchanged.

Recommended action: Do nothing, no major impact on communities, commercial service frequency change, keep under review.

**Other First York Commercial services** are reviewing the remainder of the timetable in order to provide the maximum possible number of journeys with the present number of drivers. This will mean fewer cancelled journeys.

Recommended action: Do nothing, and keep proposals under review for community impacts.

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