



Agenda

Meeting held in private: Environment Directorate - Corporate Director and Executive Member - Highways and Transportation

To: Councillor Malcolm Taylor.

Date: Friday, 26 September 2025

Time: 10.00 am

Venue: Via Microsoft Teams

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Business

Items for Corporate Director decision

1. Consideration of Objections – North Yorkshire Council (Harrogate, Knaresborough, Pannal and Burn Bridge) (Parking and Waiting) (No.58) Order 2025 *(Pages 3 - 20)*
2. Flood Investigation Report - Knaresborough, 6 May 2024 *(Pages 21 - 76)*
3. Approval to Modify the Existing North Yorkshire Permit Scheme *(Pages 77 - 146)*
4. Highways Capital Programme 2026/27 - Highways Capital Forward Programme *(Pages 147 - 182)*

Barry Khan
Assistant Chief Executive
(Legal and Democratic Services)

County Hall
Northallerton

Thursday, 18 September 2025

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North Yorkshire Council

Environment Executive Members

26 September 2025

Consideration of Objections – North Yorkshire Council (Harrogate, Knaresborough, Pannal and Burn Bridge) (Parking and Waiting) (No.58) Order 2025

Report of the Assistant Director – Highways & Infrastructure

1.0 PURPOSE OF REPORT

1.1 The purpose of this report is to advise the Corporate Director (Environment) and the Executive Member for Highways and Transportation of the outcome of the public consultation and for a decision to be taken on whether the following proposals be introduced or set aside in light of the objections received to a number of traffic regulation order proposals advertised for public comment in June 2025.

2.0 SUMMARY

2.1 This report outlines objections received to Traffic Regulation Orders (TROs) advertised for public comment in June 2025 and officers' recommendations on whether the proposed measures be implemented or set aside after consideration of objections received.

3.0 BACKGROUND

3.1 All the general traffic management measures in this report seek to improve traffic movement/ flows, promote road safety, enhance the environment, or address inconsistencies with existing parking arrangements. Most of the problems that the measures seek to address have been identified by persons who have experienced difficulties arising from traffic management issues, these include local members, NYC officers or by the North Yorkshire Police.

3.2 Proposals were brought forward at the following locations.

Southville Terrace, Harrogate	Minor extension to length of waiting restrictions at junction to regulate parking, reduce accident potential and improve visibility for motorists exiting Southville Terrace on to Ripon Road and aid turning manoeuvres in to Southville Terrace;
Sovereign Park, Harrogate	Introduction of waiting restrictions along one side of Sovereign Park to regulate parking arrangements, deter indiscriminate parking and maintain traffic flow/ access to residential premises:
St Mark's Avenue/ Wensley Grove	Extension of/ introduction of waiting restrictions to regulate parking, deter indiscriminate parking, reduce accident potential to road users and improve visibility for motorists entering and exiting Leeds Road and Wensley Road junctions;
Pearl Street/ The Avenue, Harrogate	Introduction of waiting restrictions to regulate parking, reduce accident potential and improve visibility for motorists exiting Pearl Street junction on to The

	Avenue. Follows enquiry/ complaint by resident of Pearl Street concerned about increased level of parking in proximity to junction. Proposals align with similar junction arrangements locally;
Prospect Road, Harrogate	Introduction of waiting restrictions to regulate parking and maintain safe traffic flows along Prospect Road, improve visibility for motorists exiting neighbouring minor junctions and improve road safety for all road users. Proposal follows introduction of restrictions in 2002 along lengths of Prospect Road to the north.
Wayside Crescent/ St Leonard's Road/ Wayside Grove	Introduction of waiting restrictions to regulate parking, reduce accident potential and improve visibility for motorists exiting and entering minor junctions on to or off Wayside Crescent. Follows enquiry/ complaint by residents in locality concerned about increased level of parking in proximity to junctions and resulting hindrance to through traffic.
Regent Parade, Harrogate	Removal of short length of disc parking and introduction of waiting restrictions to enable improved/ safer turning manoeuvres in to and out of vehicular access to Regent Court.

4.0 DETAILED PRESENTATION OF THE SUBSTANTIVE ISSUE

- 4.1 The enabling Traffic Regulation Order (TRO) to secure these arrangements was advertised under the title 'North Yorkshire Council (Harrogate, Knaresborough, Pannal and Burn Bridge) (Parking and Waiting) (No.58) Order 2025'.
- 4.2 The process for the consideration of objections to traffic regulation orders was approved by the Executive on 29 April 2014 and County Council on 21 May 2014. The consideration of objections to Traffic Regulation Orders (TROs) is now a matter for the Executive and the role of the Area Committee is changed to a consultative role on 'wide area impact TROs'. The consideration of objections has been delegated by the Executive to the Corporate Director of Environment in consultation with the Executive Member for Highways and Transportation. The decision-making process relates to the provision and regulation of parking places both off and on the highway where an objection is received from any person or body entitled under the relevant statute. A 'wide area impact TRO' is classed as a proposal satisfying all the three criteria set out below.
- The proposal affects more than one street or road and.
 - The proposal affects more than one community and.
 - The proposal is located within the ward of more than one Councillor.
- 4.3 The proposed TROs have not been defined as a 'wide area impact TRO' and therefore the Area Constituency Committee's views have not been sought.

5.0 CONSULTATION UNDERTAKEN AND RESPONSES

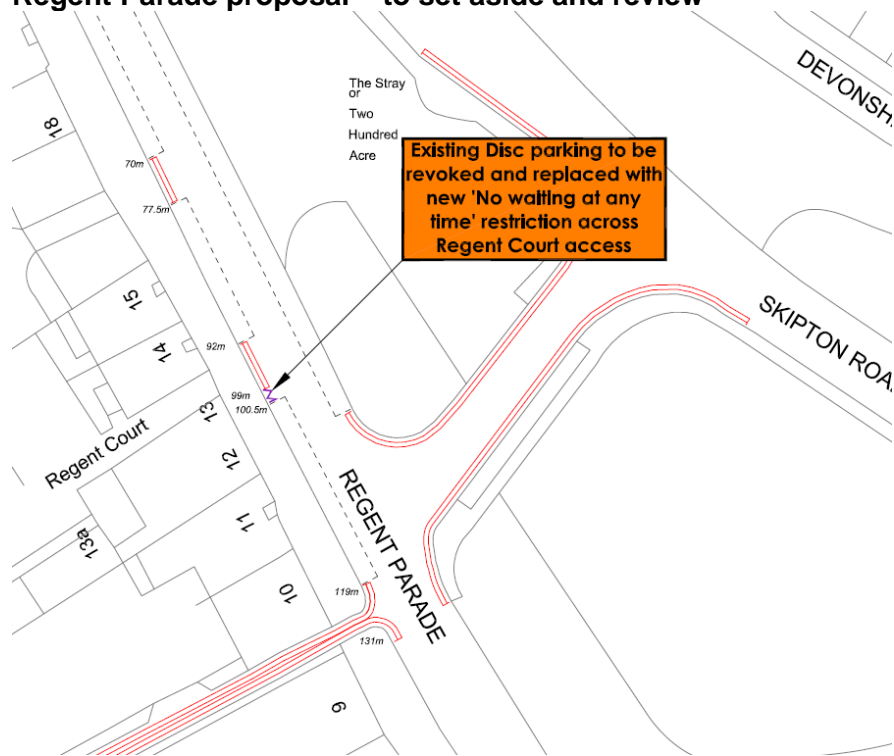
- 5.1 North Yorkshire Police Area Traffic Management Officer and the Councils Traffic Engineering team comments were sought on the proposed measures on the 14 November 2024.
- 5.2 The North Yorkshire Police Traffic Management Officer indicated no objections to any of the proposals in his response dated 25 November 2024.

- 5.3 The enabling Traffic Regulation Order (TRO) was advertised for public comment in the local press on the 19 June 2025 and notices placed on site in accordance with the Local Authorities' Traffic Orders (Procedure) (England and Wales) Regulations 1996 on the 17 June 2025, allowing 21 days for formal objections to the proposed restrictions to be lodged with the Area 6 Highways office.
- 5.4 The Council's legal team formally consulted the North Yorkshire Police, the Road Haulage Association and Logistics (formerly the Freight Transport Association) on the 09 June 2025.
- 5.5 Area 6 officers formally consulted statutory and non-statutory consultees on the 17 June 2025, each of the consultees listed below; Harrogate Town Council, NYC Public rights of way team, NYC Passenger Transport, NYC Traffic Engineering, NYC Parking services, NYC Parks team, North Yorkshire Police, North Yorkshire Fire and Rescue Service, Yorkshire Ambulance Service, Federation of Small Businesses (North Yorkshire/ North England), Harrogate Chamber of Trade, TROUKireland (Sat Nav supplier), Road Haulage Association, Logistics (FTA), Traffic link (Sat Nav supplier), British Driving Society, NFU, Cyclists Touring Club, Cycling UK and the NYC HAS Engagement team (link to local disabled access groups).
- 5.6 Only the Council's Public rights of way team and Passenger Transport teams responded to the consultation, indicating no objections to the proposals.
- 5.7 The last date for receipt of objections was Thursday 10 July 2025.
- 5.8 Objections were lodged against three proposals, at Regent Parade (High Harrogate and Kingsley division), Pearl Street/ The Avenue (Starbeck division) and Wayside Crescent (Stray, Woodlands and Hookstone division), which are outlined below, alongside officers comments in response to the objections.

Regent Parade objection

- 5.9 The objection on Regent Parade centred around the proposed changes conflicting with the markings that had very recently been reinstated following surface dressing works and site measures undertaken following receipt of the objection identified that the disc parking bays and double yellow lines had been reinstated to different positions along the length of Regent Parade and Park Parade. The officer supervising the surface dressing programme is in dialogue with NY Highways and their partner contractor to rectify incorrect markings. Considering these errors and the objection, officers have therefore resolved to set aside this particular proposal and revisit once all corrections have been made.

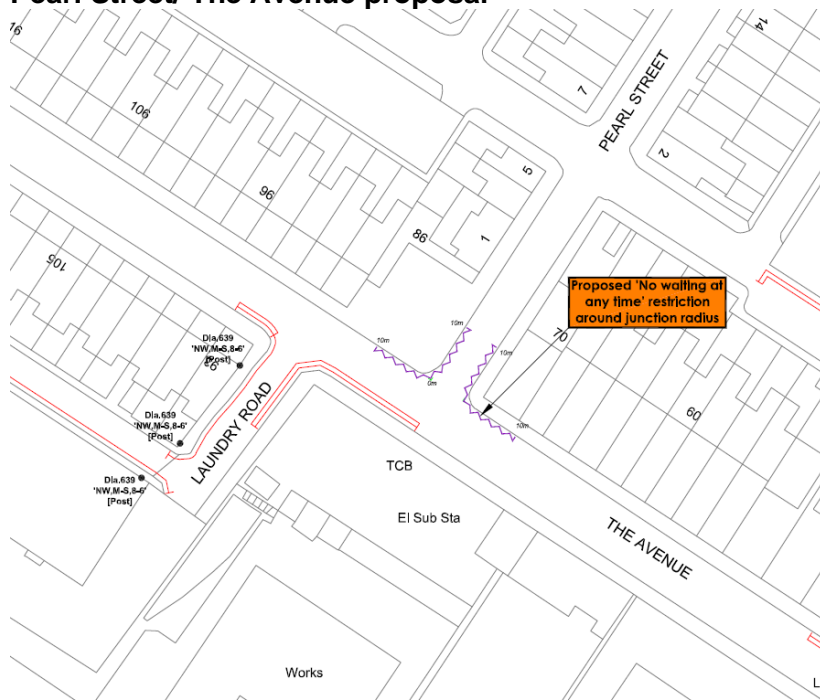
Regent Parade proposal – to set aside and review



Pearl Street objection

- 5.10 The objection received relating to Pearl Street was received from a resident of The Avenue, who expressed concern that the proposed restrictions would have an impact upon parking opportunity in a heavily populated area with most properties having more than one vehicle, often proving difficult to park in the evenings. Suggests that he and other residents often park approximately 3 metres from the junction where the vehicle was visible from property, and this has not caused any accidents. Considers that the proposal would result in the loss of four parking spaces.
- 5.11 The proposed measures seek to regulate the parking arrangements outlined in the Highway Code and replicates the restrictions at the neighbouring Regent Terrace junction, to ensure vehicles do not park within 10 metres of the junction, which has been regularly observed. Whilst there have been no recorded collisions resulting in personal injury at the junction, it is envisaged that the proposed restriction will improve visibility for motorists entering and exiting the junction and reduce accident potential.
- 5.12 Whilst officers sympathise with concerns over ease of parking directly outside individual households or directly opposite, this is not a right and whilst parking is in demand, there is typically capacity for spaces a short distance away from the junction. Officers therefore consider that the restrictions be implemented as proposed.

Pearl Street/ The Avenue proposal



Examples of vehicles parked close to junction



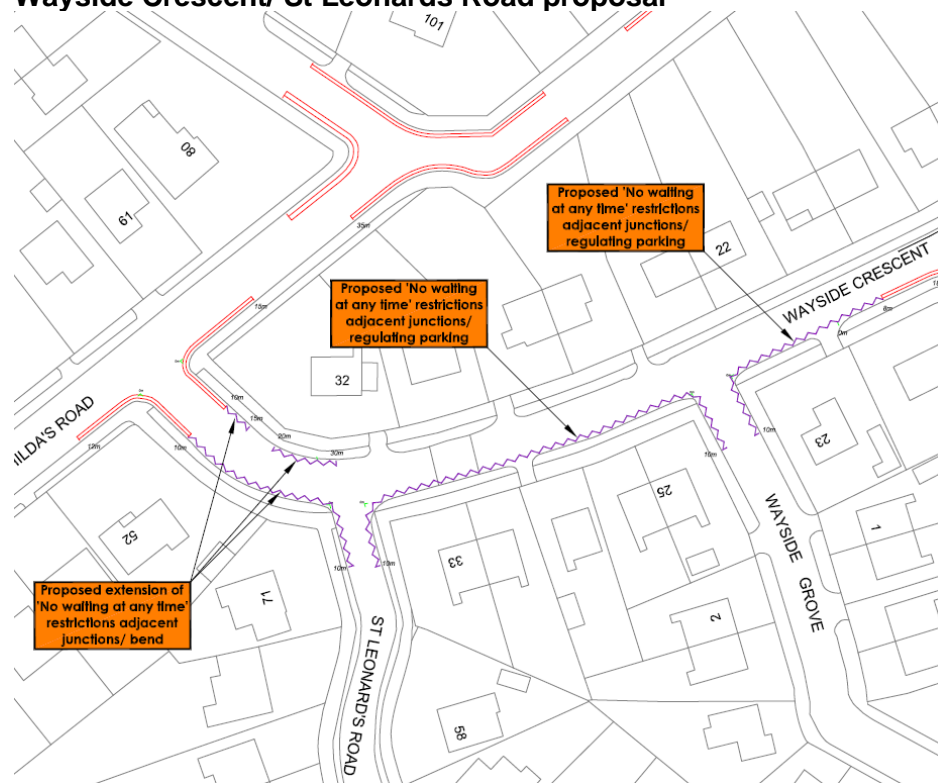
Wayside Crescent/ St Leonards Road objection

5.13 The objection received relating to Wayside Crescent/ St Leonards Road was received from a resident of St Leonards Road who outlined a number of grounds for their objection, including.

- that the proposed restrictions would make it easier for through traffic on Wayside Avenue, when through traffic should not be encouraged, aligned with the recent 20mph speed limit, the objective being to reducing average speeds to below 20mph.
- that the proposed restrictions at the St Leonards Road junction would move parked vehicles further into St Leonards Road, particularly to the double bend;
- that the Council should address the area wide issue of parking in the Saints area, resultant from the demand for parking at the Harrogate hospital site and other local sites.

- 5.14 The proposal on Wayside Crescent primarily aimed to reduce parking on the bend where concerns have been expressed that vehicles overtaking the parked vehicles do so into oncoming traffic westbound, generating a road safety concern. Officers have observed such manoeuvres on a number of site visits and through local knowledge. The other restrictions on the south side of Wayside Crescent aim to regulate parking to the north side only and ensure no displacement occurs that would ultimately obstruct through traffic.
- 5.15 The restrictions at the St Leonard's Road and Wayside Grove junction were promoted to ensure the application of the Highway Code requirements not to park within 10 metres of a junction, ensuring displacement did not present any further road safety concerns in the local area.
- 5.16 Officers do not consider that the proposals would have a significant impact upon neighbouring roads, including St Leonards Road, although officers accept there is high demand for kerbside parking in the Saints area by Hospital staff/ visitors and school pupils and staff. Many local roads experience daytime non-residential commuter parking along their entire length and waiting restrictions have been introduced at other junctions across the area in recent years to overcome localised parking concerns. Officers therefore consider that the restrictions be implemented as proposed.

Wayside Crescent/ St Leonards Road proposal



Examples of vehicles parking in proximity of junction (St Leonards Road/ Wayside Crescent)



6.0 LOCAL MEMBER ENGAGEMENT

- 6.1 Local members in the affected Divisions (Bilton and New Park, Coppice Valley & Duchy, Fairfax and Starbeck, Harlow & St George’s, High Harrogate and Kingsley, and Stray, Woodlands and Hookstone) were consulted on the proposed measures on the 14 November 2024.
- 6.2 Councillor Aldred (High Harrogate and Kingsley) advised that the proposal “seems eminently sensible and I don’t have any issues at all” (14 November 2024).
- 6.3 Councillor Broadbank (Starbeck) advised that he “supports the changes being proposed” (16 November 2024).
- 6.4 Councillor Timothy (Stray, Woodlands and Hookstone) advised that the proposals “seem perfectly sensible to make that area safer and more navigable”.

6.5 Local members comments in respect of the objections received have been sought. Cllr Andrew Timothy (in response to the objection in the Stray division) has indicated his continued support for the restrictions as proposed, commenting "It is my view that parking on junctions is dangerous, and that measures to prevent it are entirely justified. While I share (the objectors) concerns that the core issue is insufficient staff parking at Harrogate Hospital, that is not a reason not to bring measures to prevent dangerous parking. As I have previously expressed to highways officers, there is serious demand for a review of parking all across the "Saints" estate, so I am supportive of the proposed measures". Councillor Broadbank, in response to the objection at Pearl Street/ The Avenue has advised that "I support the proposed traffic orders you have drafted".

6.6 Any comments received between the report completion and Executive Member Director/ Member meeting will be reported verbally at the meeting.

7.0 ALTERNATIVE OPTIONS CONSIDERED

7.1 Set aside the proposals where objections have been received; This is not a viable option for residents and road users already affected by the indiscriminate parking in the identified areas.

8.0 IMPACT ON OTHER SERVICES/ORGANISATIONS

8.1 Any restrictions approved and subsequently introduced in the enabling TRO would need to be enforced by the Council's Parking Services team. Restrictions already apply in the immediate locality of all of the proposal restrictions, and it would therefore be considered to be business as usual and minimal impact upon officer time and resources.

9.0 FINANCIAL IMPLICATIONS

9.1 Funding is available from the existing Highways Area 6 'Signs, Lines and TRO' budget to support the installation of all of the measures detailed in this report which are estimated to be in the region of £5,000.

10.0 LEGAL IMPLICATIONS

10.1 The process for the consideration of objections to TROs was approved by the Executive on 29 April 2014 and County Council on 21 May 2014. The consideration of objections to TROs is now a matter for the Executive and the role of the Area Constituency Committee is changed to a consultative role on wide area impact TROs.

10.2 The consideration of objections has been delegated by the Executive to the Corporate Director of Environment in consultation with the Executive Member for Highways and Transportation. The decision-making process relates to the provision and regulation of parking places both off and on the highway where an objection is received from any person or body entitled under the relevant statute. A wide area impact TRO is classed as a proposal satisfying all of the three criteria set out below:

- The proposal affects more than one street or road and.
- The proposal affects more than one community and.
- The proposal is located within the ward of more than one Councillor.

10.3 Since the objections received only relate to three individual locations, this is not considered to qualify as a wide area impact TRO and hence the Area Constituency Committee's views have not been sought.

- 10.4 In the event that the Executive Member and Corporate Director of Environment resolve to follow the recommendations contained in this report, then in accordance with the Local Authorities' Traffic Orders (Procedure) (England and Wales) Regulations 1996, the Council will be required to make a Traffic Regulation Order (with or without modifications) and publish a notice of making the Order in the local press. The Council will also be required to notify the objectors of its decision and the reasons for making that decision within 14 days of the Order being made.
- 10.5 Where an Order has been made (i.e. sealed), if any person wishes to question the validity of the Order or any of its provisions on the grounds that it or they are not within the powers conferred by the Road Traffic Regulation Act 1984, or that any requirement of the 1984 Act or of any instrument made under the 1984 Act has not been complied with, they may apply to the High Court within six weeks from the date on which the Order is made.
- 10.6 In recommending the implementation of the proposed TRO, officers consider that it will enable the Council to comply with its duty under Section 122 of the Road Traffic Regulation Act 1984 and Section 16 of the Traffic Management Act 2004 to secure the expeditious, convenient and safe movement of vehicular and other traffic (including pedestrians) and the provision of suitable and adequate parking facilities on and off the highway.
- 10.7 Regulation 9 of the Local Authorities' Traffic Orders (Procedure) (England and Wales) Regulations 1996 outlines the circumstances in which the Council would be required to hold a Public Inquiry. The Council has satisfied its duty and determined that the proposals do not include any restrictions on loading and unloading, therefore paragraph 3 of Regulation 9 does not apply in this regard. There were also relatively few objections received, therefore the Council considers that the holding of a public inquiry would not be proportionate in terms of timescale, officer time and the costs to public resources in this case.

11.0 EQUALITIES IMPLICATIONS

- 11.1 Consideration has been given to the potential for any equality impacts arising from the recommendation. It is the view of officers that the recommendation does not have an adverse impact on any of the protected characteristics identified in the Equalities Act 2010.
- 11.2 The proposal does restrict the opportunity for drivers, including disabled drivers, to park on-street near to their properties. Blue Badge holders can park on yellow line waiting restrictions (either single or double) for up to 3 hours where and when it is safe to do so. Parking, particularly if it is on or partly on the footway or close to junctions where dropped/wheelchair crossing points are construct, does cause access difficulties for pedestrians. There are wheelchair users and others with limited mobility in the area and the proposal seeks to improve access for them as well as others.
- 11.3 A screening form has been included in Appendix A.

12.0 CLIMATE CHANGE IMPLICATIONS

- 12.1 Consideration has been given to the potential for any adverse Climate Change impacts arising from the recommendation. It is the view of officers that the recommendation does not have an adverse impact on Climate Change. A copy of the Initial Climate Change Impact Assessment decision form is attached as Appendix B

13.0 REASONS FOR RECOMMENDATIONS

- 13.1 The locations where objections have been received have been the subject of representation from local residents and former elected members seeking road safety improvements to deal with indiscriminate parking in specific local areas, which prompted assessments and investigations by highways officers prior to proposals being developed, consulted upon and formally advertised.

- 13.2 Whilst it is acknowledged that the proposal will have an impact on the objectors, it is considered that the proposed measures will result in an improvement for the local community and the wider road user, if implemented. These improvements mainly relate to highway safety, namely:
- a. Regulating parking arrangements and reducing accident potential at selection locations.
 - b. ensuring the availability of forward visibility for motorists negotiating junctions and areas of on-street parking; and
 - c. ensuring access for and the free flow of all traffic using the carriageway, including for emergency service vehicles.

14.0 RECOMMENDATIONS

- 14.1 It is recommended that (having taken into account all of the duly made representations and objections) that.
- i. The results of the consultation are noted.
 - ii. The Corporate Director of Environment, in consultation with the Executive Member for Highways and Transportation, approves the introduction of the TROs outlined in this report, having given consideration to the site where objections have been lodged and the officers' comments and recommendations in response to those objections.
 - iii. Officers ensure that the objectors are notified of the decision and the reasons for making that decision within 14 days of the Traffic Regulation Order being made as set out in Section 10.4 of this report.

APPENDICES:

Appendix A – Equalities screening form

Appendix B – Climate Change Impact Assessment

BACKGROUND DOCUMENTS: None

Karl Battersby
Corporate Director – Environment
County Hall
Northallerton
09 September 2025

Report Author: Paul Ryan, Project Engineer, Area 6 Boroughbridge

Presenter of Report: Melisa Burnham/ Heather Yendall, Area Manager, Area 6 Boroughbridge

Equality impact assessment (EIA) form: evidencing paying due regard to protected characteristics.

(Form updated October 2023)

Consideration of Objections – North Yorkshire Council (Harrogate, Knaresborough, Pannal and Burn Bridge) (Parking and Waiting) (No.58) Order 2025

If you would like this information in another language or format such as Braille, large print or audio, please contact the Communications Unit on 01609 53 2013 or email communications@northyorks.gov.uk.

যদি আপনি এই ডকুমেন্ট অন্য ভাষায় বা ফরমেটে চান, তাহলে দয়া করে আমাদেরকে বলুন।

如欲索取以另一語文印製或另一格式製作的資料，請與我們聯絡。

اگر آپ کو معلومات کسی دیگر زبان یا دیگر شکل میں درکار ہوں تو برائے مہربانی ہم سے پوچھئے۔



Equality Impact Assessments (EIAs) are public documents. EIAs accompanying reports going to County Councillors for decisions are published with the committee papers on our website and are available in hard copy at the relevant meeting. To help people to find completed EIAs we also publish them in the Equality and Diversity section of our website. This will help people to see for themselves how we have paid due regard in order to meet statutory requirements.

Name of Directorate and Service Area	Environment Directorate – Highway Operations
Lead Officer and contact details	Paul Ryan, Area 6 Highways, Boroughbridge
Names and roles of other people involved in carrying out the EIA	N/A
How will you pay due regard? e.g. working group, individual officer	Individual Officer
When did the due regard process start?	August 2025

Section 1. Please describe briefly what this EIA is about. (e.g. are you starting a new service, changing how you do something, stopping doing something?)

Introduction of waiting restrictions at various locations in Harrogate, aimed to improving road safety, regulating parking arrangements and behaviour and reducing accident potential for residents, pedestrians and highway users caused by indiscriminate parking.

Section 2. Why is this being proposed? What are the aims? What does the authority hope to achieve by it? (e.g. to save money, meet increased demand, do things in a better way.)

Indiscriminate parking, largely by local residents or by staff commuter parking in residential areas has resulted in difficulties for other residents accessing off-street parking and the passage of through traffic being restricted. The proposals aim to resolve localised parking issues arising for poor parking behaviour

Section 3. What will change? What will be different for customers and/or staff?

Selective lengths of waiting restrictions introduced in localised areas.

Section 4. Involvement and consultation (What involvement and consultation has been done regarding the proposal and what are the results? What consultation will be needed and how will it be done?)

Proposals were advertised in the local press and by means of notices erected on street for public comment in line with statutory legislation and guidance. Direct consultation also undertaken with statutory bodies, key stakeholders and road user groups. Two objections have been received to two of the proposals advertised within the Order which are subject to consideration in this report.

Section 5. What impact will this proposal have on council budgets? Will it be cost neutral, have increased cost or reduce costs?

There is a cost associated with the implementation of the waiting restrictions (yellow lines) and funding is available from the existing 'Signs, Lines and TROs' budget, held by the local Area 6 Highways office.

Section 6. How will this proposal affect people with protected characteristics?	No impact	Make things better	Make things worse	Why will it have this effect? Provide evidence from engagement, consultation and/or service user data or demographic information etc.
Age		✓		Introduction of waiting restrictions will improve highway safety for all road users.
Disability	✓			It is not envisaged that the proposals will have any adverse effect on disabled badge holders/ disabled persons.
Sex		✓		Introduction of waiting restrictions will improve highway safety for all road users.
Race		✓		Introduction of waiting restrictions will improve highway safety for all road users.
Gender reassignment		✓		Introduction of waiting restrictions will improve highway safety for all road users.
Sexual orientation		✓		Introduction of waiting restrictions will improve highway safety for all road users.
Religion or belief		✓		Introduction of waiting restrictions will improve highway safety for all road users.
Pregnancy or maternity		✓		Introduction of waiting restrictions will improve highway safety for all road users.

Marriage or civil partnership		✓		Introduction of waiting restrictions will improve highway safety for all road users.
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Section 7. How will this proposal affect people who...	No impact	Make things better	Make things worse	Why will it have this effect? Provide evidence from engagement, consultation and/or service user data or demographic information etc.
live in a rural area?	✓			The proposals are within the urban area of Harrogate
have a low income?		✓		Introduction of waiting restrictions will improve highway safety for all road users.
are carers (unpaid family or friend)?		✓		Introduction of waiting restrictions will improve highway safety for all road users.
are from the Armed Forces Community		✓		Introduction of waiting restrictions will improve highway safety for all road users.

Section 8. Geographic impact – Please detail where the impact will be (please tick all that apply)	
North Yorkshire wide	
Craven	
Hambleton	
Harrogate	✓
Richmondshire	
Ryedale	
Scarborough	
Selby	
If you have ticked one or more areas, will specific town(s)/village(s) be particularly impacted? If so, please specify below.	
The impact of the proposed restrictions is confined to localised areas of Harrogate only.	

Section 9. Will the proposal affect anyone more because of a combination of protected characteristics? (e.g. older women or young gay men) State what you think the effect may be and why, providing evidence from engagement, consultation and/or service user data or demographic information etc.
<p>The proposal does restrict the opportunity for drivers, including disabled drivers, to park on-street near to their properties. Blue Badge holders can park on yellow line waiting restrictions (either single or double) for up to 3 hours where and when it is safe to do so. Parking, particularly if it is on or partly on the footway or close to junctions where dropped/ wheelchair crossing points are construct, does cause access difficulties for pedestrians. There are wheelchair users and others with limited mobility in the area and the proposal seeks to improve access for them as well as others.</p>

<p>Section 10. Next steps to address the anticipated impact. Select one of the following options and explain why this has been chosen. (Remember: we have an anticipatory duty to make reasonable adjustments so that disabled people can access services and work for us)</p>	<p>Tick option chosen</p>
<p>1. No adverse impact - no major change needed to the proposal. There is no potential for discrimination or adverse impact identified.</p>	<p>✓</p>
<p>2. Adverse impact - adjust the proposal - The EIA identifies potential problems or missed opportunities. We will change our proposal to reduce or remove these adverse impacts, or we will achieve our aim in another way which will not make things worse for people.</p>	
<p>3. Adverse impact - continue the proposal - The EIA identifies potential problems or missed opportunities. We cannot change our proposal to reduce or remove these adverse impacts, nor can we achieve our aim in another way which will not make things worse for people. (There must be compelling reasons for continuing with proposals which will have the most adverse impacts. Get advice from Legal Services)</p>	
<p>4. Actual or potential unlawful discrimination - stop and remove the proposal – The EIA identifies actual or potential unlawful discrimination. It must be stopped.</p>	
<p>Explanation of why option has been chosen. (Include any advice given by Legal Services.)</p> <p>The proposal to introduce waiting restrictions at various locations in Harrogate aim to improve road safety, reducing accident potential at select locations and regulate parking arrangements and will benefit all road users. Only two objections have been received at two sites and do not reference disabled users or any other characteristics, though it is accepted the proposals does reduce on-street parking opportunity across short distances at select locations. Alternative unrestricted and restricted parking is available short distances from the proposed measures.</p> <p>It is recommended to continue with the proposal as designed and consulted upon.</p>	

<p>Section 11. If the proposal is to be implemented how will you find out how it is really affecting people? (How will you monitor and review the changes?)</p>
<p>Feedback from local residents, local members and the Harrogate Town Council. Officers also continue to monitor the effect of new parking and waiting restrictions for some months after implementation.</p>

<p>Section 12. Action plan. List any actions you need to take which have been identified in this EIA, including post implementation review to find out how the outcomes have been achieved in practice and what impacts there have actually been on people with protected characteristics.</p>				
Action	Lead	By when	Progress	Monitoring arrangements
Implement the introduction/ extension of waiting restrictions as proposed	Paul Ryan	Within 3 months of a decision by the Corporate Director/ Executive Member		Assess any feedback from residents, local member and Town Council and observe impact of scheme

<p>Section 13. Summary Summarise the findings of your EIA, including impacts, recommendation in relation to addressing impacts, including any legal advice, and next steps. This summary should be used as part of the report to the decision maker.</p>

The proposal to introduce waiting restrictions at various locations in Harrogate aim to improve road safety, reducing accident potential at select locations and regulate parking arrangements and will benefit all road users. Only two objections have been received at two sites and do not reference disabled users or any other characteristics, though it is accepted the proposals does reduce on-street parking opportunity across short distances at select locations. Alternative unrestricted and restricted parking is available short distances from the proposed measures.

Set aside the proposals where objections have been received; This is not a viable option for residents and road users already affected by the indiscriminate parking in the identified areas.

It is recommended to continue with the proposal as designed and consulted upon.

Section 14. Sign off section

This full EIA was completed by:

Name: Paul Ryan

Job title: Project Engineers

Directorate: Environment

Signature: Paul Ryan

Completion date: 28 August 2025

Authorised by relevant Assistant Director (signature): Barrie Mason

Date: 15 September 2025

Initial Climate Change Impact Assessment (Form created August 2021)

The intention of this document is to help the council to gain an initial understanding of the impact of a project or decision on the environment. This document should be completed in consultation with the supporting guidance. Dependent on this initial assessment you may need to go on to complete a full Climate Change Impact Assessment. The final document will be published as part of the decision-making process. If you have any additional queries, which are not covered by the guidance please email climatechange@northyorks.gov.uk

Title of proposal	Consideration of Objections – North Yorkshire Council (Harrogate, Knaresborough, Pannal and Burn Bridge) (Parking and Waiting) (No.58) Order 2025
Brief description of proposal	Proposed waiting restrictions at various locations, Harrogate
Directorate	Environment
Service area	Highway Operations
Lead officer	Paul Ryan
Names and roles of other people involved in carrying out the impact assessment	John Ward-Campbell

The chart below contains the main environmental factors to consider in your initial assessment – choose the appropriate option from the drop-down list for each one.

Remember to think about the following;

- Travel
- Construction
- Data storage
- Use of buildings
- Change of land use
- Opportunities for recycling and reuse

Environmental factor to consider	For the council	For the county	Overall
Greenhouse gas emissions	No effect on emissions	No Effect on emissions	No effect on emissions
Waste	No effect on waste	No effect on waste	No effect on waste
Water use	No effect on water usage	No effect on water usage	No effect on water usage
Pollution (air, land, water, noise, light)	No effect on pollution	No effect on pollution	No effect on pollution
Resilience to adverse weather/climate events (flooding, drought etc)	No effect on resilience	No effect on resilience	No effect on resilience
Ecological effects (biodiversity, loss of habitat etc)	No effect on ecology	No effect on ecology	No effect on ecology
Heritage and landscape	No effect on heritage and landscape	No effect on heritage and landscape	No effect on heritage and landscape

If any of these factors are likely to result in a negative or positive environmental impact then a full climate change impact assessment will be required. It is important that we capture information about both positive and negative impacts to aid the council in calculating its carbon footprint and environmental impact.

Decision (Please tick one option)	Full CCIA not relevant or proportionate:	✓	Continue to full CCIA:	
Reason for decision	The proposal will have limited impact			
Signed (Assistant Director or equivalent)	Barrie Mason			
Date	15 September 2025			

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North Yorkshire Council

Environment Executive Members

26 September 2025

Section 19 Investigation Report on the 06 May 2024 Flood Event in Knaresborough

Report of the Assistant Director Highways and Infrastructure

1.0 PURPOSE OF REPORT

- 1.1 To inform the Corporate Director of Environment, in consultation with the Executive Member for Highway and Transportation of the response of Risk Management Authorities to the significant flood event that affected Knaresborough on 06 May 2024.
- 1.2 To seek the approval of the Corporate Director of Environment, in consultation with the Executive Member for Highway and Transportation for the publication of the Section 19 Flood Investigation Report on the NYC website

2.0 BACKGROUND

- 2.1 Section 19 of the Flood and Water Management Act (2010) (FWMA) requires Lead Local Flood Authorities (LLFA's) to investigate flooding incidents.
- 2.2 When a flooding incident has occurred, the Act requires LLFA's to investigate which Risk Management Authorities have relevant flood risk management functions, and whether each of those Risk Management Authorities has exercised, or is proposing to exercise, those functions in response to the flood. Where a LLFA carries out an investigation, it is required to publish the results of its investigation and notify any relevant Risk Management Authorities.
- 2.3 North Yorkshire Council's Flood Risk Management Team investigates all reported incidents of flooding accordingly, in a manner proportionate to the specific characteristics of the incident. The nature of the investigation may vary from a site visit and a data collection exercise, allowing officers to understand responsibilities and any action required by the relevant Risk Management Authorities, to a more formal investigation to be published under the FWMA (2010).
- 2.4 The NY Flood Risk Strategy identifies the characteristics of a flood incident to be used to determine whether or not it is appropriate to undertake a formal Section 19 Investigation in the aftermath of a flood, these are listed below:
- Level of support and engagement from other Risk Management Authorities
 - Number of properties internally flooded
 - The depth, area or velocity of flooding reported
 - The frequency of flooding in a given location
 - The nature or extent of critical infrastructure impacted by the flood
 - The nature or source of requests for an investigation received by NYCC
 - Whether the flood relates to a known issue

2.5 If an event fulfils one or more of these criteria, a formal investigation is progressed accordingly, and application of this principle has led to the undertaking of formal section 19 investigations concerning the event on 6th May 2024 in Knaresborough.

3.0 THE NYC SECTION 19 REPORT PROCESS

3.1 The information contained in the reports is collected through requests for data to all relevant risk management authorities, using the lead local flood authority powers under section 14 of the flood and water management act (2010).

3.2 In the period following the flooding, the flood risk management team were on hand working remotely from the Chain Lane Community Hub in partnership with the Resilience and Emergencies Team to assist and talk to residents about their experiences and to offer guidance and advice on the next steps of the investigation process.

3.3 As part of the emergencies and resilience leaflet drop to all the households, details of the investigation and contact details for the flood risk management team were shared, along with our presence at the Chain Lane Hub. A number of residents responded to our call for evidence by completing the post flood incident questionnaire and a number submitted further comprehensive accounts of the flooding.

3.4 Firsthand accounts were all taken into consideration within the report to ensure the shared concerns of the community were answered.

3.5 North Yorkshire Councillors and the Town Council representing the affected areas were also given opportunity to peruse the draft report and ensure that the content accurately reflected local understanding, where first hand evidence had been submitted, and were invited to a meeting to ask any further questions arising from the information in it.

3.6 The relevant Risk Management Authorities identified within the report have had sight of the final draft of the report and the opportunity to comment, prior to its publication.

3.7 The report is also to be presented to the Harrogate and Knaresborough Area Committee on 25 September 2025.

4.0 PUBLICATION OF THE REPORT

4.1 The full report is included as Appendix A to this report. Subject to approval, the report will be published on our website in accordance with our Local Flood Risk Management Strategy and as required by Section 19(2)(a) of the FWMA.

4.2 Once published, the report may be accessed by following the link - <http://www.northyorks.gov.uk/floodinvestigations>

5.0 FUTURE ACTION

5.1 The following recommendations are made as a result of the conclusions of the Section 19 report:

- i. Subject to funding eligibility, the LLFA to assess the potential for property level resilience in areas where multiple properties (including Businesses) are at risk from repeated events.
- ii. All risk management authorities to continue responsive service within the Knaresborough area.
- iii. Yorkshire Water to consider and implement appropriate options to manage the frequency and impact of surcharging of foul drainage on Park Avenue.

- iv. Yorkshire Water to continue to progress their Development and Wastewater Management Plans (DWMP).
- v. Where opportunities are identified either through the DWMP, or Combined Sewer Overflow Reduction plans and where funding sources are identified, YW and NYC to work collaboratively to maximise opportunities to separate surface water and foul drainage by promoting the use of Sustainable Drainage Systems (SuDS) to reduce the impacts of flooding.
- vi. All risk management authorities to work with the communities to encourage and promote improved level of resilience. With the impacts of climate change becoming ever clearer, it is critical that communities play an active role in helping themselves to be resilient to the increasingly prevalent risk of flooding.

6.0 FINANCIAL IMPLICATIONS

- 6.1 There are no financial implications in publishing the report which is a statutory obligation. The report authors are existing Full Time Employees (FTE) within the LLFA team and costs absorbed as part of the team costs as officer time. The recommendations arising from the report are subject to available funding. If and when any grant funding is made available, NYC will need to review and potentially re-prioritise its flood risk capital programme once full funding requirements are known.
- 6.2 Whilst there is no guarantee of success, it is NYC's intention to bid for Grant in Aid and Local Levy funding to meet the costs of taking forward some of the recommendations.

7.0 LEGAL IMPLICATIONS

- 7.1 This report and its recommendations are consistent with the discharge of the Council's duty to investigate flooding as set out in the Flood and Water Management Act 2010 and the Local Flood Risk Management Strategy.
- 7.2 Information has been requested and provided by other risk management authorities in line with its powers under Section 14 of the Flood and Water Management Act.

8.0 EQUALITIES IMPLICATIONS

- 8.1 An Equalities Impact Assessment is included as Appendix B of this report.

9.0 CLIMATE CHANGE IMPLICATIONS

- 9.1 A Climate Change Impact Assessment is included as Appendix C and it is noted that publishing the Flood Investigation Report will help to improve the preparedness and resilience of the community to future flooding. Climate change predictions indicating that these type of storm events will become more frequent, so it is critical that communities play an active role in building resilience to the increasingly prevalent risk of flooding.

10.0 REASONS FOR RECOMMENDATIONS

- 10.1 To provide a narrative and historical record of the events of 6th May 2024 in Knaresborough, and make recommendation on future work to improve the preparedness and resilience of the communities to flooding, whilst ensuring compliance with NYCs statutory obligation under the Flood and Water Management Act 2010

11.0 RECOMMENDATION(S)

- 11.1 It is recommended that the Corporate Director of Environment, in consultation with the Executive Member for Highway and Transportation:
- i) Note the content of the Section 19 report and the response of Risk Management Authorities to the significant flood event that affected Knaresborough on 6th May 2024 and the future action recommended improve the preparedness and resilience of the community to future flooding.
 - ii) Approve the publication of the Section 19 Report on the Council’s website

APPENDICES:

- Appendix A – Section 19 Flood Investigation Report - Knaresborough
- Appendix B – EIA Screening Form
- Appendix C – Climate Change

Barrie Mason
Assistant Director– Highways and Infrastructure
County Hall
Northallerton
17/09/2025

Report Author – Finlay Kell, Lead Local Flood Authority Engineer and Meirion Jones, Lead Local Flood Authority Team Leader
Presenter of Report – Meirion Jones, Lead Local Flood Authority Team Leader

Note: Members are invited to contact the author in advance of the meeting with any detailed queries or questions.



Flood Investigation Report

Knarborough 06 May 2024

Acknowledgements

North Yorkshire Council Lead Local Flood Authority would like to thank the following for their cooperation and assistance in this investigation:

Chain Lane Community Hub

Knaresborough Town Council

North Yorkshire Councilors

Yorkshire Water Services Ltd

North Yorkshire Council Highways Department

North Yorkshire Council Resilience & Emergencies Team

The Environment Agency

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Records of the public sewer system included are a facsimile of the statutory record provided by Yorkshire Water Services Ltd (YWSL). For the purposes of this report minor sewers and other non-relevant data have been omitted from the plans for clarity

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DRAFT

1.0 Executive summary

On the 6th of May 2024 over 50 homes and businesses were flooded during a severe localised weather event in Knaresborough. The local community banded together with the help of the Chain Lane Community Hub to act as community anchor for residents to receive aid and temporary housing arrangements, along with working the LLFA to feed information of their experience so that we were able to deliver this report accurately.

The report uses the best available data along with resident's accounts to inform our understanding of flood risk across Knaresborough. The assessment of risk identifies a strong correlation between the worst affected locations and areas of high and medium flood risk. It is concluded that our understanding of risk corroborates the magnitude of rainfall observed.

Approximately 54mm of rainfall fell within a 35 minute period. This exceeded the average May monthly rainfall total of 43mm in half an hour with an equivalent storm intensity return period of 516 years. In the context of current drainage design standards, drainage is designed for no above ground flooding in a 1 in 30 year event and no flooding to properties in the 1 in 100 year event. The rainfall intensity therefore far exceeded current design standards for drainage systems. The event exceeded all current reasonable worst case scenarios and was not something that could be effectively forecasted.

Significant concerns were raised by the community in relation to condition of the drainage networks and new housing developments, and the use of historical soakaway drainage. The report directly addresses each of these issues.

Knaresborough is served by a comprehensive and complex network of integrated highway and public surface water and foul sewers. As well as the considering the exceptional rainfall event, the report considers with best available data, the condition of the local drainage networks. Data relating to drainage assets has been obtained from North Yorkshire Council and Yorkshire Water to establish whether the reported concerns regarding gully maintenance and drainage system failures contributed to the extent of flooding.

This report makes several recommendations with the aim of improving preparedness, resilience and recovery of communities throughout Knaresborough, North Yorkshire. It is also recommended that every opportunity is taken to ensure that regular maintenance of existing infrastructure is undertaken to ensure that drainage systems are functioning to their full capacity and that any opportunity to explore collaborative working with Yorkshire Water on the reducing the amount of surface water entering the public sewer network is maximised. Given the event has highlighted the risk in the locations and climate change predictions indicating that these type of storm events will become more frequent; it is critical that communities also play an active role in helping themselves to be resilient to the increasingly prevalent risk of flooding.

1.1 Scope/purpose of report

This document has been prepared specifically for the purpose of meeting the requirements of Section 19 of the Flood and Water Management Act 2010.

The purpose of this report is to investigate which Risk Management Authorities (RMAs) had relevant flood risk management functions during the flooding that occurred on 6th May 2024, and whether the relevant RMAs have exercised, or propose to exercise, their risk management functions (as per section 19(1) of the Flood and Water Management Act 2010). It does not address wider issues beyond that remit.

The supporting data has been put together based on reports of flooding from a variety of sources. Whilst every effort has been made to verify the locations that were flooded, the nature of the data and the methods used to collate this information mean that it does not include every occurrence of flooding. Private individual properties which flooded are not identified in this report as it is not within the wider public interest for each individual property to be identified. This data only identifies general areas where flooding has been reported to the Lead Local Flood Authority (LLFA).

1.2 Flood and Water Management Act (2010)

In his review of the summer 2007 floods, Sir Michael Pitt recommended that local authorities should be given a duty to investigate flooding.

The Flood and Water Management Act 2010 (FWMA), defines the roles and responsibilities of 'Risk Management Authorities' and designates the unitary or upper tier authority for an area as Lead Local Flood Authority (LLFA).

The LLFA has responsibility for leading and co-ordinating local flood risk management. Local flood risk is defined as the risk of flooding from surface water runoff, groundwater and small ditches and watercourses (collectively known as ordinary watercourses). The responsibility to lead and co-ordinate the management of tidal and fluvial flood risk remains that of the Environment Agency (EA).

The Act also implements the recommendations made by Sir Michael Pitt that local authorities should have a duty to investigate flooding from all sources.

1.3 Section 19 Investigation Requirement

North Yorkshire Council (NYC), as LLFA, has a responsibility under Section 19 of the FWMA to investigate significant flood incidents in its area. Section 19 states:

(1) On becoming aware of a flood in its area, a lead local flood authority must, to the extent that it considers it necessary or appropriate, investigate —

(a) which risk management authorities have relevant flood risk management functions, and

(b) whether each of those risk management authorities has exercised, or is proposing to exercise, those functions in response to the flood.

(2) Where an authority carries out an investigation under subsection (1) it must —

(a) publish the results of its investigation, and

(b) notify any relevant risk management authorities.

Section 14 of the FWMA grants the LLFA power to request information associated with its functions. These powers have been exercised in the preparation of this report.

1.4 Trigger for Section 19 Report

The incident has been assessed in line with the criteria set out in Section 3 of the North Yorkshire Council Local Flood Risk Strategy (2023) and has been judged to warrant a formal Section 19 investigation on the basis of:

- a. The relationship with the functions of other Risk Management Authorities.
- b. Number of properties internally flooded
- c. The depth, area or velocity of flooding reported.
- d. The nature and extent of critical infrastructure impacted by the flood.

2 Background

2.1 Location of this investigation

This section of the report presents an analysis of the location of the properties impacted by the flooding and provides a brief assessment of the current understanding of flood risk at these locations. The understanding of flood risk is based on the best currently available data. This data is publicly available, and links provided below.

Flooding incidents were recorded at 51 private residences and 4 businesses during the event on the 6th May 2025. A map is shown below (Figure 1) that highlights the areas that were affected to show the clear scale and distribution of the incident within Knaresborough.

In general, the recorded incidents are distributed across Knaresborough, with clear areas of clustered properties and business affected. There are also several isolated incidents where a single property has reported flooding. To avoid going into granular detail that would identify and risk publishing details of individual properties, this report will focus on areas where individual properties will be more difficult to identify. This is consistent with our flood risk management strategy response to investigating flood incidents. We will address the issues affecting individual properties on a case by case basis with the property owners. Based on the clustering of properties in Figure 1 and shared concerns raised at each location, the report will cover in more specific detail the areas of Park Avenue, Orchard Close and Halfpenny Lane, St Margaret's Gardens, Queen's Road, Dentdale Drive, Lundale Avenue and Cotterdale Close.

