

North Yorkshire County Council
Business and Environmental Services

Executive Members

23 April 2021

Highways Capital Programme Headline Allocations 2022/2023

Report of the Assistant Director – Highways and Transportation

1.0 Purpose of Report

- 1.1 That the Corporate Director, Business and Environmental Services (BES) in consultation with BES Executive Members,
- i. Agree the indicative headline structural highways maintenance capital allocations for 2022/23 based on current planning assumptions.
 - ii. Grant approval to carry out the relevant procurement processes

2.0 Background

- 2.1 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 County Council Highways Asset Management Framework.
- 2.2 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
- 2.3 The North Yorkshire County Council Highways Capital Programme is made up of four specific elements:
- Street Lighting
 - Bridges and Structures
 - Integrated Transport
 - Structural Highway Maintenance
- 2.4 This report seeks to provide an update on funding assumptions for 2022/23 capital programme and an indicative overview of the headline allocation per the four elements outlined above.

3.0 Funding Position and funding assumptions

- 3.1 As outlined at the 26 March 2021 BES Executive members meeting, funding received from the Department for Transport (DfT) for 2021/22 was £40.07M. This is £12.56M less than 2020/21 and £7M lower than our planning assumption for 2021/22. This funding settlement was for one year.

- 3.2 As a result of the funding reduction, alongside the slippage of schemes from 2020/21 in to 2021/22, schemes to the value of £13.4M were approved by the Corporate Director (BES) in consultation with Executive Members, to be moved for delivery in to future years, with the bulk of these schemes expected to be delivered in 2022/23.
- 3.3 As the Comprehensive Spending Review (CSR) held in November 2020, only allocated funding for 2021/22, it is still unclear how much funding will be made available for 2022/23 and beyond. The government is due to set out its future spending priorities in a new CSR later this year. A date for this has not yet been announced.
- 3.4 In the absence of any further information, NYCC Officers have been liaising with DfT officials, regarding funding announcements and indicative allocations. There is currently no clear indication that potential future funding allocations will be maintained at 2021/22 (£40M) levels or move back towards the 2020/21 funding level (£47M core funding).
- 3.5 Funding allocations from DfT are used to develop the highways capital works programme. Programme development throughout the service, is based on planning to a level of available funding plus a level of over programming to manage variations in in-year scheme delivery. Schemes are prioritised based on an assessment of maintenance need and are delivered up to the level of funding available.
- 3.6 Given the current lack of clarity on future funding and the need to develop a forward programme of schemes for delivery, it is proposed that we base the 2022/23 core budget on the 2020/21 funding settlement of £47M. The current best estimate is that the 2021/22 funding settlement is a one off and future funding settlements will return to 2020/21 funding levels. The £47M would be a result of the £52.6M budget minus the £5.6M of funds received as a result of the reallocation of Challenge Fund funding and the previous Pothole Action Fund which finished in 20/21.
- 3.7 Identifying a target budget to work towards enables a forward programme of schemes to be developed and further enhances the development of a more substantive and agile rolling programme of works. Given the movement of schemes in to future years from 2021/22, we currently have £13.4M of designed schemes within the forward programme.
- 3.8 Based on asset condition information collected up until Autumn 2020, work is underway to develop new schemes for inclusion in the forward programme. A report will be brought to a future meeting of the Corporate Director and BES Executive Members, to approve the addition of these schemes to the forward programme, the expectation is that this will be in August 2021.
- 3.9 Following confirmation from DfT of 2022/23 funding, a delivery programme for 2022/23 will be developed. This will be carried out in line with available budgets, asset management principles and local priorities. This will include a mix of the following;
- Schemes moved from the 21/22 delivery programme
 - New schemes from the approved forward programme
- 3.10 A report will be presented to a future meeting of the Corporate Director BES and Executive Members outlining