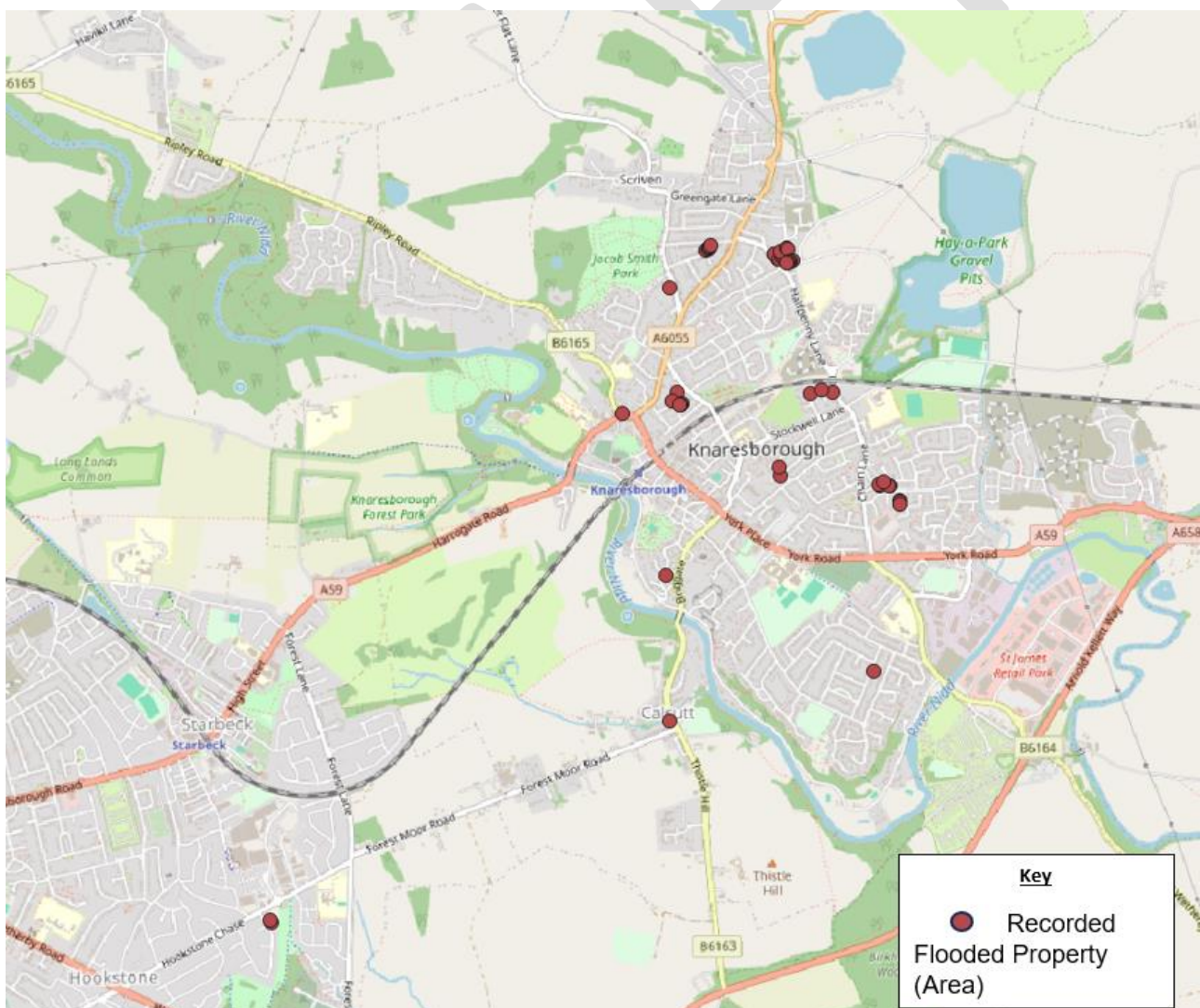


Figure 1: Recorded internal flooding locations

2.2 Understanding of Risk

This section aims to use the best available data to establish our current understanding of flood risk across Knaresborough, specifically around the area where internal flooding has been reported.

The flood map for planning, is a publicly available tool for reviewing flood risk from rivers and the sea. The flood map for planning is available to see online at <https://flood-map-for-planning.service.gov.uk/>

The flood map for planning provides the best available information on fluvial and tidal flooding. It is largely based on modelled data and the information it therefore provides is indicative of the expected flood extent. The information is not sufficiently detailed to demonstrate risk at individual property level, primarily because the Environment Agency do not hold details about properties and their door thresholds and floor levels. Properties with higher floor levels may not always face the same chance of flooding as the areas that surround them. The mapping is also limited to watercourses with a catchment area generally greater than 2km². This means that some of the smaller watercourses may not have an indicative flood extent recorded on the system.

It should also be noted that locations may also be at risk from other sources of flooding, such as overland (surface water) runoff from heavy rain, or failure of infrastructure such as sewers and storm drains.

Areas at risk of surface water flooding are harder to understand and demonstrate than areas at risk from tidal or fluvial flooding. Small changes such as raising or lowering a kerb can alter the way surface water flows through a town or village. Notwithstanding this, where smaller watercourses have not been included in the national generalised modelling on the flood map for planning, the risk of surface water flooding maps give an indication of flood risk based upon Lidar imaging.

Surface water risk and risk from reservoirs maps are available to see online at <https://www.gov.uk/check-long-term-flood-risk>

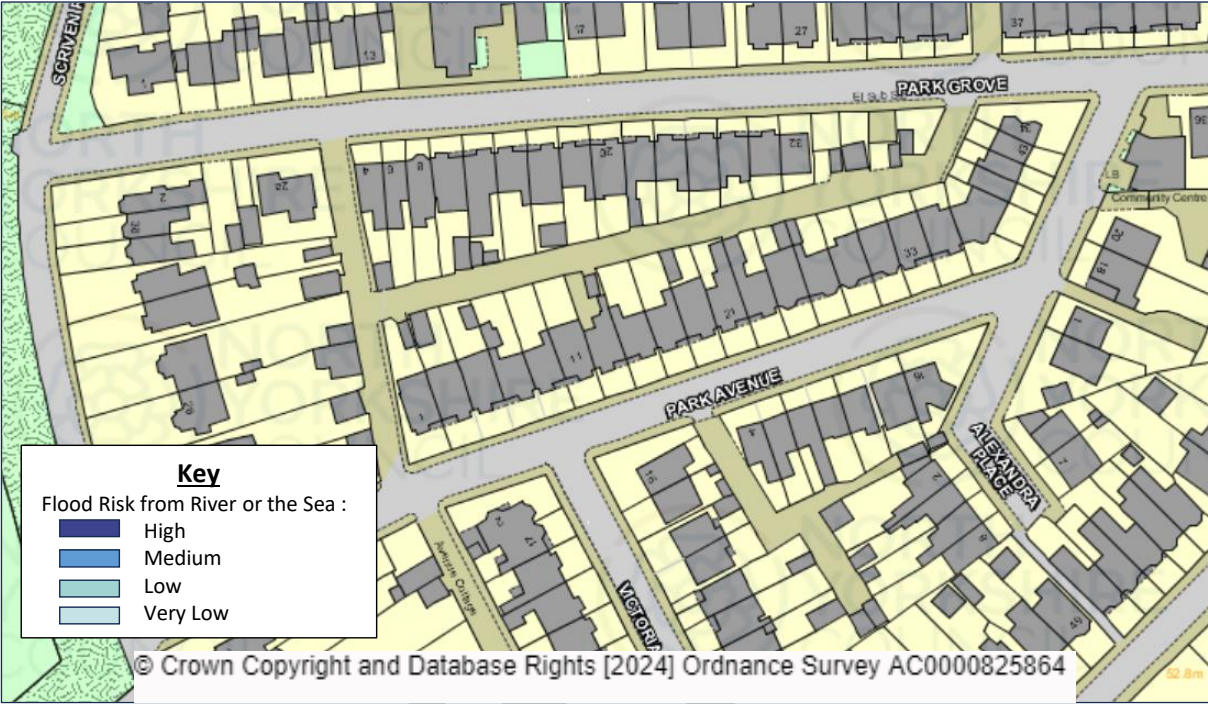
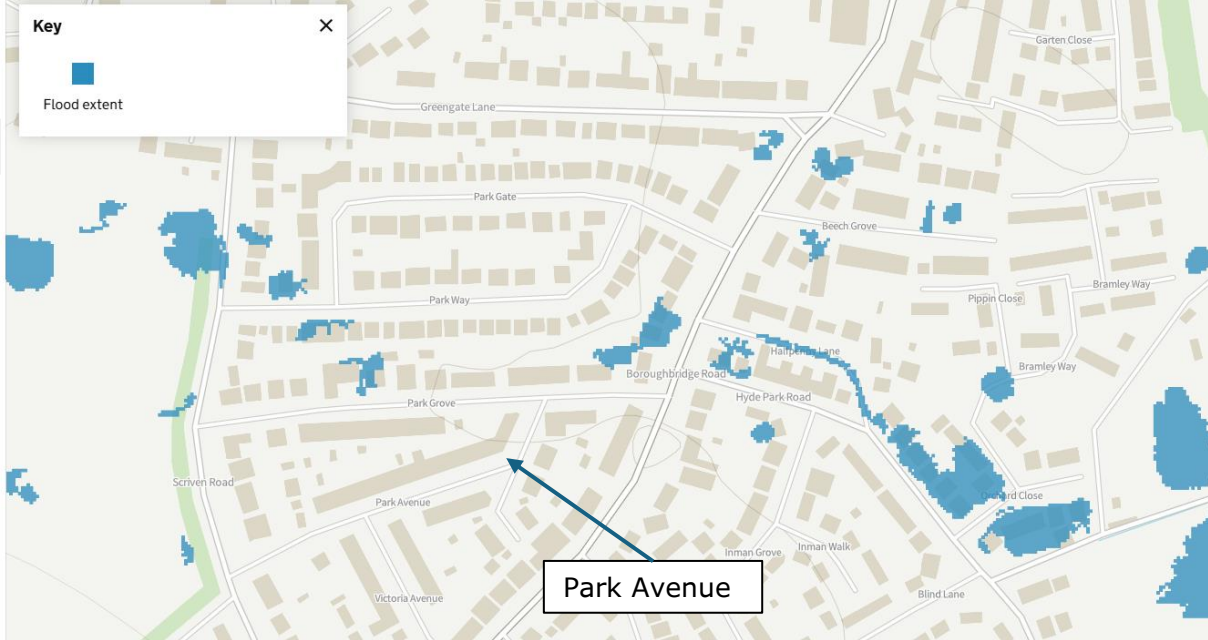
North Yorkshire Council commissioned and developed its own overland flow mapping which is based on ground levels to supplement publicly available data. The mapping was produced for the entire county and the level of detail provided is commensurate to a scale and needs of the whole county. As such the overland flow mapping does not consider the presence of drainage infrastructure and based purely on coarse ground level data. The mapping does not identify exact flow pathways but instead serves to inform of the catchment area that contributes and where flow of water may be concentrated.

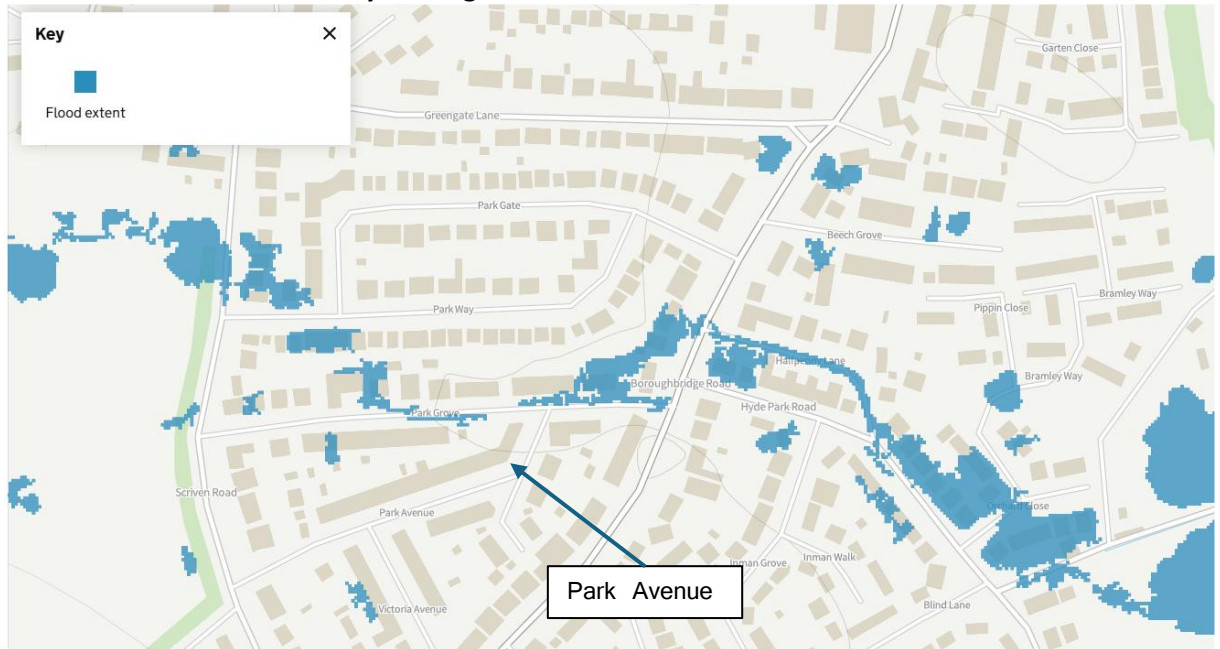
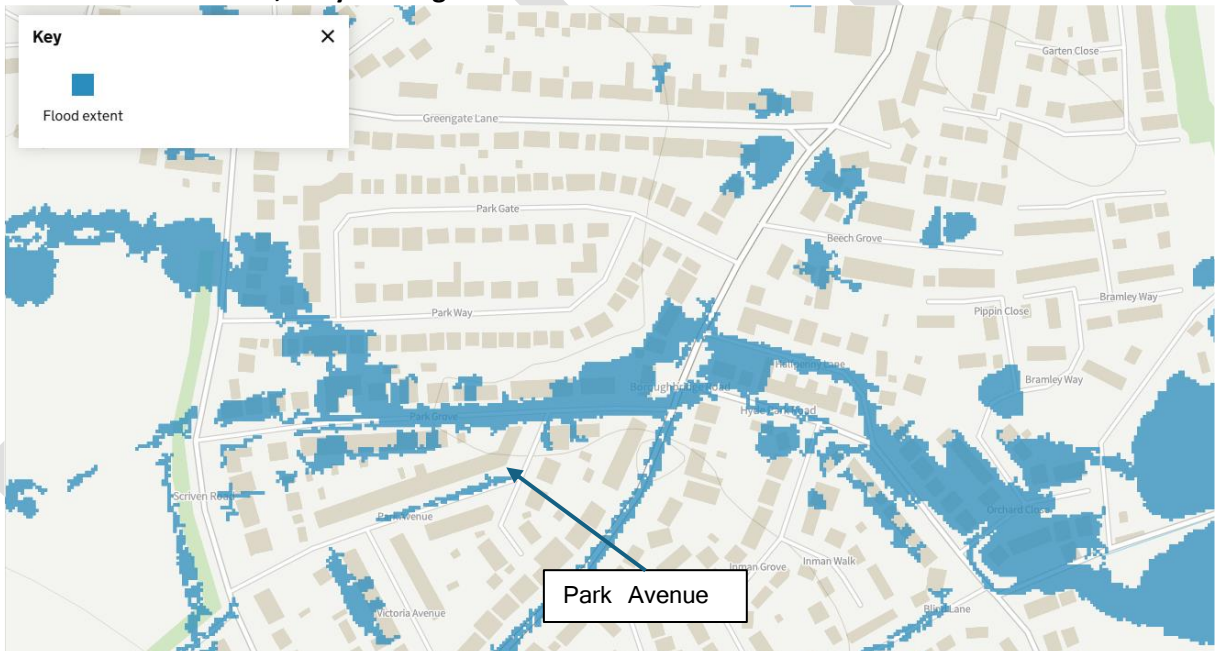
Water held and flowing within permeable rocks and within the soil below the normal ground level is termed groundwater. Groundwater flooding occurs when the level of the water in the ground – sometimes referred to as the water table - rises above the ground level, or infiltrates underground structures which are designed to be dry. Groundwater flooding would typically occur when sustained periods of heavy rainfall over several months is experienced.

An assessment of risk for each of the locations identified above is presented below.

2.2.1 Park Avenue

Table 1: Park Avenue Understanding of Flood Risk

Source of Flooding	Understanding of Risk
<p>Flood Risk from River or the Sea</p>	 <p>Key Flood Risk from River or the Sea :</p> <ul style="list-style-type: none"> High Medium Low Very Low <p>© Crown Copyright and Database Rights [2024] Ordnance Survey AC0000825864</p> <p>The properties at Park Avenue are not shown to be at risk from rivers or sea.</p>
<p>Pluvial Flood Risk (Surface Water)</p>	<p>High Likelihood - 1 in 30 year magnitude extent</p>  <p>Key X Flood extent</p> <p>Park Avenue</p>

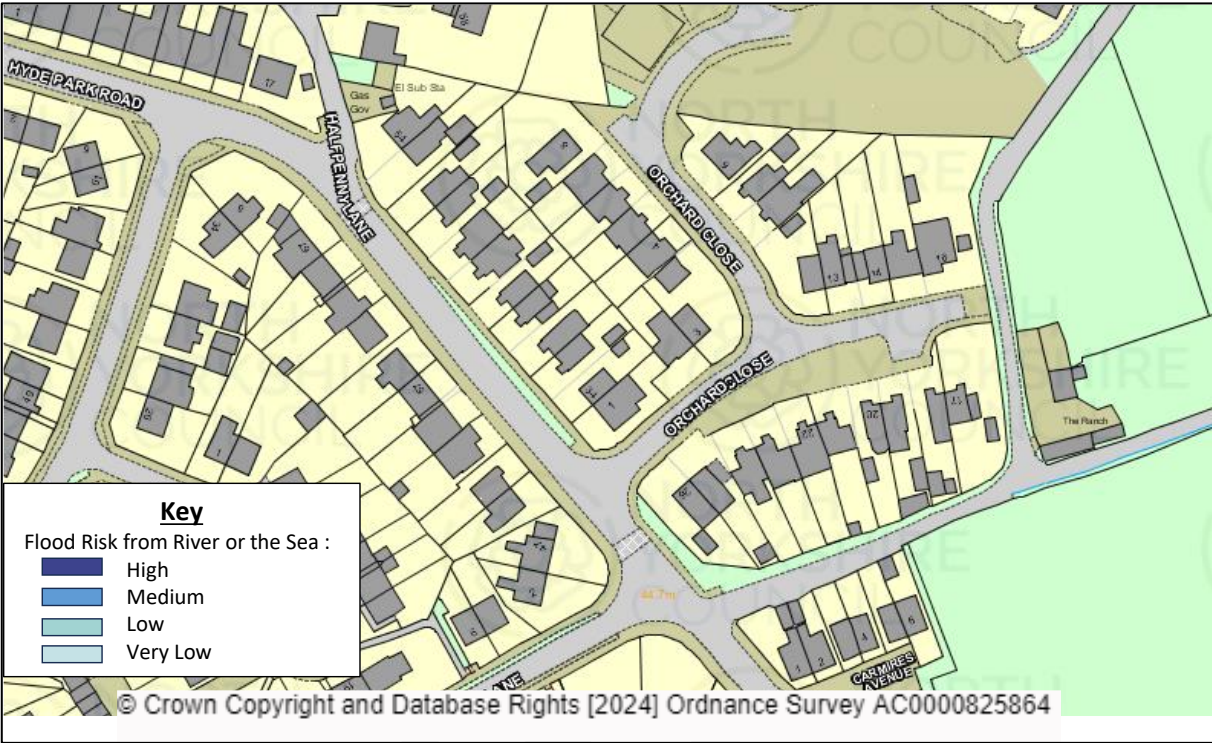

Medium Likelihood - 1 in 100 year magnitude extent**Low Likelihood - 1 in 1,000 year magnitude extent**

The Risk of Flooding from Surface Water map indicates that there are some pockets of High risk of flooding (1 in 30 year event) associated with localised low spots along Park Grove but properties along Park Avenue are not show to be at risk. In the Medium and Lower likelihood scenarios, the flood extents expand, and flow paths emerge from Jacob Smith Park and flow along Park Grove, whilst some flood extent would be expected in the 1 in 1,000 year event on Park Avenue and significant flooding on Park Grove, the properties on Park Avenue that reported flooding continue to be indicted as being very Low risk.

<p>Overland Flow Pathways</p>	<p>The overland flow pathways indicate a catchment extending beyond upstream from to Skriven Road to the south east. In an exceptional event runoff could be routed along this pathway.</p>
<p>Reservoir Flooding</p>	<p>Park Avenue is not shown to be at risk of flooding from reservoirs.</p>
<p>Flood Alert and Warning Areas</p>	<p>Park Avenue is not within any Flood Warning areas.</p>
<p>Current Flood Defences</p>	<p>There are no formal flood defences to protect Park Avenue from surface water flooding.</p>
<p>Conclusion</p>	<p>The predominant risk of flooding at Park Avenue is from Sewer and Surface Water flooding, the area is not at risk of flooding from any other source.</p>

2.2.2 Orchard Close and Halfpenny Lane

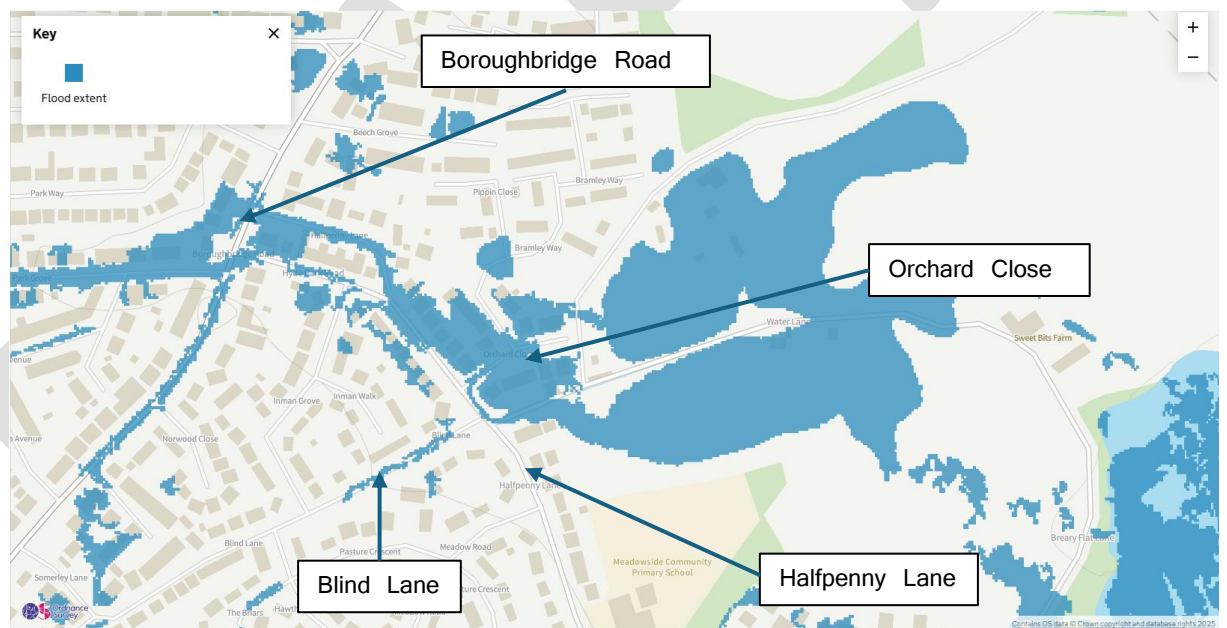
Table 2: Orchard Close and Halfpenny Lane Understanding of Flood Risk

Source of Flooding	Understanding of Risk
<p>Flood Risk from River or the Sea</p>	 <p>Key Flood Risk from River or the Sea :</p> <ul style="list-style-type: none"> High Medium Low Very Low <p>© Crown Copyright and Database Rights [2024] Ordnance Survey AC0000825864</p> <p>Orchard Close & Halfpenny Lane are shown to not be at risk from rivers or sea.</p>
<p>Pluvial Flood Risk (Surface Water)</p>	<p>High Likelihood - 1 in 30 year magnitude extent</p>  <p>Key Flood extent</p> <p>Boroughbridge Road</p> <p>Orchard Close</p> <p>Halfpenny Lane</p> <p>Blind Lane</p>

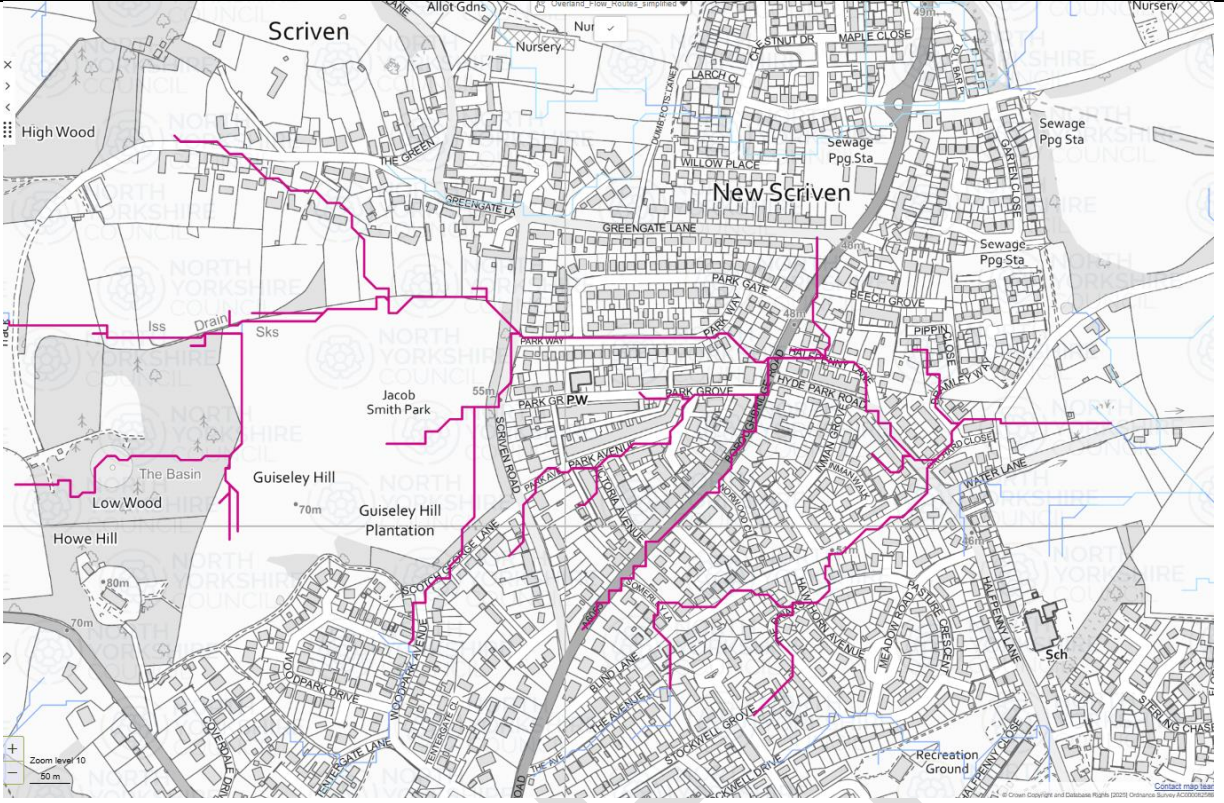
Medium Likelihood - 1 in 100 year magnitude extent



Low Likelihood - 1 in 1,000 year magnitude extent

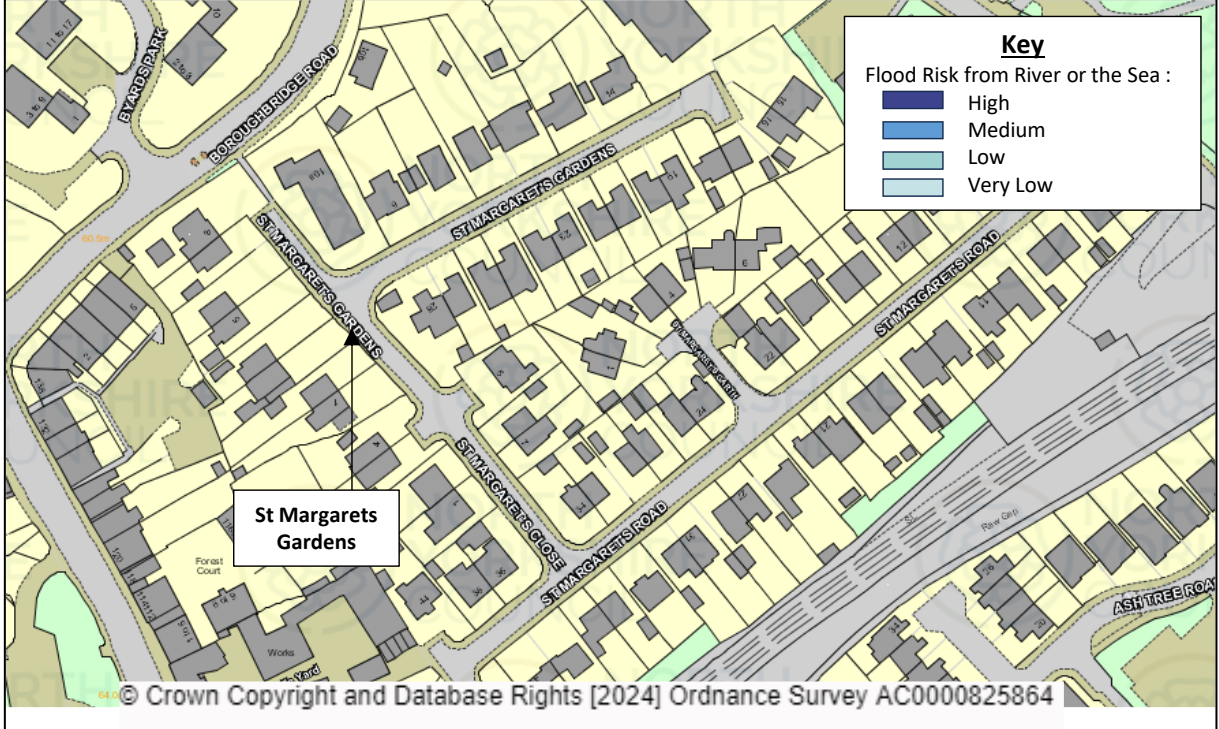
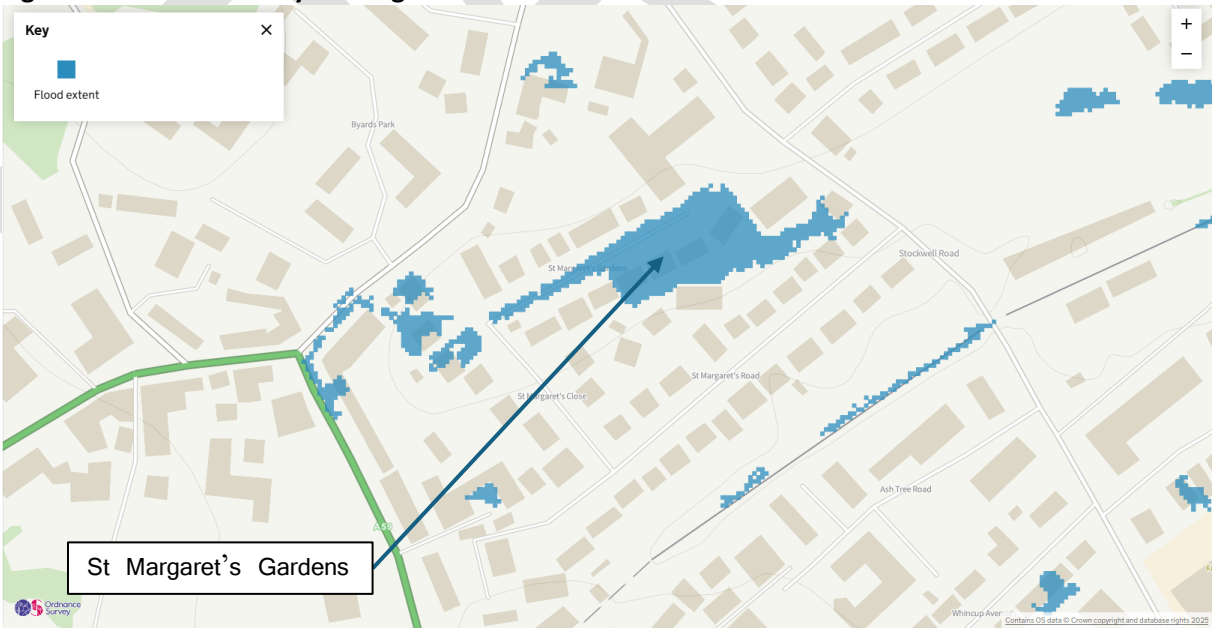


The maps identify a large number of properties within the High and Medium risk area from surface water flooding. Initially in the High risk scenarios the flooding is isolated to ponding within low spots. As the intensity increases it appears that the highways become conduits for surface water. There is a strong correlation of runoff along Park Grove, Boroughbridge Road and Blind Lane converging on Halfpenny Lane and the Orchard.

<p>Overland Flow Pathways</p>	 <p>As discussed in the surface water risk section, flood pathways are shown to emerge from beyond Boroughbridge Road and Blind Lane and converge around the area of Orchard Close. The catchment that contributes runoff to the properties on Halfpenny Lane and Orchard Close is extensive. Pathways have been identified. The sewer records indicate a surface water sewer originating from Jacob Smith Park and emerging around Water Lane before flowing into the gravel pit. This is likely to follow the course of a historical watercourse.</p>
<p>Reservoir Flooding</p>	<p>Orchard Close/Halfpenny Lane are not shown to be at risk of flooding from reservoirs.</p>
<p>Flood Alert and Warning Areas</p>	<p>The area around Orchard Close and Halfpenny Lane is not included within a flood warning area.</p>
<p>Current Flood Defences</p>	<p>There are no formal flood defences to protect Orchard Close/Halfpenny Lane from surface water flooding.</p>
<p>Conclusion</p>	<p>The primary risks of flooding to Orchard Close and Halfpenny Lane is surface water runoff or sewer flooding due to the sewer system being overwhelmed by the volume of water.</p>

2.2.3 St Margaret's Gardens

Table 3: St Margaret's Gardens: Understanding of Risk

Source of Flooding	Understanding of Risk
<p>Flood Risk from Rivers and Sea</p>	 <p>Key Flood Risk from River or the Sea :</p> <ul style="list-style-type: none"> High Medium Low Very Low <p>© Crown Copyright and Database Rights [2024] Ordnance Survey AC0000825864</p> <p>The properties at St Margaret's Gardens is shown to not be at risk from Rivers or the sea.</p>
<p>Pluvial Flood Risk (Surface Water)</p>	<p>High Likelihood - 1 in 30 year magnitude extent</p>  <p>Key Flood extent</p> <p>St Margaret's Gardens</p> <p>Contains OS data © Crown copyright and database rights 2025</p>

Medium Likelihood - 1 in 100 year magnitude extent



Low Likelihood - 1 in 1,000 year magnitude extent



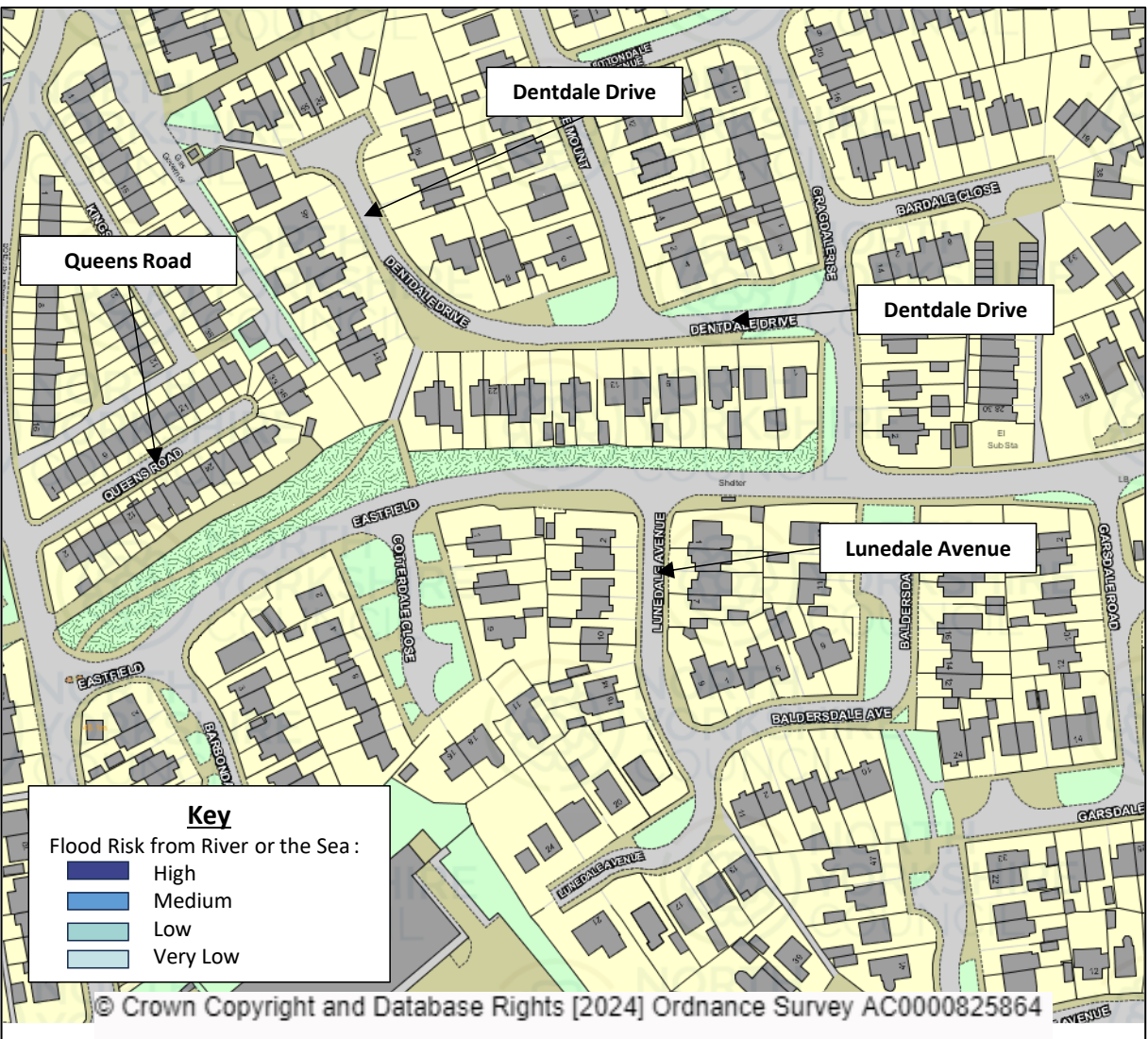
It is noted the map above shows the surface water flood risk for St Margaret's Gardens. The data presents a large area of properties that are within the High and Medium risk area from surface water flooding. The mapping in this location shows a higher number of properties at risk of flooding than reported flooding during event. It could be considered that the above flood extent and risk is conservative.

Reservoir Flooding	St Margaret's Gardens is not shown to be at risk of flooding from reservoirs.
Flood Alert and Warning Areas	St Margaret's Gardens is not located within a flood warning area.
Current Flood Defences	There are no formal flood defences to protect Orchard Close/Halfpenny Lane from surface water flooding.

Conclusion	The primary risks of flooding to St Margeret’s Close is surface water runoff or sewer flooding due to the sewer system being overwhelmed by the volume of water.
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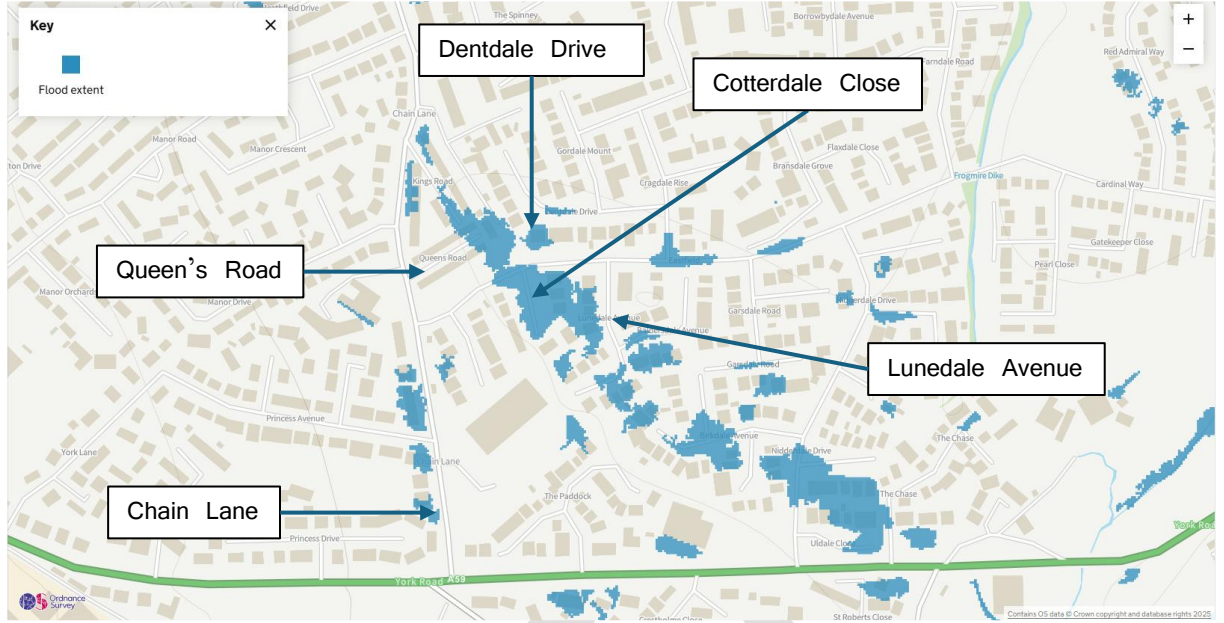
2.2.4 Queen’s Road, Dentdale Drive and Lundale Avenue

Table 4: Queen’s Road, Dentdale Drive and Lunedale Avenue: Understanding of Risk

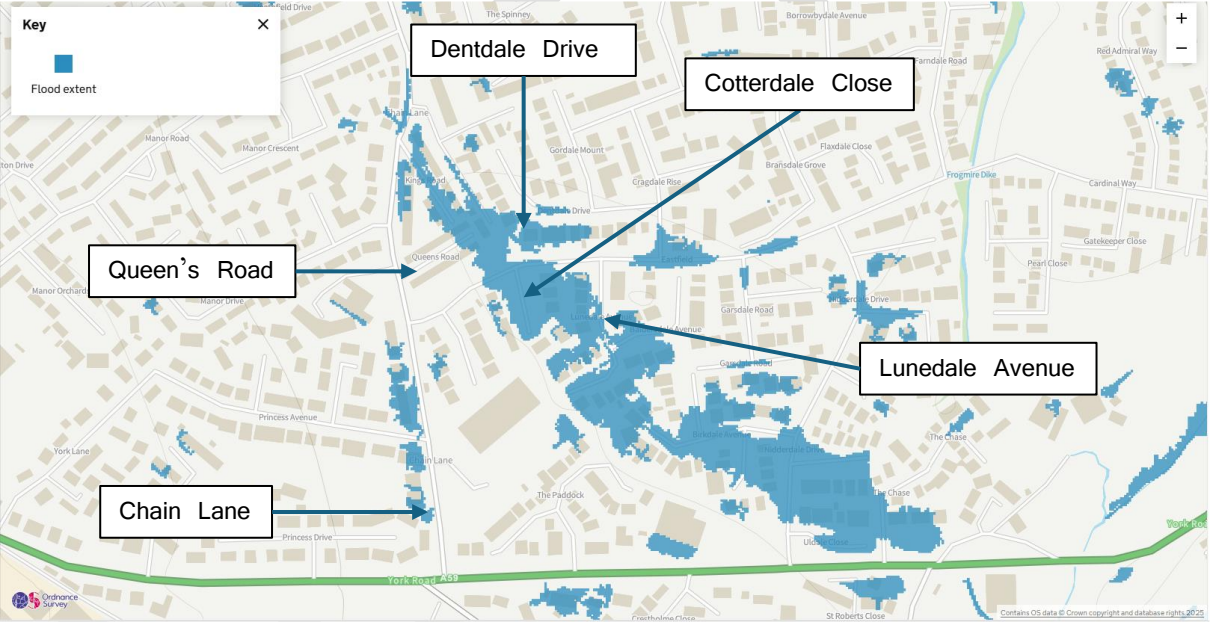
Source of Flooding	Understanding of Risk
Flood Risk from Rivers and Sea	 <p>The map displays a residential area with several streets labeled: Queens Road, Dentdale Drive, Lundale Avenue, Bardale Close, Balbersdale Ave, and Garsdale Avenue. A key in the bottom left corner indicates the flood risk levels: High (dark blue), Medium (medium blue), Low (light blue), and Very Low (very light blue). The properties at Queen's Road, Dentdale Drive, and Lundale Avenue are shown to be in the Very Low risk category.</p> <p>© Crown Copyright and Database Rights [2024] Ordnance Survey AC0000825864</p>
	<p>The properties at Queen’s Road/Dentdale Drive/Lundale Avenue are shown to not be at risk from Rivers or the sea.</p>

Pluvial
Flood Risk
(Surface
Water)

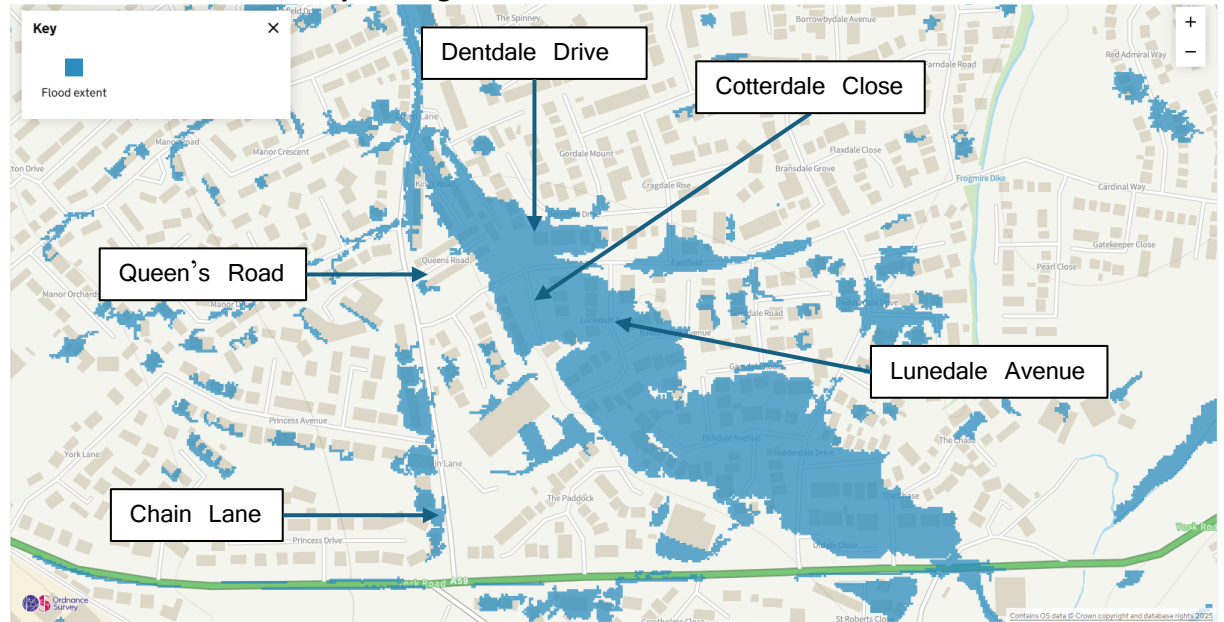
High Likelihood - 1 in 30 year magnitude extent



Medium Likelihood - 1 in 100 year magnitude extent

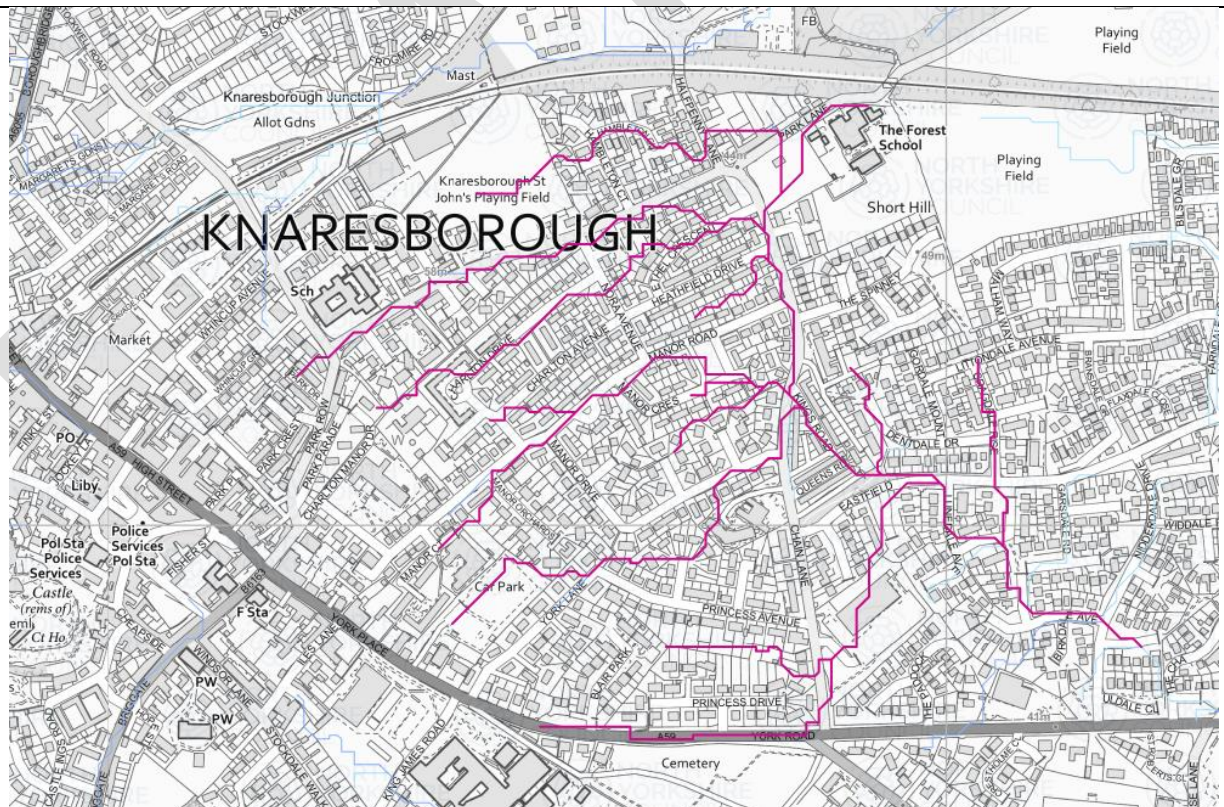


Low Likelihood - 1 in 1,000 year magnitude extent



It is noted the map above shows the surface water flood risk for Queen's Road, Dentdale Drive, Lundale Avenue and Cotterdale Close. The data presents a large area of properties that are within the High and Medium risk area from surface water flooding. The Highway is primarily within a Medium/Low risk area with some areas of the Highway being partially within a High risk area.

Overland Flow Maps



The overland flow maps demonstrate a significant catchment that contributes runoff towards the Eastfield, Cotterdale Close and Lunedale Avenue from York Road to the South to the railway line to the North. The catchment is also particularly steep generating high velocities of runoff.

Reservoir Flooding

Queen's Road, Dentdale Drive, Lunedale Avenue and Cotterdale Close are not shown to be at risk of flooding from reservoirs.

Flood Alert and Warning Areas	The area of Queen's Road, Dentdale Drive, Lundale Avenue and Cotterdale Close is not included in a flood warning area.
Current Flood Defences	There are no formal flood defences in the vicinity of Queen's Road, Dentdale Drive, Lundale Avenue and Cotterdale Close.
Conclusion	The primary risks of flooding to Queen's Road, Dentdale Drive, Lundale Avenue and Cotterdale Close is surface water runoff or sewer flooding due to the sewer system being overwhelmed by the volume of water.

DRAFT

3 Investigation

3.1 Rainfall event - location, depth & duration

3.1.1 Environment Agency Data

Information below provided by the Environment Agency was supplied in response to the LLFA's Section 14 of the Flood and Water Management Act 2010 request for data.

The radar image below shows the 3-hour accumulation from 5pm to 8pm BST; the heaviest rain is shown as white, the lightest rain is the blue and grey. The rainfall was very localised and focused on an area from Leeds and Bradford to the south and stretching North through Harewood, Spofforth, Knaresborough and close to Boroughbridge in just to the north of Knaresborough.

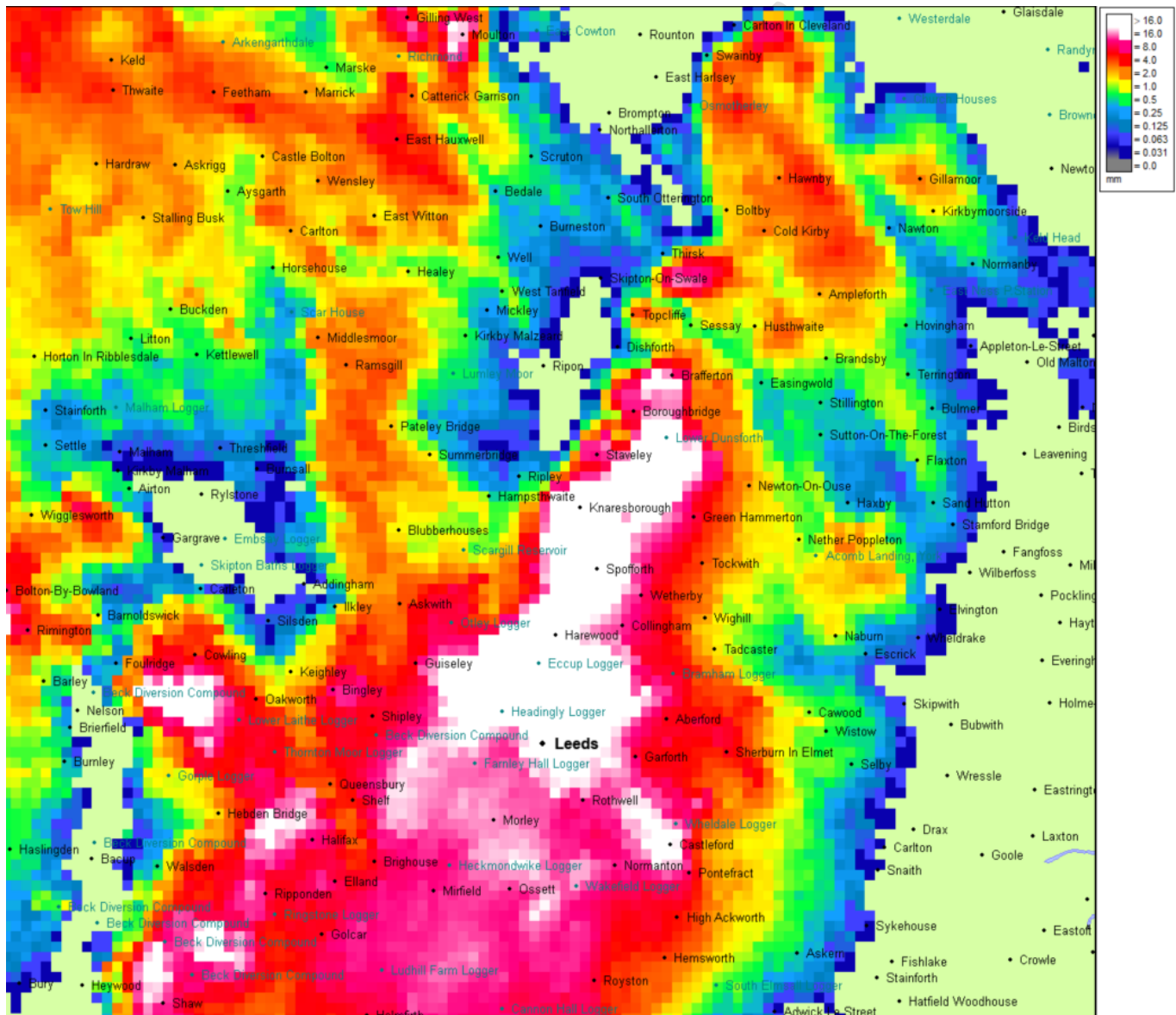


Figure 2: Yorkshire Water Rainfall Radar 6th May 2024

In addition to Knaresborough, flooding was also reported within the media in Leeds and Bradford. This was therefore a significant event and not isolated to Knaresborough.

Leeds: Flash flooding hits roads and railways during storm

© 7 May 2024



IAIN BOOTH

Downpours led to rainwater flooding the tracks at Horsforth railway station

Heavy rain during a thunderstorm led to flash flooding on Bank Holiday Monday in Leeds, as drivers abandoned cars and several roads were closed.

A section of Low Lane in Horsforth between King George Road and St James Drive has shut "until further notice" due to a sink hole, the council said.

<https://www.bbc.co.uk/news/uk-england-leeds-68970025>

Flooding a 'one in 150-year event', says council



GRAHAM WOOD

The M606 was closed on Monday because of the downpours

8 May 2024

Flash floods which hit Bradford over the bank holiday were a "one in 150-year storm event", the city council has said.

The M606 motorway was closed on Monday following a sudden downpour, while parts of the city centre were also badly affected.

Killinghall Primary School was closed on Tuesday because of the previous day's flooding.

Bradford Council said its drainage systems had been "overwhelmed".

<https://www.bbc.co.uk/news/articles/cl5k0vk34gzo>

Flash flooding causes widespread disruption across Bradford

6TH MAY 2024 EMERGENCY WEATHER BRADFORD



Flash flooding battered Bradford this afternoon. These pictures show Vicar Lane in the city centre and the M606 when floodwaters forced it to be blocked off. (Image: UGC)

By Daryl Ames
Reporter

<https://www.thetelegraphandargus.co.uk/news/24301960.flash-flooding-forces-broadway-car-park-roads-close/>

The Environment Agency have reported to the LLFA that on the 6th of May 2024 there were no flood alerts or warnings issued in regard to the River Nidd in Knaresborough .

3.1.2 Yorkshire Water rainfall analysis

For analysis and risk estimation purposes, the magnitude of rainfall is often expressed as return periods. A return period is derived from historical data and is the average time between events. For example, a rainfall event can be

described as a 1 in 100 year rainfall event which means there is a 1% chance of that rainfall occurring in any given year. The lower the change, the greater the flood.

Data provided to the LLFA from Yorkshire Water for the afternoon of 6th May 2024 recorded a peak rainfall intensity of 1 in 516 years. The rainfall event also lasted approx. 35 minutes and peaked at 54mm of rainfall. New modern drainage systems, both Highway drainage and public sewer networks are typically designed to contain a 1 in 30 year below ground and guide anything up to a 1 in 100 to a designated area for storage. Elsewhere and in the case of Knaresborough where there are historic networks the 1 in 100 is not catered for. Nevertheless, the Highway drainage is designed to cope with rain which falls on the highway only and is typically designed to still cope with rainfall events up to the 1 in 30 year scale. Similarly, the public sewer network is designed to contain up to the 1 in 30 year level of rainfall event. Household drainage systems often have a capacity of less than 1 in 10 year.

Rainfall in excess of this will inevitably overwhelm the system, and with rainfall at a rate close to a 1 in 516 year event the capacity of the drainage network was greatly exceeded. This overwhelmed all drainage systems and networks due to the amount of water that affected the area.

3.2 Flooding consequences & Investigation

The Areas that were affected by the flooding are dispersed around the Knaresborough area in clusters and correlate very closely to the areas indicated to be at high and medium flood risk in accordance with the Risk of Flooding from Surface Water (RoFSW) mapping. In this section, we review witness accounts in addition to information gathered from North Yorkshire Highways, and Yorkshire Water.

Section 14 of the Flood and Water Management Act 2010 requires all risk management authorities to co-operate and share information for the purpose of investigating flooding issues. The investigation to each locality below is informed by

- Witness Reports
- Overland flow mapping
- Kaarbontech Gully Cleansing Data from North Yorkshire Council
-Kaarbontech
- North Yorkshire Council Highways jetting and drainage CCTV surveys
- Yorkshire Water work order records and CCTV survey results

3.2.1 Park Avenue

Flooding to a number of properties was reported on Park Avenue, mainly confined to basements, and particularly where bathrooms and toilets have been installed below ground level. As noted within the understanding risk section, whilst Park Grove is indicated to be at medium to high risk of flooding (between 1 in 30 and 1 in 100 year event). Flooding above ground level would therefore be expected in 1 in 516 year event.

The area is served by a network of public foul and surface water sewers in Figure 3. It is noted however that a number of the properties area indicated to have a single combined foul and surface water drain (denoted red) connecting to the foul only sewer (brown lines) . This suggests that surface water is being discharge d into a system that was historically designated for foul waste water only. The public sewers are maintained and regulated by Yorkshire Water. The location of NYC highway drainage is presented in Figure 4.



Figure 3: Park Avenue Public Sewer Records

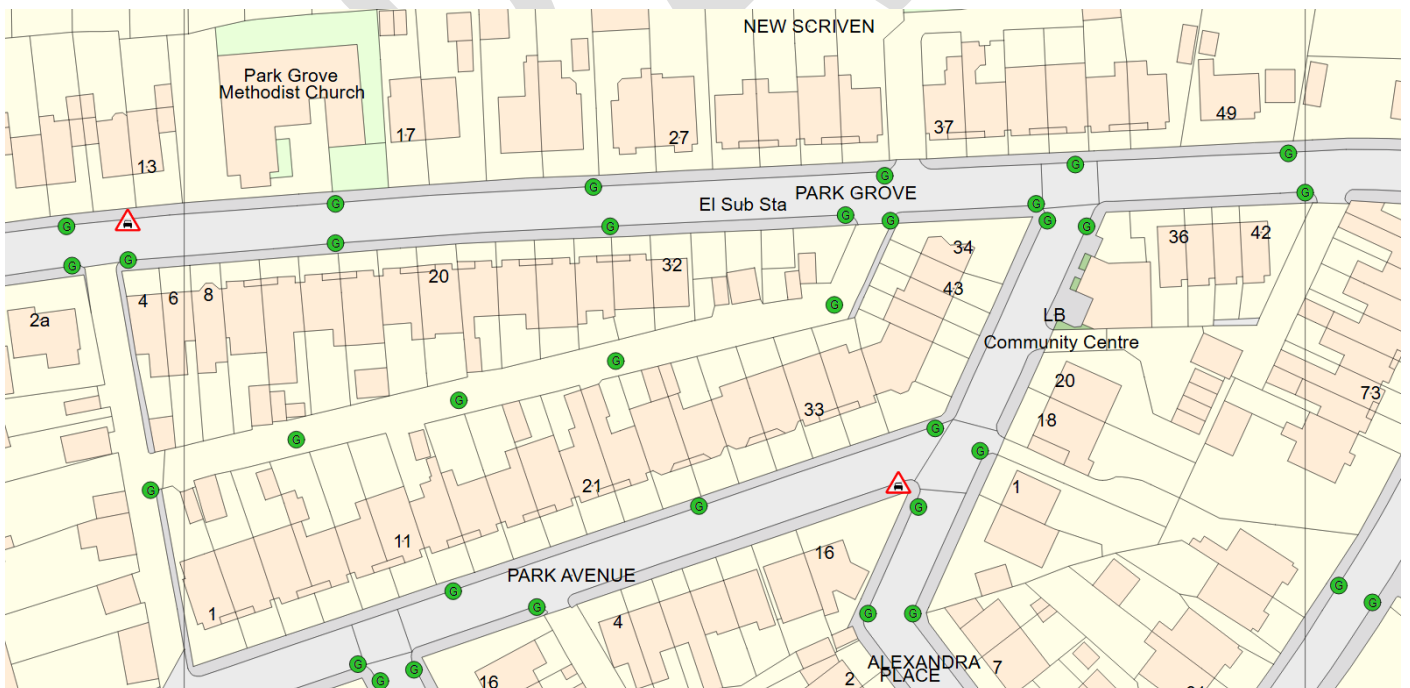


Figure 4: Park Avenue Highway Gully locations

For demonstration purposes the gullies within Figure 4 are shown as presented on the Council’s routine gully cleansing schedule programme. The system provides insights on the status of each individual gully on the network. Other than parked cars located over two gullies, one of Park Grove and the other on Park Avenue, the green G

symbols confirm there are no known issues with the gullies in this location. The gullies on Park Grove were checked and cleared on 21st May 2024 and Park Avenue on 23 August 2024 in response to the event and no issues were reported with the gullies immediately after the event.

Further investigation after the event by NYC confirms that Park Avenue and Park Grove are served by separate surface water and foul sewer systems and the highway drainage from Park Avenue is connected to the surface water network on Park Grove. Inspection of the main surface water sewer identified a slight build-up of silt reducing the capacity by about 10%. NYC therefore requested Yorkshire Water cleansed the system.

Whilst the foul sewer was running fine during the investigation the flow rapidly increased during a 5-minute rain shower observed. It is noted that Yorkshire Water have already removed an interceptor trap to try and improve the flow out of one of the properties.

It is noted from the resident's witness account that this is not the first instance of flooding from this source, with flooding reported in 2006, 2021 and 2024. Whilst the event of 6th of May was unprecedented the issue on Park Avenue does not appear to be isolated and points to a long-term issue with miss-connections of surface water into the foul drain. The foul drain is designed to accommodate the foul water only from the properties and surface water should not be connected to the foul drains, as such, the drain does not have any capacity for surface water runoff resulting in flooding.

A recommendation is made that YW continues to monitor and explore means of resolution to the internal flooding on Park Avenue. Residents should also check where possible whether their drainage is combined or separate and make enquiries with Yorkshire Water as to how the miss-connections could be resolved or their impacts reduced by slowing the flow through sustainable drainage methods such as water butts or raingardens.

3.2.2 Orchard Close/Halfpenny Lane

The area around Orchard Close and Halfpenny Lane was significantly affected with 22 reports of internal flooding received. As noted in the understanding risk section, the properties on Halfpenny Lane and Orchard Close are indicated to be at high risk of surface water flooding.

Whilst there are a network of surface water and foul water sewers on Halfpenny Lane and Orchard close, discussion with property owners in the vicinity of Halfpenny Lane and Orchard close confirms that the properties currently drain to private soakaways. These soakaways were installed to drain the roof water of the properties, and the soakaways are located within the gardens of the properties. The information provided by a resident indicates that these are pits filled with granular material, which can be difficult to identify and maintain. However, they are included within the plans provided within the property deeds. The soakaways have been operational since the development was constructed in the 1960s. The responsibility for these soakaways rest with the property owners. Some of the soakaways are in shared ownership and there may be nuances as to the maintenance of these written within the deeds. If there is nothing written within the deeds the responsibility defaults to the landowner. We recommend that residents seek their own independent legal advice on this matter.

If the private soakaways are adequately maintained and regularly inspected, there is no reason why they cannot operate for over a 100 years. Inevitably the soakaways will need replacing when silt levels have built up over time. The timing of when this is required depends on the how frequent the soakaways have been maintained throughout its operational life. A typical soakaway maintenance regime is provided in below.

Table 4: Typical Soakaway Maintenance Regime (Ciria SuDS Manual)

Maintenance schedule	Required action	Typical frequency
Regular maintenance	Inspect for sediment and debris in pre-treatment components and floor of inspection tube or chamber and inside of concrete manhole rings	Annually
	Cleaning of gutters and any filters on downpipes	Annually (or as required based on inspections)
	Trimming any roots that may be causing blockages	Annually (or as required)
Occasional maintenance	Remove sediment and debris from pre-treatment components and floor of inspection tube or chamber and inside of concrete manhole rings	As required, based on inspections
Remedial actions	Reconstruct soakaway and/or replace or clean void fill, if performance deteriorates or failure occurs	As required
	Replacement of clogged geotextile (will require reconstruction of soakaway)	As required
Monitoring	Inspect silt traps and note rate of sediment accumulation	Monthly in the first year and then annually
	Check soakaway to ensure emptying is occurring	Annually

Given the granular pit type soakaway systems, and from anecdotal evidence, it is likely that some soakaways may be reaching the end of their operational life and may not be as effective and disposing of surface water as intended and will need replacement. Notwithstanding this the recorded rainfall event of a 1 in 516 year event would far exceed the 1 in 10 year building regulation standard for domestic soakaways. This reaffirms the high surface water flood risk of the area, and that the performance of the soakaways is unlikely to be the initiation of any flood event.

As mentioned above, there are also foul and surface water sewer networks in the vicinity of Halfpenny Lane and Orchard Close, these are maintained and regulated by Yorkshire Water. A map of their location is provided in Figure 5. There is also highway drainage on Orchard Close and Halfpenny Lane, the highway drainage drains directly into the Yorkshire Water Surface water sewer. As a consequence, the capacity of the highway drainage network is limited to the capacity of the Yorkshire Water network.

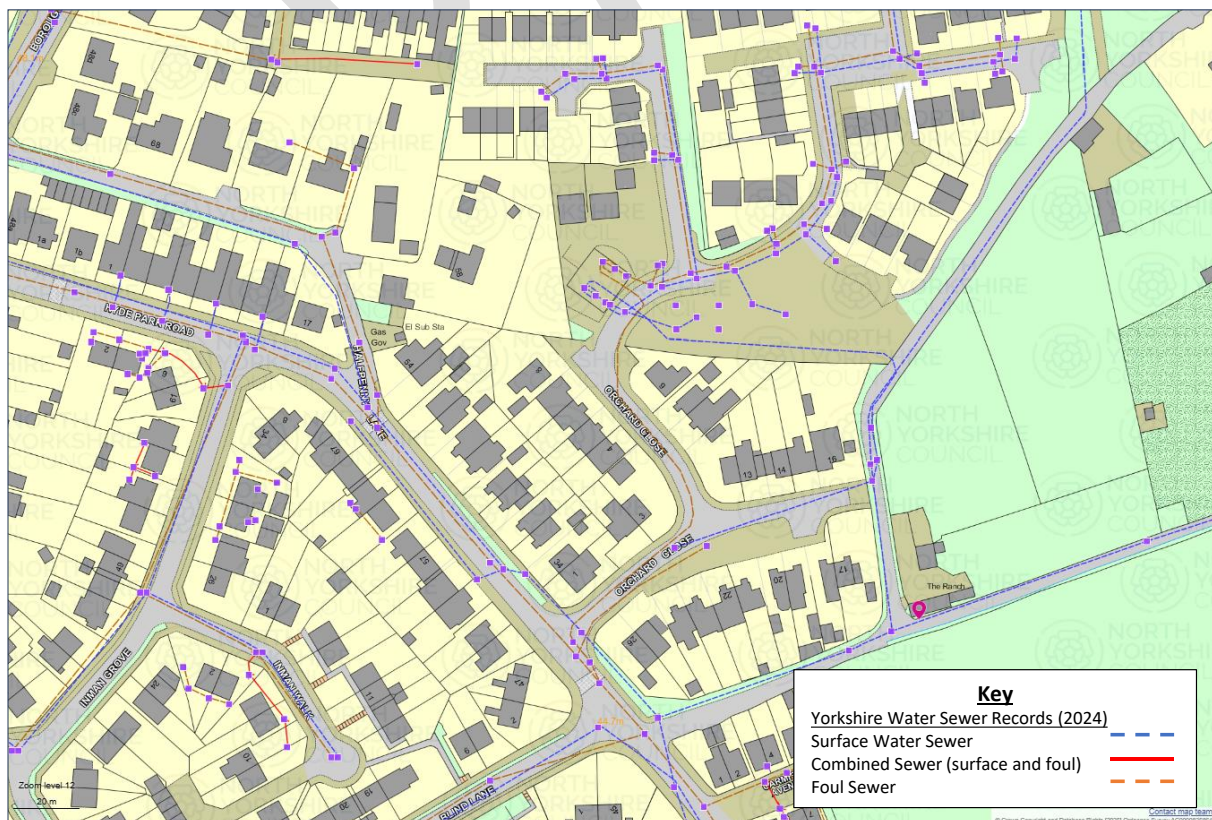


Figure 5: Yorkshire Water Sewer Network – Halfpenny Lane and Orchard Close

Residents have raised concerns in relation to the condition of the highways drainage networks. An analysis of the drainage networks is provided below.

Figure 6 below shows the current layout of highway gullies within the vicinity of Halfpenny Lane and Orchard Close and the wider catchment beyond this area based on the overland flows presented in Table 2.

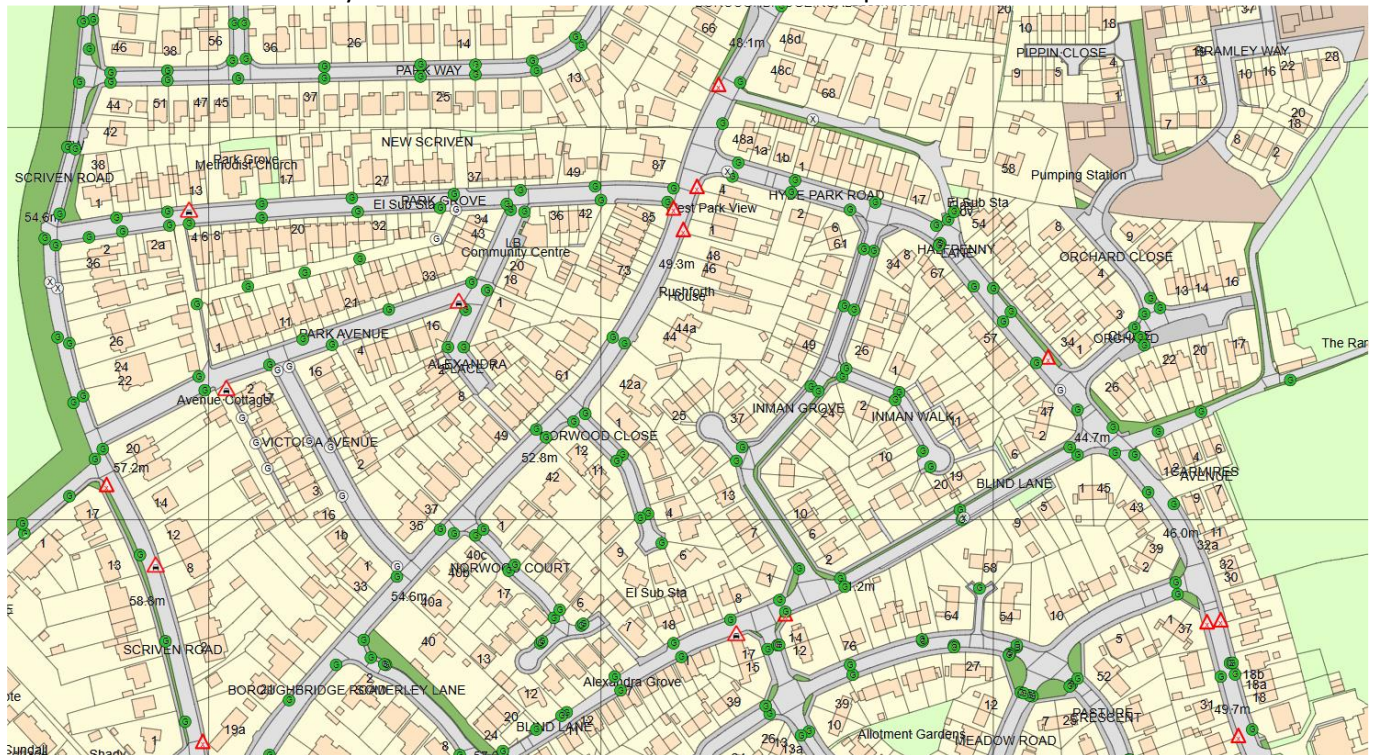


Figure 6: Kaarbondtech Data for Park Avenue, Halfpenny Lane and Orchard Close

For demonstration purposes the gullies within Figure 7 have been numbered to give reference for a table that will be provided below. This will showcase data that was collected from Highways to highlight the maintenance and routine cleaning of these gullies.

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Figure 7: Halfpenny Lane and Orchard Close Highway Gully Schedule

Table 5: Kaarbontech Gully Maintenance Data Pre and Post Event 6th May 2024

Gully Number	Latest Inspection Pre 6 th May 2024 event	Latest Inspection Post 2024 Flood event	Operational during Flood Event? Yes/No
1	31 st May 2023 – Silt Level 50% Operational on arrival. Operational on leaving.	22 nd August 2024 – Silt Level 25% - Operational on arrival. Operational on leaving.	Yes
2	31 st May 2023 – Silt Level 50% - Operational on arrival. Operational on leaving.	22 nd August 2024 – Silt Level 50% - Operational on arrival. Operational on leaving.	Yes
3	31 st May 2023 – Silt Level 50% - Operational on arrival. Operational on leaving.	22 nd August 2024 – Silt Level 50% - Operational on arrival. Operational on leaving.	Yes
4	30 th May 2023 – Silt Level 50% - Operational on arrival. Operational on leaving.	22 nd August 2024 – Silt Level 25% - Operational on arrival. Operational on leaving.	Yes
5	30 th May 2023 – Silt Level 50% - Operational	22 nd August 2024 – Silt Level 50% - Operational	Yes

	on arrival. Operational on leaving.	on arrival. Operational on leaving.	
6	30th May 2023 – Silt Level 50% - Operational on Arrival. Operational on leaving.	22 nd August 2024 – Silt Level 25% - Operational on arrival. Operational on leaving.	Yes
7	31 st May 2023 – Silt Level 75% - Slow running on arrival. Operational on leaving.	22 nd August 2024 – Silt Level 25% - Operational on arrival. Operational on leaving.	Yes
8	30th May 2023 – Silt Level 75% - Operational on Arrival. Operational on leaving.	22 nd August 2024 – Silt Level 25% - Operational on arrival. Operational on leaving.	Yes
9	31 st May 2023 – Silt Level 75% - Slow running on arrival. Operational on leaving.	22 nd August 2024 – Silt Level 50% - Operational on arrival. Operational on leaving.	Yes
10	30th May 2023 – Silt Level 50% - Operational on Arrival. Operational on leaving.	22 nd August 2024 – Silt Level 50% - Operational on arrival. Operational on leaving.	Yes
11	31 st May 2023 – Silt Level 100% - Not operational on arrival. Not operational on leaving.	22 nd August 2024 – Silt Level 100% - Not operational on arrival. Not operational on leaving.	No
12	30th May 2023 – Silt Level 75% - Operational on Arrival. Data not available for status when left.	22 nd August 2024 – Silt Level 25% - Slow running on arrival. Slow running on leaving.	No
13	30th May 2023 – Silt Level 50% - Operational on Arrival. Operational on leaving.	22 nd August 2024 – Silt Level 50% - Operational on arrival. Operational on leaving.	Yes
14	7 th September 2022 - Silt Level 50% - Operational on Arrival. Operational on leaving.	22 nd August 2024 – Silt Level 50% - Operational on arrival. Operational on leaving.	Yes
15	7 th September 2022 - Silt Level 50% - Operational on Arrival. Operational on leaving.	22 nd August 2024 – Silt Level 50% - Operational on arrival. Operational on leaving.	Yes
16	7 th September 2022 – Silt Level 75% - Slow running on Arrival. Operational on leaving.	22 nd August 2024 – Silt Level 50% - Operational on arrival. Operational on leaving.	Yes
17	7 th September 2022 - Silt Level 75% - Operational on Arrival. Operational on leaving.	22 nd August 2024 – Silt Level 50% - Operational on arrival. Operational on leaving.	Yes
18	7 th September 2022 - Silt Level 50% - Operational	22 nd August 2024 – Silt Level 50% - Operational	Yes

	on Arrival. Operational on leaving.	on arrival. Operational on leaving.	
19	Gully replace by new development		

In conclusion, 16 Gully's have been deemed to of been operational when the May 2024 flooding occurred. This is due to their inspection data before the event and how the Gully's were left after the inspection, in addition to the gully's status upon arrival after the event. Gully 19 has insufficient data to suggest that it was functional during the event, the gully location also appears to be an anomaly hence no data. Gully 11 however, was not operational during the event. Inspections immediately after the event confirmed the gully was indeed blocked (Figure 8). Data from the Kaarbontech system suggest that this gully had not been operational since 2023. Gully 12 was also identified as a slow running indicating a reduction in performance.

Further gullies on Blind Lane were also identified by residents as being ineffective during the event. Photographs of the two gullies are presented in Figure 9 and Figure 10 below. The gully in Figure 9 is blinded with debris. It cannot be proven when this occurred, but a significant amount of debris would have been washed onto the gully grate during the event. The gully chamber and outlet were not full and blocked. Likewise, the gully in Figure 10 does have vegetation growing out of the grate, but the gully chambers itself was clear with the outlet functional. This indicates that the two particular gullies whilst blinded are emptied at an appropriate frequency. It does highlight however a requirement for further sweeping and inspections.



Figure 8: Gully Halfpenny Lane

Figure 9: "Blinded" Gully on Blind Lane

Figure 10: Gully on Blind Lane

As discussed in the understanding risk section, the catchment upstream of Orchard Close is extensive with surface water contributing from as far Jacob Smith Park via Park Grove, and Boroughbridge Road. Resident's witness accounts report water flowing down Blind Lane "like a river". This would corroborate the flood mapping and flow pathways identified within the understanding risk section and the understanding of the contributing area. Evidence of surface water issues have been reported all over the catchment as presented in Figure 1, which indicates that the whole catchment was saturated. It is acknowledged from the Kaarbontech data (Figure 6) that gullies may not have been operational and indicates 4 gullies on Boroughbridge road, 2 on Scriven Road and 4 on Halfpenny as requiring further investigation. Whilst some gullies were clearly not operational, there is evidence that the drainage

networks were already at capacity with water overflowing from manholes in the roads. This indicates that there was no spare capacity in the drainage system, even if the gullies were operational. Due to the significant volume of rainfall and the comparisons drawn to the 1999 flooding, which would have occurred under a very different gully cleansing regime, the gullies alone would not have resulted in the flooding.

In addition to the highway drainage issues, concerns have also been raised in relation to the new development to the north of Orchard Close. As part of the planning process, local and national planning policies required developers and house builders to ensure flood risk is not increased elsewhere as a result of the development. In the case of this development, this was achieved by the developer installing storm water attenuation tanks. The detail of which are publicly available on North Yorkshire Council planning website. The Drainage Layout Plan in Appendix 8.2. The surface drainage for the site connects to the Yorkshire Water surface water drainage network at a discharge rate lower than pre-development as calculated by industry standard. The connection point is on Hazelheads Lane, which then subsequently discharged to the sewer on Water Lane and does not flow through Orchard Close and has no significant bearing on the capacity of the drainage on Orchard Close.

As part of the planning application process, the applicants were required to demonstrate that in the event of drainage failure or a rainfall event that exceeded the 1 in 100 year event with an additional allowance for climate change would be managed without increasing risk elsewhere. To this end the applicants produced an exceedance flow plan. The exceedance flow plan is included in Appendix 8.3. Ground levels have been designed such that the majority of exceedance flow toward Hazelheads Lane as per the existing pre-development scenario. Figure 11 illustrates the cross fall down towards the now constructed basin with the predominant fall towards Hazelheads Lane. The southern and western part of the site were designated to flow to an attenuation basin on the southern boundary. It is noted that this location was at the time of the event, the site compound, with raised kerbs along carriageway preventing water from reaching the proposed basin.



Figure 11: Carriageway Crossfall Bramley Way

In the context of the wider catchment that has been identified in the understanding risk section, the area that contributes runoff to Orchard Close from the Bramley Way site is very small and alone would not have contributed significantly to the flooding.

As discussed above, residents have confirmed that this is not the first occasion that properties on Halfpenny Lane and Orchard Close have flooded. The last recorded event was in 1999. This would again strengthen the understanding of flood risk, and that the area is at high risk of surface water flooding given its topography and that

the influence of new development and a small number of blocked or slow running gullies is limited. The properties on Halfpenny Lane and Orchard close are below the level of the highway, which as discussed above acts as a conduit for surface water during extreme events, making the properties extremely vulnerable to flooding.

3.2.3 St Margaret Gardens

Four properties were recorded to be flooded on St Margaret Gardens. The area is served by a network of public foul and surface water sewers as illustrated in Figure 12. The extract shows a 600mm diameter surface water sewer along the rear gardens of properties on St Margaret's Gardens with a 225mm diameter pipe within the highway, which then "dog legs" through private gardens into the 600 diameter pipe.

Yorkshire Water were again requested as part of the request for information to confirm the status of their network in the St Margaret's Garden area. It is noted from their response that a blockage on St Margaret's Gardens was identified in their post event investigation.

Within the Section 14 data request the status of the sewer is recorded as a sewer that has recently transferred to Yorkshire Water's jurisdiction. The latest tranche of transferring private sewers to Yorkshire Water occurred in 2011. The Transfer of Sewers Act outlines the process for transferring private sewers and drainage systems to water and sewerage companies. It involves identifying private sewers and drains, notifying affected property owners, and completing the transfer ownership. It is noted that the blockage identified is within a property curtilage. The pipe would have historically been privately maintained by the property owners. Upon being notified of the issue Yorkshire Water duly exercised their risk management functions and duties and cleared the blockage.

Such a blockage would likely have accelerated the onset of flooding, but given the magnitude of the event and the high risk of surface water flooding indicated in Table 3, and the suggestion from anecdotal evidence from residents that "drains for the street and the surrounding roads were inadequate to cope", some flooding would have been expected in the area.

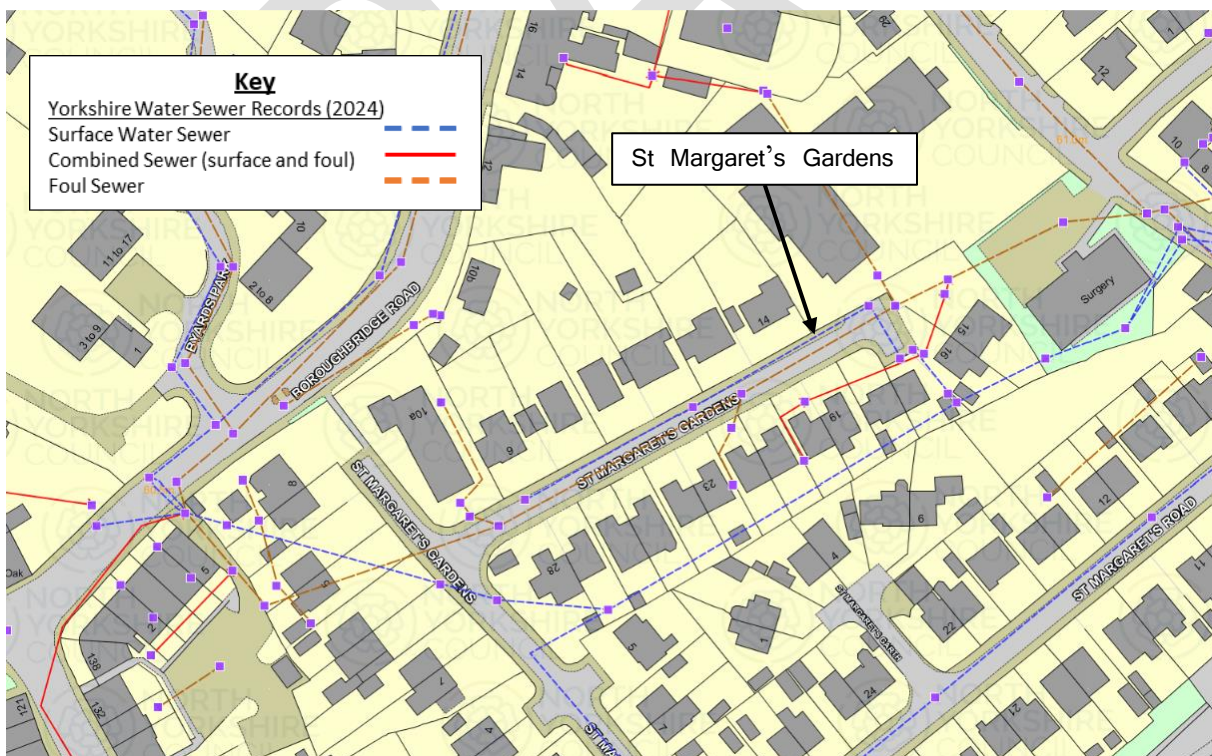


Figure 12: Yorkshire Water Public Sewer Network St Margaret's Gardens

3.2.4 Queen's Road, Dentdale Drive, Lundale Avenue and Cotterdale Close

Around 9 properties were affected in this area. As discussed within the understanding risk section the area has been identified as high surface water flood risk. Flooding would therefore be expected in an event of this magnitude.

Anecdotal reports have been provided by residents relating to the flooding mechanism and the actions of the RMAs after the event.

One local resident noted that “the main drain that straddles number 36 Queens Road has not been cleared in 30 years and was compacted to the top of the manhole cover. This was confirmed by a Yorkshire Water Engineer as he removed the lid of the manhole. Due to this being blocked, naturally the water had nowhere to go except into my house and by my neighbours. I would like this to be specifically reviewed as part of the investigation, as I believe that the flood could have been avoided if the drains were effectively cleared.”

The local area is served by a network of surface water sewers within Yorkshire Water’s jurisdiction, in particular an 850mm diameter surface water sewer that runs in a south easterly direction from the Mayfield Grove direction toward Cotterdale Close, bisecting Queen’s Road and Dentdale Drive. This is a substantial surface water sewer serving a large catchment area. There is also a surface water sewer that flows down Queens Drive and connects to the larger diameter sewer. For the avoidance of doubt, the sewer referred to by the resident is the smaller diameter sewer not the 850mm drain. Some root ingress was identified within the 850mm diameter pipe, but due to the significant size of the pipe, the roots were not considered to have a significant bearing on the capacity of the pipe.

Yorkshire Water were requested as part of the Section 14 request for information to confirm the status of their network in the area. The on-site mark-up provided by Yorkshire Water following their investigation into the sewer blockage in Figure 13. As per the resident’s testimony, Yorkshire Water have confirmed a blockage on the surface water sewer at the location stated.

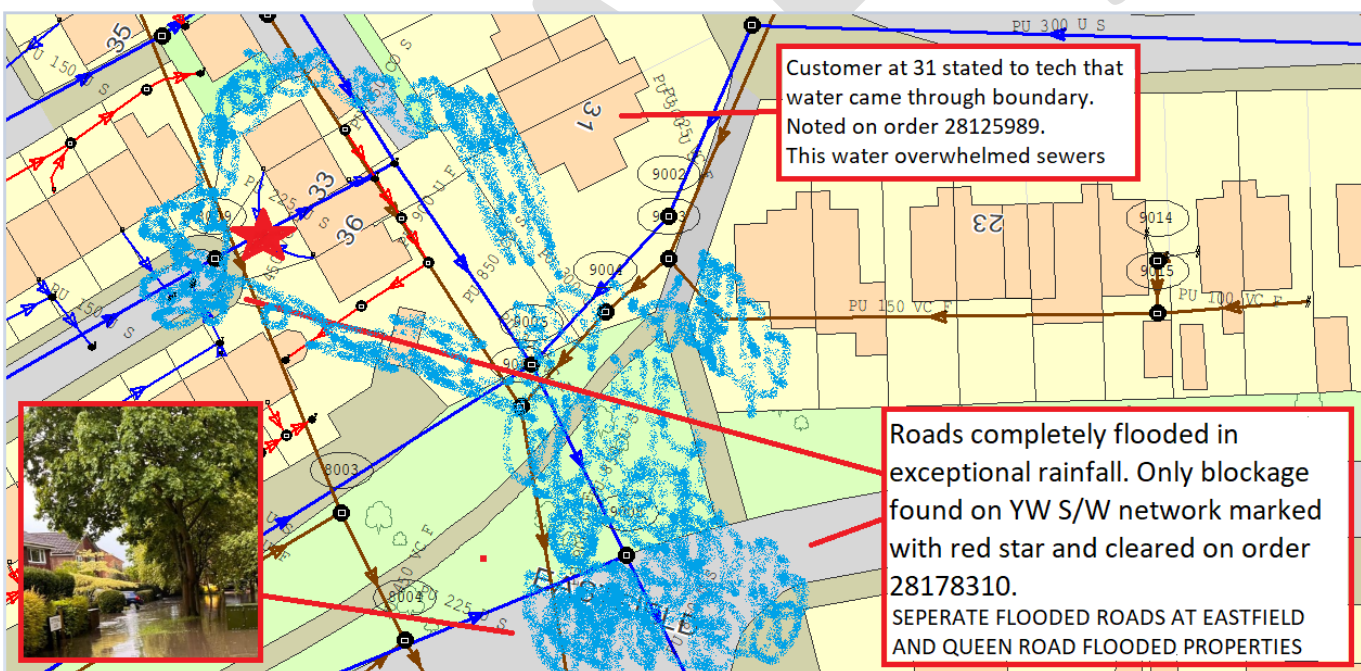


Figure 13: Yorkshire Water Annotated Plan Queen's Road

Within the Section 14 data request the status of the sewer is recorded as in the case of St Margaret’s Gardens a sewer that has recently transferred to Yorkshire Water’s jurisdiction. Yorkshire Water mapping prior to the event did not have the sewer mapped which confirms that as a private sewer they were not aware of its existence until the problem was highlighted to them on the 6th of May 2024. Upon being notified Yorkshire Water duly exercised their risk management functions and duties and cleared the blockage.

The highway gullies on Queen’s Drive were cleaned on the 15th of April 2024 (**Error! Reference source not found.**), one month before the event. All gullies were noted to be operational. Similarly, the gullies on Dentdale Avenue were also cleaned in April 2024. One gully on Dentdale Drive required further attention (see Figure 14).

Yorkshire water note in their response that the flooding on the Eastfield, Cotterdale Close and to an extent Dentdale Drive and Queens Drive was not attributed to the blocked sewer issue. Evidence has been provided on the 850mm being surcharged on Eastfield. Surcharging of the sewer means that the sewer cannot accept more water as is overflowing due to exceeding it's capacity. As previously discussed within the report, this is to be expected in a 1 in 516 year event. It is also noted that this is not the first instance of this area being affected from flooding. Anecdotal evidence suggests this area also flooded "20 years" ago, which we have assumed to correlated with the 1999 event that affected Orchard Close.

It may be true that the sewer blockage accelerated the onset of flooding, but given the magnitude of the event, it is unlikely to have had any material affect on the overall extent and depth of flooding as the sewer itself would be prevented from discharging into the main sewer due to hydraulic locking.

Based on the catchment areas identified for the Dentdale Drive, Cotterdale Close, Lunedale Avenue area, a review of the gully statuses has been undertaken, supported by the feedback from the reactive cleaning of the highway gillies. The shaded area highlight the areas that contributes runoff to the flooded area. It is a vast area, which has been split into north and south. In total 16 gullies are identified as needing further investigation as they were not operational on arrival. Five gullies are located on Chain Lane, three on the Spinney, two on Manor Drive, two on Manor Crescent, one on Manor Orchards and one on Dentdale Drive. Other than the drains on Chain Lane, the Spinney and Dentdale Drive, the which are along the flood flow path, other are somewhat disperse across the catchment. It is also important to put the 12 gullies into the context of the 600+ gullies in this area of Knaresborough alone.

It should also be noted that following a site inspection the gullies on the southern side of York Road, opposite Chain Lane to the North are unlikely to contribute any runoff to the Eastfield area, rather it is expected that the road levels would direct runoff down York Road to the east. Further runoff from Chain Lane would also likely be directed toward the Lidl site.

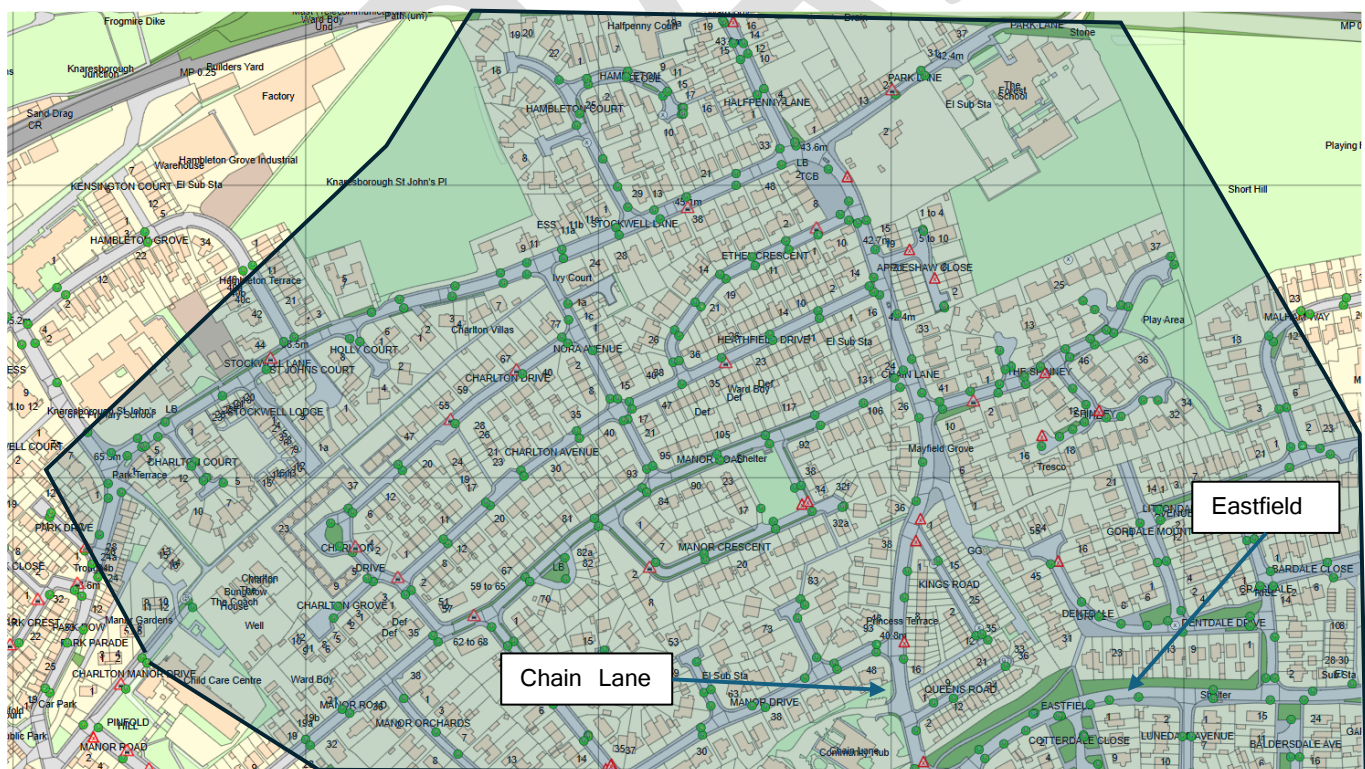


Figure 14: Kaarbontech data north of Eastfield

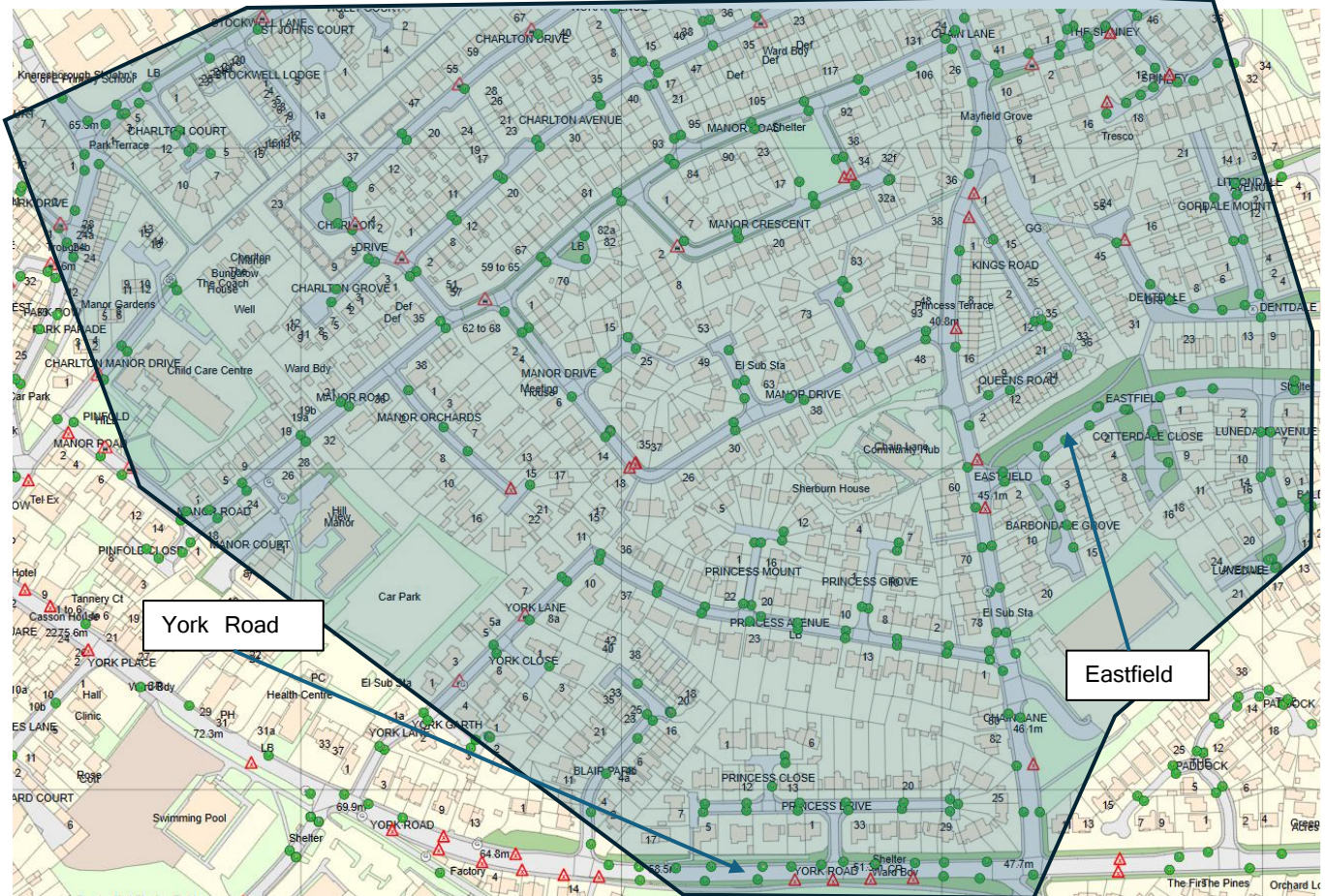


Figure 15: Kaarbontech data south west of Eastfield

3.3 Flood risk management functions undertaken

The response to any flooding incident is initially conducted by the Emergency Services under the Civil Contingencies Act 2004. Other than the Environment Agency, which has duties under both acts, the other Risk Management Authorities, have a reactive duties and powers bestowed under the Flood and Water Management Act (FWMA) 2010. **The immediate response to the incident by emergency services, Environment Agency, North Yorkshire Highways and NYC Emergencies and Resilience team is reviewed separately to this Section 19 report.**

The requirement of the section 19 report is to reflect on the responsibilities of each Risk Management Authority and assesses whether each authority has undertaken the statutory duties leading up to the event, during and after, in accordance with the Flood and Water Management Act 2010 (see Appendix 6.1). In accordance with Section 19 of the FMWA, the LLFA has identified the following as Risk Management Authorities with actions and responsibilities in relation to the flooding on 6th May 2024:

- Environment Agency (overarching role)
- North Yorkshire Council as Lead Local Flood Authority and Local Highway Authority
- Yorkshire Water
- Property Owners

3.3.1 Environment Agency

Under the FWMA the Environment Agency (EA) has a strategic overview role for all sources of flooding as well as an operational role in managing flood risk from Main Rivers, reservoirs and the sea. As part of this role the EA must produce a National Flood and Coastal Erosion Risk Management Strategy for England – The latest strategy was published in July 2020. ‘The strategy sets out a vision of a nation ready for, and resilient to, flooding and coastal

change – today, tomorrow and to the year 2100.’ The strategy has 3 long-term ambitions, underpinned by evidence about future risk and investment needs. They are:

- Climate resilient places: working with partners to bolster resilience to flooding and coastal change across the nation, both now and in the face of climate change
- Today’s growth and infrastructure resilient in tomorrow’s climate: making the right investment and planning decisions to secure sustainable growth and environmental improvements, as well as infrastructure resilient to flooding and coastal change
- A nation ready to respond and adapt to flooding and coastal change: ensuring local people understand their risk to flooding and coastal change, and know their responsibilities and how to take action

The Section 19 report concludes that the EA did not have any functions to exercise in relation to Main Rivers before, during or after the event.

3.3.2 North Yorkshire Council

The Development Management Team which undertakes the LLFA function for the council is not a category responder and instead provides the strategic view on flood risk management activities within the county. The flood risk management functions set out in the FWMA 2010 include (but are not limited to);

- Provision of a Local Flood Risk Management Strategy (LFRMS).

The Local Flood Risk Management Strategy was published in 2015. The strategy sets out how the authority will manage local sources of flood risk within its administrative boundary. This plan focuses on the development of action to meet the six North Yorkshire Flood Risk Management priority objectives:

1. Promoting a greater role for communities in managing flood risk
2. Improved knowledge and understanding of flood risk and management responsibilities for all stakeholders, communities and the media
3. Sustainable and appropriate development
4. Improved knowledge of watercourse networks and drainage infrastructure
5. Flood risk management measures that deliver social, economic and environmental benefits
6. Best use of all potential funding opportunities to deliver flood risk management measures

In addition to the duties and the responsibilities in the FWMA 2010, the conclusions and recommendations of this report will be based upon the local Flood Risk Management Strategy objectives.

- Designation and maintenance of a register of structures or features that have a significant effect on flood risk.

It is recognised in NYCCs strategy that identifying these features and drainage networks is a huge task that presents significant practical challenges and significant potential costs. Nevertheless, in areas where the flood risk is significant, the location and mapping of critical assets has a great potential for assisting in the management of flood risk by highlighting those risks and facilitating preventative actions. NYCC as LLFA intend to take a systematic, risk-based approach to this task, identifying those areas of greatest risk and working with riparian owners and local communities to manage that risk. This will be supported by the gathering of information on the recent flooding event in February and the continual development of the Asset Register (see section 5.3).

- Consenting and enforcement works on Ordinary Watercourses.
- Responding to statutory consultations on drainage proposals in planning applications.
- Undertaking Section 19 investigations.

NYCC also has responsibilities as a Highways Authority and as an Emergency Responder (under the Land Drainage Act 1991 and the Civil Contingencies Act 2004 respectively) which may relate to flooding.

Highway Authorities are responsible for providing and managing highway drainage which may include provision of roadside drains and ditches and must ensure that road projects do not increase flood risk.

The Highways Authority has a duty under the Highways Act 1980 to maintain highways that are maintainable at public expense. This includes a duty to maintain existing highways drainage. Highway drainage systems are designed to take highway surface water. Highway drainage systems are not designed as “storm drains”, and do not have the capacity for the level of rainfall from an extreme flash flood. The Highway Authority has powers to improve drainage systems but no duty to do so.

The council operates a cyclical gully cleansing schedule across the county, with a reactive service also in operation for when additional cleansing is required. Inevitably gullies are designed to a finite capacity to take highway surface water. In periods of significant rainfall like those experienced in May, Highway gullies struggled to cope with the amount of surface water that was present in such a short period of time. The road gullies are not designed to take this volume of water, and this is not indication that additional cleansing is required. These circumstances inevitably result in a build-up of detritus in the drains, which is why the reactive service is critical in this location to ensure their function following high rainfall events.

Gullies on the following streets were cleaned prior to, and in the aftermath of the storm. All the streets cleaned after the event were because of enquiries/complaints following the storm.

- Boroughbridge Road – 18/04/24
- Greengate Lane – 18/04/24
- Boroughbridge Road – Roundabout to Calm Water Bay – 19/04/24
- Boroughbridge Road – Hyde Park Road to Greengate Lane
- Park Row – 25/04/24
- High Bond End – 25/04/24
- Chain Lane – 09/05/24 – 17/05/24
- Queens Road – 09/05/24
- Blair Park – 09/05/24
- Waterside/Castle Mills – 09/05/24 – 13/05/24
- Kirkgate – 10/05/24
- Gracious Street – 10/05/24
- Market Place – 10/05/24
- Harrogate Road from Waterside – 10/05/24 – 14/05/24 – 25/05/24
- Halfpenny lane – 11/05/24
- Blind Lane – 11/05/24
- Orchard Close – 13/05/24
- Lunedale Avenue – 14/05/24
- Nidderdale Drive – 20/05/24
- Eastfield – 20/05/24
- Park Grove – 21/05/24
- Scriven Road – 21/05/24
- Forest Moor Road – 21/05/24
- Stockwell Lane – 23/05/24
- St Margarets Gardens - 25/07/24
- Park Avenue - 23/08/2024

Following the reactive cleansing the following data was provided to the LLFA for review. The data shows that out of the above 43 gullies required further attention in the form of jetting or additional cleansing out of a total of 422.

Road Name	Date	Number of Gullies Checked	Number of Gully Issues
Boroughbridge Road	18/04/2024	3	2
Green Gate Lane	18/04/2024	13	3
Boroughbridge Road (Roundabout to Calm Water Bay)	19/04/2024	5	0
Boroughbridge Road (Hyde Park Road to Greengate Lane)	19/04/2024	12	2
Park Row - Nr Lamp Column 9	25/04/2024	1	0
High Bond End	25/04/2024	11	3
Chain Lane	09/05/2024	18	4
Queens Road	09/05/2024	4	0
Blair Park	09/05/2024	10	2
Waterside / Castle Mills	09/05/2024	5	6
O/S 17 Kirkgate	10/05/2024	2	2
Gracious Street Nr Fire Station	10/05/2024	3	0
Market Place O/S Blind Jacks	10/05/2024	3	0
Harrogate Road from Mobility Scooter Shop to Stevensons Place	10/05/2024	10	2
Harrogate Road from Waterside	10/05/2024	15	0
Harrogate Road O/S Heath Cote House	14/05/2024	38	2
Halfpenny Lane	11/05/2024	52	7
Blind Lane	11/05/2024	21	1
Orchard Close	13/05/2024	7	7
Waterside	13/05/2024	5	0
Lunedale Avenue	14/05/2024	2	0
Chain Lane	17/05/2024	18	0
Nidderdale Drive	20/05/2024	24	0
Eastfield	20/05/2024	31	0
Scriven Road	21/05/2024	28	0
Park Grove	21/05/2024	15	0
Stockwell Road	22/05/2024	18	0
Forest Moor Road	22/05/2024	21	0
Stockwell Lane	23/05/2024	14	0
Waterside – Briggate to Car Park	24/05/2024	13	0
Total		422	43

3.3.3 Yorkshire Water

Water companies in England and Wales are named as a Risk Management Authority under the Flood and Water Management Act 2010 and must have regard to the Local Strategy of the LLFA. They are required to manage risks

associated with assets or processes that may cause or be affected by flooding and must share relevant data with other flood risk authorities.

They also have flood risk management functions under the Water Resources Act (1991). Relevant actions of water companies include: the inspection, maintenance, repair and any works to their drainage assets which may include watercourses, pipes, ditches or other infrastructure such as pumping stations.

Yorkshire Water is responsible for managing and maintaining the network of public sewers throughout the investigation area. Public sewer networks are either combined systems, where foul and surface water drain through the same pipes to the local wastewater treatment works, or are separate systems where foul water is conveyed to the sewage works and surface water is conveyed either to a local watercourse or other receiving body of water, or to a point at which it joins the combined sewer network. The upper dales are mostly served by combined and Foul Sewer systems.

Upon being made aware of the issues at Queen's Road and St Margaret's Garden, Yorkshire water duly acted on their duties.

The Civil Contingencies Act 2004 (CCA) also designates water and wastewater undertakers as statutory category 2 responders to national disasters and emergencies, placing on them duties to share assured information with other responders in an appropriate manner.

3.3.4 Responsibilities of Riparian Land Owners and Individual Property Owners

It is critically important that the extent and nature of each organisation's role in flood risk management is understood and appreciated by the communities and individual residents affected by flooding. It is equally important that we set out the roles that others, including riparian owners, are required to play.

Landowners whose land is adjacent to a watercourse are known as 'riparian owners'.

A landowner can be an individual e.g. homeowner or farmer, private business or an organisation e.g. the district council as park owner, on school grounds the council as property owner.

A watercourse is defined as every river, stream, ditch, drain, cut, dyke, sluice, sewer (other than a public sewer) and feature through which water flows, but which does not form part of a Main River.

Riparian owners have legal duties, rights and responsibilities under common law and the Land Drainage Act 1991 for watercourses passing through or adjoining their land. These responsibilities are to:

- Pass on the flow of water without obstruction, pollution or diversion affecting the rights of others.
- Accept flood flows through their land, even if these are caused by inadequate capacity downstream.
- Maintain the banks and bed of the watercourse and keep structures maintained (this includes flap vales and sluices).
- Keep the bed and banks free from any artificial obstructions that may affect the flow of water including clearing litter, heavy siltation or excessive vegetation.

Guidance on the rights and responsibilities of riparian ownership are outlined in the Environment Agency publication 'Living on the edge', available at:

<http://www.environment-agency.gov.uk/homeandleisure/floods/31626.aspx>

Property owners also have a responsibility for their own drainage systems within the curtilage of their property unless it is a designated public sewer. Property owners should ensure that guttering, downpipes and yard gullies are kept clear and free of detritus, with any silt traps or inspection chamber checked regularly and cleansed as required.

4 Investigation findings and Conclusions

Over 50 properties and businesses were affected by the flooding event in Knaresborough in May 2024. The flooding event highlighted key areas at high risk of surface water flooding. The areas identified at risk are predominately due to localised topography directing surface water exceedance flow along what is assumed to be historical watercourse floodplains. The storm return period is estimated to be in the region of 1 in 516 years, and evidence is provided in the form of photographs and videos that the drainage networks could not handle the exceptional amount of surface water in such a short time span.

Residents raised concerns regarding the gullies across the town being non-operational. The council operates a cyclical gully cleansing schedule across the county, with a reactive service also in operation for when additional cleansing is required. Gullies are designed to a finite capacity to take highway surface water only. In periods of significant rainfall like those experienced in May, the entire catchment including non-highway areas contributes water on to the highway. This includes water from roof gutters that may be overflowing, garden patio's driveways and even underperforming soakaways. As a result, the highway gullies struggled to cope with the amount of surface water that was present in such a short period of time. The road gullies are not designed to take this volume of water, and this is not an indication that additional cleansing is required. These circumstances inevitably result in a build-up of detritus in the drains, which is why the reactive service is critical in this location to ensure their function following high rainfall events.

It is undeniable that a small number of gullies are noted to have been blocked for a significant period of time, however these are isolated cases. Site visits were undertaken post flooding incident to inspect gullies in the area to which Highways reported that only a small number of gullies were underperforming due to blockages – these gullies were cleaned and jetted by Highways after the flooding. The highways authority responded to 422 gullies in the immediate aftermath of the event with 43 requiring additional follow up investigation. In flash flood conditions gullies can become subject to being 'blinded', which is a term used to describe gullies when debris has laid on the top of gullies which subsequently does not allow surface water to enter the system. Blinded gullies were found in the flooded areas as evidenced on Blind Lane, near Orchard Close and were cleared by Highways shortly after. Given the drainage networks were already beyond capacity and were not allowing any further surface water to enter their systems, the apportionment of blame on the non-operational gullies is likely to be less than expected and cannot be ruled as a clear reason for the flooding or that the flooding was amplified due to these non-functional gullies, in such an extreme event. Had the event been of a lesser magnitude and closer to the design standard of the local drainage networks then a more in-depth investigation as to the impact of the non-functional gullies would be entirely justified.

Likewise in relation to the blockages and capacity of the Yorkshire Water sewerage network. As noted above, blockages were limited on the public sewer network to two small diameter sewers in St Margaret's Gardens and Queens Road. No other blockages or structural failures of the drainage system were reported. The drainage system failed to convey water away quickly enough to avert the flooding as it is simply not designed with the capacity to cope with the amount of water which was present, and as such no further capacity assessments are necessary as a result of the 1 in 516 year event. Yorkshire Water are however continually developing their Development and Wastewater Management Plans for Knaresborough and are implementing a Combined Sewer Overflow Reduction Plan, this may include opportunities to better understand any headroom or opportunities that could be developed to reduce flood risk through use of SuDS and rainwater attenuation at source.

Climate change predictions are for more intense, short duration, summer storms. Upgrading Knaresborough's drainage system so that it has sufficient capacity to cope with these types of events would require changes in national policy and legislation, and huge levels of investment, along with major on-going disruption while the work was undertaken. It is not realistic at this time to expect drainage infrastructure to be upgraded to a capacity sufficient to cope with this level of event.

The community responded with resilience and bravery as multiple residents were relocated due the severity of the flooding. The LLFA believe that this report will serve as a critical reference point for what is to come regarding flood management strategies to better protect Knaresborough residents from future flooding incidents.

DRAFT

7 Recommendations

The following recommendations are made because of the conclusions of this report:

1. Subject to funding eligibility, the LLFA to assess the potential for property level resilience in areas where multiple properties (including Businesses) are at risk from repeated events.
2. All risk management authorities to continue responsive service within the Knaresborough area.
3. Yorkshire Water to consider and implement appropriate options to manage the frequency and impact of surcharging of foul drainage on Park Avenue.
4. Yorkshire Water to continue the development of their Development and Wastewater Management Plans (DWMP)
5. Where opportunities are identified either through the DWMP, or Combined Sewer Overflow Reduction plans and where funding sources are identified, YW and NYC to work collaboratively to maximise opportunities to separate surface water and foul drainage by promoting the use of Sustainable Drainage Systems (SuDS) to reduce the impacts on flooding in the High risk areas.
6. All risk management authorities to work with the communities to encourage and promote improved level of resilience. With the impacts of climate change becoming ever more clear, it is critical that communities play an active role in helping themselves to be resilient to the increasingly prevalent risk of flooding.

8 Appendices

8.1 Useful contacts & links

Flood Forecasting Centre

The Flood Forecasting Centre (FFC) is a partnership between the Environment Agency and the Met Office, combining our meteorology and hydrology expertise into a specialised hydrometeorology service. The centre forecasts for all natural forms of flooding - river, surface water, tidal/coastal and groundwater.

[Flood Forecasting Centre - GOV.UK](#)

Online Flood Risk Mapping

This service uses computer models to assess an area's long term flood risk from rivers, the sea, surface water and some groundwater.

<https://flood-warning-information.service.gov.uk/long-term-flood-risk/map>

National Flood Forum

A charity to help, support and represent people at risk of flooding.

<https://nationalfloodforum.org.uk/>

North Yorkshire Local Resilience Forum

NYLRF is a partnership of local agencies working together to prepare for, respond to and recover from potential major incidents and emergencies via the duties stated in the Civil Contingencies Act 2004 (CCA).

<http://www.emergencynorthyorks.gov.uk/>

NYC Resilience & Emergencies Unit

The resilience and emergencies unit is responsible for planning for a wide variety of potential incidents and emergencies that could affect the population of North Yorkshire.

<https://www.northyorks.gov.uk/resilience-and-emergencies-unit>

NYC Flood & Water Management

As lead local flood authority, we investigate and assess flood risks, including flooding from surface water, groundwater and existing watercourses. We work with partners involved in flood and water management to protect communities from the impact of flooding.

<https://www.northyorks.gov.uk/flood-and-water-management>

8.2 Development North of Orchard Close - Drainage Layout Plan

8.3 Development North of Orchard Close - Exceedance Flow Plan

DRAFT

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Initial equality impact assessment screening form This form records an equality screening process to determine the relevance of equality to a proposal, and a decision whether or not a full EIA would be appropriate or proportionate.																																																	
Directorate	Environment																																																
Service area	Highways and Transportation																																																
Proposal being screened	Section 19 Investigation Report on the 6th May 2024 Flood Event in Knaresborough																																																
Officer(s) carrying out screening	Meirion Jones																																																
What are you proposing to do?	That North Yorkshire Council, in its capacity as Lead Local Flood Authority publishes a formal report on the events in 6 th May 2024 affecting Knaresborough, examining the action taken by risk management authorities following the flood events																																																
Why are you proposing this? What are the desired outcomes?	North Yorkshire Council has a statutory duty to investigate flood events, bestowed by the Flood and Water Management Act (2010). The NY Flood Risk Strategy determines the criteria for undertaking and publishing a formal investigation under the FWMA (2010), and the 6 th May 2024 Knaresborough flood event justifies this action according to the criteria																																																
Does the proposal involve a significant commitment or removal of resources? Please give details.	There is no financial implication arising from the publication of the report																																																
Impact on people with any of the following protected characteristics as defined by the Equality Act 2010, or NYC's additional agreed characteristics As part of this assessment, please consider the following questions: <ul style="list-style-type: none"> To what extent is this service used by particular groups of people with protected characteristics? Does the proposal relate to functions that previous consultation has identified as important? Do different groups have different needs or experiences in the area the proposal relates to? <p>If for any characteristic it is considered that there is likely to be an adverse impact or you have ticked 'Don't know/no info available', then a full EIA should be carried out where this is proportionate. You are advised to speak to your directorate representative for advice if you are in any doubt.</p> <p style="text-align: right;">OFFICIAL</p> <table border="1"> <thead> <tr> <th rowspan="2">Protected characteristic</th> <th colspan="2">Potential for adverse impact</th> <th rowspan="2">Don't know/No info available</th> </tr> <tr> <th>Yes</th> <th>No</th> </tr> </thead> <tbody> <tr> <td>Age</td> <td></td> <td>No</td> <td></td> </tr> <tr> <td>Disability</td> <td></td> <td>No</td> <td></td> </tr> <tr> <td>Sex</td> <td></td> <td>No</td> <td></td> </tr> <tr> <td>Race</td> <td></td> <td>No</td> <td></td> </tr> <tr> <td>Sexual orientation</td> <td></td> <td>No</td> <td></td> </tr> <tr> <td>Gender reassignment</td> <td></td> <td>No</td> <td></td> </tr> <tr> <td>Religion or belief</td> <td></td> <td>No</td> <td></td> </tr> <tr> <td>Pregnancy or maternity</td> <td></td> <td>No</td> <td></td> </tr> <tr> <td>Marriage or civil partnership</td> <td></td> <td>No</td> <td></td> </tr> <tr> <td>People in rural areas</td> <td></td> <td>No</td> <td></td> </tr> </tbody> </table>				Protected characteristic	Potential for adverse impact		Don't know/No info available	Yes	No	Age		No		Disability		No		Sex		No		Race		No		Sexual orientation		No		Gender reassignment		No		Religion or belief		No		Pregnancy or maternity		No		Marriage or civil partnership		No		People in rural areas		No	
Protected characteristic	Potential for adverse impact		Don't know/No info available																																														
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Disability		No																																															
Sex		No																																															
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Pregnancy or maternity		No																																															
Marriage or civil partnership		No																																															
People in rural areas		No																																															

People on a low income		No	
Carer (unpaid family or friend)		No	
Are from the Armed Forces Community		No	
Does the proposal relate to an area where there are known inequalities/probable impacts (for example, disabled people's access to public transport)? Please give details.	No		
Will the proposal have a significant effect on how other organisations operate? (for example, partners, funding criteria, etc.). Do any of these organisations support people with protected characteristics? Please explain why you have reached this conclusion.	No		
Decision (Please tick one option)	EIA not relevant or proportionate:	<input checked="" type="checkbox"/>	Continue to full EIA:
Reason for decision	The content of the flood investigation reports is technical in nature, and therefore does not have the ability to impact differently upon any protected characteristics. Any action which may arise from the event similarly relates to the physicality of the location and its associated flood risk, rather than being a decision which may be accessed differently or would have different implications depending on any protected characteristics an individual may have.		
Signed (Assistant Director or equivalent)	Barrie Mason		
Date	17/09/2025		

OFFICIAL

Initial Climate Change Impact Assessment (Form created August 2021)

The intention of this document is to help the council to gain an initial understanding of the impact of a project or decision on the environment. This document should be completed in consultation with the supporting guidance. Dependent on this initial assessment you may need to go on to complete a full Climate Change Impact Assessment. The final document will be published as part of the decision-making process.

If you have any additional queries, which are not covered by the guidance please email climatechange@northyorks.gov.uk

Title of proposal	Section 19 Investigation Report on the 6 th May 2024 Flood Event in Knaresborough
Brief description of proposal	That North Yorkshire Council, in its capacity as Lead Local Flood Authority publishes a formal report on the events in 6 th May 2024 affecting Knaresborough, examining the action taken by risk management authorities following the flood events
Directorate	Environment
Service area	Highways and Transportation
Lead officer	Meirion Jones
Names and roles of other people involved in carrying out the impact assessment	John Ward-Campbell

The chart below contains the main environmental factors to consider in your initial assessment – choose the appropriate option from the drop-down list for each one.

Remember to think about the following;

- Travel
- Construction
- Data storage
- Use of buildings
- Change of land use
- Opportunities for recycling and reuse

Environmental factor to consider	For the council	For the county	Overall
Greenhouse gas emissions	No effect on emissions	No Effect on emissions	No effect on emissions
Waste	No effect on waste	No effect on waste	No effect on waste
Water use	No effect on water usage	No effect on water usage	No effect on water usage
Pollution (air, land, water, noise, light)	No effect on pollution	No effect on pollution	No effect on pollution
Resilience to adverse weather/climate events (flooding, drought etc)	Increases resilience	Increases resilience	Increases resilience
Ecological effects (biodiversity, loss of habitat etc)	No effect on ecology	No effect on ecology	No effect on ecology
Heritage and landscape	No effect on heritage and landscape	No effect on heritage and landscape	No effect on heritage and landscape

If any of these factors are likely to result in a negative or positive environmental impact then a full climate change impact assessment will be required. It is important that we capture information about both positive and negative impacts to aid the council in calculating its carbon footprint and environmental impact.

Decision (Please tick one option)	Full CCIA not relevant or proportionate:		Continue to full CCIA:	
Reason for decision	<p>This is a statutory duty that is placed on NYC. The report provides a factual narrative of the events of 6th May 2024. Each of the recommendations will require further assessment when the scope and brief of each recommendation is understood at the time of implementation.</p>			
Signed (Assistant Director or equivalent)	Barrie Mason			
Date	17/09/2025			

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North Yorkshire Council

Environment Executive Members

26 September 2025

Report to Seek Formal Approval to Modify the Existing North Yorkshire Permit Scheme

Report of the Assistant Director – Highways and Infrastructure.

1.0 PURPOSE OF REPORT

- 1.1 This report seeks formal approval from the Corporate Director in consultation with the Executive Member for Highways and Transportation to amend the existing North Yorkshire Permit scheme documentation to reflect the following:
- An increase in permit fees to the maximum level allowed by the Department for Transport (DfT). As set out in Appendix A.
 - A reduction in the discounts offered on certain types of works from 50% to 30%.
- 1.2 Approval is also being sought to recruit additional resource within the team, to be covered by the income brought in by the changes in fees and discounts. Through this recruitment campaign, we intend to pick up the demands of the existing permit scheme and the proposed lane rental scheme, subject to a positive decision from the DfT in respect of the latter.

2.0 SUMMARY

- 2.1 A permit scheme, introduced under the Traffic Management Act 2004, requires utility companies and highway authorities to obtain permission before carrying out works in or on the public highway. Its purpose is to better coordinate street works, minimise disruption to road users, and ensure activities are planned and managed more efficiently.
- 2.2 The current permit scheme is under significant pressure due to an increasing volume of work and the growing complexity of network demands. While operational, the scheme requires further resourcing to ensure full compliance with statutory expectations, manage risk effectively, and continue to align with national best practice and other Yorkshire authorities to ensure regional parity.
- 2.3 These changes are essential to maintain the effectiveness, legal compliance, and financial sustainability of the permit scheme and to protect the integrity of North Yorkshire's highway network.
- 2.4 The existing permit scheme operates on a cost recovery basis, as permitted by legislation. To maintain the effectiveness, compliance, and responsiveness of the scheme, additional staffing resources are required. This increase in resource is cost-neutral to the Authority, as it is covered through the proposed increase in permit fees and reduction in discount given covered in this report.
- 2.5 The uplift will be introduced in accordance with DfT guidance and reflects the actual costs associated with delivering the scheme, including staffing, systems, and overheads.

- 2.6 If given approval to amend North Yorkshire's existing permit scheme to reflect a proposed increase in the permit fees charged to Promoters to undertake work on the Highway, the income will be used to cover additional resource to ensure it can continue to operate effectively. (Appendix B)
- 2.7 If approved, it is both practical and strategic to take the opportunity to streamline the recruitment campaign and look to recruit for both permit operations and the forthcoming Lane Rental Scheme, following approval from the DfT.
- 2.8 Given that a requirement of a successful implementation for Lane Rental includes the need to recruit for additional staff, as set out in the Cost benefit Analysis, aligning the resourcing of both initiatives will ensure consistency, optimise operational efficiency, and support the effective delivery of both programs.

3.0 BACKGROUND

- 3.1 In parallel to the Permit scheme, the Authority is in the process of seeking approval from the DfT to implement a Lane Rental Scheme of which the anticipated decision was expected in July 2025, however, has been delayed without a commitment to a decision date.
- 3.2 Lane Rental provides the power to charge works promoters for occupation of the highway during peak periods and in high-traffic, strategic locations. This will drive behavioral change, reduce network disruption, and improve journey time reliability.
- 3.3 If successful, implementation was anticipated by early 2026, however, The Department for Transport has subsequently delayed their initial approvals deadline, originally set for the end of July, due to internal workload pressures. At this stage, no revised timescales have been provided, and we do not have an indication of when approval is likely to be received, although it is estimated that it will take around three months from initial DfT approval to Secretary of State's Statutory Instrument (SI) approval.
- 3.4 Given the delays, every attempt is being made to be proactive in order to expedite the implementation process if given initial approval.
- 3.5 Given the close relationship between both functions and the operational similarities they provide, it seems practical to seek approval to recruit staff for the Permit Scheme whilst actively looking to recruit to Lane Rental pending successful application with DfT, as part of a single joined-up recruitment process.
- 3.6 HR has advised that, provided the roles are identical across the schemes, it would be permissible to interview candidates as part of the Permit Scheme recruitment campaign and, if approval for Lane Rental is subsequently granted from DfT, to offer positions to the next highest-scoring candidates provided they are considered to have met the role requirements. This would be valid provided that appointments are made within six months of the original recruitment activity.
- 3.7 On this basis, we are seeking approval to recruit to the Permit Scheme following the fee uplift. Should Lane Rental approval be granted within six months, we propose to offer roles to previously interviewed candidates, thereby avoiding the need to repeat the recruitment process.
- 3.8 Should approval not be sought within six months of the original activity, there will be a requirement to readvertise the roles and conduct interviews.
- 3.9 Should approval not be sought for the implementation of the scheme at all, no further action would be required as part of the recruitment process.

- 3.10 As identified in years 4 to 6 of the North Yorkshire Permit Scheme Evaluation report previously approved by Environment Executive Members on 28 February 2025 (attached as background documentation), the average individual permit cost over the three years was £42. This has risen in line with rising costs but is still a low figure compared to what is seen across the industry. This is due to the lower-than-average permit fees being charged. The expected industry range is £50 to £70.
- 3.11 The Permit Scheme staffing levels have been maintained, yet the volume of applications has increased. The total number of permits increased from 185,949 (2018/19) to 205,813 (2021/22) with Permit variations rising to over 62,000 in 2021/22.
- 3.12 2021/22 saw an influx of fibre schemes, led by central government which resulted in fibre permit fee income alone rising to £560,765 compared to £338,330 in 2018/19, an increase of 66%.
- 3.13 This data directly correlates with the workload pressure on the Street Works team. Despite this, staffing levels have not kept pace, resulting in overextended personnel and operational risk.
- 3.14 To ensure the Permit Scheme is fully resourced so it can continue to deliver its operational requirements, increased revenue will need to be realised from an increase in fees and a reduction in discounts offered to cover rising costs.
- 3.15 Currently, the North Yorkshire Permit Scheme offers a reduction in fees to incentivise collaborative working. This is set at 50%, however, all other schemes in the Yorkshire and Northeast region offer a 30% discount. We propose to amend the permit documentation to reflect a 30% discount to bring it in line with the rest of the region and to ensure that the scheme can run effectively.
- 3.16 Investing in additional staff would enable:
- Improved permit processing times
 - Enhanced compliance inspections
 - Greater coordination of works to minimise disruption.
 - Ensures inspection of reinstatements within the two-year guaranteed window.
 - Improved customer and stakeholder service
 - Positions the Authority to proactively manage future pressures, including the rollout of 6G and infrastructure upgrades for EV charging and hydrogen gas.

4.0 CONSULTATION OVERVIEW

- 4.1 Any changes made to a Permit Scheme are subject to a four- week consultation with both internal and external works promoters as per the Traffic Management Permit Scheme (England) Regulations 2007.
- 4.2 The consultation process involves the following:
- Stakeholder engagement and feedback with utility companies, contractors, emergency services and transport advocacy groups.
 - Use of online platforms to gather a wide range of opinions and data.
 - Implementation a communication plan to inform stakeholders about the consultation process, its importance, and how they can participate.
 - Provide regular updates on the consultation progress and how feedback is being used to shape the scheme.
- 4.3 Following completion of the consultation process the intention is to provide an update including the comments and queries from stakeholders, along with the Authority's responses.

5.0 ALTERNATIVE OPTIONS CONSIDERED

- 5.1 There is the option that the Authority could choose to make no changes to the fees or staffing and continue with its current permit scheme operational documents, however lack of resource poses significant risk to operation. Continued workload pressures and keeping the fees at the existing level will result in the scheme running at a loss.
- 5.2 If successful in our Lane Rental application with the DfT, early recruitment and training can take place in the three months between the initial approval and the Statutory Instrument, resulting in go live taking place shortly after.
- 5.3 Further delay in resourcing the Permit Scheme may result in declining performance and compliance.
- 5.4 The uplift is in line with the Traffic Management Permit Scheme (England) Regulations 2007 and as set out in the statutory guidance and supported by transparent cost recovery justification. There is also a benefit to Undertakers in that all the schemes in the Yorkshire area will operate the same way, lending itself to the issue of parity, which the permit scheme is designed to do.

6.0 RESOURCE PROPOSAL

- 6.1 As mentioned, there is a desire to streamline the recruitment process to include any vacancies for permit operations to be extended to cover the forthcoming Lane Rental Scheme given that the posts excluding one will be the same.
- 6.2 Approval is therefore sought to proceed with the recruitment of staff to both schemes with staffing costs for permit operations covered by the increasing of permit fees and Lane Rental surplus to cover scheme operational costs in alignment with Department for Transport (DfT) guidance.

Post	Description	Funded from Lane Rental	Funded from Permit Scheme	Cost to Authority inc. NI & Pension Contributions (top of spinal point) inc. 4% pay inflation
SENIOR COORDINATION OFFICER (existing post)	Lead the implementation, manage governance and oversee scheme operations	1 FTE BAND M	N/A	£68,135
COORDINATION OFFICER (existing Post)	Manage increased permit volumes and ensure timely approvals	2 FTEs Band J	3 FTEs Band J	£283,555
CHARGING OFFICER (new post)	Monitor surplus fund use, produce DfT returns and performance	1 FTE BAND K (Job Evaluation dependent)	N/A	£56,711
STREET WORKS INSPECTOR (existing post)	Carry out compliance checks and enforcement in lane rental streets	N/A	2 FTEs Band I	£101,030

- 6.3 To strengthen the existing permit scheme, we are looking to recruit an additional five posts at an estimated cost of £271,163.
- 3x Coordination Officers
 - 2x Street Works Inspectors
- 6.4 As per the cost-benefit analysis for Lane Rental, we are looking to recruit four additional posts at an estimated cost of £238,268.
- 1x Senior coordination Officer
 - 2x Coordination Officers
 - 1x Charging Officer

7.0 FINANCIAL IMPLICATIONS

- 7.1 The funding model is as follows:
- Permit Scheme staff are fully funded through an uplift in permit fees to the maximum level allowable by DfT, making it cost-neutral to the Authority.
 - Lane Rental staff are funded through income generated by the scheme once in place (with initial setup support to be confirmed). The Cost Benefit Analysis estimates income at £1.3 million per annum with £567K initial set up costs, subject to DfT approval. The surplus in relation to Highways Maintenance will contribute to savings included in the budget and MTFs and any additional surplus is to be spent on innovation as per the Lane Rental guidance.

Permit Scheme

- 7.2 To offset the cost of additional resource for the permit scheme, it is proposed to increase the fees to the maximum level allowed by the DfT as set out in the fee table. (Appendix C).
- 7.3 The maximum figure is supported by evidence of the costs associated with the permit scheme. This ensures that permit fees are not applied where Lane Rental (if approved) is in effect on a highway. Whilst approval is sought to roll together the recruitment processes for efficiency, it is important to note that the permit scheme and Lane Rental are distinct schemes and must be accounted for separately.
- 7.4 At the current fee level, the position over the past 6 years has been:
- Yr1 Balanced
 - Yr2 £331,100 surplus
 - Yr3 £131,100 surplus
 - Yr4 £38,353 surplus
 - Yr5 £87,445 loss
 - Yr6 £288,360 loss
- 7.5 Resulting in a total for the first 6 years of a surplus of £124,748.
- 7.6 Based on the latest 3 years average Utility granted permit volumes, the potential income at maximum charges is £2,106,000 As set out in (Appendix D and E)
- 7.7 Current income is £1,775,476. Costs are now £2,063,836 showing a loss of £288,306 Therefore, moving to maximum charges will potentially generate (subject to volumes) an extra £330,000 putting the Authority back in a cost neutral position.

Current Costs	Current income	Increase in expected income generated from additional posts (cost neutral)	Cost of Additional posts	Additional income from increasing the fees
£2,063,836	£1,775,476	£330,524	£271,163	£330,524

- 7.8 In summary, increasing the maximum charge of permit fees will increase current income from £1,775,476 to an estimated £2,106,000 – an increase of £330,524. This will offset the current deficit of £288,360. In addition, it is proposed an additional 5 staff will be recruited for the permit scheme at a cost of £271,163. Estimates are that these staff will generate further additional income of £330,524 so are fully funded.
- 7.9 This increase in income should cover the cost of the additional staff and should also go some way in recovering the potential loss of any income brought about by legislation changes which came into force in April 2023 which included changes to inspection regimes and a reduction in Traffic Sensitivity criteria, resulting in reduced income for the Authority.
- 7.10 The additional resource should also alleviate the potential increase in workload that these recent changes have brought about.

Lane Rental

- 7.11 It is proposed to recruit 4 staff if the Lane Rental Scheme goes ahead, at a cost of £238,268. These costs would be fully funded by income from the Lane Rental Scheme.

8.0 LEGAL IMPLICATIONS

- 8.1 Permit schemes were introduced in Part 3 of the Traffic Management Act 2004 and are regulated by the Traffic Management Permit Scheme (England) Regulations 2007 (as amended) (“the Regulations”).
- 8.2 The Deregulation Act 2015 amended the Traffic Management Act 2004 enabling Highway Authorities to make and vary their own schemes and in doing so Authorities are required to have regard to the Regulations and the Statutory Guidance issued by the Department of Transport. The current DfT statutory Guidance is the “Permit Schemes: statutory guidance for highway authorities” published in July 2022 (“the Guidance”).
- 8.3 Before varying a scheme there is a requirement to carry out a consultation. The consultation must be carried out in accordance with the Regulations and the Guidance.
- 8.4 There are no legal implications foreseen in proposing and consulting on a variation of the scheme being carried out in accordance with statutory requirements. Further consideration may need to be given of whether any legal implications arise as the proposals for the schemes progress through to implementation.

9.0 EQUALITIES IMPLICATIONS

- 9.1 No equalities implications foreseen. (Appendix F).

10.0 CLIMATE CHANGE IMPLICATIONS

- 10.1 No Climate change implications foreseen. (Appendix G)

11.0 REASONS FOR RECOMMENDATIONS

- 11.1 Subject to approval of this report, the Authority will look to amend the existing North Yorkshire Permit Scheme Documentation for consultation with key stakeholders for a period of four weeks and comments in relation to the changes will be fed back to officers for review.

12.0 RECOMMENDATIONS

- 12.1 That the Corporate Director for Environment, in consultation with the Executive Member for Highways and Transportation give approval to go out to consultation for amendments to the existing Permit Scheme, with the attachments set out in Appendices B to E
- 12.2 To proceed with the recruitment of additional staff to strengthen the existing Permit Scheme, following the fee increase with the potential to also recruit staff for the proposed Lane Rental Scheme if the Lane Rental application is given approval by the DfT.

APPENDICES:

APPENDIX A – Fee Structure

APPENDIX B – North Yorkshire Modified Permit Scheme

APPENDIX C – North Yorkshire Modified Permit Scheme Fee Table

APPENDIX D – North Yorkshire Modified Permit Scheme Operating Factors

APPENDIX E – North Yorkshire Modified Permit Scheme DfT Cost Matrix

APPENDIX F – Environmental Impact Assessment

APPENDIX G – Climate Impact Assessment

BACKGROUND DOCUMENTS:

[The North Yorkshire Streetworks Permit Scheme - Years 4, 5 and 6 Permit Scheme Evaluation Report - September 2024](#)

Karl Battersby
Corporate Director – Environment
County Hall
Northallerton
26 September 2025

Report Author – Alex Hollifield, Team Leader, Network Information and Compliance
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Fee Structure

	Current permit fee	Proposed permit fee	DfT maximum allowable fee
Provisional Advance Authorisation	£31	£75	£75
Major works over 10 days duration and all major works requiring a traffic regulation order	£54	£150	£150
Major works (4 to 10 days duration)	£54	£75	£75
Major works (up to 3 days duration)	£45	£45	£45
Standard activity permit	£37	£75	£75
Minor activity permit	£23	£45	£45
Immediate activity permit	£22	£40	£40
Permit Variation	£35	£35	£35

Road Category 0 to 2 and Traffic Sensitive Streets			
	Current permit fee	Proposed permit fee	DfT maximum allowable fee
Provisional Advance Authorisation	£98	£105	£105
Major works over 10 days duration and all major works requiring a traffic regulation order	£200	£240	£240
Major works (4 to 10 days duration)	£130	£130	£130
Major works (up to 3 days duration)	£65	£65	£65
Standard activity permit	£117	£130	£130
Minor activity permit	£65	£65	£65
Immediate activity permit	£54	£60	£60
Permit Variation	£45	£45	£45

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North Yorkshire Modified Permit Scheme – Scheme Document

The North Yorkshire Modified Permit Scheme

Traffic Management Act 2004

North Yorkshire Modified Permit Scheme – Scheme Document

Date:	July 2025
Project Name:	North Yorkshire Modified Permit Scheme (NYoPS)
Service Area:	North Yorkshire Council
Directorate:	Network Information and Compliance
Author:	
SRO:	
Version:	1 st Draft

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1 Foreword

- 1.1.1 The original North Yorkshire Permit Scheme came into effect from October 4th 2017 and has been reviewed annually in accordance with Regulation 16A.
- 1.1.2 Due to changes to legislation and guidance, a modified scheme has been prepared that takes brings the scheme up to date.
- 1.1.3 The North Yorkshire Permit Scheme is a Single Permit Scheme for the purposes of Part 3 of the Traffic Management Act 2004 (TMA) and the Traffic Management Permit Scheme (England) Regulations 2007 as amended (the Permit Regulations).

2 The Permit Scheme

2.1 Background

- 2.1.1 Part 3 of the Traffic Management Act 2004 (TMA) introduced Permit Schemes as a new way in which activities in the public highway could be better managed and to improve Authorities' abilities to minimise disruption from street and road works.

2.2 The Permit Scheme

- 2.2.1 This Modified Permit Scheme, to be known as the **North Yorkshire Permit Scheme (NYoPS)**, and hereinafter referred to as the 'Permit Scheme', is made under on Part 3 of the TMA and has been prepared in accordance with the Traffic Management Permit Scheme (England) Regulations 2007 as amended, (the Regulations), and has been prepared with regard to the Statutory Guidance issued by the Secretary of State to assist Highway Authorities wishing to become Permit Authorities and in accordance with the requirements set out in the Regulations.
- 2.2.2 The Deregulation Act 2015 (the 2015 Act) received Royal Assent on the 26 March. The 2015 Act provides that a scheme previously given by a Statutory Instrument (SI) made by the Secretary of State is to be treated as if it had been given effect by an Order made by the Highway Authority under the amended Traffic Management Act. From 30th June 2015 authorities making or varying a scheme will do so by Order.
- 2.2.3 The Permit Scheme will be operated solely by North Yorkshire Council as a Single Permit Scheme.
- 2.2.4 Promoters should make themselves aware of Part 3 of the Traffic Management Act 2004 ("TMA") (Sections 32 to 39) and the Traffic Management Permit Scheme (England) Regulations 2007 ("the 2007 Regulations"), Statutory Instrument 2007 No. 3372 made on 28 November 2007, as amended by the Traffic Management Permit Scheme (England) (Amendment) Regulations 2015, Statutory Instrument 2015 No. 958 made on 26 March 2015 ("the Amendment Regulations"). All current NRSWA and TMA legislation, codes of practice, etc. and any future amendments to that legislation, that may apply to this Permit Scheme.
- 2.2.5 The Permit Scheme has taken into account and will support, wherever possible, UK national infrastructure projects including:
- Airport expansion.
 - High speed rail.
 - Nationwide full fibre broadband by 2033.
 - Half of the UK's power provided by renewables by 2030.
 - Three quarters of plastic packaging recycled by 2030.
 - Preparing for 100 per cent electric vehicle sales by 2030.
 - Ensuring resilience to extreme drought; and
 - A national standard of flood resilience for all communities by 2050.

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2.2.6 In accordance with Regulation 4 it is intended that the Modified Permit Scheme is going to start operation in late 2025.

2.3 The Permit Authority

2.3.1 The Permit Scheme will be operated as a Single Permit Scheme by North Yorkshire Council, as the Highway Authority for North Yorkshire, hereinafter referred to as the 'Permit Authority'.

2.4 Activities

2.4.1 For consistency, the generic term 'activities' has been used rather than "works" to reflect the fact that the Scheme may eventually cover more than street and road works in subsequent Regulations. These are the specified works as set out in the Regulations.

2.4.2 The term 'Promoters' will be used for both Statutory Undertakers (including Utility companies) and the Highway Authority.

2.4.3 A glossary of the main terms contained within this document is provided in Appendix A.

2.5 Relationship to NRSWA

2.5.1 Permit Schemes provide an alternative to the existing notification system of the New Roads and Street Works Act 1991 (NRSWA), whereby instead of informing a Highway Authority about its intention to carry out works in its area, a Statutory Undertaker has to book time on the highway by obtaining a Permit from the Permit Authority.

2.5.2 Under a Permit Scheme, the activities undertaken by the Highway Authority, its partners or agents are also treated in exactly the same way as a Statutory Undertaker.

2.5.3 The Permit Authority may apply conditions which impose constraints on the dates and times of activities and the way that work is carried out can be attached to Permits.

2.5.4 The Permit Authority's control over variations to Permit conditions, particularly time extensions, gives a greater incentive to complete activities on time.

2.5.5 A Highway Authority may choose to implement a Permit Scheme on all or some of the roads under its control.

2.6 Equivalent definitions

2.6.1 As the Permit Scheme will operate alongside NRSWA, the same or equivalent definitions and requirements are used as in the NRSWA notice system, namely:

- Registerable activities/works
- Categories of activities/works, (major, standard, minor and immediate activities/works)
- Street gazetteers, including street referencing by means of a Unique Street Reference Number (USRN) and Associated Street Data (ASD)
- Street reinstatement categories as defined in the NRSWA Reinstatement Specification
- The distinction between main roads and minor roads where such distinctions are relevant
- Streets designated as Protected Streets, streets having Special Engineering Difficulties, (SED), or a Traffic Sensitive Street

2.7 Changes to NRSWA legislation

2.7.1 Where it is implemented on the specified streets, (See 4.3 below), and in accordance with the Regulations, the Permit Scheme will result in the disapplication and modification of the following sections of the NRSWA:

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- i. Sections of NRSWA disapplied: s53; s54; s55; s56; s57; s66
 - ii. Sections of NRSWA modified: s58; s58A; s64; s69; s73A; s74; s88; s89; s90; s93; s105; Schedule 3A
 - iii. Regulations modified: The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007 SI 2007/1951
- 2.7.2 Changes to Section 58 (restrictions on works following substantial road works) and Section 74 (charges for occupation of the highway where works are unreasonably prolonged) apply only to Statutory Undertakers activities.
- 2.7.3 The Permit Scheme makes arrangements so that similar procedures are followed for Highway Authority Promoter activities in relation to timing and duration, in order to facilitate the operation of the Permit Scheme.
- 2.7.4 To ensure parity of treatment for all Promoters, reports will be produced for both Statutory Undertakers and Highways Authority works so direct comparisons of applied procedures can be made.
- 2.7.5 Before varying or revoking the Permit Scheme, the Permit Authority shall consult the persons referred to in regulation 3(1).

3 Objectives of the North Yorkshire Permit Scheme

- 3.1.1 The North Yorkshire Permit Scheme's objectives are:
- Increase the efficient running of the highway network through proactive management of activities on the highway
 - Improve the quality and timeliness of information received from all activity promoters
 - Encourage a proactive approach to planning and undertaking of works on the highway
 - Protect the structure of the street and the integrity of apparatus in it
 - Ensure the safety of those using the street and those working on activities that fall under the scheme, with particular emphasis on people with disabilities
 - Ensure parity of treatment for all activity promoters

4 Scope of the Permit Scheme

4.1 Area covered by The Permit Scheme

- 4.1.1 The Permit Scheme applies within the Council boundaries of North Yorkshire.

4.2 Definition of the term "Street"

- 4.2.1 For the purposes of the Permit Scheme, the term "street" refers to that length of road associated with a single Unique Street Reference Number (USRN). Where a single street on the ground has more than one USRN, separate Permits will be required for each USRN to which an activity relates (activities being the specified works as set out in the Regulations).

4.3 Streets covered by the Permit Scheme

- 4.3.1 The Permit Scheme will apply to all streets identified on the National Street Gazetteer (NSG).
- 4.3.2 The Permit Authority will create, maintain and publish the Street Gazetteer to Level 3.
- 4.3.3 The Street Gazetteer will be available to all Promoters via the National Street Gazetteer Concessionaire's website.

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4.4 Motorways and Trunk Roads

- 4.4.1 Motorways and trunk roads in North Yorkshire for which National Highways is the Highway Authority are excluded from the Permit Scheme.

4.5 Non-maintainable highways

- 4.5.1 Privately maintained streets and other roads not maintained by National Highways are not included in the scheme, but will be added if they are subsequently adopted by the Highway Authority and shown as such in the Street Gazetteer.

4.6 Streets to be adopted as a maintainable highway

- 4.6.1 Where a street is expected to become a maintainable highway, controls on specified activities under the Permit Scheme will only apply after the street has become a maintainable highway.

5 Activities Covered by the Permit Scheme

5.1 Activities requiring a Permit

- 5.1.1 The Permit Scheme controls the following activities undertaken on the public highway and as defined as Registerable Activities in Chapter 9 of The Code of Practice for Permits 2008:
- i. Street works as in Part 3 of NRSWA, as defined by s48, except for works by licensees under section 50 of NRSWA
 - ii. Works for road purposes as defined by section 86 of NRSWA – maintenance and improvement works to the road itself, carried out by, or on behalf of, the Highways Authority
 - iii. Major Highway Works (including Developer activities under Section 278 of the Highways Act 1980)
 - iv. Other activities that may be introduced under future regulations
- 5.1.2 The following activities defined in the Regulations as specified works are Registerable for all Promoters and information related to them has to be recorded on the register (*See section 0*):
- i. Involve the breaking up or resurfacing any street (including tunnelling and boring under the street) (see below for pole testing and coring involving excavation).
 - ii. Involve opening the carriageway or cycleway of traffic-sensitive streets at traffic-sensitive times.
 - iii. Reduce the lanes available on a carriageway of three or more lanes.
 - iv. Require a temporary traffic regulation order or notice, or the suspension of pedestrian facilities.
 - v. Require a reduction in the width of the existing carriageway of a traffic-sensitive street at a traffic-sensitive time

5.2 Works for Road Purposes

- 5.2.1 The requirements of the Permit Scheme apply equally to both works undertaken by the Highway Authority and Statutory Undertakers with the one exception that fees will not be charged for Permits issued for the Highway Authority's own works for road purposes.
- 5.2.2 To demonstrate parity of treatment for all Promoters, particularly between the Highway Authority and Statutory Undertakers, Key Performance Indicators will be used.

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5.2.3 Highway Authorities and Promoters of works for road purposes must ensure that they have followed the equivalent PAA and Permit application processes for activities and declare that they have fulfilled these requirements in their applications.

5.3 Street lighting

5.3.1 The definition of works for road purposes may include some works carried out by Undertakers, such as street lighting. It is for Promoters to ensure that Permit applications for such activities are made and that the activity is registered, as appropriate.

6 Exempt Activities

6.1.1 Certain types of activities are exempt from requiring a Permit.

6.2 Non Registerable activities

6.2.1 The following activities are non Registerable and do not require a Permit:

- Traffic Census Surveys
 - Traffic census surveys have deliberately not been included as disclosure of this information prior to a census taking place can encourage a change to the normal pattern of traffic flows.
- Pole testing
 - Pole testing involving excavation requires registration and therefore needs a permit; as would be the case with other excavations, when one or more of rules 2 – 6 above apply. However, in all circumstances the work must be registered using section 70 (3) under NRSWA for the purpose of reinstatement inspections within 10 days of completion.
- Fire service vehicles
 - Fire service vehicles occasionally need to be parked adjacent to fire hydrants when these are being tested. These operations are exempt from the requirement to obtain a Permit, provided the work is done outside traffic-sensitive periods.

6.2.2 Other activities that do not require a Permit:

- Replacing manhole or chamber covers - that do not involve breaking up the street
- Replacing poles, lamps, columns or signs in the same location where that does not involve breaking up the street
- Bar holes

6.3 Activities not requiring a Permit before they start

6.3.1 Immediate activities do require a Permit but as such works are concerned with emergency or urgent situations, a Promoter can start work before applying for a Permit provided they apply for a Permit within 2 hours of the works commencing.

6.3.2 If the work commences out of working hours, then a Permit must be applied for by 10am the next working day (See section 9.5)

6.4 Activities for which no Permit is required

6.4.1 Activities executed in a street pursuant to a street works licence issued under section 50 of the NRSWA are not included in the Permit Scheme but will have to follow the normal NRSWA procedures.

7 Permits – General

7.1 Requirement to obtain a Permit

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7.1.1 Any Promoter of specified activities who wishes to carry out such an activity on a specified street **must** obtain a Permit from the Permit Authority. The Permit will allow the Promoter to:

- Carry out the specified activity
- At the specified location
- Between the dates shown and for the duration shown
- Subject to any conditions that may be attached or required

7.2 Application requirements

7.2.1 Each application for a Permit must include the information indicated in section 11.

7.3 Activities covering several streets

7.3.1 An application can only be for one street.

7.3.2 Where the specified activity involves a number of specified streets, a separate PAA or Permit will be required for each street.

7.3.3 Permit applications for specified activities covering more than one specified street shall be cross-referenced to all related applications.

7.3.4 Fees for specified activities which involve several Permits will be discounted where the applications are submitted together on the same day.

7.4 Phasing of Activities

7.4.1 One permit can only relate to one phase of an activity. A phase of an activity is a period of continuous occupation of the street (whether or not work is taking place for the whole time) between the start and completion of the works, for example a separate permit would be required for interim, permanent and remedial reinstatements.

7.4.2 The dates given in a permit application and in the issued permit will denote the dates for that phase. A phase can end only when all the plant, equipment and materials, including any signing, lighting and guarding have been removed from the site and the highway is returned to full use.

7.4.3 A Promoter must clarify when an activity is to be carried out in phases on the application. Each phase will require a separate permit and, if a major activity involving asset activity also a PAA, which will be cross referenced to the other permits.

7.4.4 Phased activities must relate to the same works, with applications submitted using the same works reference.

7.5 Linked activities

7.5.1 Linked activities carried out at separate locations in the same street must be treated as belonging to the same set of works.

7.5.2 If an activity involving more than one street forms part of one project in management and contractual terms, separate Permits and Provisional Advance Authorisations must be obtained for each street.

7.5.3 Customer connections associated with the installation of a new main or cable run or the replacement or renewal of existing assets will be considered to be linked activities when the work is completed as a single occupancy of a single street. If an activity relating to the installation of customer connections is undertaken at a later date then the Promoter shall apply for a separate Permit.

7.6 Interrupted activities

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- 7.6.1 In the event of an activity being interrupted and delayed, for instance due to damage to a third party's plant or while missing apparatus is acquired. It is the responsibility of the Promoter to contact the Permit Authority to agree what action should be taken.
- 7.6.2 Where the Permit Authority is satisfied that the excavation can remain open while the repairs are implemented or the equipment obtained, then a variation will be required and an extension to the Permit will be granted.
- 7.6.3 However, where the Permit Authority considers that the opening should be reinstated and the road returned to full traffic use then the Promoter will need to apply for a further Permit to complete the work at a later date. A Permit fee may be charged for the new Permit.

7.7 Cross Boundary Activities

- 7.7.1 Where a project with activities in more than one street straddles the boundary between the Permit Authority and an adjacent Permit Authority, separate Permit applications, including any PAA, should be submitted to both Authorities.
- 7.7.2 If a cross boundary project involves activities on a street of a Street Authority operating a notice system under NRSWA, then the Permit application to the Permit Authority must identify the activity in the other Authority area so that the Permit Authority can liaise with them.
- 7.7.3 A single project reference should be included on applications and all notices so that both Authorities can consider the impact and co-ordinate the activities together.

7.8 Collaborative working

- 7.8.1 The Permit Authority encourages collaborative working between Promoters for both street works and works for road purposes. It is accepted that there are often issues in such arrangements, particularly contractual complications. Nevertheless, every opportunity should be sought to minimise the disruption to users of the highway.
- 7.8.2 Where two or more Promoters decide to enter into such arrangements, one must take on the role of the Primary Promoter with the overall responsibility for the activities and will be the point of contact with the Permit Authority. While the Secondary Promoter(s) will be required to make a Permit application for the activity for which they are responsible, only the Permit application made by the Primary Promoter will need to show the number of estimated inspection units.
- 7.8.3 The Primary Promoter's Permit application must give details of the other Promoter(s) involved and the extent of the collaborative working.
- 7.8.4 The Primary Promoter must also ensure that the estimates of works duration are agreed and confirmed with the Secondary Promoter(s) when submitting the PAA and/or Permit applications. This is necessary in order to comply with the overrun charging requirements in the Permit and NRSWA Regulations.
- 7.8.5 While the Permit Authority will issue Permits to all the Promoters involved, not just the Primary Promoter, the fees will be discounted to reflect the collaborative approach.
- 7.8.6 The Primary Promoter will backfill and reinstate the trench unless it has previously been agreed with the Permit Authority and the Secondary Promoter(s) that the Secondary Promoter(s) will carry out the reinstatement. In which case, the responsibility for the reinstatement will rest with the Promoter who undertook this work; however, the primary promoter will still be required to submit all the Notices for the works, including Registration of the reinstatement details.

7.9 Remedial works

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7.9.1 In the event of remedial works being required after the expiry of a Permit, an application must be made for a new Permit. This Permit must be cross referenced to the Permit using the Works Reference Number for the original activity.

7.10 Start and end dates

7.10.1 In relation to category 0, 1, 2, and traffic-sensitive streets the planned commencement date and finishing date for the activity are the start date and end dates respectively on the permit. The permit will not be valid before the start date on the permit and will cease to be valid once the end date has passed unless a variation is granted.

7.10.2 In category 3 and 4 streets that are not traffic-sensitive, the permit will be issued with a start and end date and duration for the activity which is set as a condition. The start date of the permit will be the proposed start date of the activity. However, because both competition for space and the expected level of disruption is likely to be lower on less busy streets, there will be flexibility on the start of the activity - a “starting window” - equivalent to the validity period on a NRSWA notice. The starting windows are:

- i. 5 days for major and standard activities
- ii. 2 days for minor activities

7.10.3 The permit end date will therefore allow for the set duration to be completed if the activity starts on the last day of the starting window.

7.11 Early start

7.11.1 The Permit Authority will consider a Promoter’s request for an early start before or after applying for a Provisional Advance Authorisation or a Permit application.

7.11.2 Where this is agreed, the Promoter shall submit a variation to a Permit, or in the case of a Provisional Advance Authorisation, include the revised dates on the application for the Permit. If the Permit has already been granted or deemed, a variation charge will apply.

7.11.3 A reference number will be issued by the Permit Authority, and must be quoted on the Permit application or Permit variation application.

7.11.4 Requests for early starts may or may not be agreed by the Permit Authority at their discretion but will not be unreasonably refused, and it is the responsibility of the Promoter to satisfy the Permit Authority as to the necessity for any proposed early start.

7.12 Charges for over running street works

7.12.1 Charges for over running street works, under section 74 of the NRSWA, will be made alongside the Permit Scheme although these regulations are modified to incorporate the process of setting and modifying the duration of the activity through the Permit application, approval and variation processes.

7.13 Working without a Permit

7.13.1 It is an offence for a Statutory Undertaker or a person contracted to act on its behalf to undertake activities without a Permit, except to the extent that the Permit Scheme provides that this requirement does not apply.

7.13.2 Where it is believed that such an offence is being committed, the Permit Authority may impose a fixed penalty notice and require the party concerned to remove the works and return the street to full use.

8 Permits - Types

8.1 Types covered by the Permit Scheme

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8.1.1 There are two types of Permit covered by the Permit Scheme: Provisional Advance Authorisation (PAA) and Permits.

8.2 Provisional Advance Authorisation (PAA)

- 8.2.1 A PAA replaces the Advance Notice under section 54 of NRSWA.
- 8.2.2 PAAs are a means of enabling Major activities to be identified, co-ordinated and programmed in advance by allowing activities to be provisionally reserved by the Permit Authority pending the Authority's subsequent decision on whether, and with what conditions, to issue a Permit for the activities.
- 8.2.3 A Promoter who wishes to undertake Major activities, on a specified street **must** apply for a PAA at least 3 months in advance of those activities starting on the highway, or as agreed with the Permit Authority.
- 8.2.4 Subsequent applications for Permits for Major activities that have not been preceded by a PAA, will not, except in exceptional circumstances, be accepted by the Permit Authority.
- 8.2.5 Each application for a PAA will be limited to one street.
- 8.2.6 An application for a PAA must include a full description of the activity and specify start and end dates, although the start date may be considered as provisional and can be amended in the application for a final Permit.
- 8.2.7 A fee will be charged for the granting of a PAA in addition to the fee which is charged for the granting of the Permit.
- 8.2.8 The granting of a PAA does not prevent the Permit Authority from subsequently refusing to grant a Permit to which the PAA relates.
- 8.2.9 A copy of each application for a PAA is to be provided by the applicant upon request by a relevant Authority and by any person having apparatus in the street to which the application relates.

8.3 Permits

- 8.3.1 These are full Permits with complete details of the Registerable activities on a specified street.
- 8.3.2 The information required to support an application for a PAA should be equivalent to, but should not exceed, that required in support of an application for a Permit.
- 8.3.3 The timing of Permit applications to the Permit Authority will depend on the proposed activity.
- 8.3.4 A copy of each application for a Permit is to be provided by the applicant upon request by a relevant Authority and by any person having apparatus in the street to which the application relates.

9 Permits – Classes

9.1 Classes covered by the Permit Scheme

9.1.1 There are four classes of Permit covered by the Permit Scheme: Major, Standard, Minor and Immediate.

9.2 Permits for Major Activities

- 9.2.1 Major activities are those which:
- i. Other than immediate activities, require a temporary traffic regulation order, (i.e. not a temporary traffic notice), under the Road Traffic Regulation Act 1984 for any other activities

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9.2.2 Major activities are split into 3 sub-categories:

- a) Over 10 days and all major works requiring a temporary traffic regulation order
- b) Works 4 to 10 days and meeting the requirement detailed in 9.2.1 above
- c) Up to 3 days and meeting the requirement detailed in 9.2.1 above

9.2.3 Major Activity Permits are required for the most significant activities on the Highway and require the Promoter to obtain a Provisional Advance Authorisation as part of the application process for a Major Activity Permit. (See 8.2 above)

9.2.4 An application for a Major Activity Permit shall be submitted to the Permit Authority in accordance with the timescales given in Table 1 (*section 10.6* below) and must include a description of the proposed activity together with the proposed start and end dates of the activity. Where these differ from those given in the PAA application, the applicant must explain the reasons for any variation.

9.2.5 Major activities will be subject to conditions.

9.3 Permits for Standard Activities

9.3.1 Standard Activities are those activities that have a planned duration of between 4 and 10 days inclusive. Activities lasting less than 10 days but which require a traffic regulation order, such as a temporary road closure, will be classified as a Major Activity and will be subject to the requirements in 9.2 above.

9.3.2 An application for a Standard Activity Permit shall be submitted to the Permit Authority in accordance with the timescales given in Table 1 (*section 10.6*) below and must include a description of the proposed activity together with the proposed start and end dates of the activity.

9.3.3 Standard activities will be subject to conditions.

9.4 Permits for Minor Activities

9.4.1 Minor Activities are those activities, where the planned working is 3 days or less. Activities lasting less than 3 days but which require a traffic regulation order, such as a temporary road closure, will be classified as a Major Activity and will be subject to the requirements in 9.2 above.

9.4.2 An application for a Minor Activity Permit shall be submitted to the Permit Authority in accordance with the timescales given in Table 1 (*section 10.6 below*) and must include a description of the proposed activity together with the proposed start and end dates of the activity.

9.4.3 Minor activities will be subject to conditions.

9.5 Permits for Immediate Activities

9.5.1 Immediate Activities are either:

- i. Emergency works as defined in section 52 of NRSWA; or
- ii. Urgent Activities,
 - a. (not being emergency works), whose execution at the time they are executed is required, (or which the person responsible for the works believes on reasonable grounds to be required)
 - b. To prevent or put an end to an unplanned interruption of any supply or service provided by the Promoter
 - c. To avoid substantial loss to the Promoter in relation to an existing service

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- d. To reconnect supplies or services where the Promoter would be under a civil or criminal liability if the reconnection is delayed until after the expiration of the appropriate notice period
 - e. Including works that cannot reasonably be separated or severed from such works
- 9.5.2 Given the nature of immediate activities, work may commence without a Permit. However, where it is necessary to carry out excavation in the Highway, Promoters of such activities must contact the Permit Authority by telephone immediately if identified on the NSG.
- 9.5.3 Where the activity is identified within the normal working day (i.e. after 08.00 hours and before 16.30 hours), a Permit application must be made as soon as reasonably practicable and in any event, within two hours of the activity starting.
- 9.5.4 If work starts outside of working hours, an application for a Permit must be submitted by 10am the next working day.
- 9.5.5 If the Permit Authority disputes whether an activity, or part of an activity, is immediate, the Promoter must demonstrate conclusively that it is.
- 9.5.6 Immediate activities will be subject to conditions.

Commented [NP1]: whats our options when they dont phone and alert us?

10 Permit Applications

10.1 Application Timing and Response Times

- 10.1.1 The timing of applications for Permits and PAAs and the Permit Authority's response will vary according to the proposed activity. The **minimum** times are given in Table 1 Section 10.7 below and Promoters should give as much notice as possible to ensure that the co-ordination process can be facilitated effectively.
- 10.1.2 Where the activity is dependent on a Temporary Traffic Regulation Order (TTRO), temporary traffic signal approval, or the suspension of parking regulations, the relevant timescales should be taken into account by the Promoter, and applicants are advised to submit their requests for TTROs and/or temporary traffic signal approval when applying for a PAA.
- 10.1.3 The application process will begin at the time of receipt of the application by the Permit Authority. The Street Manager system will provide an auditable record of when an application was received.
- 10.1.4 The Permit Scheme sets down the application and response times for dealing with Permit applications and variation applications in Table 1 below.
- 10.1.5 In all cases given in Table 1 Section 10.7 below, the time period is measured from the time of receipt of the application by the Permit Authority.
- 10.1.6 A "response" means a decision to grant, refuse or request a modification to a Permit. Where there are reasons why the Permit cannot be granted in the terms applied for, the response indicating that a Permit will not be granted in those terms will explain the reasons to the applicant.

10.2 Submitting an application

- 10.2.1 Permit and PAA applications must be made electronically, complying with the required system for electronic information sharing and data collection, that is, Street Manager.

10.3 System failure

- 10.3.1 In the event of a system failure, Promoters shall adopt the following procedure:
- i. Where after three attempts to give an application or a notice by Street Manager

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(duly recorded by the person serving the application or notice), the application or notice cannot be given, notification should be given by telephone, email or fax for immediate activities with formal Street Manager application or notice following as soon as reasonably practicable

- ii. Other applications or notices may be given by other electronic means, (e.g. e-mail or fax), or may be sent by post or delivered by any other method agreed with the Permit Authority
- iii. Following recovery of the service a copy of the application or notice should be sent through Street Manager to ensure information on the works is correctly recorded in the register
- iv. Where applications or notices are sent by post, Promoters should take into account that there is no guarantee that they will be delivered to the Permit Authority the next day
- v. A delivery mechanism that includes a delivery receipt is recommended

10.3.2 In regards to variations during a system failure, Promoters should make contact with the Permit Authority by telephone.

10.3.3 The Permit Authority will issue an individual reference number. This number must be included in the electronic application through Street Manager following recovery of service to ensure correct cross-referencing.

10.4 Notification to interested parties

10.4.1 Where the NSG indicates other interested parties, Permit applications will be copied to those parties by the Permit Authority.

10.4.2 Promoters are required to check whether any parties have registered such an interest prior to submitting an application for a Permit or PAA.

10.5 Consultation requirements

10.5.1 Promoters must carry out the necessary consultations as set down in sections 88, 89 and 93 (as amended) and sections 90 and 91 of the NRSWA.

10.6 Table 1 – Application timings

Activity Type	Minimum application periods ahead of proposed start date		Minimum period before Permit expires for application for variation (including extension)	Response times for issuing a Permit or seeking further information or discussion		Response times for responding to applications for Permit variations
	Provisional Advance Authorisation	Application		Provisional Advance Authorisation	Application	
Major	3 months	10 days	2 days or 20% of the original duration whichever is the longer	1 calendar month	5 days	2 days
Standard	N/A	10 days		N/A	5 days	
Minor	N/A	3 days		N/A	2 days	
Immediate	N/A	2 hours after		N/A	2 days	

10.7 Refusal of application

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- 10.7.1 Whilst the Permit Authority cannot refuse legitimate activities the Permit Authority reserves the right to refuse or request a modification to an application for a Permit or PAA where it considers that elements of the application (e.g. timing, location or conditions) are not acceptable. Grounds for refusal are detailed below at section 14.4.
- 10.7.2 If the Permit Authority decides to refuse the application or request a modification, it will contact the Promoter within the response time given in Table 1 above to explain why the application is not satisfactory and what amendments are needed in order to achieve a successful application.

10.8 Restrictions on further activities

- 10.8.1 Where a Promoter wishes to apply for a Permit to carry out specified activities on a specified street where a Section 58 or 58A Notice under NRSWA is in force, and the activities are not covered by the specific exemptions of that notice, the Promoter must make an application for the Permit Authority's consent specifying the grounds on which the consent is sought.

10.9 Error correction

- 10.9.1 Where the Permit Authority identifies an error in data recorded in, or submitted for recording in, the Permit register, it will contact the Promoter to discuss and agree the corrections to be made.
- 10.9.2 Where the Promoter identifies an error, they will contact the Permit Authority to discuss and agree the corrections to be made. If an error has been identified on an application, the Promoter shall submit a Permit variation request by the end of the next working day following the agreement of the correction.
- 10.9.3 This Permit variation request should include the corrected data and the name of the person in the Permit Authority who agreed that the correction should be made.
- 10.9.4 The error correction process is described in Street Manager.
- 10.9.5 This procedure cannot be used without the prior agreement of both parties.
- 10.9.6 A variation fee will be payable where the identified error has been caused by the Promoter.

11 Information Required in a Permit Application

11.1 Permit Authority requirements

- 11.1.1 To enable the Permit Authority to determine the granting of a Permit and any conditions that may be attach to the Permit, Promoters may be required to supply the following information which is covered in more detail below:
- Contact details
 - USRN
 - Description of activity
 - Location
 - Timing and duration
 - Illustration
 - Technique to be used for underground activities
 - Traffic management and traffic regulation orders
 - Depth
 - Reinstatement type

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- Inspection units

- 11.1.2 Regulation 9(3A) of the 2007 permit regulations requires permit schemes to specify that applicants provide such supplementary information as is known by the applicant as part of the permit application, when it is initially made. This supplementary information should cover activities the applicant is aware of, and which are ancillary to the works to which the permit application relates, and which it would be helpful for the authority to be aware of for network management and coordination purposes. National condition (NCT03 activities ancillary to those permitted - supplementary information will apply if there are changes to ancillary activities (that is, related to the works permitted) that become known about within the duration of the permit. In these cases, the authority must be notified of changes via Street Manager.
- 11.1.3 In the case of Provisional Advance Authorisation applications, the Promoter should provide the most accurate information available at the time of making the application.
- 11.1.4 Quality of the information provided will allow the Permit Authority to make an informed decision and co-ordinate the activity effectively.

11.2 Contact person

- 11.2.1 All Permit applications must include the contact details, if different from the normal contact number, of the person appointed by the Promoter to deal with any problems that may occur during the activity, including any provision made for out-of-hours contact of the Promoter.
- 11.2.2 This must include details for Secondary Promoters if collaborative working is in place.

11.3 USRN

- 11.3.1 Where a single street has more than one Unique Street Reference Number (USRN), separate Permit applications will be required for each USRN to which an activity relates.

11.4 Description of activity

- 11.4.1 A sufficiently detailed description of the activity, in plain English, must be provided to allow the Permit Authority to assess the impact of the activity.
- 11.4.2 In regards to collaborative working, all Promoters must be identified and details of the scheme must be provided.

11.5 Location

- 11.5.1 The Promoter must give an accurate location based on National Grid References, (NGR).
- 11.5.2 In the case of Major works, start and end NGRs must be supplied as a minimum. If the proposed works deviates from a straight line, for example, follow the curvature of a street, a poly line (line centre of site) will be preferred.
- 11.5.3 For Standard, Minor and Immediate works, a centre point NGR must be supplied as a minimum. As with Major works, a poly line will be preferred when:
- The activity or trenches are expected to be over 10 metres in length
 - Activity locations on the application in the same street are separated
 - Activity areas or trenches deviate from a straight line
- 11.5.4 In addition, and if required, dimensions should be given of the space that will be taken up by the activity in the street including space for the storage of materials, working space, safety zone, provision for pedestrians and traffic management.

11.6 Timing and duration

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11.6.1 Each Permit application must include the proposed start and end dates of the activity and the times of the day when the activity is to be carried out. The applicant must also indicate if it is intended for work to continue over weekends and bank holidays and if night working is required.

11.7 Illustration

- 11.7.1 It is particularly important that an illustration is provided for Provisional Advance Authorisation applications and Major Activity Permit applications.
- 11.7.2 Illustration(s) of the works should include details of the activity and the extent of Highway occupancy. The illustration will comprise plans, sections, digital photographs and similar material as appropriate.
- 11.7.3 Illustrations must also be submitted with the application for standard and minor activities where the activity is significant in terms of potential disruption due to the position and size of the activity, or where the Permit Authority consider an illustration is necessary.

11.8 Technique to be used for activities

11.8.1 Details of the planned techniques, including open cut, trench share, minimum dig technique or no dig must be provided. This information should be provided in Street Manager.

11.9 Traffic management and Traffic Regulation Orders

- 11.9.1 The Promoter must supply full details of their traffic management proposals including any requirement for action by the Highway Authority such as the need for Temporary Traffic Regulation Orders (TTROs) and approval for portable light signals. Evidence of application/agreement for a TTRO must be provided with the PAA/Permit application.
- 11.9.2 In the case of the suspension of a parking bay being required, an application by the Promoter must be made to the Highway or Permit Authority as Parking Authority. This must be separate from any Permit application and evidence of the agreement by the relevant Parking Authority must be included in the Permit application.
- 11.9.3 Applicants should be aware that such action by the Highway Authority may involve additional costs and Promoters should familiarise themselves with the timescales relating to TTRO and parking applications.

11.10 Depth

11.10.1 Promoters must provide their best estimate of the excavation depth of the activity. This may be expressed as a range where appropriate.

11.11 Reinstatement type

11.11.1 Where the activity is completed with an interim reinstatement, a separate Permit application will be required for the permanent reinstatement where this is to be undertaken outside the duration of the Permit.

11.12 Inspection units

- 11.12.1 The Promoter is required to indicate the provisional number of inspection units appropriate to the activity in accordance with the rules laid down in the Inspections Code of Practice and in The Street Works (Inspection Fees)(England)(Amendment) Regulations 2004.
- 11.12.2 Where there is trench sharing, only the Primary Promoter is required to give the inspection units.

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12 Permit Conditions

12.1 Applying Conditions

- 12.1.1 The Permit Scheme allows for the attaching of conditions to Permits. These will be specified in detail on the Permit and will reflect any constraints on the original application.
- 12.1.2 Not all types of conditions will necessarily be applied to all Permits or PAA's.
- 12.1.3 In general, conditions will be varied for each Permit, as each set of circumstances will be different. The detailed 'Standard' wording of all conditions will be made available to all Promoters as a separate document.
- 12.1.4 However, the Permit Authority can define conditions that will be applied to all Permits.
- 12.1.5 The Promoter should endeavour to have a copy, either electronic or hard copy, of the current Permit on site for inspection.
- 12.1.6 The types of conditions which the Permit Authority may attach are;
- i. days on which permit works may not be carried out
 - ii. times of day during which permit works may not be carried out.
 - iii. the area (including areas not forming part of the street) which may be occupied in connection with the permit works
 - iv. the prohibition or restriction of traffic pursuant to orders or notices under section 14 of the Road Traffic Regulation Act 1984 (temporary prohibition or restriction on roads) (a)
 - v. traffic management arrangements to be made in connection with the permit works (including arrangements for the particular benefit of persons with a disability)
 - vi. the manner in which the specified works are to be carried out
 - vii. consultation and publicity in relation to the specified works, including the display of information at the location of those works; and
 - viii. notification of progress in relation to the specified works

12.2 Conditions applied to ALL Permits

- 12.2.1 North Yorkshire Council will adopt solely the nationally agreed conditions text developed and approved by HAUC (England) as our standard conditions, including referencing. We recognise that these conditions may be subject to change and may develop over time.
- 12.2.2 Any future changes to the conditions text ratified through HAUC (England) formal approval process will automatically be incorporated into this scheme. Any changes will have been consulted on and agreed by the sector and we will not undertake further consultation on those agreed changes, but will inform stakeholders of their implementation date for use within our permit scheme.

12.3 Requirements for Immediate Activities

- 12.3.1 Promoters of such activities must contact the Permit Authority by telephone immediately if identified in the NSG.
- 12.3.2 The Promoter shall submit an application for a Permit within two hours of beginning work. If work starts outside of working hours, an application for a Permit must be submitted by 10am the next working day.
- 12.3.3 A full description of works being carried out must justify why the activity has been categorised as immediate works.
- 12.3.4 The Permit Authority may impose further conditions prior to the granting of a Permit where this is required. Imposing such conditions will be in discussion with the Promoter of the activity and will be included in the subsequent granted Permit.

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- 12.3.5 The promoter must submit an amended application with the required conditions, which can then be granted.
- 12.3.6 Once granted, the Permit reference number must be prominently displayed on the site information board for each set of works.

12.4 Breach of conditions

- 12.4.1 If the Permit Authority considers that a Promoter is failing to comply with the conditions of a Permit then it may revoke the Permit. Before revoking a Permit, the Permit Authority will contact the Promoter to warn them of its intention and allow the situation to be discussed.
- 12.4.2 Where it appears to the Permit Authority that a condition has been breached and that the Promoter or a person contracted to act on its behalf has therefore committed an offence it will take action as described in 17.3.

12.5 Avoidance of conflict with other legislation

- 12.5.1 The Promoter should bring such conflicts to the attention of the Permit Authority who will then be responsible for resolving the issue with the other legislative bodies or groups that may be involved and amending the Permit conditions accordingly.
- 12.5.2 If the Promoter has safety concerns about conditions set by the Permit Authority it should raise these concerns with the Permit Authority and if necessary challenge the condition.
- 12.5.3 It is a criminal offence for a Statutory Undertaker or a person contracted to act on its behalf to breach a Permit Condition.
- 12.5.4 Any person guilty of an offence under this Regulation is liable on summary conviction to a fine not exceeding level 4 on the standard scale.

13 Granting of Permits

13.1 Timing of Permit issue

- 13.1.1 Where an application for a Permit meets the relevant requirements of the Permit Scheme, the Permit Authority shall grant the permit.
- 13.1.2 Where the Permit Authority is content with the proposal and the application meets the requirements of the scheme it will grant a Permit within the response times detailed in Table 1 Section 10.7 above via Street Manager.

13.2 Issuing of Permit

- 13.2.1 A Granted Permit will be issued electronically in accordance with the formats given in the Technical Specification for Street Manager with the details placed on the Permit register and copies supplied to any Promoter, Authority or other relevant body that has asked to be informed about activities on a particular street.
- 13.2.2 The Permit will specify in detail the activity it allows and its duration. The start and end dates will be in calendar days to prevent any ambiguity over the duration of the Permit.

13.3 Permit refusal

- 13.3.1 If, after careful consideration, the Permit Authority decides to refuse the PAA or Permit application, the refusal will be issued electronically via Street Manager and where possible using sector agreed refusal codes as approved by HAUC England and will comply with relevant national guidance. An explanation of refusal will be given and discussions with the Promoter may be held regarding amendment to the application.

13.4 Grounds of Refusal

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- 13.4.1 The following are non-exhaustive examples of matters that are likely to lead to applications being refused or subject to requests for further information or modification to address them.
- 13.4.2 Overlapping Activities; Where other activities are scheduled to take place in the same street, or other streets affected by the proposed activity, at the same time, the Authority may refuse a Permit for the period requested but propose to grant it for different times. Information about some other activities is available to the Promoter through the Permit register, so in such situations the Promoter must contact the Authority to discuss acceptable options before applying for a Permit.
- 13.4.3 Timing and Duration; An activity Promoter must ensure when making an application for a Permit that the proposed duration of the activity takes into account both his legitimate need to complete the activity in an efficient and economic manner and the legitimate interests of other users of the highway.
- 13.4.4 The Permit Authority may query the proposed duration, for example on the grounds that:
- i. it can be completed more speedily or, that realistically, not enough time has been allowed; or,
 - ii. that the specific dates and times proposed may clash with other proposed activities or events which occupy road space, in such a way as to be likely to cause an unacceptable level of disruption.
- 13.4.5 Location of Activity; A Permit must specify the location where the activity is to take place. The Permit Authority may refuse to issue a Permit due to the proposed location of the activity. This is a similar power to that under Section 56A of NRSWA i.e. where the location of a proposed activity is unacceptable to the Authority because the street in which the works are proposed is already heavily congested with underground services, or has an important traffic function, yet does not warrant protected street status.
- 13.4.6 Refusals on this basis would only apply;
- i. in relation to the installation of new apparatus - it cannot be used to require existing apparatus to be moved, or
 - ii. where disruption would be reduced by installing the apparatus in an alternative street where it is reasonable to use the alternative street or a different location within the same street.

13.5 Right of appeal

- 13.5.1 The Promoter has a right of appeal, in accordance with the Dispute Resolution process set down in Section 18 if it is unable to reach agreement with the Permit Authority over the terms it requested, or the conditions attached. In the case of immediate activities, it may be that the work has to stop, subject to safety and legal considerations, such as Health and Safety legislation, until the issues are resolved.

13.6 Permit application deemed to be approved

- 13.6.1 If the Permit Authority fails to reply to an application for a Permit or PAA within the designated response times, the Permit or PAA is deemed to be granted under the terms of the application.
- 13.6.2 The proposed start and end dates, description, location, duration, traffic management, etc, will be included in the Permit and associated conditions for the activity. This detail will then be binding on the Promoter as it would have had the Permit been issued within the timescale. Breaching the conditions will constitute an offence.
- 13.6.3 No fee will apply to deemed Permits.

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14 Review, Variation and Revocation of Permits and Permit Conditions

- 14.1.1 Once a Permit has been issued, the Promoter should have reasonable confidence that the road space will be available for them. However, circumstances beyond the Permit Authority's control may occur which may cause the Authority to review the Permit and as a result, may lead to the conclusion that the Permit or its conditions need to be changed or revoked.
- 14.1.2 The Permit Authority's policy is to avoid making such changes other than in exceptional circumstances which could not reasonably have been predicted or where the impact is significant. Such events may include floods and other adverse weather conditions, burst mains, dangerous buildings, etc. which may result in traffic being diverted onto the road where the activity was underway or about to start.
- 14.1.3 As soon as the Permit Authority is aware that it may be necessary to vary or revoke a Permit, it will contact the Promoter to discuss the best way of dealing with the situation.
- 14.1.4 Where a granted Permit is revoked by the Permit Authority, a refund will be given if the revocation is not the fault of the Permit holder.

14.2 Permit Authority powers

- 14.2.1 Within the Permit Scheme, the Permit Authority has the power, under Regulation 15 of the Traffic Management Permit Scheme (England) Regulations 2007, to review, vary or revoke Permits and Permit conditions on its own or a Promoter's initiative. However, the Permit Authority is under no obligation to let activities run beyond the Permitted period.
- 14.2.2 Any activities that exceed the Permitted duration will be committing an offence and could be subject to section 74 overrun charges.

14.3 Promoter Revocation

- 14.3.1 If a Promoter wishes to cancel a Permit or withdraw a Permit application for which they have no further use or seeks a revocation of a Permit condition, they should use the voluntary cancellation notice detailed within Street Manager.

14.4 Changes to a Provisional Advance Authorisation

- 14.4.1 A PAA cannot be varied once granted.
- 14.4.2 Where a PAA has been given but a full Permit has not been issued and the proposals change, the Promoter must inform the Permit Authority immediately of the proposed changes and a revised application for a PAA or Permit should be made.

14.5 Changes to Permits

- 14.5.1 If the Permit Authority considers a variation necessary, then it should contact the Promoter to discuss the best way of dealing with the situation whilst meeting the co-ordination duties and other Statutory Requirements of those involved. Good co-ordination and co-operation between Promoter and the Permit Authority will minimise the time that the Authority needs to vary Permits or their conditions. This will be in the interests of all parties.
- 14.5.2 This discussion may lead to an agreement on the variation required. In that case, the Permit Authority will then issue a revised Permit on those terms unless, by agreement, the Promoter applies for a Permit variation. The latter may be more appropriate if the Promoter needs to reconsider elements of its plans within the parameters agreed with the Permit Authority.

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14.5.3 Any application must include, in all cases, the proposed dates and duration and any other conditions of the activity.

14.6 Avoidance of criminal offence

14.6.1 Variations should be sought as soon as changes are identified to avoid a criminal offence being committed by work being undertaken without a Permit or outside of the conditions associated with that Permit.

14.7 Suspending or Postponing an activity

14.7.1 If a Promoter would like to start an activity at a later date after a Permit has been approved, a Permit variation will need to be applied for and a new Permit be issued, unless the promoter can still complete the activity by the existing permit end date. There is no option to suspend or postpone an activity.

14.8 Review of Permit by Permit Authority due to circumstances outside its control

14.8.1 The Permit Authority may review the Permit and associated conditions in the event of circumstances beyond its control having a significant disruptive effect at the location of the activity.

14.8.2 No fee will apply for Permit variations initiated by the Permit Authority unless, at the same time, the Promoter applies for variations which are not the result of the circumstances causing the Permit Authority's action.

14.9 Timing of variations

14.9.1 Applications for variations may be made a minimum of two days before the permit end date and the Promoter must telephone before submission of a variation if after that date.

14.9.2 If a variation is to be made a minimum of two days before the permit end date, the Promoter is encouraged to telephone the Permit Authority to discuss prior to submitting a variation and only apply, again electronically, if the Authority is so prepared.

14.10 Variations for Immediate Activities

14.10.1 In the event of immediate activities requiring a series of fault finding excavations or openings, for example locating a gas leak, the following procedure shall apply where it is necessary to undertake works beyond the initial excavation or opening covered by the first application.

14.10.2 As they are immediate works, the Promoter will submit the first Permit application within two hours of starting work. That first application will contain the location of the initial excavation or opening:

- i. For any further excavations or openings on the same street within 50 metres of the original hole, the Promoter is encouraged to telephone the Permit Authority with the new location. No Permit variation will be needed and no variation charge will apply
- ii. The Promoter will have to apply for a Permit variation for the first excavation in each new 50 metre band away from the original hole in the same street, i.e. 50-100 metres, 100-150 metres, etc. Standard variation charges will apply, however the Permit Authority may use their discretion to waive these charges.
- iii. For additional excavations within each band, the Promoter is encouraged to telephone the Permit Authority with the new location. No Permit variation will be needed and no variation charge will apply

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- iv. If the search carries into a different street or a new USRN, (including if the street changes to a different Authority), then a separate Permit application will be needed

14.10.3 Conditions for these activities may be varied to take into account the fact that a new location, even within the permissive bands, can be more disruptive

14.11 Information required for variation applications

14.11.1 Applications for Permit variations must contain the following information as applicable:

- i. The Works reference number
- ii. The revised timescale
- iii. Any change to the description of the activity
- iv. A revised illustration
- v. Any change to the method of excavation
- vi. Any variation to the depth of the excavation
- vii. Any changes to the reinstatement method
- viii. Any changes to the conditions
- ix. Any changes to Traffic Management including TTROs

14.12 If an Agreement cannot be made

14.12.1 If agreement cannot be reached regarding a variation, the Permit Authority may refuse the variation application and, if appropriate, issue an Authority imposed variation on the terms it considers reasonable. If the Promoter disagrees with the decision, it will have the option to invoke the dispute resolution procedure (See Section 18)

14.13 Review of Permit due to non-compliance by the Promoter

14.13.1 If the Permit Authority considers that a Promoter is failing to comply with the conditions of a Permit then it may revoke the Permit or issue a Fixed Penalty Notice (FPN).

14.13.2 Before revoking a Permit, the Permit Authority will contact the Promoter to warn them of its intention and allow the situation to be discussed.

14.14 Working after a Permit has been revoked

14.14.1 A Promoter will be committing an offence if it continues to work after a Permit has been revoked.

15 Cancellation of a Permit

15.1 Cancellation Notice

15.1.1 If a Promoter wishes to cancel a Permit for which it has no further use, or to cancel or withdraw an application that has been submitted but for which a Permit has not yet been granted, it should use the cancellation notice containing the relevant Permit number. There is no fee payable for this process, however Permits already granted will still be charged.

16 Fees

16.1 Permit Authority power to charge fees

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16.1.1 To meet the additional costs of introducing and operating the Scheme, Regulation 30 gives the Permit Authority the power to charge a fee in respect of the following:

- i. The application for a PAA in respect of Major activities.
- ii. The issuing of a Permit.
- iii. Each occasion where there is a variation of a Permit or the conditions attached.
- iv. Where a Permit variation would move an activity into a higher category, the Promoter will be required to pay the difference between the Permit fee for the two categories as well as the Permit variation fee.

See Appendix B for fee details.

16.2 Fee Policy

16.2.1 The Permit Authority will charge Statutory Undertakers for the actions detailed in 16.1.

16.2.2 Fees will not be payable in the following circumstances:

- i. By the Highway Authority in respect of its own works for road purposes, however a record of the Permit and fee will be used for reporting purposes and fee reviews.
- ii. Any work undertaken on a fire hydrant.
- iii. Where a Permit is deemed to be granted because the Permit Authority failed to respond to an application within the time set down in Table 1 section 10.7 above.
- iv. Where a permit is granted but subsequently revoked by the Permit Authority before commencement of the specified works, the Permit Authority shall refund in full any fee charged in accordance with the regulations, provided the revocation is not the fault of the permit holder.
- v. Where a Promoter wishes to cancel a Permit for which it has no further use, or to cancel or withdraw an application that has been submitted but for which a Permit has not yet been granted.

16.2.3 Fee discounts will be given in the following circumstances:

- i. Where several Permit applications for works that are of part of the same project but which are carried out on more than one street, but on a scale comparative to one street, are submitted at the same time.
- ii. Where several Promoters are working within the same site and submit applications on the same day. Where the Highway Authority Promoter is collaborating with Statutory Undertakers, those Undertakers will be eligible for the discount.
- iii. Where works are undertaken wholly outside of traffic sensitive times on Traffic Sensitive Streets.

16.3 Rate of discount

16.3.1 A discount of **30%** will be applied in the above circumstances.

16.4 Option to waive or reduce fees

16.4.1 The Permit Authority retains the option to waive or reduce fees at its discretion.

16.5 Approved scale of fees

16.5.1 The current approved scale of fees is included in the order made by North Yorkshire Council for the Permit Authority to operate the Permit Scheme.

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16.6 Processing of fees

- 16.6.1 Monthly invoices will be issued to each Promoter with all Permits referenced.
- 16.6.2 A summary may be issued to each Promoter every two weeks so amounts can be confirmed prior to the invoice being raised.

17 Sanctions

17.1 Permit Authority's Policy

- 17.1.1 The Permit Authority's policy of how it will employ sanctions is as follows:

17.2 Undertaking activities without a Permit

- 17.2.1 It is a criminal offence for a Statutory Undertaker, or a person contracted to act on its behalf, to undertake specified activities in a specified street in the absence of a Permit, except as set down in section 6.
- 17.2.2 Any person guilty of an offence under this Regulation is liable on summary conviction to a fine not exceeding level 4 on the standard scale.

17.3 Action by Permit Authority

- 17.3.1 Where a Statutory Undertaker or a person contracted to act on its behalf undertakes without a Permit, works for which a Permit is required, or breaches a Permit condition, the Permit Authority may take one or more of the following courses of action depending on the seriousness and persistence of the offences:
- i. Serve a notice requiring that Statutory Undertaker to take such reasonable steps as detailed in the notice to remedy the situation within a specified timescale
 - ii. Where a Statutory Undertaker fails to comply with the requirements of such a notice within the timescale the Permit Authority may undertake the specified steps and recover the costs that are reasonably incurred from the Statutory Undertaker
 - iii. Issue an FPN against the Statutory Undertaker
 - iv. Prosecute the Statutory Undertaker
- 17.3.2 Remedial action could include the removal of the activity; rectify the breach of conditions or discontinuing any obstruction.
- 17.3.3 In the event that the Permit Authority subsequently considers that an FPN which has been given ought not to have been given, it shall give to the person to whom that notice was given a notice withdrawing the FPN.
- 17.3.4 Any offences which run alongside to the Permit Scheme under NRSWA will still apply and action will be taken.

18 Dispute Resolution

18.1 Introduction

- 18.1.1 In order to achieve its objectives for the North Yorkshire Permit Scheme and its wider network management duty, North Yorkshire Council will operate its Permit Scheme in a manner that will encourage dialogue between the Permit Authority and Promoters.
- 18.1.2 In many cases this will lead to the setting of terms of Permits and conditions by agreement, but at times this may be at North Yorkshire Council's direction.
- 18.1.3 North Yorkshire Council recognises that on occasions there will be disagreements.

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18.1.4 North Yorkshire Council as Permit Authority will always use their best endeavours to resolve disputes without having to refer them to a formal appeals procedure.

18.2 Incidence of Dispute Resolution

18.2.1 The dispute resolution procedures described below will be used where there are disagreements that cannot be resolved by informal discussion over requirements of the North Yorkshire Permit Scheme, including the need for a Permit, the terms of a Permit or the Conditions attached to a Permit. This could be in relation to an application for a Permit (including a PAA) or a Permit variation (whether initiated by the Promoter or North Yorkshire Council) and could arise before a Permit is issued, when the terms and conditions are still proposed, or after the Permit has been issued.

18.3 Appeals Procedure

18.3.1 If agreement cannot be reached locally on any matter arising in relation to the North Yorkshire Permit Scheme, the dispute will be referred for review on the following basis:

Straightforward issues

18.3.2 Where North Yorkshire Council and the Promoter(s) consider that the issues involved in the dispute are relatively straightforward, the matter will be referred to impartial members of the local regional HAUC (that is those not representing parties directly involved in the dispute) for review. That review should take place within five working days from the date of referral. North Yorkshire Council will accept the result as binding.

Complex issues

18.3.3 If North Yorkshire Council and the Promoter(s) involved in the dispute think the issues are particularly complex, HAUC (UK) will be asked to set up a review panel of four members - two Utilities and two Street Authorities. One of the four persons will be appointed as Chair of the panel by the HAUC (UK) joint chairs.

18.3.4 Each party must make all relevant financial, technical and other information available to the review panel.

18.3.5 The review would normally take place within ten working days from the date on which the issue is referred to HAUC (UK). North Yorkshire Council will accept the conclusions of the review panel as binding.

18.4 Adjudication

18.4.1 If agreement cannot be reached by the procedure above, the dispute can be referred to independent adjudication.

18.4.2 Adjudication within the North Yorkshire Permit Scheme will only be used if North Yorkshire Council and the Promoter(s) agree in relation to the matter under dispute, that

- a) the decision of the adjudicator is deemed to be final; and
- b) the costs of adjudication will be borne equally unless the adjudicator considers that one party has presented a frivolous case, in which case costs may be awarded against them.

18.4.3 Where the adjudication route is followed, North Yorkshire Council and the Promoter(s) will apply to the joint chairs of HAUC (UK), who will select and appoint the independent adjudicator from a suitable recognised professional body.

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19 Registers

19.1 Register of Permits

- 19.1.1 The Permit Authority will maintain a register of Permits in connection with the Permit Scheme and in accordance with regulation 33 and 34, Part 7 of the Regulations.
- 19.1.2 The register will contain information about current and planned activities and will be available electronically to Promoters to assist them in planning and co-ordinating their own works at the earliest possible stage

19.2 Referencing of information

- 19.2.1 All information held in the register of Permits will be referenced to the USRN and the Permit register will be Geographic Information System (GIS) based.

20 Transitional Arrangement

- 20.1.1 Once an Order has been made, the Authority will provide at least four weeks notice of its intention to operate a Permit Scheme from a given date.
- 20.1.2 The Permit Authority will liaise closely with all Promoters during the transition period so that any issues are identified early and appropriate action taken to resolve them.
- 20.1.3 The Permit Scheme will apply to all activities where the administrative processes, such as an application for a Permit or Provisional Advance Authorisation, start after the commencement date of the Permit Scheme stated in the order.
- 20.1.4 Activities which are planned to start on site more than one month after the changeover date, (for standard, minor and immediate activities), or three months after the changeover date, (for major activities), shall operate under the Permit Scheme. This means that even if the relevant section 54, 55 or 57 NRSWA notice has been sent before the changeover, the Promoter will have to apply for a Permit.
- 20.1.5 If the Promoter has not substantially begun the activity (or phase of activity) one month after the changeover date (for standard, minor and immediate activities) or three months after the changeover date (for major activities), then the Promoter must cancel the NRSWA notice for that activity (or phase of activity) and apply for a Permit.
- 20.1.6 Any activity which started under the notices regime will continue under that regime until completed.
- 20.1.7 The issue of FPNs will be suspended for the first month of operation of the Scheme to allow a settling in period.

21 Permit Scheme Monitoring

21.1 Monitoring and Evaluating the Permit Scheme

- 21.1.1 The Permit Authority will monitor the Permit Scheme to ensure that it demonstrates parity of treatment for all Promoters, particularly between Statutory Undertakers and the Highway Authority's own Promoters.
- 21.1.2 An internal evaluation of the scheme will take place after each of the first 3 years, then 3-yearly after that.
- 21.1.3 The evaluation will include actual data compared to the data used in the Cost Benefit Analysis.
- 21.1.4 The evaluations will be made available within 3 months of the anniversary of the Permit Scheme.

21.2 Use of Key Performance Indicators

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21.2.1 Parity will be measured through Key Performance Indicators (KPIs). The following KPIs are mandatory and in addition, the Permit Authority will produce an annual set of KPIs identifying the treatment of individual Promoters.

21.2.2 As experience with operating the Permit Scheme is obtained, these additional KPIs will be developed in conjunction with the monitoring group referred to in 21.1

21.3 Mandatory KPIs

KPI 1
<i>The number of Permit and Permit variation applications received, the number granted and the number refused</i>
<p>This will be measured by Promoter and shown as:</p> <ul style="list-style-type: none"> the total number of Permit and Permit variation applications received, excluding any applications that are subsequently withdrawn the number granted as a percentage of the total applications made the number refused as a percentage of the total applications made.

KPI 2
<i>The number of conditions applied by condition type</i>
<p>This will be measured by Promoter and shown as:</p> <ul style="list-style-type: none"> the number of Permits issued the number of conditions applied, broken down into condition types. The number of each type being shown as a percentage of the total Permits issued.

21.4 Additional KPI's

KPI 3
<i>The number of approved extensions</i>
<p>This will be measured by promoter and shown as:</p> <ul style="list-style-type: none"> the total number of permits issued the number of requests for extensions shown as a percentage of permits issued the number of agreed extensions as a percentage of extensions applied for.

KPI 7
<i>Number of inspections carried out to monitor conditions</i>
<p>This will be broken down by promoter and shown as:</p> <ul style="list-style-type: none"> the number of sample permit condition checks carried out as a percentage of the number of permits issued the percentage of sample inspections by promoter should also be shown.

21.5 Presentation of KPIs to co-ordination meetings

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- 21.5.1 The KPIs will be discussed at the local co-ordination meetings and at other meetings with Promoters. In addition, the KPIs will be made available to any other person on request or via the Authority's website.
- 21.5.2 The Permit Scheme will be evaluated after each of the first 3 years, then 3-yearly after that. Evaluations must be made available within 3 months of the of the date on which the Permit Scheme came in to effect. The evaluation shall include consideration of:
- (i) whether the fee structure needs to be changed in light of any surplus or deficit;
 - (ii) the costs and benefits (whether or not financial) of operating the scheme; and
 - (iii) whether the permit scheme is meeting key performance indicators where these are set out in the Guidance.
 - (iv) The outcome of each evaluation shall be made available to the persons referred to in regulation 3(1) within three months of the relevant anniversary.

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22 Appendix A: Definition of terms

Activity	Any works undertaken by Statutory Undertakers and the Highway Authority (or their agents/contractors) and any other works that maybe covered in future regulations.
Additional Street Data	Additional Street Data (ASD) refers to other information about streets held on the NSG concessionaire's website alongside the NSG
Apparatus	As defined in section 105(1) of NRSWA "apparatus includes any structure for the lodging therein of apparatus or for gaining access to apparatus"
Appeal	If there is an unresolved disagreement between the Promoter and the Permit Authority about the terms and conditions of the Permit or PAA, the Promoter may appeal against the Permit Authority's decision to either NW HAUC or HAUC (UK).
Bank Holiday	As defined in section 98(3) of NRSWA, "Bank Holiday means a day which is a Bank Holiday under the Banking and Financial Dealings Act 1971 in the locality in which the street in question is situated"
Bar holes	Bar holes are used to detect and monitor gas leaks.
Breaking up (the street)	Any disturbance to the surface of the street (other than opening the street)
Bridge	As provided in section 88(1)(a) of NRSWA, "references to a bridge include so much of any street as gives access to the bridge and any embankment, retaining wall or other work or substance supporting or protecting that part of the street"
Bridge Authority	As defined in section 88(1)(b) of NRSWA, "Bridge Authority means the Authority, body or person in whom a bridge is vested"
Carriageway	As defined in section 329 of HA 1980, "carriageway means a way constituting or comprised in a Highway, being a way (other than a cycle track) over which the public have a right of way for the passage of vehicles"
Code of Practice for Permits	As published by the Department for Transport March 2008
Collaborative working	Includes trench sharing, multi-utility working, utility/works for road purposes situations and compliance testing.
Cycle track	As defined in section 329 of the HA 1980, "cycle track means a way constituting or comprised in a Highway, being a way over which the public have the following, but not other, rights of way, that is to say, a right of way on pedal cycles (other than pedal cycles which are motor vehicles within the meaning of [the Road Traffic Act 1972) with or without a right of way on foot"
Day	A calendar day, unless explicitly stated otherwise
DfT	Department for Transport

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Emergency works	As defined in section 52 of NRSWA, "emergency works means works whose execution at the time when they are executed is required in order to put an end to, or to prevent the occurrence of, circumstances then existing or imminent (or which the person responsible for the works believes on reasonable grounds to be existing or imminent) which are likely to cause danger to persons or property"
Excavation	"Breaking up" (as defined above)
Fixed Penalty Notice	As defined in s95A, schedule 4B to NRSWA, "fixed penalty notice means a notice offering a person the opportunity of discharging any liability to conviction for a fixed penalty offence by payment of a penalty"
Footway	As defined in section 329 of the HA 1980, "footway means a way comprised in a highway which also comprises a carriageway, being a way over which the public have a right of way on foot only"
Geographical Information system (GIS)	A computer system for capturing, storing, checking, integrating, manipulating, analysing and displaying data related to positions on the Earth's surface
HA 1980	The Highways Act 1980
Highway	As defined in section 328 of the HA 1980, "Highway means the whole or part of a highway other than a ferry or waterway"
Highway Authority	As defined in sections 1 and 329 of the HA 1980
Highway works	"Works for road purposes" or "major highway works"
Immediate activities	As stated in section 8.5, immediate activities are either emergency works as defined in section 52 of NRSWA or urgent works as defined in <i>The Street Works (Registers, Notices, Directions and Designations) (England) Regulations 2007</i>
In	As defined in section 105(1) of NRSWA, "in, in a context referring to works, apparatus or other property in a street or other place includes a reference to works, apparatus or other property under, over, across, along or upon it"
Local Authority	As defined in section 270(1) of the Local Government Act 1972(a) and includes the Common Council of the City of London.
Local Highway Authority	As defined in section 329 of HA 1980, "Local Highway Authority means a Highway Authority other than the Minister"
Main roads	All streets in reinstatement categories 0, 1 and 2 and those streets in categories 3 and 4 which are traffic sensitive for all or part of the time
Maintainable Highway at the Public Expense	As defined in section 329 of HA 1980, a "Highway maintainable at the public expense means a highway which by virtue of section 36 above or of any other enactment (whether contained in this Act or not) is a highway which for the purposes of this Act is a highway maintainable at the public expense"

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Maintenance	As defined in section 329 of HA 1980, "maintenance includes repair, and "maintain" and "maintainable" are to be construed accordingly"
Major activities	As stated in section 9.2, Major activities are those which: <ul style="list-style-type: none"> • Other than immediate activities, require a temporary traffic regulation order, (i.e. not a temporary traffic notice), under the Road Traffic Regulation Act 1984 for any other activities • Other than immediate activities, have a duration of 11 working days or more
Major Highway works	As defined in section 86(3) of NRSWA, "major highway works means works of any of the following descriptions executed by the Highway Authority in relation to a highway which consists of or includes a carriageway – <ol style="list-style-type: none"> a) a reconstruction or widening of the highway; b) works carried out in exercise of the powers conferred by section 64 of the Highways Act 1980 (dual carriageways and roundabouts); c) substantial alteration of the level of the highway; d) provision, alteration of the position or width, or substantial alteration in the level of a carriageway, footway or cycle track in the Highway; e) the construction or removal of a road hump within the meaning of section 90F of the Highways Act 1980; f) works carried out in exercise of the powers conferred by section 184 of the Highways Act 1980 (vehicle crossings over footways and verges); g) provision of a cattle-grid in the highway or works ancillary thereto; or h) tunnelling or boring under the highway"
Minor activities	As stated in section 9.4, minor activities are those activities other than immediate activities where the planned duration is 3 days or less.
Minor roads	Streets in reinstatement categories 3 and 4 which are not traffic sensitive at any time.
National grid reference	Location reference using nationally defined eastings and northings.
Nationally consistent Street gazetteer (NSG)	A database defined as an "index of streets and their geographical locations created and maintained by the local Highway Authorities" based on BS 7666 standard.
NRSWA	New Roads and Street Works Act 1991.
NSG Concessionaire	The body appointed to manage the NSG on behalf of the local Highway Authorities.
Opening (the street)	Removing a lid or cover to a manhole, inspection chamber, meter box or other structure embedded in the street without any "breaking up" of the street.

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Permit	The approval of a Permit Authority for a Promoter to carry out activity in the highway subject to conditions.
Permit application	See Section 10. The application that is made by a Promoter to the Authority to carry out an activity in the highway. It is equivalent to the notice of proposed start of works (section 55 of NRSWA) given under the Co-ordination regime.
Permit Authority	See Section 1.4. A local Authority or other “Highway Authority” which has been given approval by Order to operate a Permit Scheme on all or some of its road network.
Permit Scheme	See Section 1. A Scheme approved by Order under which Permits for activities are sought and given.
Promoter	A person or organisation responsible for commissioning activities in the streets covered by the Permit Scheme. The Promoter will usually be a Statutory Undertaker or the Highway or Traffic Authority.
Protected Street	See Section 1.6. A street that has been designated as a protected street. It serves a specific strategic major traffic need and therefore needs to be protected from unnecessary excavation and works and providing there is a reasonable alternative route in which Statutory Undertakers can place the equipment that would otherwise lawfully have been placed in the protected street.
Provisional Advance Authorisation	See Section 8.2. The early approval of activities in the highway, equivalent to the advance notice given under s 54 of NRSWA.
Registerable activities	See Section 5.1. Registerable activities correspond to specified works in the regulations.
Reinstatement	As defined in section 105(1) of NRSWA, "reinstatement includes making good".
Relevant Authority	As defined in section 49(6) of NRSWA, "references in this Part to the relevant Authorities in relation to any works in a street are to the Highway Authority and also: a) where the works include the breaking up or opening of a public sewer in the street, the Sewer Authority; b) where the street is carried or crossed by a bridge vested in a Transport Authority, or crosses or is crossed by any other property held or used for the purposes of a Transport Authority, that Authority; and c) where in any other case the street is carried or crossed by a bridge, the Bridge Authority"
Remedial work	Remedial works are those required to put right defects identified and in accordance with the provisions of the Code of Practice for Inspections and regulations.
Road	See "Street".
Road Categories: <ul style="list-style-type: none"> • Type 0 • Type 1 	Roads carrying over: <ul style="list-style-type: none"> • 30 to 125 msa* • 10 to 30 msa

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<ul style="list-style-type: none"> • Type 2 • Type 3 • Type 4 	<ul style="list-style-type: none"> • 2.5 to 10 msa • 0.5 to 2.5 msa • Up to 0.5 msa <p>*millions of standard axles</p>
Road works	See "Works for road purposes" definition below.
Special Engineering Difficulties (SED)	See Section 1.6. By virtue of section 63 of NRSWA, the term special engineering difficulties relates to streets or, more commonly, parts of streets associated with structures, or streets of extraordinary construction where street works must be carefully planned and executed in order to avoid damage to, or failure of, the street itself or the associated structure with attendant danger to person or property.
Specified Area	That geographical area to which the Permit Scheme applies.
Specified Street	Those streets to which the Permit Scheme applies.
SROH	Specification for Reinstatement of Openings in the Highway.
Standard activities	Standard activities are those activities, other than immediate activities, that have a planned duration of between 4 and 10 days inclusive.
Statutory Undertaker	As defined in section 48(4) of NRSWA, "undertaker in relation to street works means the person by whom the relevant statutory right is exercisable (in the capacity in which it is exercisable by him) or the licensee under the relevant street works licence, as the case may be".
Street	As defined in section 48(1) of NRSWA, "street means the whole or any part of any of the following, irrespective of whether it is a thoroughfare: <ul style="list-style-type: none"> a) any highway, road, lane, footway, alley or passage; b) any square or court; c) any land laid out as a way whether it is for the time being formed as a way or not".
Street Authority	As defined in section 49(1) of NRSWA, "the Street Authority in relation to a street means, subject to the following provisions: <ul style="list-style-type: none"> a) if the street is a maintainable highway, the Highway Authority, and b) if the street is not a maintainable highway, the street managers".
Street Manager	The Department for Transport's (DfT) digital service for planning, managing and communicating street and road works.
Street works	As defined in section 48(3) of NRSWA, "street works means works of any of the following kinds (other than works for road purposes) executed in a street in pursuance of a statutory right or a street works licence: <ul style="list-style-type: none"> a) placing apparatus; or b) inspecting, maintaining, adjusting, repairing, altering or renewing apparatus, changing the position of apparatus or removing it, or works required for or incidental to any

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	such works (including, in particular, breaking up or opening the street, or any sewer, drain or tunnel under it, or tunnelling or boring under the street".
Street works licence	As stated in section 50(1) of NRSWA, "the Street Authority may grant a licence (a "street works licence") Permitting a person: a) to place, or to retain, apparatus in the street, and b) thereafter to inspect, maintain, adjust, repair, alter or renew the apparatus, change its position or remove it, and to execute for those purposes any works required for or incidental to such works (including, in particular, breaking up or opening the street, or any sewer, drain or tunnel under it, or tunnelling or boring under the street).
TMA	The Traffic Management Act 2004.
Traffic	As defined in section 105(1) of NRSWA, "traffic includes pedestrians and animals"
Traffic control	Any of the five methods of controlling traffic detailed in the Code of Practice "Safety at Street Works and Road Works"
Traffic regulation order	This means an order made under section 1, 6 or 9 of the Road Traffic Regulation Act 1984.
Traffic-Sensitive street	See section 1.6. This means a street designated by a Highway Authority as traffic sensitive pursuant to section 64 of NRSWA.
Transport Authority	As defined in section 91(1)(a) of NRSWA, "Transport Authority means the Authority, body or person having the control or management of a transport undertaking".
Temporary Traffic Regulation Order (TTRO)	This means an order made under section 14 of the Road Traffic Regulation Act 1984.
Trunk road	As defined in section 329 of the HA 1980, "trunk road means a highway, or a proposed highway, which is a trunk road by virtue of section 10(1) or section 19 above or by virtue of an order or direction under section 10 above or an order granting development consent under the Planning Act 2008 or under any other enactment".
Unique Street Reference Number (USRN)	As defined in the British Standard BS7666.
Urgent activities	Urgent activities are: a) activities (not being emergency activities) whose execution at the time they are executed is required (or which the person responsible for the activity believes on reasonable grounds to be required) (i) to prevent or put an end to an unplanned interruption of any supply or service provided by the undertaker; (ii) to avoid substantial loss to the undertaker in relation to an existing service; or (iii) to reconnect supplies or services where the undertaker would be under a civil or criminal

North Yorkshire Modified Permit Scheme – Scheme Document

	<p>liability if the reconnection is delayed until after the expiration of the appropriate notice period; and</p> <p>b) Includes activity that cannot reasonably be separated or severed from such activities.</p>
Working day	As defined in section 98(2) of NRSWA, "for the purposes of this Part a working day means a day other than a Saturday, Sunday, Christmas Day, Good Friday or a Bank Holiday; and a notice given after 4.30 p.m. on a working day shall be treated as given on the next working day".
Works	Street works or Works for road purposes.
Works for road purposes	<p>As defined in section 86(2) of NRSWA, "works for road purposes means works of any of the following descriptions executed in relation to a highway:</p> <p>a) works for the maintenance of the highway;</p> <p>b) any works under powers conferred by Part V of the Highways Act 1980 (improvement);</p> <p>c) the erection, maintenance, alteration or removal of traffic signs on or near the highway; or</p> <p>d) the construction of a crossing for vehicles across a footway or grass verge or the strengthening or adaptation of a footway for use as a crossing for vehicles".</p>

Appendix B: Permit Fees

Please see the North Yorkshire Permit Scheme Fees Table.

Maximum fee structure for each category of works and for a hierarchy of main and minor roads - road category refers to the reinstatement category of the street under the New Roads and Street Works Act 1991 (SROH)		
Road category 0, 1 & 2 or traffic-sensitive	Road category 3 and 4 and non-traffic-sensitive	
Provisional Advance	£105	£75
Major activities – over 10 days, and all activities requiring a traffic regulation order	£240	£150
Standard activities	£130	£75
Minor activities	£65	£45
Immediate activities	£60	£40
Permit change	£45	£35

OFFICIAL

North Yorkshire Modified Permit Scheme Fees Table - July 2025

FEES

Regulation 30 of the Traffic Management Permit Scheme (England) Regulations 2007 gives the Permit Authority the power to charge a fee in respect of the following:

- i. The application for a PAA in respect of Major activities
- ii. The issuing of a Permit
- iii. Each occasion where there is a variation of a Permit or the conditions attached
- iv. Where a Permit variation would move an activity into a higher category, the Promoter will be required to pay the difference between the Permit fee for the two categories as well as the Permit variation fee

FEE POLICY

Fees will **not** be payable in the following circumstances:

- i. By the Highway Authority in respect of its own works for road purposes, however a record of the Permit and fee will be used for reporting purposes and fee reviews.
- ii. Any work undertaken on a fire hydrant.
- iii. Where a Permit is deemed to be granted because the Permit Authority failed to respond to an application within the time set down in Section 10 of the North Yorkshire scheme document.
- iv. If a Permit variation is initiated by the Permit Authority or the Authority has to revoke a Permit through no fault of the Promoter.
- v. Where a Promoter wishes to cancel a Permit for which it has no further use, or to cancel or withdraw an application that has been submitted but for which a Permit has not yet been granted.

Lower fees or discounted fees will be given in the following circumstances:

- i. Where several Permit applications for works that are of part of the same project but which are carried out on more than one street, but on a scale comparative to one street, are submitted at the same time.
- ii. Where several Promoters are working within the same site submit applications at the same time. Where the Highway Authority Promoter is collaborating with Statutory Undertakers, those Undertakers will be eligible for the discount.
- iii. Where works are undertaken wholly outside of Traffic-Sensitive times on Traffic-Sensitive streets.
- iv. A discount may be applied where it is demonstrated that an activity provides significant economic benefit to the local authority or Council. For instance, supplies for a new development, or where it is demonstrated that a network investment programme is being undertaken to meet customer demand.

DISCOUNT RATE

A discount of 30% will be applied in the above circumstances.

OPTION TO WAIVE OR REDUCE FEES

The Permit Authority retains the option to waive or reduce fees at its discretion. For example; to support an investment in infrastructure such as a Broadband rollout programme.

REVIEW OF FEES

The Permit Authority will review its scale of fees annually to ensure that the overall fee income does not exceed the allowable costs over a number of years.

The outcome of the annual fee reviews will be published and open to public scrutiny.

As far as possible the fees and costs should be matched over a financial year. However, it is recognised that estimating the fee levels will involve incorporating the effect of various factors that will inevitably have a degree of uncertainty around them. In the event that fees and costs do not match the actual outturn for the year in question, adjustments may be made to fee levels for the subsequent years so that across a number of years fees do not exceed the allowable costs.

PERMIT FEES TABLE

	Main Roads			Minor Roads
Reinstatement category of street	0, 1 and 2	3 and 4		3 and 4
Street designated as Traffic-Sensitive or not	All streets	Traffic-Sensitive at some times/locations		Non Traffic-Sensitive at any time or location
Time and location of activity	Any time and location	Any part within Traffic-Sensitive times / locations	Wholly within non Traffic-Sensitive times / locations	Any time and location
Provisional Advance Authorisation	£105*	£105	£73.50	£75
Major Works – over 10 days <u>and</u> all major works requiring a traffic regulation order	£240*	£240	£168	£150
Major works – 4 to 10 days	£130*	£130	£91	£75
Major works – up to 3 days	£65*	£65	£45.50	£45
Standard Activity	£130*	£130	£91	£75
Minor Activity	£65*	£65	£45.50	£45
Immediate Activity	£60*	£60	£42	£40

* A discount will be applied where works are undertaken wholly outside of Traffic-Sensitive times on Traffic-Sensitive streets. See Above.

Note: That in line with the Permit Authorities policies and procedures, the above fees will be reviewed on an annual basis.

PERMIT VARIATION FEES

£45 for activities on category 0, 1 & 2 streets, and on 3 & 4 Traffic-Sensitive streets.

£35 for activities on category 3 and 4 non Traffic-Sensitive streets.

If a Permit variation moves an activity into a higher fee category, the Promoter will be required to pay the difference in Permit fee.

No fee is payable if a Permit variation is initiated by the Permit Authority.

The review will take into account the on-going Scheme costs and inflationary rates.

The fees will not exceed the maximum charges as set by the DFT.

All Promoters will be notified of any changes to the fees.

Title: **Permit Scheme Operating Factors Proposals & Methodology**
 Project: Proposed North Yorkshire Modified Permit Scheme
 Date: 11th July 2025
 Author: Jason Setford-Smith, Consultant

1 INTRODUCTION

The purpose of this document is to provide guidance on determining key financial elements essential for developing the proposed Permit Scheme.

1. Identifying total reasonable budget figures for on-going yearly operating costs that form part of the of the Cost Benefit Analysis.
2. In addition to staff costs, identifying reasonable budget figures for the '**Additional Operational Factors**' within the Fees Matrix.

2 YEARLY OPERATIONAL COSTS PROPOSALS

Yearly operating costs, including staff costs and associated overheads. These are anticipated costs incurred in running and managing the scheme.

Below is a suggested list of budget figures for consideration and to be used in the CBA as initial assumptions.

Start-up Cost Centre	Yearly operating costs
KPI Production	£50,000
Invoicing	£170,000
IT support	£50,000
Unauthorised / Abandoned works	£80,000
Management Overhead (included in staff costs)	£0
Sub Totals	£350,000
Staff Costs including management overhead (determined by the DfT Costs Matrix)	£1,755,000
Totals	(Revenue matched) £2,105,000

3 ADDITIONAL OPERATIONAL FACTORS EXPLANATION

There are five Additional Operational Factors which are briefly described in the table below:-

Additional Operational Factors	Information Required in determining the costs.	Budget and Methodology
Production of Key Performance Indicators (KPIs) and reports	<p>General consultancy support and considering the range of KPIs to be managed and reported on and the analysis of scheme effectiveness. Required end of year evaluation and reviews including finance, performance, trend analysis, revised CBAs, Carbon impacts, journey time reliability etc.</p>	<p>Ongoing consultancy support and scheme evaluation = £50,000</p> <p>Includes an annual Summary Network Performance report.</p>
Invoicing	<p>The total number of invoices expected to be generated is circa 10 per month with approximately 40 individual lines per invoice.</p> <p>There will be a number of queries from the organisations to be invoiced which will need responding to.</p> <p>There will be debt management and associated time costs and monitoring of the impact on cashflow of any bad debtors.</p> <ul style="list-style-type: none"> • Producing and issuing invoices for PAA, Permits, and Permit variation fees. • Managing follow-up queries and requests for additional information. • Monitoring and recording payments and reporting on levels of debt. • Monitoring and chasing outstanding invoices and payments due. • Pursuing bad debt 	<p>£170,000</p> <p>2 x FTE @ £85,000 at permit scheme costs rates.</p>
IT Software and hardware	<p>The cost of supporting upgraded systems and associated IT equipment.</p> <ul style="list-style-type: none"> • Street Manager upgrade • Street Gazetteer • Email program • Operating System 	<p>£50,000</p> <p>Initial budget figure</p> <p>Internal recharge</p> <p>Systems / ICT Team support</p>

	<ul style="list-style-type: none"> • Mapinfo • Antivirus • Firewall • Voicemail <p>Photo viewer for drawings, photos etc that are attached to applications and notifications</p>	Budget to allow for migration to Streetworks Manager.
Unauthorised and abandoned activities	<p>There is an assumption of a volume of Cancelled and Abandoned activities at 500 per year.</p> <p>This number will need monitoring.</p> <p>Managing unauthorised activities includes the time taken to assess and action all instances of unauthorised activity irrespective of the stage of works, the activity type, Permit conditions, if applied, or consideration of those conditions that may have been viewed as appropriate had an application been made.</p>	<p>£80,000</p> <p>Initial budget figure</p> <p>Based on 50% of an average Permit fee of £30 x an estimated volume of circa 2,000 based on 5% of applications.</p>
Management and monitoring	<p>10% of a Director or Assistant Director's time to allow for reviewing the service and its impact on the wider highways functions and costs.</p> <p>15% of a Senior Manager time along with support staff to allow for reviewing the service and its impact on the operations of the highways service, co-ordination between highways teams the impact on maintenance requirements and costs.</p>	<p>Budget figure £800,000</p> <p>15% of an AD's time = £40,000</p> <p>25% of a Senior Manager = £50,000</p> <p>Staff overheads based on circa 27 FTEs</p> <p>£710,000</p>

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Category 0-2 and Traffic Sensitive Streets							
Current NRSWA Notification Regime Volumes		Estimated Number of Permits per Year					
Actual Volumes by Works Category Type		Estimated Number of Permits by Activity Type					
Works Category	No. of Notified Street Works per Year	Activity Type	Permit Applications	Permits Required for Remedial Works	Cancelled/Abandoned Works	Allowance for Phased Works	Total Permits
Major	465	Provisional Advance Authorisation	465	N/A	N/A	93	558
Standard	908	Major	465	0	12	91	544
Minor with Excavation	4244	Standard	908	0	32	175	1051
Minor without Excavation	0	Minor	4244	0	148	819	4915
Urgent	1528	Immediate	1528	0	93	287	1722
Special Urgent	0						
Emergency							
Remedial Works	0						
Cancelled/Abandoned Works	0						
Sub Total	7145	Sub Total	7610	0	285	1465	8790

Category 3-4 Non-Traffic Sensitive Streets							
Current NRSWA Notification Regime Volumes		Estimated Number of Permits per Year					
Actual Volumes by Works Category Type		Estimated Number of Permits by Activity Type					
Works Category	No. of Notified Street Works per Year	Activity Type	Permit Applications	Permits Required for Remedial Works	Cancelled/Abandoned Works	Allowance for Phased Works	Total Permits
Major	1752	Provisional Advance Authorisation	1752	N/A	N/A	350	2102
Standard	5870	Major	1752	0	36	343	2059
Minor with Excavation	13147	Standard	5870	0	151	1144	6863
Minor without Excavation		Minor	13147	0	123	2605	15629
Urgent	5574	Immediate	5574	0	170	1081	6485
Special Urgent	0						
Emergency							
Remedial Works	0						
Cancelled/Abandoned Works	0						
Sub Total	26343	Sub Total	28095	0	480	5523	33138

TOTAL	33488	TOTAL	35705	0	765	6988	41928
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Estimated Number of Permit Variations

Category 0-2 and Traffic Sensitive Streets			
Estimated Number of Permit Variations per Year			
Estimated Number of Permit Variations by Activity Type			
Activity Type	Total Number of Permits	Permit Variation (%)	Total Number of Permit Variations
Provisional Advance Authorisation	558	N/A	N/A
Major	544	20%	109
Standard	1051	10%	105
Minor	4915	5%	246
Immediate	1722	5%	86
Sub Total	8790	N/A	546

Category 3-4 Non-Traffic Sensitive Streets			
Estimated Number of Permit Variations per Year			
Estimated Number of Permit Variations by Activity Type			
Activity Type	Total Number of Permits	Permit Variation (%)	Total Number of Permit Variations
Provisional Advance Authorisation	2102	N/A	N/A
Major	2059	20%	412
Standard	6863	10%	686
Minor	15629	5%	781
Immediate	6485	5%	324
Sub Total	33138	N/A	2204

Hourly Rate Calculation

Personnel Type	Annual Salary	National Insurance (%)	Pension (superannuation) (%)	Working hours/annum	Employee Overhead Rate	Final Hourly Rate	Total Annual Cost
Street Works Officer	23000	10.6	16.5	1530	1.9	£36	£55,543
Street Works Coordinator	28000	10.6	16.5	1530	1.9	£44	£67,617
Traffic Manager	42000	10.6	16.5	1530	1.9	£66	£101,426

Total Employees Required

Category 0-2 and Traffic Sensitive Streets

Street Works Officers							
	PAA	Major	Standard	Minor	Immediate		TOTAL
Hours per Permit	0.52	1.39	0.96	0.53	0.31		3.72
Total Permits	558	544	1051	4915	1722		8790
Total Hours	291	755	1013	2617	534		32655
No. of Posts Required	0.19	0.49	0.66	1.71	0.35		3.40
Employee Costs	£10,550	£27,397	£36,762	£95,016	£19,379		£189,104

Street Works Coordinators							
	PAA	Major	Standard	Minor	Immediate		TOTAL
Hours per Permit	1.15	1.84	1.07	0.53	0.53		5.12
Total Permits	558	544	1051	4915	1722		8790
Total Hours	640	1002	1127	2605	913		45041
No. of Posts Required	0.42	0.66	0.74	1.70	0.60		4.11
Employee Costs	£28,298	£44,304	£49,825	£115,128	£40,334		£277,890

Traffic Managers							
	PAA	Major	Standard	Minor	Immediate		TOTAL
Hours per Permit	0.56	1.07	0.54	0.20	0.12		2.49
Total Permits	558	544	1051	4915	1722		8790
Total Hours	314	582	564	967	204		21848
No. of Posts Required	0.21	0.38	0.37	0.63	0.13		1.72
Employee Costs	£20,838	£38,589	£37,375	£64,081	£13,508		£174,390

Category 3-4 Non-Traffic Sensitive Streets

Street Works Officers							
	PAA	Major	Standard	Minor	Immediate		TOTAL
Hours per Permit	0.41	0.59	0.37	0.22	0.28		1.87
Total Permits	2102	2059	6863	15629	6485		33138
Total Hours	857	1215	2516	3464	1810		61802
No. of Posts Required	0.56	0.79	1.64	2.26	1.18		6.45
Employee Costs	£31,101	£44,105	£91,350	£125,766	£65,720		£358,041

Street Works Coordinators							
	PAA	Major	Standard	Minor	Immediate		TOTAL
Hours per Permit	0.42	0.74	0.39	0.20	0.23		1.98
Total Permits	2102	2059	6863	15629	6485		33138
Total Hours	876	1524	2671	3165	1502		65613
No. of Posts Required	0.57	1.00	1.75	2.07	0.98		6.36
Employee Costs	£38,714	£67,344	£118,033	£139,867	£66,394		£430,351

Traffic Managers							
	PAA	Major	Standard	Minor	Immediate		TOTAL
Hours per Permit	0.25	0.40	0.16	0.04	0.04		0.89
Total Permits	2102	2059	6863	15629	6485		33138
Total Hours	522	824	1087	664	281		29576
No. of Posts Required	0.34	0.54	0.71	0.43	0.18		2.21
Employee Costs	£34,610	£54,603	£72,033	£44,032	£18,628		£223,907

TOTALS

Street Works Officers	9.85	£547,146	Street Works Officers
Street Works Coordinators	10.47	£708,241	Street Works Coordinators
Traffic Managers	3.93	£398,297	Traffic Managers
TOTAL NO. OF EMPLOYEES REQUIRED	24.25	£1,653,685	TOTAL EMPLOYEE COSTS

ALLOWABLE COST CALCULATION TEMPLATE - Category 0-2 and Traffic Sensitive Streets

Task Ref.	Permit Task	Permit Task Description	Personnel	Activity Designations												Notice Regime Reduction (%)			
				Provisional Advanced Authorisation				Major Permit Application				Standard Permit Application					Minor Permit Application		
1	PERMIT DATA VALIDATION CHECK	Data validation of received permit application data and associated information for compliance with the Technical Specification for ET&N prior to entry into the Local Street Works Register.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 0.0 0.0 0.7	0.0 0.0 0.0 0.7	1.0 0.5 0.5 0.7	0.5 0.4 0.4 0.7	1.0 0.5 0.0 0.7	0.5 0.4 0.0 0.7	1.0 0.5 0.0 0.7	0.5 0.4 0.0 0.7	1.0 0.5 0.0 0.7	0.5 0.4 0.0 0.7	1.0 0.5 0.0 0.7	0.5 0.4 0.0 0.7	30% 30% 30% 30%			
2	PERMIT DATA CONTENT CHECK	Scrutiny of the permit application data content to verify it is an authentic submission with adequate information that will enable a full assessment of the permit application.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 2.0 1.0 1.2	1.2 1.2 0.8 1.2	2.0 2.0 0.5 1.2	1.2 1.2 0.4 1.2	2.0 1.0 0.1 1.2	0.6 0.6 0.0 0.6	1.0 1.0 0.0 0.6	0.6 0.6 0.0 0.6	1.0 1.0 0.0 0.6	0.6 0.6 0.0 0.6	1.0 1.0 0.0 0.6	0.6 0.6 0.0 0.6	40% 40% 20% 20%			
3	SUBSISTING SUBSTANTIAL ROAD OR STREET WORK RESTRICTIONS (S58 and s58A of NRSWA)	Assessment to ensure that the permit application will not conflict with a notified restriction or a restriction period that is in force.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 1.0 0.0 1.4	0.7 0.7 0.0 1.4	2.0 5.0 2.0 1.4	3.5 3.5 1.6 1.4	1.0 1.0 0.5 0.7	0.7 0.7 0.4 0.7	0.5 0.5 0.5 0.4	0.4 0.4 0.4 0.4	0.5 0.5 0.5 0.4	0.4 0.4 0.4 0.4	0.5 0.5 0.5 0.4	0.4 0.4 0.4 0.4	30.0% 30.0% 20% 20%			
4	MAJOR WORKS ACTIVITY FITS SUBSTANTIAL STREET WORKS RESTRICTION CRITERIA	To determine whether the major works activity permit application meets the criteria for substantial street works and subsequent issue of a section 58A notice.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 3.0 3.0 0.6	1.8 1.8 3.0 1.8	2.0 10.0 3.0 1.2	6.0 1.8 9.0 9.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	40% 40% 40% 40%			
5	COORDINATION OF PROPOSED ACTIVITIES	There a number of sub-tasks as shown below which encapsulate the discrete items which contribute to the execution of this task:																	
a)	SITE AVAILABILITY AND WORK PERIOD REVIEW	Permit application checked to determine if there are any other proposed or subsisting activities that may conflict in the same work period for the location of impact. If necessary establish a suitable solution to accommodate the activity whilst minimising disruption of traffic.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	3.0 3.0 2.0 1.5	1.5 1.5 1.4 1.5	3.0 4.0 2.0 1.5	2.0 1.4 4.9 4.9	3.0 3.0 2.0 1.5	1.5 1.5 1.4 1.5	2.0 2.0 0.0 1.5	1.5 1.5 1.4 1.5	2.0 2.0 0.0 1.5	1.5 1.5 1.4 1.5	2.0 2.0 0.0 1.5	1.5 1.5 1.4 1.5	50% 50% 30% 30%			
b)	COLLABORATIVE WORKING ASSESSMENT	An assessment where every consideration is made for opportunities to seek collaborative working so that the potential disruption or impact for the sum of the individual works can be reduced through site or trench sharing initiatives.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 2.0 0.0 0.7	1.6 1.6 0.0 1.6	2.0 5.0 0.0 1.4	4.0 0.0 5.4 5.4	5.0 5.0 0.0 3.5	4.0 4.0 0.0 3.5	2.0 2.0 0.0 1.4	1.6 1.6 0.0 1.6	2.0 2.0 0.0 1.4	1.6 1.6 0.0 1.6	2.0 2.0 0.0 1.4	1.6 1.6 0.0 1.6	30% 20% 0% 0%			
c)	TRAFFIC MANAGEMENT TYPE ASSESSMENT	To determine that the traffic management type selected by the activity promoter is relevant and appropriate for the successful execution of the activity. Factors to consider will include those of safety and minimising inconvenience to the highway user.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 5.0 0.5 0.5	3.5 3.5 0.4 4.4	5.0 5.0 1.0 2.5	3.5 0.8 6.8 6.8	2.0 5.0 1.0 1.0	3.5 3.5 0.8 5.3	1.0 3.0 0.0 0.5	2.1 2.1 0.0 2.6	1.0 3.0 0.0 0.5	2.1 2.1 0.0 2.6	1.0 3.0 0.0 0.5	2.1 2.1 0.0 2.6	50% 30% 20% 20%			
d)	IMPACT ASSESSMENT BY ACTIVITY PROMOTERS	A review is made of the impact assessment set out by the activity promoter. All factors (not just those presented by the promoter) will be considered and judged as having being appropriately determined and mitigated wherever practical. Assessment may be necessary in respect of a reduction of road space and effect on network capacity.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 5.0 2.0 1.4	3.5 3.5 1.4 6.3	5.0 5.0 1.0 3.5	3.5 0.7 7.7 7.7	4.0 3.0 0.0 2.8	2.1 2.1 0.0 4.9	3.0 2.0 0.0 2.1	1.4 1.4 0.0 3.5	3.0 3.0 0.0 2.1	2.1 2.1 0.0 3.5	3.0 3.0 0.0 2.1	2.1 2.1 0.0 3.5	30% 30% 30% 30%			
e)	IMPACT ASSESSMENT ON PUBLIC TRANSPORT OPERATORS	Scrutiny of activities with specific consideration given to the impact on the public transport operators (buses, trains, trams, etc), including the review of any consultations undertaken and checking of stakeholder agreements reached.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 5.0 0.0 1.2	3.0 3.0 0.0 4.2	5.0 5.0 1.0 3.0	3.0 0.8 6.8 6.8	3.0 5.0 1.0 1.8	3.0 3.0 0.8 5.6	2.0 2.0 0.0 1.2	1.2 1.2 0.0 2.4	2.0 2.0 0.0 1.2	1.2 1.2 0.0 2.4	2.0 2.0 0.0 1.2	1.2 1.2 0.0 2.4	40% 40% 20% 20%			
f)	IMPACT ASSESSMENT ON ALL NETWORKS	Scrutiny of activities with specific consideration given to the Network Management Duty responsibility to ascertain the disruption impact on all networks (cycle, freight, etc) have been assessed and mitigated in the most effective manner. Assessment may be necessary in respect of a reduction of road space and affect on network capacity.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 5.0 2.0 1.2	3.0 3.0 1.4 5.6	5.0 5.0 1.0 3.0	3.0 0.7 6.7 6.7	3.0 5.0 1.0 1.8	3.0 3.0 0.7 5.5	2.0 2.0 0.0 1.2	2.4 2.4 0.0 3.6	2.0 2.0 0.0 1.2	2.4 2.4 0.0 3.6	2.0 2.0 0.0 1.2	2.4 2.4 0.0 3.6	40% 40% 30% 30%			
g)	IMPACT ASSESSMENT ON PLANNED EVENTS, INCIDENTS AND HIGHWAYS ACT 1980 ACTIVITIES (E.G. SKIPS)	To determine whether the proposed works may impact on planned events, incidents affecting the network and Highways Act 1980 activities (e.g. skips). If an impact is identified, the authority to consider options and may enter into dialogue for the resolution with activity promoter and affected stakeholders.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 5.0 2.0 0.6	3.0 3.0 1.2 4.8	3.0 3.0 1.0 1.8	1.8 0.6 4.2 4.2	3.0 2.0 0.0 1.8	1.2 1.2 0.0 3.0	1.0 2.0 0.0 0.6	1.2 1.2 0.0 1.8	1.0 2.0 0.0 0.6	1.2 1.2 0.0 1.8	1.0 2.0 0.0 0.6	1.2 1.2 0.0 1.8	40% 40% 40% 40%			
h)	ACTIVITY ASSESSED FOR APPROPRIATENESS OF LOCATION OF NEW APPARATUS	Assessment of activity to determine whether the permit application should be refused or revised if the placement of apparatus in the street is likely to cause congestion that could be otherwise avoided or reduced if the apparatus could reasonably be placed in an alternative street.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 5.0 1.0 1.0	2.5 2.5 0.7 4.2	5.0 10.0 2.0 2.5	5.0 1.4 8.9 8.9	5.0 7.0 1.0 2.5	3.5 3.5 0.7 6.7	2.0 3.0 0.0 1.0	1.5 1.5 0.0 2.5	2.0 3.0 0.0 1.0	1.5 1.5 0.0 2.5	2.0 3.0 0.0 1.0	1.5 1.5 0.0 2.5	50% 50% 30% 30%			
6	COMPLIANCE OF ACTIVITY FOR STREETS SUBJECT TO SPECIAL CONTROLS OR WITH RESPECT TO THE RELEVANT AUTHORITIES	To determine that the proposed activity which may impact on streets that are subject to special controls (such as protected streets, streets with special engineering difficulties, traffic-sensitive streets, or works affecting a bridge or sewer authority) have complied with appropriate legislation. This may include dialogue with structure owner.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 2.0 1.0 1.2	1.4 1.4 0.8 3.4	2.0 5.0 1.0 1.2	3.5 0.8 5.5 5.5	1.0 2.0 1.0 0.6	1.4 1.4 0.8 2.8	2.0 2.0 0.0 1.2	1.4 1.4 0.0 2.6	2.0 2.0 0.0 1.2	1.4 1.4 0.0 2.6	2.0 2.0 0.0 1.2	1.4 1.4 0.0 2.6	40% 30% 20% 20%			
7	ASSESSMENT OF DURATION OF PERMIT ACTIVITIES	To determine that the permit application estimated duration is reasonable, taking into account all aspects of the activity. Liaise with the activity promoter where duration appears to be excessive with a view to agreeing a revised duration.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.0 5.5 1.0 0.0	2.8 2.8 0.5 3.3	2.0 2.0 0.0 1.0	1.0 0.0 2.0 2.0	1.0 2.0 1.0 0.5	1.0 1.0 0.5 2.0	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	50% 50% 50% 50%			
8	ASSESSMENT OF IMPACT ON EXISTING WORKS LICENSED UNDER SECTION 50 OF NRSWA	To determine whether the proposed activity impacts on apparatus placed under a section 50 licence. Details of the apparatus record to be made available to the activity promoter for consideration within their promoted activity.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 5.0 1.0 0.5	2.5 2.5 0.5 3.5	2.0 3.0 1.0 1.0	1.5 0.5 3.0 3.0	1.0 2.0 1.0 0.5	1.0 1.0 0.5 2.0	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	50% 50% 50% 50%			
9	PUBLIC CONSULTATION / NOTIFICATION	To evaluate that appropriate consultation and publicity for the activity has or will take place with relevant stakeholders (such as resident and business groups, frontagers, police, public transport operators, travelling public, etc), and that stakeholders responses have been duly considered by the promoter.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 2.0 1.0 0.9	1.6 1.6 0.8 3.3	15.0 10.0 7.0 13.5	8.0 5.6 27.1 27.1	10.0 5.0 3.0 9.0	4.0 2.4 15.4 15.4	2.0 2.0 1.0 1.8	1.6 1.6 0.8 4.2	1.5 2.0 0.0 1.4	1.6 1.6 0.0 3.0	1.5 2.0 0.0 1.4	1.6 1.6 0.0 3.0	10% 20% 20% 20%			
10	ENVIRONMENTAL CONSIDERATIONS	To evaluate that any matters which may have an environmental impact (such as noise and dust) are identified and appropriately actioned to demonstrate that the necessary balance of the issues and execution of the activity is reflected. This may include discussions with the appropriate environmental health office.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 1.0 1.0 1.4	0.6 0.6 0.7 2.7	5.0 5.0 1.0 3.5	3.0 0.7 7.2 7.2	2.0 3.0 1.0 1.4	1.8 1.8 0.7 3.9	1.0 1.0 0.0 0.7	0.6 0.6 0.7 2.0	1.0 1.0 0.0 0.7	0.6 0.6 0.7 2.0	1.0 1.0 0.0 0.7	0.6 0.6 0.7 2.0	30% 40% 30% 30%			
11	PROMOTER GENERATED TELEPHONE CALL OR CONTACT	All relevant promoter generated telephone calls and/or emails are processed in regard to submitted permit applications. These may relate to enquiries on progress of application, requests for an early start prior to the submission of an application, or provision of supplementary information necessary for the authority to action approval.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	3.0 6.0 4.0 1.5	3.6 3.6 2.8 7.9	5.0 10.0 4.0 2.5	6.0 2.8 11.3 11.3	3.0 4.0 4.0 1.5	2.4 2.8 6.7 6.7	1.0 1.0 1.0 0.5	0.6 0.6 0.7 1.8	2.0 1.0 1.0 1.0	0.6 0.6 0.7 1.8	2.0 1.0 1.0 1.0	0.6 0.6 0.7 1.8	50% 40% 30% 30%			
12	STRATEGIC PROJECT PLANNING ASSESSMENT	Input may be requested by the activity promoter or required by the authority on activities affecting an area such as a major network or mains replacement programme. Reference to output from routine co-ordination forums may be necessary. This task may operate in advance of a formal permit application.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	3.0 0.0 1.0 2.1	0.0 0.0 0.8 2.9	5.0 5.0 2.0 3.5	3.0 1.6 8.1 8.1	3.0 5.0 1.0 2.1	3.0 0.8 5.9 5.9	1.0 1.0 0.0 0.7	0.6 0.6 0.0 1.3	0.0 1.0 0.0 0.6	0.6 0.6 0.0 0.6	0.0 1.0 0.0 0.6	0.6 0.6 0.0 0.6	30% 40% 20% 20%			
13	CONTROLLED PARKING ASSESSMENT	To evaluate that provisions have been made by the promoter for suspending or modifying controlled parking arrangements. Consideration will also have been given to providing alternative parking arrangements where practicable.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 5.0 3.0 0.5	2.5 2.5 1.5 4.5	1.0 5.0 3.0 0.5	2.5 1.5 4.5 4.5	1.0 5.0 3.0 0.5	2.5 1.5 4.5 4.5	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	1.0 2.0 1.0 0.5	50% 50% 50% 50%			
14	TEMPORARY TRAFFIC RESTRICTIONS (ROAD TRAFFIC REGULATION ACT 1984)	To verify that provisions have been made by the promoter to obtain the required approval/notice/order that relate to traffic regulation (such as road closures, banned turns, bus lanes, etc).	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	3.0 2.0 1.0 2.1	1.2 1.2 0.7 4.0	10.0 10.0 1.0 7.0	6.0 0.7 13.7 13.7	5.0 5.0 1.0 3.5	3.0 0.7 7.2 7.2	1.0 4.0 0.0 0.7	2.4 2.4 0.0 3.1	1.0 5.0 1.0 0.7	3.0 3.0 0.7 4.4	1.0 5.0 1.0 0.7	3.0 3.0 0.7 4.4	30% 40% 30% 30%			
15	PORTABLE LIGHT SIGNALS	Verify that the authority process for obtaining prior approval for the placement of portable light signals has been undertaken by the activity promoter.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.5 2.0 3.0 1.1	1.4 1.4 2.1 4.6	1.0 2.0 3.0 0.7	1.4 2.1 4.2 4.2	1.0 2.0 1.0 0.7	1.4 1.4 0.7 2.8	1.0 1.0 1.0 0.7	0.7 0.7 0.7 2.1	1.0 1.0 1.0 0.7	0.7 0.7 0.7 2.1	1.0 1.0 1.0 0.7	0.7 0.7 0.7 2.1	30% 30% 30% 30%			
16	DETAILED TRAFFIC MANAGEMENT ASSESSMENT	If an assessment is made that the activity may have an adverse impact on traffic flows, a more detailed traffic management proposal is requested and evaluated prior to permit determination. Evaluation may require scrutiny of activity method statements and site plans.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 5.0 2.0 1.0	3.0 3.0 1.6 5.6	5.0 10.0 10.0 2.5	6.0 8.0 16.5 16.5	5.0 5.0 5.0 2.5	3.0 4.0 9.5 9.5	2.0 3.0 1.0 1.0	1.8 1.8 0.8 3.6	2.0 4.0 1.0 1.0	1.0 2.4 0.8 4.2	2.0 4.0 1.0 1.0	1.0 2.4 0.8 4.2	50% 40% 20% 20%			
17	ACTIVITY SPECIFIC CO-ORDINATION MEETING	An activity specific office based co-ordination meeting to discuss complex activity proposals (including traffic management proposals and work method). This task may	Street Works Officers Street Works Co-Ordinators	2.0 6.0		5.0 10.0		4.0 3.0		2.0 2.0		1.0 2.0		40% 50%					

17	ACTIVITY SPECIFIC COORDINATION MEETINGS	require attendance of other organisations, such as the police, environmental authority and public transport operators, and will include arranging and facilitating the meeting.	Traffic Managers Adjusted Times	1.2 3.0 2.0 5.8	3.0 5.0 10.0 16.0	2.4 1.5 4.0 7.1	1.2 1.0 0.8 3.0	0.6 1.0 0.0 1.6	20%
18	SITE VISIT	A site visit may be made to ascertain a more detailed understanding of the extent of the proposed activity, the potential impact on environmentally sensitive areas, and any special local circumstances that need to be considered. The site visit may involve other representatives; e.g. the promoter, police, environmental authority, etc.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 20.0 10.0 18.0	5.0 10.0 15.0 18.0	2.0 5.0 5.0 7.0	2.0 4.0 2.0 4.4	1.0 3.0 1.0 2.7	50% 50% 30%
19	PERMIT DECISION AND ATTACHED CONDITIONS	After progression through the tasks of the permit application process, a decision is made to give either: a) Provisional Advanced Authorisation for a Permit; b) Permit Approval; or c) a Permit Refusal. Any approved applications will be issued with relevant conditions attached. Reasons will always be provided with a Permit Refusal.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 4.0 1.0 7.0	5.0 10.0 5.0 20.0	2.0 5.0 2.0 9.0	2.0 2.0 1.0 5.0	2.0 2.0 0.0 4.0	0% 0% 0%
20	ACTIVITY START AND FINISH CHECKS	Data validation and data content check of works start, works clear and works closed notices to ensure the data is compliant with the Technical Specification for ETon and that the notice information is intuitive and consistent with the permit and any conditions applied.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.0 0.0 0.0 0.0	5.0 2.0 0.0 4.4	5.0 2.0 0.0 4.4	5.0 2.0 0.0 4.4	1.0 1.0 0.0 1.3	40% 30% 20%
21	REINSTATEMENT NOTICES CHECK	Data validation and data content check of the registered reinstatement for the activity to ensure the data is compliant with the Technical Specification for ETon and that the registration information is intuitive and consistent with the permit, its conditions, and the previous notices information, ie. clear or closed notice.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.0 0.0 0.0 0.0	5.0 2.0 0.0 3.7	5.0 2.0 0.0 3.7	5.0 2.0 0.0 3.7	1.0 1.0 0.0 1.1	50% 40% 20%
22	ACTIVITY CANCELLATION	Data validation and data content check for the cancellation notice. Verification that no unauthorised activity has taken place, and that associated parking suspensions, TRO's, etc have been cancelled. Notification of cancelled works to affected stakeholders.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.5 0.0 0.0 0.9	2.0 2.0 0.0 2.4	2.0 2.0 0.0 2.4	1.0 2.0 0.0 1.8	1.0 2.0 0.0 1.8	40% 40% 30%
23	INFORMAL DISPUTE RESOLUTION	This task is specific to seeking a local resolution of a dispute. A failure to resolve the dispute will move the issue to the formal dispute resolution stages of the appeals procedures, adjudication and arbitration.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 5.0 1.0 5.8	5.0 8.0 5.0 13.6	3.0 3.0 2.0 6.0	1.0 1.0 1.0 2.3	1.0 1.0 1.0 2.3	30% 30% 10%
24	COMPLAINTS AND ENQUIRIES	To seek ownership and resolution of any complaints or enquiries generated from the promoted activity. These may arise before the activity has commenced in relation to public consultation or notification.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 5.0 2.0 4.4	4.0 5.0 2.0 5.9	3.0 3.0 2.0 4.4	2.0 2.0 1.0 2.7	2.0 2.0 1.0 2.7	50% 50% 30%

TOTAL ACTUAL TIMES	50.0	116.5	48.5	215.0	129.0	175.5	85.0	389.5	91.0	102.5	43.6	237.1	52.5	61.0	16.5	130.0	30.0	51.0	10.5	91.5	38%	37%	26%
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TOTAL ADJUSTED TIMES	31.3	68.9	33.8	133.9	83.3	110.7	64.3	258.2	57.8	64.4	32.2	154.3	32.0	37.4	11.8	81.2	18.6	31.8	7.1	57.5	Total Hours		
Final Adjusted Times																					222.9	313.1	149.1
																							685.1

HOURLY RATES for PERSONNEL	£19	£51	£37	£107	£50	£82	£71	£203	£35	£47	£36	£118	£19	£28	£13	£60	£11	£23	£8	£43			
PRE-OPERATIONAL FACTOR ALLOWABLE COST																							

Factor Ref.	Additional Operational Factors	Operational Description																					
		The details for any percentage adjustment items required for the overall running of the permit scheme, rather than each element of the individual permit application.																					
A	PRODUCTION OF KEY PERFORMANCE INDICATORS (KPIs)	To run and produce annual reports for a minimum of 4 out of the 7 Key Performance Indicators (KPIs) detailed in the Code of Practice for Permits. The KPIs are designed to provide a means of demonstrating parity of treatment for all activity promoters.	3%	£3	3%	£6	3%	£4	3%	£2	3%	£1											
B	INVOICING COSTS	To produce and issue invoices for PAA, permits, and permit variation fees, including dealing with follow-up queries and chasing outstanding payments due.	10%	£11	10%	£20	10%	£12	10%	£6	10%	£4											
C	IT SOFTWARE AND HARDWARE COSTS	Costs for software and hardware associated with deploying and maintaining an IT system for handling the permit process that is compliant with the Technical Specification for ETon. Costs could include one-off deployment costs, software licenses, software training and ongoing support and development costs. Deductions must be made for any parts of the system that does not apply to the operation of a permit scheme.	4%	£4	4%	£8	4%	£5	4%	£2	4%	£2											
D	UNAUTHORISED AND ABANDONED ACTIVITIES	To assess and action all situations of unauthorised activities irrespective of the stage of works, the activity type, permit conditions or those conditions that may have been considered appropriate. Time spent discussing and assessing a proposed activity that is abandoned before an application would have been required.	4%	£4	4%	£8	4%	£5	4%	£2	4%	£2											
E	MANAGEMENT AND MONITORING	To manage and monitor the operation of a permit scheme to ensure compliance with the provisions of the permit scheme approved by the secretary of state, the legislation, regulations, statutory guidance and code of practice.	0%	£0	0%	£0	0%	£0	0%	£0	0%	£0											
	TOTAL PERCENTAGE FOR ADDITIONAL OPERATIONAL FACTOR		21%	£22	21%	£43	21%	£25	21%	£13	21%	£9	21%	£9	21%	£9					21%	£22	

FINAL ALLOWABLE COST	£129	£245	£143	£72	£51
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ALLOWABLE COST CALCULATION TEMPLATE - Category 3-4 Non-Traffic Sensitive Streets

Task Ref.	Permit Task	Permit Task Description	Personnel	Activity Designations					Notice Regime Reduction (%)
				Provisional Advanced Authorisation	Major Permit Application	Standard Permit Application	Minor Permit Application	Immediate Permit Application	
1	PERMIT DATA VALIDATION CHECK	Data validation of received permit application data and associated information for compliance with the Technical Specification for ETon prior to entry into the Local Street Works Register.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 1.0 0.0 1.8	2.0 1.0 0.0 1.8	1.0 0.0 0.0 0.6	0.5 0.0 0.0 0.3	1.0 0.0 0.0 0.6	40% 40% 40%
2	PERMIT DATA CONTENT CHECK	Scrutiny of the permit application data content to verify it is an authentic submission with adequate information that will enable a full assessment of the permit application.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 0.0 0.0 1.0	5.0 2.0 0.0 3.5	1.0 0.0 0.0 0.5	0.5 0.0 0.0 0.3	1.0 0.0 0.0 0.5	50% 50% 30%
3	SUBSISTING SUBSTANTIAL ROAD OR STREET WORK RESTRICTIONS (S58 and s58A of NRSWA)	Assessment to ensure that the permit application will not conflict with a notified restriction or a restriction period that is in force.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 0.0 0.0 1.2	5.0 2.0 0.0 4.2	1.0 0.0 0.0 0.6	0.5 0.0 0.0 0.3	1.0 0.0 0.0 0.6	40% 40% 30%
4	MAJOR WORKS ACTIVITY FITS SUBSTANTIAL STREET WORKS RESTRICTION CRITERIA	To determine whether the major works activity permit application meets the criteria for substantial street works and subsequent issue of a section 58A notice.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 1.5 0.5 1.6	1.0 2.0 1.0 2.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	0.0 0.0 0.0 0.0	50% 50% 50%
5	COORDINATION OF PROPOSED ACTIVITIES	There are a number of sub-tasks as shown below which encapsulate the discrete items which contribute to the execution of this task: Permit application checked to determine if there are any other proposed or subsisting activities that may conflict in the same work period for the location of impact. If necessary establish a suitable solution to accommodate the activity whilst minimising disruption of traffic.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 2.0 0.0 1.8	2.0 2.5 0.0 1.8	1.0 1.0 0.0 0.8	0.5 0.5 0.0 0.4	1.0 1.0 0.0 0.8	60% 60% 40%
a)	SITE AVAILABILITY AND WORK PERIOD REVIEW	An assessment where every consideration is made for opportunities to seek collaborative working so that the potential disruption or impact for the sum of the individual works can be reduced through site or trench sharing initiatives.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 2.0 1.0 3.4	2.0 3.0 1.0 4.1	1.0 2.0 0.0 2.0	0.5 0.5 0.0 0.7	0.0 0.0 0.0 0.0	40% 30% 20%
b)	COLLABORATIVE WORKING ASSESSMENT	To determine that the traffic management type selected by the activity promoter is relevant and appropriate for the successful execution of the activity. Factors to consider will include those of safety and minimising inconvenience to the highway user.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 2.0 0.0 1.6	1.0 4.0 2.0 4.2	1.0 2.0 1.0 2.3	0.5 0.5 0.0 0.5	1.0 2.0 0.0 1.6	60% 40% 30%
c)	TRAFFIC MANAGEMENT TYPE ASSESSMENT	A review is made of the impact assessment set out by the activity promoter. All factors (not just those presented by the promoter) will be considered and judged as having being appropriately determined and mitigated wherever practical. Assessment may be necessary in respect of a reduction of road space and effect on network capacity.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 1.0 2.0 3.0	1.0 2.0 2.0 3.0	1.0 2.0 1.0 2.4	0.5 0.5 0.0 0.6	0.0 0.6 0.0 0.6	40% 40% 40%
d)	IMPACT ASSESSMENT BY ACTIVITY PROMOTERS	Scrutiny of activities with specific consideration given to the impact on the public transport operators (buses, trains, trams, etc), including the review of any consultations undertaken and checking of stakeholder agreements reached.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 1.0 1.0 1.7	1.0 3.0 1.0 2.7	1.0 1.0 0.0 1.0	0.0 0.5 0.0 0.3	0.0 0.5 0.0 0.5	50% 50% 30%
e)	IMPACT ASSESSMENT ON PUBLIC TRANSPORT OPERATORS	Scrutiny of activities with specific consideration given to the Network Management Duty responsibility to ascertain the disruption impact on all networks (cycle, freight, etc) have been assessed and mitigated in the most effective manner. Assessment may be necessary in respect of a reduction of road space and effect on network capacity.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 1.0 0.0 1.4	2.0 1.0 1.0 2.8	1.0 2.0 1.0 1.9	0.5 1.0 0.0 0.7	0.5 1.0 0.0 0.7	50% 60% 40%
f)	IMPACT ASSESSMENT ON ALL NETWORKS	To determine whether the proposed activities may impact on planned events, incidents affecting the network and Highways Act 1980 activities (e.g. skips). If an impact is identified, the authority will need to consider options and may enter into dialogue for the resolution with the activity promoter and affected stakeholders.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.5 2.0 0.0 1.8	2.0 3.0 1.0 3.0	1.0 2.0 0.0 1.5	0.5 1.0 0.0 0.8	0.5 1.0 0.0 0.8	50% 50% 50%
g)	IMPACT ASSESSMENT ON PLANNED EVENTS, INCIDENTS AND HIGHWAYS ACT 1980 ACTIVITIES (E.G. SKIPS)	Assessment of activity to determine whether the permit application should be refused or revised if the placement of apparatus in the street is likely to cause congestion that could be otherwise avoided or reduced if the apparatus could reasonably be placed in an alternative street.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 2.0 1.0 2.2	2.0 3.0 1.0 2.6	1.0 1.0 0.0 0.8	0.5 0.5 0.0 0.4	0.0 0.0 0.0 0.0	60% 60% 40%
h)	ACTIVITY ASSESSED FOR APPROPRIATENESS OF LOCATION OF NEW APPARATUS	To determine that the proposed activity which may impact on streets that are subject to special controls (such as protected streets, streets with special engineering difficulties, traffic-sensitive streets, or works affecting a bridge or sewer authority) have complied with appropriate legislation. This may include dialogue with structure owner.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 2.0 1.0 2.9	2.0 2.0 1.0 2.9	1.0 1.0 1.0 1.8	0.5 0.5 0.0 0.6	0.5 0.5 0.0 0.6	50% 40% 30%
6	COMPLIANCE OF ACTIVITY FOR STREETS SUBJECT TO SPECIAL CONTROLS OR WITH RESPECT TO THE RELEVANT AUTHORITIES	To determine that the permit application estimated duration is reasonable, taking into account all aspects of the activity. Liaise with the activity promoter where duration appears to be excessive with a view to agreeing a revised duration.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 4.0 2.0 3.2	3.0 3.0 2.0 3.2	1.5 2.0 1.0 1.8	0.5 1.0 0.0 0.6	2.0 2.0 0.0 1.6	60% 60% 60%
7	ASSESSMENT OF DURATION OF PERMIT ACTIVITIES	To determine whether the proposed activity impacts on apparatus placed under a section 50 licence. Details of the apparatus record to be made available to the activity promoter for consideration within their promoted activity.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 1.0 0.0 0.8	2.0 3.0 0.0 2.0	1.0 2.0 0.0 1.2	0.5 0.0 0.0 0.2	1.0 0.0 0.0 0.4	60% 60% 60%
8	ASSESSMENT OF IMPACT ON EXISTING WORKS LICENSED UNDER SECTION 50 OF NRSWA	To evaluate that appropriate consultation and publicity for the activity has or will take place with relevant stakeholders (such as resident and business groups, frontagers, police, public transport operators, travelling public, etc), and that stakeholders responses have been duly considered by the promoter.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 2.0 1.0 2.9	2.0 5.0 3.0 7.2	1.0 2.0 0.5 2.6	0.5 1.0 0.0 1.1	1.0 1.0 0.0 1.5	20% 30% 30%
9	PUBLIC CONSULTATION / NOTIFICATION	To evaluate that any matters which may have an environmental impact (such as noise, dust and proximity to trees) are identified and appropriately actioned to demonstrate that the necessary balance of the issues and execution of the activity is reflected. This may include discussions with the appropriate environmental health office.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 1.5 0.0 2.0	2.0 3.0 1.0 3.3	2.0 2.0 0.0 2.2	0.5 1.0 0.0 0.8	0.0 0.0 0.0 0.0	40% 50% 40%
10	ENVIRONMENTAL CONSIDERATIONS	All relevant promoter generated telephone calls and/or emails are processed in regard to submitted permit applications. These may relate to enquiries on progress of application, requests for an early start prior to the submission of an application, or provision of supplementary information necessary for the authority to action approval.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 3.0 2.0 3.2	2.0 3.0 2.0 3.2	0.5 2.0 1.0 1.6	0.2 0.4 0.0 0.6	1.0 1.0 0.0 0.8	60% 60% 40%
11	PROMOTER GENERATED TELEPHONE CALL OR CONTACT	Input may be requested by the activity promoter or required by the authority on activities affecting an area such as a major network or mains replacement programme. Reference to output from routine co-ordination forums may be necessary. This task may operate in advance of a formal permit application.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 1.0 0.5 1.5	1.0 2.0 1.0 2.3	0.5 0.5 0.5 0.9	0.3 0.3 0.0 0.6	0.0 0.0 0.0 0.0	40% 50% 30%
12	STRATEGIC PROJECT PLANNING ASSESSMENT	To evaluate that provisions have been made by the promoter for suspending or modifying controlled parking arrangements. Consideration will also have been given to providing alternative parking arrangements where practicable.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 1.0 1.0 1.2	1.0 1.0 2.0 2.0	1.0 1.0 0.0 0.8	1.0 0.5 0.0 0.6	1.0 0.5 0.0 0.6	60% 60% 60%
13	CONTROLLED PARKING ASSESSMENT	To verify that provisions have been made by the promoter to obtain the required approval/notice/order that relate to traffic regulation (such as road closures, banned turns, bus lanes, etc).	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 2.0 0.0 1.5	1.0 2.0 0.0 1.5	0.5 1.0 0.0 1.0	0.5 0.3 0.0 0.8	0.5 0.0 0.0 0.5	50% 50% 40%
14	TEMPORARY TRAFFIC RESTRICTIONS (ROAD TRAFFIC REGULATION ACT 1984)								

15	PORTABLE LIGHT SIGNALS	Verify that the authority process for obtaining prior approval for the placement of portable light signals has been undertaken by the activity promoter.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 2.0 0.0 0.6 1.0 0.0 1.6	1.0 2.0 0.0 0.6 1.0 0.0 1.6	1.0 1.0 0.0 0.6 0.5 0.0 1.1	1.0 0.5 0.0 0.6 0.3 0.0 0.9	1.0 0.0 0.0 0.6 0.0 0.0 0.6	40%	50%	40%
16	DETAILED TRAFFIC MANAGEMENT ASSESSMENT	If an assessment is made that the activity may have an adverse impact on traffic flows, a more detailed traffic management proposal is requested and evaluated prior to permit determination. Evaluation may require scrutiny of activity method statements and site plans.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 2.0 1.5 0.5 1.0 0.9 2.4	2.0 3.0 3.0 1.0 1.5 1.8 4.3	1.0 1.0 0.5 0.5 0.5 0.5 1.3	0.5 1.0 0.5 0.3 0.5 0.3 1.1	1.0 1.0 0.0 0.5 0.5 0.0 1.0	50%	50%	40%
17	ACTIVITY SPECIFIC CO-ORDINATION MEETING	An activity specific office based co-ordination meeting to discuss complex activity proposals (including traffic management proposals and work method). This task may require attendance of other organisations, such as the police, environmental authority and public transport operators, and will include arranging and facilitating the meetings.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	3.0 4.0 5.0 1.8 2.0 3.5 7.3	4.0 5.0 2.0 2.4 2.5 1.4 6.3	3.0 3.0 2.0 1.8 1.5 1.4 4.7	1.0 2.0 0.0 0.6 1.0 0.0 1.6	0.0 1.0 0.0 0.0 0.5 0.0 0.5	40%	50%	30%
18	SITE VISIT	A site visit may be made to ascertain a more detailed understanding of the extent of the proposed activity, the potential impact on environmentally sensitive areas, and any special local circumstances that need to be considered. The site visit may involve other representatives, e.g. the promoter, police, environmental authority, etc.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 3.0 2.0 1.0 1.5 1.2 3.7	2.0 4.0 5.0 1.0 2.0 3.0 6.0	1.0 3.0 2.0 0.5 1.5 1.2 3.2	0.5 1.0 0.5 0.3 0.5 0.3 1.1	2.0 1.0 1.0 1.0 0.5 0.6 2.1	50%	50%	40%
19	PERMIT DECISION AND ATTACHED CONDITIONS	After progression through the tasks of the permit application process, a decision is made to give either: a) Provisional Advanced Authorisation for a Permit; b) Permit Approval; or c) a Permit Refusal. Any approved applications will be issued with relevant conditions attached. Reasons will always be provided with a Permit Refusal.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 2.0 1.0 2.0 2.0 1.0 5.0	3.0 5.0 2.0 3.0 5.0 2.0 10.0	3.0 2.0 1.0 3.0 2.0 1.0 6.0	2.0 2.0 1.0 2.0 2.0 1.0 5.0	2.0 2.0 0.0 2.0 2.0 0.0 4.0	0%	0%	0%
20	ACTIVITY START AND FINISH CHECKS	Data validation and data content check of works start, works clear and works closed notices to the ensure data is compliant with the Technical Specification for EToN and that the notice information is intuitive and consistent with the permit and any conditions applied.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	2.0 0.0 0.0 0.0 0.0 0.0 0.0	3.0 2.0 0.0 1.5 1.0 0.0 2.5	4.0 2.0 0.0 2.0 1.0 0.0 3.0	3.0 1.0 0.0 1.5 0.5 0.0 2.0	4.0 1.0 0.0 2.0 0.5 0.0 2.5	50%	50%	40%
21	REINSTATEMENT NOTICES CHECK	Data validation and data content check of the registered reinstatement for the activity to ensure the data is compliant with the Technical Specification for EToN and that the registration information is intuitive and consistent with the permit, its conditions, and the previous notices information, i.e. clear or closed notice.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	0.0 0.0 0.0 0.0 0.0 0.0 0.0	3.0 0.0 0.0 1.2 0.0 0.0 1.2	3.0 0.0 0.0 1.2 0.0 0.0 1.2	3.0 0.0 0.0 1.2 0.0 0.0 1.2	5.0 2.0 0.0 2.0 0.8 0.0 2.8	60%	60%	50%
22	ACTIVITY CANCELLATION	Data validation and data content check for the cancellation notice. Verification that no unauthorised activity has taken place, and that associated parking suspensions, TROs, etc have been cancelled. Notification of cancelled works to affected stakeholders.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 0.0 0.0 0.5 0.0 0.0 0.5	2.0 1.0 0.0 1.0 0.5 0.0 1.5	1.0 1.0 0.0 0.5 0.5 0.0 1.0	1.0 1.0 0.0 0.5 0.5 0.0 1.0	1.0 1.0 0.0 0.5 0.5 0.0 1.0	50%	50%	40%
23	INFORMAL DISPUTE RESOLUTION	This task is specific to seeking a local resolution of a dispute. A failure to resolve the dispute will move the issue to the formal dispute resolution stages of the appeals procedures, adjudication and arbitration.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 1.0 0.0 0.6 0.6 0.0 1.2	1.5 2.0 2.0 0.9 1.2 1.4 3.5	1.0 2.0 1.0 0.6 1.2 0.7 2.5	0.5 1.0 0.5 0.3 0.6 0.4 1.3	2.0 3.0 2.0 1.2 1.8 1.4 4.4	40%	40%	30%
24	COMPLAINTS AND ENQUIRIES	To seek ownership and resolution of any complaints or enquiries generated from the promoted activity. These may arise before the activity has commenced in relation to public consultation or notification.	Street Works Officers Street Works Co-Ordinators Traffic Managers Adjusted Times	1.0 1.0 1.0 0.4 0.4 0.6 1.4	2.0 4.0 2.0 0.8 1.6 1.2 3.6	2.0 3.0 1.0 0.8 1.2 0.6 2.6	2.0 2.0 1.0 0.8 0.8 0.6 2.2	1.0 2.0 1.0 0.4 0.8 0.6 1.8	60%	60%	40%
TOTAL ACTUAL TIMES				45.5 48.0 23.5 117.0	66.5 82.5 38.0 187.0	40.5 44.5 14.5 99.5	25.0 22.5 3.5 51.0	32.5 26.0 4.0 62.5	47%	48%	38%
TOTAL ADJUSTED TIMES				24.5	35.4	22.0	13.3	16.8	111.9	118.8	53.6
				25.0	44.4	23.4	12.2	13.9	284.3	118.8	53.6
				14.9	24.0	9.5	2.6	2.6	284.3	118.8	53.6
				64.4	103.8	54.9	28.0	33.3			
HOURLY RATES FOR PERSONNEL				£15	£21	£13	£8	£10			
				£16	£33	£17	£9	£10			
				£16	£27	£10	£3	£3			
PRE-OPERATIONAL FACTOR ALLOWABLE COST				£50	£81	£41	£20	£23			

Factor Ref.	Additional Operational Factors	Operational Description										
A	PRODUCTION OF KEY PERFORMANCE INDICATORS (KPIs)	Time to run and produce annual reports for a minimum of 4 out of the 7 Key Performance Indicators (KPIs) detailed in the Code of Practice for Permits. The KPIs are designed to provide a means of demonstrating parity of treatment for all activity promoters.	3%	£1	3%	£2	3%	£1	3%	£1	3%	£1
B	INVOICING COSTS	To produce and issue invoices for PAA, permits, and permit variation fees, including dealing with follow-up queries and chasing outstanding payments due.	10%	£5	10%	£8	10%	£4	10%	£2	10%	£2
C	IT SOFTWARE AND HARDWARE COSTS	Costs for software and hardware associated with deploying and maintaining an IT system for handling the permit process that is compliant with the Technical Specification for EToN. Costs could include one-off deployment costs, software licenses, software training and ongoing support and development costs. Deductions must be made for any parts of the system that does not apply to the operation of a permit scheme.	4%	£2	4%	£3	4%	£2	4%	£1	4%	£1
D	UNAUTHORISED AND ABANDONED ACTIVITIES	To assess and action all situations of unauthorised activities irrespective of the stage of works, the activity type, permit conditions or those conditions that may have been considered appropriate. Time spent discussing and assessing a proposed activity that is abandoned before an application would have been required.	4%	£2	4%	£3	4%	£2	4%	£1	4%	£1
E	MANAGEMENT AND MONITORING	To manage and monitor the operation of a permit scheme to ensure compliance with the provisions of the permit scheme approved by the secretary of state, the legislation, regulations, statutory guidance and code of practice.	0%	£0	0%	£0	0%	£0	0%	£0	0%	£0
TOTAL PERCENTAGE FOR ADDITIONAL OPERATIONAL FACTOR			21%	£10	21%	£17	21%	£9	21%	£4	21%	£5
ALLOWABLE COST			£60	£98	£50	£24	£28					

Total Permit Scheme Cost

Category 0-2 and Traffic Sensitive Streets					
Activity Type	Estimated No. of Permits	Cost per Permit	Estimated No. of Permit Variations	Cost per Permit Variation	Total Cost per Activity Type
Provisional Advance Authorisation	558	£129	N/A	N/A	£72,220
Major	544	£245	109	£45	£138,343
Standard	1051	£143	105	£45	£154,724
Minor	4915	£72	246	£45	£367,404
Immediate	1722	£51	86	£45	£92,472
Sub Total	8790	N/A	546	£45	£825,164

Category 3-4 Non-Traffic Sensitive Streets					
Activity Type	Estimated No. of Permits	Cost per Permit	Estimated No. of Permit Variations	Cost per Permit Variation	Total Cost per Activity Type
Provisional Advance Authorisation	2102	£60	N/A	N/A	£126,355
Major	2059	£98	412	£35	£215,336
Standard	6863	£50	686	£35	£364,533
Minor	15629	£24	781	£35	£402,045
Immediate	6485	£28	324	£35	£193,746
Sub Total	33138	N/A	2204	£35	£1,302,016

TOTAL COSTS
£198,576
£353,680
£519,257
£769,449
£286,218
£2,127,180

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Permit Scheme Cost Breakdown

Cost Type	Cost
Permit Application Employee Costs	£1,653,685
Permit Application Operational Factor Costs	£347,274
Total Permit Application Costs	£2,000,958

Permit Variation Employee Costs	£80,335
Permit Variation Operational Factor Costs	£21,355
Total Permit Variation Application Costs	£101,690

TOTAL PERMIT SCHEME COSTS	£2,102,648
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REALITY CHECKS

Provisional Advanced Authorisation

Major Permit Application

Standard Permit Application

Minor Permit Application

Immediate Permit Application

Category 0-2 and Traffic Sensitive Streets

	Provisional Advanced Authorisation	Major Permit Application	Standard Permit Application	Minor Permit Application	Immediate Permit Application
TOTAL TASK TIMES	50.0 116.5 48.5 215.0	129.0 175.5 85.0 389.5	91.0 102.5 43.6 237.1	52.5 61.0 16.5 130.0	30.0 51.0 10.5
ACTUAL PERMIT TIMES					
Street Works Officers	31.3	83.3	57.8	32.0	18.6
Street Works Co-Ordinators	68.9	110.7	64.4	37.4	31.8
Traffic Managers	33.8	64.3	32.2	11.8	7.1
Final Adjusted Permit Times	133.9	258.2	154.3	81.2	
CURRENT NRSWA REGIME TIMES					
Street Works Officers	18.8	45.7	33.2	20.6	11.4
Street Works Co-Ordinators	47.7	64.9	38.2	23.6	19.2
Traffic Managers	14.7	20.8	11.4	4.7	3.4
Final NRSWA Regime Times	81.1	131.3	82.8	48.9	
HOURLY RATES for PERSONNEL					
Street Works Officers	£11	£28	£20	£12	£7
Street Works Co-Ordinators	£35	£48	£28	£17	£14
Traffic Managers	£16	£23	£13	£5	£4
CURRENT COST OF NRSWA PERSONNEL/WORKS	£63	£98	£61	£35	

Category 3-4 Non-Traffic Sensitive Streets

	Provisional Advanced Authorisation	Major Permit Application	Standard Permit Application	Minor Permit Application	Immediate Permit Application
TOTAL TASK TIMES	45.5 48.0 23.5 117.0	66.5 82.5 38.0 187.0	40.5 44.5 14.5 99.5	25.0 22.5 3.5 51.0	32.5 26.0 4.0
ACTUAL PERMIT TIMES					
Street Works Officers	24.5	35.4	22.0	13.3	16.8
Street Works Co-Ordinators	25.0	44.4	23.4	12.2	13.9
Traffic Managers	14.9	24.0	9.5	2.6	2.6
Final Adjusted Permit Times	64.4	103.8	54.9	28.0	
CURRENT NRSWA REGIME TIMES					
Street Works Officers	21.1	31.1	18.5	11.7	15.8
Street Works Co-Ordinators	23.0	38.1	21.2	10.4	12.1
Traffic Managers	8.6	14.0	5.0	1.0	1.4
Final NRSWA Regime Times	52.7	83.2	44.7	23.0	
HOURLY RATES for PERSONNEL					
Street Works Officers	£13	£19	£11	£7	£10
Street Works Co-Ordinators	£17	£28	£16	£8	£9
Traffic Managers	£10	£15	£6	£1	£2
CURRENT COST OF NRSWA PERSONNEL/WORKS	£39	£62	£32	£16	

Total NRSWA Employees (Back Calculation)

Additional Employees Required for Permits

Category 0-2 and Traffic Sensitive Streets

Street Works Officers								
	Major (s54)	Major (s55)	Standard	Minor	Emerg & Urgent	Remdial	Cancelled	TOTAL
Hours per Works	0.31	0.76	0.55	0.53	0.19			2.35
Total Works	465	465	908	4244	1528	0	0	7610.00
Total Hours	145	354	502	2260	290	0	0	3552.16
No. of Existing Posts	0.09	0.23	0.33	1.48	0.19	0.00	0.00	2.32
Existing Employee Costs	£5,275	£12,857	£18,239	£82,041	£10,539	£0	£0	£128,952

Street Works Coordinators								
	Major (s54)	Major (s55)	Standard	Minor	Emerg & Urgent	Remdial	Cancelled	TOTAL
Hours per Works	0.79	1.08	0.64	0.39	0.32			3.22
Total Works	465	465	908	4244	1528	0	0	7610.00
Total Hours	369	503	577	1669	489	0	0	3607.48
No. of Existing Posts	0.24	0.33	0.38	1.09	0.32	0.00	0.00	2.36
Existing Employee Costs	£16,320	£22,211	£25,515	£73,774	£21,609	£0	£0	£159,430

Traffic Managers								
	Major (s54)	Major (s55)	Standard	Minor	Emerg & Urgent	Remdial	Cancelled	TOTAL
Hours per Works	0.25	0.35	0.19	0.08	0.06			0.92
Total Works	465	465	908	4244	1528	0	0	7610.00
Total Hours	114	161	173	332	87	0	0	866.59
No. of Existing Posts	0.07	0.11	0.11	0.22	0.06	0.00	0.00	0.57
Existing Employee Costs	£7,552	£10,660	£11,457	£22,038	£5,740	£0	£0	£57,448

Category 3-4 Non-Traffic Sensitive Streets

Street Works Officers								
	Major (s54)	Major (s55)	Standard	Minor	Emerg & Urgent	Remdial	Cancelled	TOTAL
Hours per Works	0.35	0.52	0.31	0.20	0.26			1.64
Total Works	1752	1752	5870	13147	5574	0	0	28095.00
Total Hours	615	908	1810	2564	1463	0	0	7359.54
No. of Existing Posts	0.40	0.59	1.18	1.68	0.96	0.00	0.00	4.81
Existing Employee Costs	£22,314	£32,967	£65,704	£93,067	£53,117	£0	£0	£267,169

Street Works Coordinators								
	Major (s54)	Major (s55)	Standard	Minor	Emerg & Urgent	Remdial	Cancelled	TOTAL
Hours per Works	0.38	0.64	0.35	0.17	0.17			1.72
Total Works	1752	1752	5870	13147	5574	0	0	28095.00
Total Hours	672	1113	2069	2268	962	0	0	7082.67
No. of Existing Posts	0.44	0.73	1.35	1.48	0.63	0.00	0.00	4.63
Existing Employee Costs	£29,681	£49,167	£91,446	£100,226	£42,493	£0	£0	£313,013

Traffic Managers								
	Major (s54)	Major (s55)	Standard	Minor	Emerg & Urgent	Remdial	Cancelled	TOTAL
Hours per Works	0.14	0.23	0.08	0.02	0.02			0.50
Total Works	1752	1752	5870	13147	5574	0	0	28095.00
Total Hours	251	409	489	208	130	0	0	1487.31
No. of Existing Posts	0.16	0.27	0.32	0.14	0.09	0.00	0.00	0.97
Existing Employee Costs	£16,647	£27,100	£32,428	£13,799	£8,622	£0	£0	£98,596

TOTALS

Street Works Officers	7.13	£396,121	Street Works Officers
Street Works Coordinators	6.99	£472,443	Street Works Coordinators
Traffic Managers	1.54	£156,043	Traffic Managers
TOTAL NO. OF NRSWA EMPLOYEES	15.66	£1,024,607	TOTAL EMPLOYEE COSTS

Calculation 1	No.	+ / -
Total Employees Required for Permit Scheme Operation	24.25	
Total NRSWA Employees (Back Calculation)	15.66	
Total Number of Additional Employees Required for Permit Scheme Operation	8.59	55%

Calculation 2	No.	
Actual No. of NRSWA Employees Currently Employed	2.5	
Estimated No. of Additional Employees Required for Permits	1.37	
Total Employees Required for Permit Scheme Operation	3.87	

Deviation From Existing Employee Number Calculation (2)	20.38
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91.5

57.5

34.0

£25



62.5

33.3

29.3

£20

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Initial equality impact assessment screening form			
This form records an equality screening process to determine the relevance of equality to a proposal, and a decision whether or not a full EIA would be appropriate or proportionate.			
Directorate	Environment		
Service area	Network strategy		
Proposal being screened	Increase fees for Permit scheme to cover additional staff costs		
Officer(s) carrying out screening	Alex Hollifield		
What are you proposing to do?	Seek approval to increase permit scheme fees to cover the cost of additional staff and undertake a joined-up recruitment process with the forthcoming Lane Rental Scheme if given approval by the DfT		
Why are you proposing this? What are the desired outcomes?	To ensure continued service delivery for the permit scheme as workload has increased, but resource has remained the same. Undertaking a recruitment campaign to recruit permit and lane rental staff is practical and strategic.		
Does the proposal involve a significant commitment or removal of resources? Please give details.	Yes, resource required for both the permit scheme and Lane Rental. Looking to recruit 5 FTE posts for Permit scheme and 4 FTE for Lane Rental		
Impact on people with any of the following protected characteristics as defined by the Equality Act 2010, or NYC's additional agreed characteristics			
As part of this assessment, please consider the following questions:			
<ul style="list-style-type: none"> To what extent is this service used by particular groups of people with protected characteristics? Does the proposal relate to functions that previous consultation has identified as important? Do different groups have different needs or experiences in the area the proposal relates to? 			
If for any characteristic it is considered that there is likely to be an adverse impact or you have ticked 'Don't know/no info available', then a full EIA should be carried out where this is proportionate. You are advised to speak to your directorate representative for advice if you are in any doubt.			
Protected characteristic	Potential for adverse impact		Don't know/No info available
	Yes	No	
Age		X	
Disability		X	
Sex		X	
Race		X	
Sexual orientation		X	
Gender reassignment		X	
Religion or belief		X	
Pregnancy or maternity		X	
Marriage or civil partnership		X	
People in rural areas		X	
People on a low income		X	
Carer (unpaid family or friend)		X	

Are from the Armed Forces Community		X	
Does the proposal relate to an area where there are known inequalities/probable impacts (for example, disabled people's access to public transport)? Please give details.	N/A		
Will the proposal have a significant effect on how other organisations operate? (for example, partners, funding criteria, etc.). Do any of these organisations support people with protected characteristics? Please explain why you have reached this conclusion.	No- increase in resource for permit scheme should provide a higher level of service. Lane rental will have an impact on Undertakers themselves. Should drive positive behaviours in terms of working on site at non- disruptive times. Money generated from the scheme can also be used to make Highway Improvements to benefit the public.		
Decision (Please tick one option)	EIA not relevant or proportionate:	<input type="checkbox"/>	Continue to full EIA: <input checked="" type="checkbox"/>
Reason for decision	The proposal does not affect anyone with protected characteristics. Its purpose is to improve coordination of works.		
Signed (Assistant Director or equivalent)	Barrie Mason		
Date	16/09/2025		

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Initial Climate Change Impact Assessment (Form created August 2021)

The intention of this document is to help the council to gain an initial understanding of the impact of a project or decision on the environment. This document should be completed in consultation with the supporting guidance. Dependent on this initial assessment you may need to go on to complete a full Climate Change Impact Assessment. The final document will be published as part of the decision-making process.

If you have any additional queries, which are not covered by the guidance please email climatechange@northyorks.gov.uk

Title of proposal	Seeking approval to undertake a formal consultation for a Lane Rental Scheme
Brief description of proposal	Seek approval to increase permit scheme fees to cover the cost of additional staff and undertake a joined-up recruitment process with the forthcoming Lane Rental Scheme if given approval by the DfT
Directorate	Environment
Service area	Network Strategy
Lead officer	Alex Hollifield
Names and roles of other people involved in carrying out the impact assessment	

The chart below contains the main environmental factors to consider in your initial assessment – choose the appropriate option from the drop-down list for each one.

Remember to think about the following.

- Travel
- Construction
- Data storage
- Use of buildings
- Change of land use
- Opportunities for recycling and reuse

Environmental factor to consider	For the council	For the county	Overall
Greenhouse gas emissions	No effect on emissions	No Effect on emissions	No effect on emissions
Waste	No effect on waste	No effect on waste	No effect on waste
Water use	No effect on water usage	No effect on water usage	No effect on water usage
Pollution (air, land, water, noise, light)	No effect on pollution	No effect on pollution	No effect on pollution
Resilience to adverse weather/climate events (flooding, drought etc)	No effect on resilience	No effect on resilience	No effect on resilience
Ecological effects (biodiversity, loss of habitat etc)	No effect on ecology	No effect on ecology	No effect on ecology
Heritage and landscape	No effect on heritage and landscape	No effect on heritage and landscape	No effect on heritage and landscape

If any of these factors are likely to result in a negative or positive environmental impact, then a full climate change impact assessment will be required. It is important that we capture information about both positive and negative impacts to aid the council in calculating its carbon footprint and environmental impact.

Decision (Please tick one option)	Full CCIA not relevant or proportionate:	<input checked="" type="checkbox"/>	Continue to full CCIA:	<input type="checkbox"/>
Reason for decision	The proposal to increase the permit fees to cover operational costs whilst undertaking a joint recruitment campaign for the forthcoming implementation of Lane Rental should have no Environmental Impact			
Signed (Assistant Director or equivalent)	Barrie Mason			
Date	16/09/2025			

North Yorkshire Council

Environment Executive Members

26 September 2025

Highways Capital Programme 2026/27 – Headline Allocations

Report of the Assistant Director - Highways and Infrastructure

1.0 PURPOSE OF REPORT

- 1.1 To seek agreement from the Corporate Director - Environment in consultation with Executive Member for Highways and Transportation, to authorise additions to the Highways Capital Forward Programme.
- 1.2 To update the Corporate Director - Environment and the Executive Member for Highways and Transportation, on current capital funding assumptions for Highway Maintenance in 2026/27.
- 1.3 That the Corporate Director - Environment in consultation with Executive Member for Highways and Transportation:
 - i. Agree the indicative headline structural highways maintenance capital allocations for 2026/27 based on current planning assumptions.
 - ii. Grant approval to carry out the relevant procurement processes for schemes to be delivered in 2026/27.

2.0 SUMMARY

- 2.1 This report provides an update to the Corporate Director Environment and Executive Member for Highways and Transportation on the development and delivery of the Highways Capital Programme.
- 2.2 The report provides a summary of the current funding assumptions for 2026/27 and outlines the headline funding allocations for 2026/27 which will allow an annual programme to be developed, and for the relevant procurement processes to take place to enable scheme delivery from 01 April 2026.
- 2.3 Schemes that are being added to the Highways Capital Forward Programme (HCFP) are also identified.

3.0 BACKGROUND

- 3.1 The delivery of the capital works programme is the tangible outcome of the whole of life cycle asset management approach outlined within the North Yorkshire Council's Highways Asset Management Framework.
- 3.2 Specifically the programming and delivery of capital works align with the Highways Infrastructure Asset Management Strategy. As such the objectives of the capital works programme are as follows:
 - Maximise and demonstrate Value for Money (VfM)
 - Manage VfM and drive efficiencies over the whole programme term, not just the financial year at hand.
 - Deliver on time and to budget, safely and without incident.

- 3.3 The North Yorkshire Council Highways Capital Programme is made up of four specific elements:
- Street Lighting
 - Bridges and Structures
 - Integrated Transport
 - Structural Highway Maintenance
- 3.4 In Summer 2021 a revised process for managing the highway capital programme was introduced. This process is outlined below.
- 3.5 Phase one, the HCFP. This effectively is a long list of approved schemes that do not yet have a delivery date or year assigned to them. It is important to note that inclusion within the forward programme does not guarantee delivery in a specific financial year.
- 3.6 Phase two, the Highways Capital Annual programme. This is made up of selected schemes from the HCFP up to the value of available funding. This is confirmed in late autumn for schemes to be delivered the following financial year. Schemes not included within the annual programme will remain on the forward programme for inclusion in future year's annual programmes.
- 3.7 Phase three, the Highways Capital Delivery Programme. Once schemes are confirmed for delivery within a financial year as part of the annual programme, the delivery programme is developed. This will be an operational programme with scheme start and finish dates included. Monitoring of in year programme delivery is carried out against the delivery programme.
- 3.8 This process allows us to develop a bank of "on the shelf delivery ready" schemes in advance, allowing for more efficient scheme delivery and the ability to respond more quickly to any changes in funding. It also provides more flexibility and improves forward visibility of future work for NY Highways Ltd (NYH), allowing them to work more closely and efficiently with their wider supply chain.
- 3.9 A report will be presented to a future meeting of the Corporate Director Environment and Environment Executive Members detailing the schemes to be included within the 2026/27 annual programme. The expectation is that this will be in February 2026.
- 3.10 Within the Highways Capital Annual programme, we typically seek to have a value of over programming under 10% of the total available funding to allow some level of flexibility to take in to account potential scheme delays, changes in scope and other external factors such as coordination with utilities works. Continued monitoring of in year programme delivery allows any overspend and underspend issues to be identified, and if required we can either move schemes in or out of the delivery programme for a specific year to ensure that we spend at or slightly above the available budget.
- 4.0 SCHEMES FOR ADDITION TO THE FORWARD PROGRAMME**
- 4.1 Appendices A1 to A8 provide information on the schemes that are being added to the forward programme, broken down by Highways Area Office and Bridges and Structures. (Appendix A).
- 4.2 Schemes are added to the forward programme using data collected from asset condition surveys alongside consideration of sites identified by operational teams as requiring future maintenance activity.
- 4.3 In total 928 schemes, valued at £34.4M are proposed to be added to the HCFP. Alongside schemes already on the HCFP, this takes the total value to just under £69M. This is equivalent to about 2 years' worth of schemes for delivery.

4.4 For the purposes of budget and programme management, surface dressing and patching schemes within the annual programme will be combined into area specific budget lines based on network hierarchy and treatment type. Separate surface dressing and patching delivery programmes will be developed, allowing for oversight of scheme delivery.

5.0 CURRENT FUNDING ASSUMPTIONS FOR 2026/27

5.1 The existing funding settlement for Highways Capital Funding expires on the 31 March 2026. This was a one-year settlement for 2025/26 and was made up of the following:

Funding source	Funding Type	Annual funding amount (£000's)
Highway maintenance block baseline funding	Highway Maintenance	£42,198
Highway maintenance block new funding	Highway Maintenance	£15,443**
Integrated transport block	Integrated Transport	£3,046
Total		£60,687

** Dependent on meeting criteria set out by DfT

5.2 This funding was transferred to the York and North Yorkshire Combined Authority (YNYCA) as per the funding information outlined by DfT in December 2024. The funding is then transferred to NYC from YNYCA. Funding is currently allocated based on the funding formula used pre YNYCA being established.

5.3 It should be noted that receipt of 25% of the new funding for 2025/26 is dependent upon NYC meeting criteria set out by the Department for Transport earlier this year. This accounts for £3.860M.

5.4 We have already published information regarding our highway maintenance activities on our website <https://www.northyorks.gov.uk/roads-parking-and-travel/information-about-our-highway-maintenance>. There is further information required by the DfT by the 31 October 2025 in respect of compliance with existing best practice criteria and information regarding the overall value of our highway assets. Work is underway to prepare this information ready for submission to the DfT by the 31 October Deadline.

5.4 At the time of preparing this report we are yet to be informed about highway maintenance funding allocations for 2026/27. To assist with planning for 2026/27 we have assumed that this will be at the same level as funding received for 2025/26. This allows for a draft annual programme to be developed which can be amended as required once the final funding allocation has been announced. Based on the timing of the government's Budget statement on the 26 November 2025 and previous year's funding announcements we would expect this to be in the week before Christmas 2025.

5.5 Integrated Transport Block (ITB) funding for 2026/27 is now included within the wider Local Transport Grant settlement which has already been confirmed for 2026/27. This funding is allocated to the YNYCA by government, with the Combined Authority responsible for the allocation of this funding to both NYC and City of York Council. The funding awarded to YNYCA for Local Transport Grant is shown in the table below.

Year	2026/27	2027/28	2028/29	2029/30	Total
LTG Funding (£M)	£20.407	£22.072	£24.529	£26.985	£93.993

- 5.6 ITB in North Yorkshire funds a range of schemes, including road safety engineering schemes, traffic signals, accessibility improvements and speed management schemes. It is a core element of our capital programme.
- 5.7 YNYCA has advised that they will be seeking to confirm LTG allocations to NYC and CYC for 2026/27 in January 2026. This will be based on scheme proposals submitted by NYC and CYC to YNYCA. To secure funding to support ITB type schemes we are now required to submit a scheme proposal to YNYCA to maintain the £3.046M of funding previously directly awarded to us by DfT. A report will be submitted to a future meeting to approve LTG proposals to be submitted to YNYCA. This will include the “ITB” funding plus other scheme proposals for integrated transport type schemes
- 5.8 Discussions are ongoing with YNYCA to ensure that NYC retains its ITB allocation, to offset the risk of not receiving the same level of funding as previous years. If this risk materialises officers will escalate the matter internally, given the ITB funds a core element of our capital works programme.
- 5.9 The following table outlines our anticipated funding settlement for 2026/27 based on current assumptions:

Funding source	Funding Type	Annual funding amount (£000's)
Highway maintenance block baseline funding	Highway Maintenance	£42,198
Highway maintenance block new funding	Highway Maintenance	£15,443
“ITB” funding via LTG from YNYCA	Integrated Transport	£3,046
Total		£60,687

- 5.10 As outlined in section 3.10 above, we seek to over programme at the start of each financial year. Applying 10% to the anticipated funding allocation of £60.687M, gives a proposed budget of £66.755M to be allocated.

6.0 HEADLINE FUNDING ALLOCATIONS FOR 2026/27

- 6.1 The following sections detail how we are proposing to allocate funding across asset types and activities. This is based on the proposed budget of £66.755M outlined in 5.10 above. This compares to a starting budget for 25/26 of £64.444M. A summary of the overall headline allocations for 26/27 can be found in (Appendix A (A1)).
- 6.2 These allocations will be adjusted once we have confirmation of our funding allocation. This may also vary in year in response to new schemes associated with damage caused by unplanned events, such as landslips and weather events.
- 6.3 Street Lighting: The funding will continue the upgrade of the existing street lighting stock. The proposed allocation for 26/27 is £1.5M.
- 6.4 Bridges: The funding will continue to be targeted at maintaining and strengthening the existing structures stock. The analysis of routine or special inspection reports will identify and prioritise those bridges and structures in need of treatment. The proposed allocation for 26/27 is £3.0M.
- 6.5 Public Rights of Way (PROW) Bridges: This funding supports a more structured approach to condition assessment, scheme design and delivery across our extensive bridge stock across our PROW network. The proposed allocation for 26/27 is £300K.

- 6.6 PROW Funding: This funding supports the delivery of capital improvements across the Council's public rights of way network. The funding will be used to improve footpaths and bridleways to support local access, health and well-being and the local economy. The proposed allocation for 26/27 is £380K.
- 6.7 Top Slice allocations: In line with previous years, there will be an element of "top slicing" for specific activities and projects. These include traffic data collection and modelling, highway condition surveys, structures inspections, and site investigation and analysis.

Project	2026/27 Allocation
Network Condition Surveys (Road AI / SCRIM / Kaarbontech Gullysmart)	£350,000
NYC Traffic Data Collection Contract	£100,000
Site Investigation and Analysis	£300,000
Highway Drainage Assets	£10,000
Bridges and Structures Inspections	£500,000
Pre-Planning Application Advice	£33,600
Bridge Assessments	£200,000
Highways Innovation Funding	£100,000
Bridges AMX asset management software	£19,000

- 6.8 There are further costs associated with the delivery of the Capital Programme. This includes design fees, staffing costs and contractor overhead costs. The proposed for these costs is £15.5M. This includes:
- NYH prelim costs £7.615M
 - External design and consultancy fees £2.5M
 - Capital recharge (staffing costs) £5.0M
- 6.9 Highway Drainage: The proposed allocation for 26/27 is £950K. This includes an allocation of £100K for each highway area for smaller scale drainage schemes and a countywide allocation of £250K for larger scale capital improvements.
- 6.10 Landslip Schemes: Landslips can occur at any time of the year although many are identified at an early stage because of routine Highway Safety Inspections and asset surveys. Area Offices identify locations and develop schemes in each area. The proposed 26/27 allocation is £850K. This represents £100K each for all areas One to Six. (The Area Seven team have confirmed that no funding is required in 26/27 for landslips) alongside a further allocation of £250K for other landslip schemes.
- 6.11 Other Special Engineering Schemes: The annual programme of Other Special Engineering Schemes is based upon locations identified by Area Offices which do not fall 'objectively' into other works categories, e.g. areas of cobbles or setts, laybys and guardrails etc. Area Offices identify the rationale behind their submissions and the countywide programme is determined based upon an assessment of need and network priority. The proposed maximum allocation is £980K. All seven highway areas will receive £100K each to spend plus an allocation of £280K countywide, for activities that are carried out on an annual basis such as Sutton Bank maintenance activity and repair and replacement of cobbles in Richmond Market Place.
- 6.12 Vehicle Restraint Systems (VRS): Because of progressing our cyclical service inspection regime on our VRS assets we have identified a significant programme of required upgrading and repairs. In addition to this, inspections on assets over 15 years old are required every two years to assess condition and assist in prioritising repair works. The proposed 26/27 countywide allocation is £400K.
- 6.13 Cattle Grids: Each Area Office has identified and prioritised an on-going annual programme of cattle grid maintenance schemes. The proposed 26/27 countywide allocation is £360K.

- 6.14 Category 1a, 1 and 2 footways: The Council monitors the condition of the most heavily used element of the Footway network (Category 1a, 1 and 2), in a similar way to carriageways and as a result the scheme-based programme is based upon network condition surveys with schemes prioritised across the whole of the countywide network. The proposed allocation for 26/27 is £500K and is part funded from the ITB allocation.
- 6.15 Category 3, 4 and 5 footways: The scheme-based programme for Category 3, 4 and 5 footways is based upon locations identified by local area highway offices who are able to select sites for delivery. The proposed allocation is £700K and is split equally between highway area offices, so that each area office receives £100K of funding. This is part funded from the ITB allocation.
- 6.16 Category 3,4 and 5 Surface Treatments: The Surface Treatment budget acknowledges that many of the lesser used footways (Categories 3, 4 and 5) benefit in the same way as carriageways with the application of preventative maintenance treatments. The budget allocation is based upon the (estimated) percentage of footway network in each Area; each Area Office is responsible for the identification of their programme which is based upon local knowledge and the cyclical Highway Safety Inspections. The proposed 26/27 countywide allocation is £525K.
- 6.17 Footway Patching: The patching budget is allocated on the percentage of that category of footway network within the Highways Area Office boundary. The proposed allocations are £250K for Category 1a, 1 and 2 footways and £300K for Category 3, 4 and 5 footways.
- 6.18 Cycleways/Cycle Tracks: This budget is used for maintenance of the network of cycleways/ cycle tracks that form part of the highway network. The proposed countywide allocation is £100K.
- 6.19 Category 6 Roads (Unsurfaced Unclassified Roads): Although our UUR network at 730km in length is only 8% of our network length, it is important for recreational users including walkers, horse riders, motorcyclists and 4x4 drivers. Due to various factors, one of which being the mechanically powered vehicles effect upon the often-loose surface of these routes, their deterioration, once begun, can accelerate rapidly. The proposed allocation is £225K.
- 6.20 Urban PROW Network: As part of moving the urban surfaced PROW network across to Highways, we have identified a requirement for funding to deal with issues on this network. The proposed allocation is £150K.
- 6.21 Parapet Funding: This funding is used to help upgrade damaged bridge parapets across the County. The proposed allocation for 26/27 is £1.0M.
- 6.22 Gully Funding: The proposed maximum allocation is £280K. This will be used to help upgrade gully and surface water drainage infrastructure across the County and is addition to the existing £950K countywide drainage allocation.
- 6.23 Carriageway Maintenance: It is proposed that £23.501M of the overall budget is allocated to carriageway structural maintenance activities, including surface treatment, resurface and reconstruction and patching schemes. Proposed allocations are outlined below:

Maintenance Activity	Proposed Maximum Allocation	Treatment Types
Surface Treatments	£9.458M	Surface Dressing Micro Surfacing Retexturing Carriageway Rejuvenation
Resurface and reconstruction	£6.995M	Resurfacing Schemes In situ recycling
Carriageway Patching	£7.084M	Pre surface dressing patching Carriageway patching Spray Injection Patching Local Patching including additional capital style asset management based patching to deal with highway defects.
Total	£23.501M	

- 6.24 Integrated Transport. These schemes support measures such as speed reduction, traffic signals maintenance, highway safety schemes and delivery of smaller scale active travel projects. The proposed allocation for 26/27 is £2.24M. This funded from the ITB allocation.
- 6.25 The headline allocations also consider any overspend from the previous financial year (2025/26). An allocation of £3.5M has been allocated for this. A further £8M has been allocated to fund schemes that have been moved for operational reasons from 2025/26 into 2026/27. As we continue to monitor programme delivery through 2025/26, we will update these figures and adjust the 2025/26 and 2026/27 programmes as required to ensure that we deliver in line with available funding.

7.0 FINANCIAL IMPLICATIONS

- 7.1 Section five above outlines current assumptions for highways capital funding for 2026/27. As more information is released by Government, we will update these assumptions and adjust our programme for 2026/27 accordingly.
- 7.2 Section six above and Appendix B set out and summarise the financial aspects of this report relative to the Highways Capital Programme Headline Allocations for 2026/27. Approval of these proposed allocations allows for the development of the annual programme to take place (Appendix B).
- 7.3 The contents of this report make no changes to the Environment Capital Plan expenditure limits.

8.0 LEGAL IMPLICATIONS

- 8.1 The Council, in its capacity as the Local Highway Authority, Street Authority and Local Traffic Authority must act in accordance with a wide range of statutory powers and duties imposed by legislation.
- 8.2 The proposed capital programme allocations and schemes have been developed and prioritised in line with the relevant legislation such as the Highways Act 1980, the New Roads and Street Works Act 1991, the Road Traffic Regulation Act 1984, the Transport Act 2000, the Traffic Management Act 2004 and the Flood and Water Management Act 2010.

9.0 EQUALITIES IMPLICATIONS

- 9.1 Consideration has been given to the potential for any adverse equality impacts arising from the recommendations. The principles and documents discussed in this report are recommended for use in the Well-managed Highway Infrastructure Code of Practice. Officers consider that there are no adverse impacts arising from the recommendations in this report.
- 9.2 A copy of the 'Record of Decision that Equality Impact Assessment is not required' form is attached (Appendix C).

10.0 CLIMATE CHANGE IMPLICATIONS

- 10.1 A climate change impact assessment has been carried out. Steps will be taken during scheme delivery and construction to reduce emissions as far as possible (Appendix D).

11.0 REASONS FOR RECOMMENDATIONS

- 11.1 The recommendations will enable Council officers, working alongside NYH and partner organisations to finalise the 2026/27 annual programme.

12.0 RECOMMENDATION(S)

- 12.1 It is recommended that the Corporate Director - Environment in consultation with the Executive Member for Highways and Transportation:
- i. Authorises the additions to the Highways Capital Forward Programme for Structural Highway Maintenance
 - ii. Agree the indicative headline structural highways maintenance capital allocations for 2026/27 based on current planning assumptions.
 - iii. Grant approval to carry out the relevant procurement processes.

APPENDICIES

- Appendix A - Schemes to be added to Highways Capital Forward Programme
Appendix B - Headline Allocations of Funding for 2026/27
Appendix C - Equalities Impact Assessment Screening Form
Appendix D - Climate change impact assessment

Barrie Mason
Assistant Director Highways and Infrastructure
County Hall
Northallerton

Report Author – James Gilroy – Team Leader Highways Asset Management
Presenter of Report – James Gilroy – Team Leader Highways Asset Management

Notes on Appendices

The HCFP is based on schemes within specific links & sections of our highway network. Some schemes will include more than one link and section.

We are in the process of finalising cost estimates for some schemes within the HCFP. The proposed budget is an estimate or a split of the total allocation for a treatment type across the number of schemes of that treatment that are being proposed. Costs for these schemes will be updated through the initial design and development phase and will be included within the January 2026 Executive Members report.

A summary of highway compared to previous Districts is provided below

Area 1 = Richmondshire

Area 2 = Hambleton

Area 3 = Scarborough

Area 4= Ryedale

Area 5 = Craven

Area 6 = Harrogate

Area 7 = Selby

Abbreviations for Types are summarised below

SD – Surface Dressing

R&R – Resurfacing and / or reconstruction

Patching – Carriageway patching

Rejuvenator – Solution is applied to carriageway surface which reacts with the asphalt surface layer helping to strengthen the carriageway surface close to an as laid condition.

Retexturing – Where the surface of the road is hydro blasted or shot blasted to restore surface texture

Micro – A thin surface course applied carriageway surfaces to provide a level surface.

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Appendix A1
Area 1 Schemes to be added to the Highways Capital Forward Programme

Link and Section	Hierarchy	Scheme Name and Treatment Type	Settlement	Proposed Budget
C34/1/60	3b	C34 Leyburn Road Cat 3,4,5 Footway RandR	Askrigg	£6,071
U2720/1/50	4b	U2720 Thwaite Holme Lane Patching	Askrigg	£19,098
A684/3/20	3a	A684 Main Street Patching	Aysgarth	£18,647
A684/3/25	3a	A684 Aysgarth To Heads Bank Patching	Aysgarth	£18,647
A684/3/30	3a	A684 Heads Bank To Temple Bank Patching	Aysgarth	£18,647
A684/3/35	3a	A684 Heads Bank To Temple Bank Patching	Aysgarth	£18,647
C105/1/60	4a	C105 Aysgarth To Thornton Rust SD	Aysgarth	£23,380
C105/1/70	4a	C105 Aysgarth To Thornton Rust SD	Aysgarth	£21,797
C105/1/80	4a	C105 Aysgarth To Thornton Rust SD	Aysgarth	£15,886
C151/1/20	4b	C151 Barton To Watherne Road SD	Barton	£110,036
C151/1/30	4b	C151 Barton To Watherne Road SD	Barton	£6,953
C151/1/40	4b	C151 Church Lane SD	Barton	£20,906
C12/3/20	3b	C12 Silver Street Slurry Sealing	Barton	£18,000
U2694/1/50	4b	U2694 Silver Garth Slurry Sealing	Barton	£2,000
C151/1/40	4b	C151 Church Lane Slurry Sealing	Barton	£2,500
U1557/1/30	4b	U1557 Church Meadow Slurry Sealing	Barton	£1,000
U1358/1/50	4b	U1358 Cedar Grove Slurry Sealing	Barton	£2,000
B6271/1/60	3b	B6271 Scorton Road Patching	Brompton On Swale	£8,207
B6271/1/70	3b	B6271 Scorton Road Patching	Brompton On Swale	£8,207
B6271/1/75	3b	B6271 Scorton Road Patching	Brompton On Swale	£8,207
B6271/1/35	3b	B6271 Richmond Road SD	Brompton On Swale	£8,865
A6055/5/60	3a	A6055 Gatherley Road Slurry Sealing	Brompton On Swale	£3,000
A684/2/30	3a	A684 Bainbridge To Hawes Road SD	Burtersett	£27,446
A684/2/35	3a	A684 Bainbridge To Hawes Road SD	Burtersett	£32,914
A684/2/40	3a	A684 Bainbridge To Hawes Road SD	Burtersett	£16,326
C37/1/80	3b	C37 Road From Tunstall Village To Catterick Lane Patching	Catterick Village	£8,207
C37/1/90	3b	C37 Road From Tunstall Village To Catterick Lane Patching	Catterick Village	£8,207
C36/2/90	4a	C36 Road From Tunstall Village To Catterick Lane Patching	Catterick Village	£12,981

Link and Section	Hierarchy	Scheme Name and Treatment Type	Settlement	Proposed Budget
U1379/1/70	4b	U1379 Moulton Lane SD	Dalton Gates	£27,018
A167/6/20	3a	A167 Northallerton Road SD	Dalton On Tees	£83,515
A167/6/30	3a	A167 Northallerton Road SD	Dalton On Tees	£25,489
B6270/4/85	3b	B6270 Road From Hags Gill Farm Track To Downholme SD	Downholme	£43,159
B6270/4/90	3b	B6270 Road From Hags Gill Farm Track To Downholme SD	Downholme	£7,092
A6108/2/70	3a	A6108 East Witton To Jervaulx Hall Drainage	East Witton	£30,000
C7/1/60	4a	C7 North Eppleby To Greystone Lane SD	Eppleby	£2,355
C7/1/70	4a	C7 Greystone Lane SD	Eppleby	£7,910
C7/1/80	4a	C7 Greystone Lane SD	Eppleby	£28,516
C7/1/90	4a	C7 Greystone Lane SD	Eppleby	£31,595
C7/1/95	4a	C7 Greystone Lane SD	Eppleby	£70,655
C229/1/10	4b	C229 Eryholme Lane Patching	Eryholme	£19,098
C229/1/20	4b	C229 Eryholme Lane Patching	Eryholme	£19,098
C229/1/30	4b	C229 Eryholme Lane Patching	Eryholme	£19,098
C229/1/40	4b	C229 Eryholme Lane Patching	Eryholme	£19,098
C229/1/50	4b	C229 Eryholme Lane Patching	Eryholme	£19,098
C229/1/60	4b	C229 Eryholme Lane Patching	Eryholme	£19,098
C229/1/70	4b	C229 Eryholme Lane Patching	Eryholme	£19,098
C229/1/80	4b	C229 Eryholme Lane Patching	Eryholme	£19,098
B6274/2/20	4a	B6274 West Lane To Forcett Patching	Forcett	£12,981
B6274/2/30	4a	B6274 West Lane To Forcett Patching	Forcett	£12,981
B6274/2/40	4a	B6274 West Lane To Forcett Patching	Forcett	£12,981
B6274/1/60	3a	B6274 Hartforth Lane Patching	Gilling West	£18,647
B6274/1/70	3a	B6274 Forcett Lane Patching	Gilling West	£18,647
B6274/1/80	3a	B6274 Forcett Lane Patching	Gilling West	£18,647
U249/1/40	4b	U249 Road From Ivelet To Gunnerside Patching	Gunnerside	£19,098
U249/1/60	4b	U249 Road From Ivelet To Gunnerside Patching	Gunnerside	£19,098
U249/1/80	4b	U249 Road From Ivelet To Gunnerside Patching	Gunnerside	£19,098
B6255/2/70	3b	B6255 Old Widdale Head To Hawes Road Patching	Hawes	£8,207
B6255/2/75	3b	B6255 Old Widdale Head To Hawes Road Patching	Hawes	£8,207
B6255/2/80	3b	B6255 Old Widdale Head To Hawes Road Patching	Hawes	£8,207
B6255/2/85	3b	B6255 Old Widdale Head To Hawes Road Patching	Hawes	£8,207

Link and Section	Hierarchy	Scheme Name and Treatment Type	Settlement	Proposed Budget
A684/1/30	3a	A684 Hawes To GarSDale Head RandR	Hawes	£28,089
A684/1/40	3a	A684 Hawes To GarSDale Head RandR	Hawes	£250,000
A684/2/25	3a	A684 Burtersett Road SD	Hawes	£9,334
B6270/3/70	3b	B6270 Healaugh To Feetham SD	Healaugh	£22,843
U935/1/90	4b	U935 Horsehouse To Little Hunter Sleets Landslip	Horsehouse	£100,000
C122/1/80	4b	C122 Hudswell Lane Patching	Hudswell	£19,098
C122/1/90	4a	C122 Hudswell Lane Patching	Hudswell	£12,981
C31/4/50	3b	C31 Hunton To Langlands Road Patching	Hunton	£8,207
C53/1/70	4a	C53 South View SD	Hunton	£9,343
C53/1/75	4a	C53 Moor Lane SD	Hunton	£8,333
B6270/1/50	3b	B6270 StoneSDale To Ravenseat Landslip	Keld	£10,000
U1125/1/7	4b	U1125 Woodside Slurry Sealing	Leyburn	£5,500
C109/1/05	4b	C109 Marske To Fremington Road SD	Marrick Moor	£2,466
C109/1/10	4b	C109 Marske To Fremington Road SD	Marrick Moor	£14,987
C109/1/20	4b	C109 Marske To Fremington Road SD	Marrick Moor	£18,731
C109/1/30	4b	C109 Marske To Fremington Road SD	Marrick Moor	£23,325
U943/1/25	4a	U943 Richmond To Marske Road Patching	Marske	£12,981
U943/1/30	4a	U943 Richmond To Marske Road SD	Marske	£19,554
U943/1/35	4a	U943 Richmond To Marske Road SD	Marske	£14,140
C35/2/50	3b	C35 Road From Melmerby To Gildersbeck Farm Entrance SD	Melmerby	£31,524
C35/2/60	4a	C35 Road From Melmerby To Gildersbeck Farm Entrance SD	Melmerby	£13,787
B6274/2/05	4a	B6274 Gatherley Moor To West Lane Patching	Melsonby	£12,981
B6274/2/10	4a	B6274 Gatherley Moor To West Lane Patching	Melsonby	£12,981
C6/1/50	4a	C6 Richmond Road SD	Middleton Tyas	£18,753
C6/1/55	4a	C6 Richmond Road SD	Middleton Tyas	£22,556
C6/1/60	4a	C6 Richmond Road SD	Middleton Tyas	£22,438
C6/1/65	4a	C6 Richmond Road SD	Middleton Tyas	£13,055
C6/1/70	4a	C6 Richmond Road SD	Middleton Tyas	£14,526
C6/1/75	4a	C6 Richmond Road SD	Middleton Tyas	£20,079
C6/1/80	4a	C6 Richmond Road SD	Middleton Tyas	£27,401
C6/1/85	4a	C6 Richmond Road SD	Middleton Tyas	£16,694
C1/1/20	4a	C1 Back Lane SD	Moulton	£31,575

Link and Section	Hierarchy	Scheme Name and Treatment Type	Settlement	Proposed Budget
C1/1/25	4a	C1 Back Lane SD	Moulton	£28,580
C1/1/05	4a	C1 Scurragh House Lane Slurry Sealing	Moulton	£3,000
B1263/1/65	3b	B1263 Stank Bridge To Dalton Gates Patching	North Cowton	£8,207
B1263/1/70	3b	B1263 Stank Bridge To Dalton Gates Patching	North Cowton	£8,207
C1/1/30	4a	C1 Back Lane SD	North Cowton	£17,195
C1/1/35	4a	C1 Back Lane SD	North Cowton	£14,890
U1379/1/30	4b	U1379 Back Lane SD	North Cowton	£19,954
U1379/1/50	4b	U1379 Back Lane SD	North Cowton	£12,829
A684/6/10	3a	A684 Patrick Brompton Village Patching	Patrick Brompton	£18,647
A684/5/90	3a	A684 Patrick Brompton To Chapel Lane Patching	Patrick Brompton	£18,647
A684/6/15	3a	A684 Little Crakehall To Patrick Brompton SD	Patrick Brompton	£45,979
B6274/1/20	3a	B6274 Gilling Road To High Street Gilling West Cat 3,4,5 Footway RandR	Richmond	£50,000
C129/1/20	4a	C129 Sandbeck RandR	Richmond	£100,000
C41/1/05	4a	C41 Gallowgate RandR	Richmond	£150,000
U970/1/50	4b	U970 Firby Road RandR	Richmond	£16,436
U971/1/50	4b	U971 Mercury Road RandR	Richmond	£30,663
U969/1/50	4b	U969 Racecourse Road RandR	Richmond	£9,448
B6271/1/15	3b	B6271 Maison Dieu To Parkgate Lane SD	Richmond	£31,097
B6271/1/20	3b	B6271 Maison Dieu To Parkgate Lane SD	Richmond	£31,937
B6271/1/25	3b	B6271 Maison Dieu To Parkgate Lane SD	Richmond	£50,561
U7012/9/30	4b	U7012 Easby Low Road Slurry Sealing	Richmond	£1,000
U1303/1/50	4b	U1303 Market Place Special	Richmond	£100,000
B6271/1/85	3b	B6271 Bolton Road Cat 3,4,5 Footway RandR	Scorton	£50,000
B1263/1/35	3b	B1263 Hospital Road To Blind Lane Patching	Scorton	£8,207
A6108/4/80	3a	A6108 Barracks Bank Patching	Scotch Corner	£18,647
A6108/4/85	3a	A6108 Barracks Bank Patching	Scotch Corner	£18,647
C31/4/80	3b	C31 Bedale Road Cat 3,4,5 Footway RandR	Scotton	£25,231
C31/4/60	3b	C31 Craggs Lane Patching	Scotton	£8,207
C32/2/60	4a	C32 Hawes To Thwaite Patching	Simonstone	£12,981
C32/2/70	4a	C32 Hawes To Thwaite Patching	Simonstone	£12,981
C32/2/75	4a	C32 Hawes To Thwaite SD	Simonstone	£20,977
C32/2/80	4a	C32 Hawes To Thwaite SD	Simonstone	£21,497

Link and Section	Hierarchy	Scheme Name and Treatment Type	Settlement	Proposed Budget
A6108/4/75	3a	A6108 Richmond Road To Scurragh Lane Patching	Skeeby	£18,647
C107/1/05	3b	C107 Richmond To Halfpenny House Road Patching	Stainton	£8,207
C107/1/10	3b	C107 Richmond To Halfpenny House Road Patching	Stainton	£8,207
C12/3/40	3b	C12 Stapleton To Barton Road Cat 3,4,5 Footway RandR	Stapleton	£25,632
U1347/1/70	4b	U1347 Strawgate Lane SD	Stapleton	£28,229
U925/1/30	4b	U925 Smithy Close Patching	Thoralby	£19,098
U925/1/50	4b	U925 Westfield Lane Patching	Thoralby	£19,098
U925/1/70	4b	U925 Westfield Lane Patching	Thoralby	£19,098
C105/1/30	4a	C105 Cubeck To Thornton Rust Road SD	Thornton Rust	£33,104
C105/1/40	4a	C105 Main Street SD	Thornton Rust	£22,892
C105/1/50	4a	C105 Main Street SD	Thornton Rust	£10,973
C32/2/85	4a	C32 Cliff Gate Road Cattle Grid	Thwaite	£50,000
C32/2/90	4a	C32 Cliff Gate Road SD	Thwaite	£140,000
C37/1/70	3b	C37 Tunstall Main Street Patching	Tunstall	£8,207
C35/2/5	3b	C35 Road From Gildersbeck Farm Entrance To Wensley SD	Wensley	£33,332
C35/2/10	3b	C35 Road From Gildersbeck Farm Entrance To Wensley SD	Wensley	£32,517
C35/2/20	3b	C35 Road From Gildersbeck Farm Entrance To Wensley SD	Wensley	£27,091
C35/2/30	3b	C35 Road From Gildersbeck Farm Entrance To Wensley SD	Wensley	£19,432
C35/2/40	3b	C35 Road From Gildersbeck Farm Entrance To Wensley SD	Wensley	£26,205
U218/1/20	4b	U218 StoneSDale Lane Cattle Grid	West Stonesdale	£50,000
A684/2/75	3a	A684 Northallerton Road To Kendal Road Patching	Worton	£18,647
A684/2/80	3a	A684 Northallerton Road To Kendal Road Patching	Worton	£18,647
A684/2/85	3a	A684 Northallerton Road To Kendal Road Patching	Worton	£18,647
C105/1/25	4a	C105 Worton To Cubeck Road SD	Worton	£13,323

Appendix A2
Area 2 Schemes to be added to the Highways Capital Forward Programme

Link and Section	Hierarchy	Scheme Name and Treatment Type	Settlement	Proposed Budget
A684/7/90	3a	A684 Howden Bridge To Ainderby Steeple SD	Ainderby Steeple	£38,467
A684/7/85	3a	A684 Howden Bridge To Ainderby Steeple SD	Ainderby Steeple	£57,615
U1797/1/30	4a	U1797 Bagby Lane RandR	Bagby	£40,382
U1797/1/70	4a	U1797 Bagby Village RandR	Bagby	£40,382
C89/1/10	4a	C89 Moor Lane RandR	Bagby	£40,382
C89/1/15	4a	C89 Road From Thistle Hill Track To Balk RandR	Balk	£40,382
C1/3/90	4a	C1 Battersby Avenue Patching	Battersby	£62,882
U1691/1/50	4b	U1691 Beningbrough Lane Patching	Beningbrough	£122,689
C148/1/60	4b	C148 Birkby Lane SD	Birkby	£20,445
C87/2/75	4a	C87 Boroughbridge Road SD	Brafferton	£8,268
C87/2/70	4a	C87 Boroughbridge Road SD	Brafferton	£23,087
C86/3/80	4a	C86 Crayke Road Patching	Brandsby	£174,875
C86/3/90	4a	C86 Crayke Road Patching	Brandsby	£174,875
C128/2/50	4a	C128 Sinks Lane SD	Burrill	£9,595
C88/1/25	3b	C88 Mill Dike Lane SD	Carlton Husthwaite	£30,906
C88/1/30	3b	C88 Mill Dike Lane SD	Carlton Husthwaite	£39,091
U1539/1/50	4b	U1539 West Close Micro Surfacing	Carthorpe	£1,247
U1541/1/50	4b	U1541 Carthorpe Village Micro Surfacing	Carthorpe	£4,834
U1522/1/50	4b	U1522 Mires Lane Patching	Carthorpe	£92,764
B1257/4/40	3b	B1257 Clay Bank To Seave Green SD	Chop Gate	£58,948
B1257/4/35	3b	B1257 Clay Bank To Seave Green SD	Chop Gate	£51,783
B1257/4/30	3b	B1257 Clay Bank To Seave Green SD	Chop Gate	£34,727
B1257/4/25	3b	B1257 Clay Bank To Seave Green SD	Chop Gate	£15,825
B1257/4/20	3b	B1257 Seave Green To Chop Gate SD	Chop Gate	£25,979
B1257/4/15	3b	B1257 Chop Gate To Fangdale Beck SD	Chop Gate	£18,462
B1257/4/10	3b	B1257 Chop Gate To Fangdale Beck SD	Chop Gate	£42,771
B1257/4/05	3b	B1257 Chop Gate To Fangdale Beck SD	Chop Gate	£30,155
B1257/3/95	3b	B1257 Chop Gate To Fangdale Beck SD	Chop Gate	£41,804
B1257/3/90	3b	B1257 Chop Gate To Fangdale Beck SD	Chop Gate	£38,156

Link and Section	Hierarchy	Scheme Name and Treatment Type	Settlement	Proposed Budget
B1257/3/85	3b	B1257 Chop Gate To Fangdale Beck SD	Chop Gate	£44,046
B1257/3/80	3b	B1257 Chop Gate To Fangdale Beck SD	Chop Gate	£31,122
C86/3/60	4a	C86 Brandsby Road Patching	Crayke	£174,875
C86/3/70	4a	C86 Crayke Road To Mill Green Patching	Crayke	£174,875
C99/2/10	4a	C99 Dalton Lane SD	Dalton	£46,254
C99/2/30	4a	C99 Dalton Lane To Sandholmes Farm Track SD	Dalton	£42,334
C168/1/05	4a	C168 Water Lane To Willow Bridge Lane SD	Dalton	£9,134
C1/3/85	4a	C1 Easby To Battersby Avenue Patching	Easby	£62,882
U1621/1/30	4b	U1621 North Moor Road Patching	Easingwold	£144,211
B1263/1/80	3b	B1263 Blackman Plantation House To Cockleberry Patching	East Cowton	£8,622
B1263/1/85	3b	B1263 Blackman Plantation House To Cockleberry Patching	East Cowton	£5,158
B1263/1/90	3b	B1263 Blackman Plantation House To Cockleberry Patching	East Cowton	£24,758
C2/1/35	4a	C2 East Harlsey To Junction For East Rounton Brickyard Plantation SD	East Harlsey	£30,242
C158/1/20	4a	C158 East Harlsey To Junction For East Rounton Brickyard Plantation SD	East Harlsey	£21,559
C91/1/75	3b	C91 Gaol Lane To Farlington SD	Farlington	£9,994
A173/1/50	3a	A173 Levenside To Sewage Works Patching	Great Ayton	£103,720
A173/1/40	3a	A173 Levenside To Sewage Works SD	Great Ayton	£32,034
A173/1/50	3a	A173 Levenside To Sewage Works SD	Great Ayton	£42,052
A172/2/80	2	A172 Road From Strikes Roundabout To Yarm Lane SD	Great Ayton	£42,308
A172/2/90	2	A172 Road From Strikes Roundabout To Yarm Lane SD	Great Ayton	£49,862
A172/2/95	2	A172 Pannierman Lane SD	Great Ayton	£20,665
B1292/1/40	3b	B1292 Great Ayton To Tree Bridge SD	Great Ayton	£35,823
B1292/1/60	3b	B1292 Great Ayton To Tree Bridge SD	Great Ayton	£22,783
B1257/4/45	3b	B1257 Clay Bank Landslip	Great Broughton	£200,000
B1257/4/45	3b	B1257 Clay Bank SD	Great Broughton	£74,509
A167/5/95	3a	A167 Northallerton Road SD	Great Smeaton	£15,366
C87/2/85	4a	C87 Helperby To Derrings Farm Track SD	Helperby	£23,468
U2006/1/30	4b	U2006 Fardeanside SD	High Worsall	£15,580
U2006/1/70	4b	U2006 Fardeanside SD	High Worsall	£9,265
C99/2/70	4a	C99 Low Lane SD	Hutton Sessay	£15,587

Link and Section	Hierarchy	Scheme Name and Treatment Type	Settlement	Proposed Budget
C99/2/80	4a	C99 Low Lane SD	Hutton Sessay	£14,255
C99/2/90	4a	C99 Hutton Sessay Village SD	Hutton Sessay	£10,198
C99/2/95	4a	C99 Hutton Sessay To Cross Lanes SD	Hutton Sessay	£15,431
A172/1/40	2	A172 Ingleby Cross Carr Bridge To Black Horse Lane SD	Ingleby Cross	£32,100
A172/1/50	2	A172 Ingleby Cross Carr Bridge To Black Horse Lane SD	Ingleby Cross	£47,873
A172/1/60	2	A172 Ingleby Cross Carr Bridge To Black Horse Lane SD	Ingleby Cross	£47,873
C157/2/30	4b	C157 Ewe Leys Lane Drainage	Kepwick	£25,000
C40/1/50	4b	C40 The Green RandR	Kirkby Fleetham	£196,503
U1858/1/80	4b	U1858 Hill Road SD	Kirkby-In-Cleveland	£30,261
C157/1/70	4b	C157 Cophill Lane Drainage	Knayton	£25,000
C157/1/90	4b	C157 Nether Silton To Leake Drainage	Knayton	£25,000
A684/7/18	3a	A684 Leases Road Drainage	Leeming Bar	£10,000
A684/7/25	3a	A684 Road From Leases Road Roundabout To Holmfield Roundabout Drainage	Leeming Bar	£10,000
A684/7/08	3a	A684 Leases Link Road Drainage	Leeming Bar	£10,000
C114/1/48	3b	C114 Leases Road Drainage	Leeming Bar	£10,000
U1427/1/70	4b	U1427 Leases Road Drainage	Leeming Bar	£10,000
U1716/1/60	4b	U1716 New Road Patching	Newton-On-Ouse	£122,689
C149/1/10	3b	C149 Bullamoor Road SD	Northallerton	£10,335
C149/1/20	4a	C149 Bullamoor Road SD	Northallerton	£14,596
C149/1/30	4a	C149 Bullamoor Road SD	Northallerton	£15,749
U1909/1/40	4b	U1909 Scholla Lane SD	Northallerton	£17,532
U1909/1/60	4b	U1909 Scholla Lane SD	Northallerton	£25,055
B6271/2/90	3b	B6271 Yafforth Road SD	Northallerton	£40,198
B6271/2/85	3b	B6271 Yafforth Road SD	Northallerton	£15,947
C27/1/75	3b	C27 Black Horse Lane Patching	Potto	£65,786
C27/1/80	3b	C27 Black Horse Lane Patching	Potto	£65,786
C27/1/85	3b	C27 Black Horse Lane Patching	Potto	£65,786
C27/1/95	3b	C27 Black Horse Lane Patching	Potto	£65,786
C10/1/75	3b	C10 Road From Warlaby Crossroads To Broom Close Farm SD	Romanby	£25,972
C10/1/70	3b	C10 Road From Warlaby Crossroads To Broom Close Farm SD	Romanby	£12,939
A167/3/05	3a	A167 Sandhutton To Busby Stoop RandR	Sandhutton	£133,871

Link and Section	Hierarchy	Scheme Name and Treatment Type	Settlement	Proposed Budget
C99/2/60	4a	C99 Low Lane SD	Sessay	£21,471
C1/3/35	3b	C1 Hutton Rudby To Tame Bridge SD	Skutterskelfe	£33,411
C1/3/30	3b	C1 Hutton Rudby To Tame Bridge SD	Skutterskelfe	£25,959
C1/3/25	3b	C1 Hutton Rudby To Tame Bridge SD	Skutterskelfe	£27,150
B1448/1/40	3b	B1448 Topcliffe Road SD	Sowerby	£22,189
B1448/1/30	3b	B1448 Topcliffe Road SD	Sowerby	£31,116
A172/1/30	2	A172 Staddle Bridge To Ingleby Cross Carr Bridge SD	Staddle Bridge	£38,807
C91/1/50	3b	C91 West Lane Patching	Stillington	£211,742
C91/1/70	3b	C91 Mill Lane SD	Stillington	£18,249
C91/1/60	3b	C91 Mill Lane SD	Stillington	£26,348
B1257/4/80	3b	B1257 Cricket Field Traffic Circus To Great Broughton SD	Stokesley	£15,842
B1257/4/75	3b	B1257 Cricket Field Traffic Circus To Great Broughton SD	Stokesley	£4,734
A173/1/20	3a	A173 Cricket Field Traffic Circus To LevenSDale SD	Stokesley	£37,102
A173/1/30	3a	A173 LevenSDale To Sewage Works SD	Stokesley	£38,765
C1/3/50	3b	C1 Stokesley To Tame Bridge SD	Stokesley	£41,604
C1/3/45	3b	C1 Tame Bridge SD	Stokesley	£48,708
A170/1/35	2	A170 Sutton Road RandR	Sutton Under Whitestonecliffe	£356,487
A170/1/70	2	A170 Sutton Bank Special	Sutton-Under-Whitestonecliffe	£100,000
C88/1/05	3b	C88 Low Lane Patching	Thirkleby	£62,882
C88/1/10	3b	C88 Low Lane Patching	Thirkleby	£62,882
A19/5/72	2	A19 York Road SD	Thirkleby	£45,418
C88/1/15	3b	C88 Low Lane SD	Thirkleby	£34,022
C88/1/20	3b	C88 Low Road SD	Thirkleby	£30,906
U2119/1/50	4b	U2119 Drovers Way Micro Surfacing	Thirsk	£6,930
A19/5/74	2	A19 York Road SD	Thirsk	£38,266
U2116/1/50	4b	U2116 Stoneybrough Close Slurry Sealing	Thirsk	£1,482
U1917/1/70	4b	U1917 St Marys Walk Slurry Sealing	Thirsk	£8,474
U1932/1/50	4b	U1932 Fairfield Slurry Sealing	Thirsk	£4,778
U2096/1/50	4b	U2096 St Marys Avenue Slurry Sealing	Thirsk	£2,531
U2118/1/30	4b	U2118 Darrowby Close Slurry Sealing	Thirsk	£3,624

Link and Section	Hierarchy	Scheme Name and Treatment Type	Settlement	Proposed Budget
U2118/1/70	4b	U2118 Darrowby Close Slurry Sealing	Thirsk	£990
U2117/1/50	4b	U2117 Herriot Way Slurry Sealing	Thirsk	£4,076
U2119/1/50	4b	U2119 Drovers Way Slurry Sealing	Thirsk	£2,166
U2120/1/50	4b	U2120 Allerdale Close Slurry Sealing	Thirsk	£577
U3396/1/30	4b	U3396 Alexander Close Slurry Sealing	Thirsk	£2,882
U3396/1/60	4b	U3396 Alexander Close Slurry Sealing	Thirsk	£1,076
U1924/1/50	4b	U1924 St Marys Way Slurry Sealing	Thirsk	£2,270
U1930/1/50	4b	U1930 St Marys Close Slurry Sealing	Thirsk	£2,653
U1931/1/50	4b	U1931 St Marys Drive Slurry Sealing	Thirsk	£2,021
U1917/1/50	4b	U1917 Dowber Way Slurry Sealing	Thirsk	£6,973
U1917/1/30	4b	U1917 Hambleton Drive Slurry Sealing	Thirsk	£3,425
U1919/1/30	4b	U1919 Hambleton Place Slurry Sealing	Thirsk	£5,082
U1919/1/70	4b	U1919 Hambleton Place Slurry Sealing	Thirsk	£2,037
U2079/1/30	4b	U2079 Hambleton Place Slurry Sealing	Thirsk	£2,819
U2079/1/50	4b	U2079 Hambleton Place Slurry Sealing	Thirsk	£1,350
U2079/1/70	4b	U2079 Hambleton Place Slurry Sealing	Thirsk	£4,855
U1926/1/50	4b	U1926 Hambleton Close Slurry Sealing	Thirsk	£2,167
U1934/1/50	4b	U1934 Newlands Court Slurry Sealing	Thirsk	£1,107
U2397/1/80	4b	U2397 Hambleton Place Slurry Sealing	Thirsk	£12,098
U2397/1/40	4b	U2397 Hambleton View Slurry Sealing	Thirsk	£5,558
U2397/1/50	4b	U2397 Hambleton View Slurry Sealing	Thirsk	£945
U2397/1/60	4b	U2397 Hambleton View Slurry Sealing	Thirsk	£1,189
U2397/1/20	4b	U2397 Sutton Road North Slurry Sealing	Thirsk	£2,113
U8011/2/30	4b	U8011 South Dowber Lane Slurry Sealing	Thirsk	£4,599
U1928/1/30	4b	U1928 Gormire Close Slurry Sealing	Thirsk	£3,918
U1928/1/70	4b	U1928 Gormire Close Slurry Sealing	Thirsk	£1,202
U1927/1/50	4b	U1927 Tranmire Close Slurry Sealing	Thirsk	£2,757
U1929/1/50	4b	U1929 Woolmoor Close Slurry Sealing	Thirsk	£2,738
U2109/1/50	4b	U2109 Megson Place Slurry Sealing	Thirsk	£840
U2110/1/30	4b	U2110 Favenfield Road Slurry Sealing	Thirsk	£2,203
U2110/1/50	4b	U2110 Favenfield Road Slurry Sealing	Thirsk	£285
U2110/1/70	4b	U2110 Favenfield Road Slurry Sealing	Thirsk	£968

Link and Section	Hierarchy	Scheme Name and Treatment Type	Settlement	Proposed Budget
U2108/1/30	4b	U2108 White Rose Way Slurry Sealing	Thirsk	£3,882
U2108/1/70	4b	U2108 White Rose Way Slurry Sealing	Thirsk	£1,162
U2917/1/50	4b	U2917 Sutton Court Slurry Sealing	Thirsk	£1,678
A61/9/20	3a	A61 Market Place Special	Thirsk	£91,584
A61/9/25	3a	A61 Millgate Special	Thirsk	£91,584
A61/9/60	3a	A61 Finkle Street Special	Thirsk	£91,584
A61/9/10	3a	A61 Market Place Special	Thirsk	£198,791
B1448/1/60	3b	B1448 Market Place Special	Thirsk	£198,791
A61/9/20	3a	A61 Market Place Special	Thirsk	£204,632
B1448/1/60	3b	B1448 Market Place Special	Thirsk	£204,632
U1833/1/70	4b	U1833 Thieffhole Lane SD	Thornton-Le-Moor	£19,016
U1963/1/50	4b	U1963 North Riding Rise SD	Thornton-Le-Moor	£2,160
U2812/1/50	4b	U2812 Brawith Lane Layby Patching	Thornton-Le-Street	£27,709
C100/1/60	4a	C100 York Bridge Road SD	Tollerton	£27,236
C100/1/50	4a	C100 York Bridge Road SD	Tollerton	£17,334
A167/2/90	3a	A167 Station Road SD	Topcliffe	£32,768
A167/2/80	3a	A167 Station Road SD	Topcliffe	£26,122
A167/2/70	3a	A167 Station Road SD	Topcliffe	£36,494
A167/2/60	3a	A167 Station Road SD	Topcliffe	£26,506
A167/2/50	3a	A167 Station Road SD	Topcliffe	£34,036
A167/2/40	3a	A167 Station Road SD	Topcliffe	£33,728
C2/1/50	4a	C2 Welbury Crossing To Low Moor SD	Welbury	£24,426
C2/1/55	4a	C2 Welbury Crossing To Low Moor SD	Welbury	£23,915
C148/2/80	4a	C148 Deighton To Welbury Crossing SD	Welbury	£16,221
C148/2/70	4a	C148 Deighton To Welbury Crossing SD	Welbury	£20,606
C158/1/30	4a	C158 West Rounton Low Lane To Junction For East Rounton Brickyard Plantation SD	West Rounton	£20,405
C158/1/40	4a	C158 West Rounton Low Lane To Junction For East Rounton Brickyard Plantation SD	West Rounton	£13,088
C10/1/90	3b	C10 Dolly Lane SD	Yafforth	£16,158
C10/1/80	3b	C10 Dolly Lane SD	Yafforth	£25,972

Appendix A3
Area 3 Schemes to be added to the Highways Capital Forward Programme

Link and Section	Hierarchy	Scheme Name and Treatment Type	Settlement	Proposed Budget
A171/1/95	3a	A171 Scalby Road Cat 3,4,5 Footway RandR	Burniston	£200,000
A165/3/90	3a	A165 Coastal Road SD	Burniston	£25,130
C206/1/20	4b	C206 Gowland Lane SD	Cloughton	£18,580
C206/1/40	4b	C206 Gowland Lane SD	Cloughton	£11,740
C206/1/60	4b	C206 Gowland Lane SD	Cloughton	£11,900
C206/1/80	4b	C206 Gowland Lane SD	Cloughton	£11,000
C77/1/10	4a	C77 Newlands Road SD	Cloughton	£21,300
C77/1/20	4a	C77 Newlands Road SD	Cloughton	£10,290
C77/1/30	4a	C77 Newlands Road SD	Cloughton	£29,400
C77/1/35	4a	C77 Cravens Hill To Hodgson Hill SD	Cloughton	£19,650
U2307/1/20	4b	U2307 Aislabyside Road SD	Egton	£28,710
U2307/1/40	4b	U2307 Aislabyside Road SD	Egton	£19,560
U2307/1/60	4b	U2307 Aislabyside Road SD	Egton	£31,095
A174/3/30	3b	A174 Newton Lane To Mickleby Hole Signs, Lines, Tro's	Ellerby	£5,000
A174/3/20	3b	A174 Newton Lane To Mickleby Hole Signs, Lines, Tro's	Ellerby	£5,000
A174/3/10	3b	A174 Newton Lane To Mickleby Hole Signs, Lines, Tro's	Ellerby	£5,000
C82/1/40	4b	C82 Hunt House Road To Julian Park Parapet Maintenance	Goathland	£55,000
C84/1/40	4b	C84 Fairhead Lane Cattle Grid	Grosmont	£50,000
C78/1/20	4a	C78 Public House To Ruskin Lodge SD	Harwood Dale	£19,835
A174/3/60	3b	A174 Hinderwell Lane Signs, Lines, Tro's	Hinderwell	£5,000
A174/3/40	3b	A174 Station Road Signs, Lines, Tro's	Hinderwell	£5,000
C80/1/70	4a	C80 Low Lane SD	Lythe	£14,000
C80/1/80	4a	C80 Low Lane SD	Lythe	£23,600
C80/1/90	4a	C80 Low Lane SD	Lythe	£21,500
A174/2/80	3b	A174 Road From High Street Lythe To Mickleby Hole Signs, Lines, Tro's	Mickleby	£5,000

Link and Section	Hierarchy	Scheme Name and Treatment Type	Settlement	Proposed Budget
A174/2/70	3b	A174 Road From High Street Lythe To Mickleby Hole Signs, Lines, Tro's	Mickleby	£5,000
A174/2/60	3b	A174 Road From High Street Lythe To Mickleby Hole Signs, Lines, Tro's	Mickleby	£5,000
A165/3/85	3a	A165 Burniston Road SD	Newby	£51,835
C77/1/80	4a	C77 Raven Hall Road SD	Ravenscar	£24,405
C77/1/90	4a	C77 Raven Hall Road SD	Ravenscar	£1,670
U2416/1/50	4b	U2416 Station Road SD	Ravenscar	£22,320
U2470/1/50	4b	U2470 Station Square SD	Ravenscar	£5,280
U2415/1/30	4b	U2415 Church Road SD	Ravenscar	£16,395
U2415/1/50	4b	U2415 Bent Rigg Lane SD	Ravenscar	£11,335
U2415/1/70	4b	U2415 War Dyke Lane SD	Ravenscar	£11,000
C79/1/10	4a	C79 Road To Moor Lane Parapet Maintenance	Roxby	£70,000
U2/4/50	4b	U2 Barmoor Green Cat 3,4,5 Footway Patching	Scalby	£65,000
U578/1/30	4b	U578 Four Lane Ends To Lindhead Road SD	Scalby	£16,270
U578/1/70	4b	U578 Four Lane Ends To Lindhead Road SD	Scalby	£16,000
U158/4/50	4b	U158 Ryndleside Cat 1a,1 2 Footway RandR	Scarborough	£100,000
B1427/1/30	3b	B1427 Queen Margarets Road Cat 3,4,5 RandR	Scarborough	£100,000
C74/1/80	3b	C74 Seamer Moor Lane SD	Seamer	£17,680
C74/1/60	3b	C74 Seamer Moor Lane SD	Seamer	£16,500
C74/1/40	3b	C74 Seamer Moor Lane SD	Seamer	£20,625
B1258/1/95	3b	B1258 Welldale Beck To High Street SD	Snainton	£13,980
B1416/1/10	3b	B1416 Sneaton Corner To Red Gate SD	Sneaton	£58,765
B1416/1/20	3b	B1416 Sneaton Corner To Red Gate SD	Sneaton	£37,065
B1416/1/30	3b	B1416 Red Gate To Sandstone Quarry SD	Sneaton	£36,000
B1416/1/40	3b	B1416 Red Gate To Sandstone Quarry SD	Sneaton	£43,435
B1416/1/50	3b	B1416 Red Gate To Sandstone Quarry SD	Sneaton	£34,650
B1416/1/60	3b	B1416 Sneaton Lane SD	Sneaton	£31,850
C77/1/40	4a	C77 Down Dale Road To Hodgson Hill SD	Staintondale	£36,270
C77/1/45	4a	C77 Prior Wath Road To Down Dale Road SD	Staintondale	£28,730
C77/1/50	4a	C77 Prior Wath Road To Bloody Beck Hill SD	Staintondale	£22,500
C77/1/55	4a	C77 Prior Wath Road To Bloody Beck Hill SD	Staintondale	£33,540

Link and Section	Hierarchy	Scheme Name and Treatment Type	Settlement	Proposed Budget
C77/1/70	4a	C77 Scarborough Road SD	Staintondale	£34,000
C78/1/40	4a	C78 Stubbs Lane SD	Staintondale	£16,725
C78/1/80	4a	C78 Rudda Road SD	Staintondale	£15,500
C1/5/85	4a	C1 High Farm To Southgate Farm Parapet Maintenance	Stonegate	£55,000
C80/1/40	4a	C80 Broom House Lane SD	Ugthorpe	£21,890
C80/1/50	4a	C80 Broom House Lane SD	Ugthorpe	£23,625
C80/1/60	4a	C80 Broom House Lane SD	Ugthorpe	£14,285
U146/1/30	4b	U146 St Peters Road Cat 3,4,5 Footway RandR	Whitby	£150,000
U137/1/50	4b	U137 Meadowfields Urban Prow	Whitby	£25,000
A171/1/10	2	A171 Scalby Road Cat 1and2 Footway Patching	Woodlands	£75,000

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Headline Allocations of Funding for 2026/27

		Headline Allocation
Previous Years	Overspend from 2025/26	£3,500,000
	Schemes moved from previous years	£8,000,000
Block Allocations	Bridges Allocation	£3,000,000
	PROW Allocation	£380,000
	PROW Bridges	£300,000
	Integrated Transport	£2,240,000
	Street lighting Allocation	£1,500,000
Top Slices (Inspections and Surveys)	Network Condition Surveys (Road AI / SCRIMI)	£350,000
	NYCC Traffic data Collection Contract	£100,000
	Site investigation / Pavement Investigation	£300,000
	Bridges and Structures Inspections	£500,000
	Highway Drainage Infrastructure Inspections	£10,000
	Bridges AMX	£19,000
	Bridge Assessments	£200,000
	Highways Innovation funding	£100,000
	Pre-Planning Application Advice	£33,600
Fees and Overheads	External Fees (Consultants)	£2,500,000
	North Yorkshire Highways costs	£7,615,000
	Capital Recharge contribution	£5,000,000
UUR	Cat 6 UURs	£225,000
Footways and Cycleways	Cat 1a, 1 and 2 Footways	£500,000
	Patching Cat 1a, 1 and 2 Footways	£250,000
	Cat 3, 4 and 5 Footways	£700,000
	Surface Treatment Cat 3, 4 and 5 Footways	£525,000
	Patching Cat 3,4 and 5 Footways	£300,000
	Cycle ways and Cycle track Schemes	£100,000
	Urban PROW	£150,000
Other Engineering Schemes	Landslip Schemes	£850,000
	Drainage Schemes	£950,000
	Vehicle Restraint Systems (VRS)	£400,000
	Other 'Special Engineering Schemes'	£980,000
	Cattle Grids	£360,000
	Parapets	£1,000,000
	Gullies	£280,000
Carriageways	Remaining Allocation for Carriageways (including £3.986M over programming)	£23,501,000
	Total	£66,754,600

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Equalities Impact Assessment Screening Form

Equality impact assessment screening form (As of October 2015 this form replaces 'Record of decision not to carry out an EIA')			
This form records an equality screening process to determine the relevance of equality to a proposal, and a decision whether or not a full EIA would be appropriate or proportionate.			
Directorate	Environment		
Service area	Highways & Transportation		
Proposal being screened	Environment Executive Member Report – Highways Capital Programme Headline Allocations 2026/27		
Officer(s) carrying out screening	James Gilroy		
What are you proposing to do?	That the Corporate Director, Environment and Environment Executive Member for Highways and Transportation, -approve the headline highways structural maintenance capital allocations based on current planning assumptions -Approve the development of the draft highways capital programme based on the indicative highways capital allocation		
Why are you proposing this? What are the desired outcomes?	Approval to spend the Highways Capital Budget on identified schemes.		
Does the proposal involve a significant commitment or removal of resources? Please give details.	Yes- Potentially up to £65million + over programming of Capital funding each financial year		
Is there likely to be an adverse impact on people with any of the following protected characteristics as defined by the Equality Act 2010, or NYC's additional agreed characteristics?			
As part of this assessment, please consider the following questions:			
<ul style="list-style-type: none"> • To what extent is this service used by particular groups of people with protected characteristics? • Does the proposal relate to functions that previous consultation has identified as important? • Do different groups have different needs or experiences in the area the proposal relates to? 			
If for any characteristic it is considered that there is likely to be a significant adverse impact or you have ticked 'Don't know/no info available', then a full EIA should be carried out where this is proportionate. You are advised to speak to your Equality rep for advice if you are in any doubt.			
Protected characteristic	Yes	No	Don't know/No info available
Age		✓	
Disability		✓	
Sex (Gender)		✓	
Race		✓	

Sexual orientation		✓	
Gender reassignment		✓	
Religion or belief		✓	
Pregnancy or maternity		✓	
Marriage or civil partnership		✓	
NYCC additional characteristic			
People in rural areas		✓	
People on a low income		✓	
Carer (unpaid family or friend)		✓	
Does the proposal relate to an area where there are known inequalities/probable impacts (e.g. disabled people's access to public transport)? Please give details.	No.		
Will the proposal have a significant effect on how other organisations operate? (e.g. partners, funding criteria, etc.). Do any of these organisations support people with protected characteristics? Please explain why you have reached this conclusion.	No. The report focuses on the overarching capital maintenance funding position.		
Decision (Please tick one option)	EIA not relevant or proportionate:	✓	Continue to full EIA:
Reason for decision	The allocation of funding is based on the "Manage, Maintain and Improve" (MMI) hierarchy set out in Local Transport Plan 4, which has been the subject of an Equality Impact Assessment (EIA). This concluded that the introduction of fewer improvement schemes may have a greater impact on people with mobility difficulties or without access to a private vehicle as there will be fewer new facilities provided e.g. pedestrian crossings, dropped kerbs, bus stop accessibility improvements; however, it is also considered that prioritising maintenance, particularly for footways, through the MMI hierarchy is likely to produce a net benefit for people with the same protected characteristics; particularly in terms of age and disability.		
Signed (Assistant Director or equivalent)	Barrie Mason		
Date	17/09/2025		

Climate change impact assessment

The purpose of this assessment is to help us understand the likely impacts of our decisions on the environment of North Yorkshire and on our aspiration to achieve net carbon neutrality by 2030, or as close to that date as possible. The intention is to mitigate negative effects and identify projects which will have positive effects.

This document should be completed in consultation with the supporting guidance. The final document will be published as part of the decision making process and should be written in Plain English.

If you have any additional queries which are not covered by the guidance please email climatechange@northyorks.gov.uk

Please note: You may not need to undertake this assessment if your proposal will be subject to any of the following:

Planning Permission
Environmental Impact Assessment
Strategic Environmental Assessment

However, you will still need to summarise your findings in in the summary section of the form below.

Please contact climatechange@northyorks.gov.uk for advice.

Title of proposal	Highways Capital Programme Headline Allocations 2026/27
Brief description of proposal	<ul style="list-style-type: none"> • Agree the indicative headline structural highways maintenance capital allocations for 2026/27 based on current planning assumptions. • Grant approval to carry out the relevant procurement processes • Authorises the additions to the Highways Capital Forward Programme for Structural Highway Maintenance
Directorate	Environment
Service area	Highways and Transportation
Lead officer	James Gilroy
Names and roles of other people involved in carrying out the impact assessment	
Date impact assessment started	10.09.2025

Options appraisal

Were any other options considered in trying to achieve the aim of this project? If so, please give brief details and explain why alternative options were not progressed.

The other option that was considered was to plan based on a lower value of DfT funding at £45M, this would have caused issues in terms of scheme delivery, whereby schemes would not be designed and ready for delivery in 2026/27, if we received a higher level of funding. It is easier and more sensible to reprogramme schemes in a future year, due to reduce funding, rather than design schemes at a later time due to increased funding.

What impact will this proposal have on council budgets? Will it be cost neutral, have increased cost or reduce costs?

Please explain briefly why this will be the result, detailing estimated savings or costs where this is possible.

The points raised in respect of profiling the capital programme enable scheme delivery to match available DfT funding. The proposal is cost neutral

How will this proposal impact on the environment? N.B. There may be short term negative impact and longer term positive impact. Please include all potential impacts over the lifetime of a project and provide an explanation.		Positive impact (Place a X in the box below where	No impact (Place a X in the box below where	Negative impact (Place a X in the box below where	Explain why will it have this effect and over what timescale? Where possible/relevant please include: <ul style="list-style-type: none"> • Changes over and above business as usual • Evidence or measurement of effect • Figures for CO₂e • Links to relevant documents 	Explain how you plan to mitigate any negative impacts.	Explain how you plan to improve any positive outcomes as far as possible.
Minimise greenhouse gas emissions e.g. reducing emissions from travel, increasing energy efficiencies etc.	Emissions from travel		x		Repairs to existing infrastructure		
	Emissions from construction			x	Some emissions from construction vehicles Emissions associated with construction materials etc	Where possible – ensure that vehicle mileage is reduced by planning vehicle movements / diversion routes etc Look to use more recycled material in construction and through the selection of lower carbon techniques	
	Emissions from running of buildings		x				
	Other		x				

<p>How will this proposal impact on the environment?</p> <p>N.B. There may be short term negative impact and longer term positive impact. Please include all potential impacts over the lifetime of a project and provide an explanation.</p>	<p>Positive impact (Place a X in the box below where</p>	<p>No impact (Place a X in the box below where</p>	<p>Negative impact (Place a X in the box below where</p>	<p>Explain why will it have this effect and over what timescale?</p> <p>Where possible/relevant please include:</p> <ul style="list-style-type: none"> • Changes over and above business as usual • Evidence or measurement of effect • Figures for CO₂e • Links to relevant documents 	<p>Explain how you plan to mitigate any negative impacts.</p>	<p>Explain how you plan to improve any positive outcomes as far as possible.</p>
<p>Minimise waste: Reduce, reuse, recycle and compost e.g. reducing use of single use plastic</p>	x			<p>Establish the use of more sustainable construction techniques</p>		<p>Look to use more recycled material in construction and through the selection of lower carbon techniques</p>
<p>Reduce water consumption</p>		x				
<p>Minimise pollution (including air, land, water, light and noise)</p>		x				
<p>Ensure resilience to the effects of climate change e.g. reducing flood risk, mitigating effects of drier, hotter summers</p>		x				
<p>Enhance conservation and wildlife</p>		x				

<p>How will this proposal impact on the environment?</p> <p>N.B. There may be short term negative impact and longer term positive impact. Please include all potential impacts over the lifetime of a project and provide an explanation.</p>	<p>Positive impact (Place a X in the box below where</p>	<p>No impact (Place a X in the box below where</p>	<p>Negative impact (Place a X in the box below where</p>	<p>Explain why will it have this effect and over what timescale?</p> <p>Where possible/relevant please include:</p> <ul style="list-style-type: none"> • Changes over and above business as usual • Evidence or measurement of effect • Figures for CO₂e • Links to relevant documents 	<p>Explain how you plan to mitigate any negative impacts.</p>	<p>Explain how you plan to improve any positive outcomes as far as possible.</p>
<p>Safeguard the distinctive characteristics, features and special qualities of North Yorkshire's landscape</p>		<p>x</p>				
<p>Other (please state below)</p>		<p>x</p>				

Are there any recognised good practice environmental standards in relation to this proposal? If so, please detail how this proposal meets those standards.

N/A

Summary Summarise the findings of your impact assessment, including impacts, the recommendation in relation to addressing impacts, including any legal advice, and next steps. This summary should be used as part of the report to the decision maker.

Steps will be taken to ensure that construction emissions are reduced as far as possible.

Sign off section

This climate change impact assessment was completed by:

Name	James Gilroy
Job title	Team Leader Highway Asset Management
Service area	Highways and Transport
Directorate	Environment
Signature	
Completion date	10.09.2025

Authorised by relevant Assistant Director (signature): Barrie Mason

Date: 17/09/2025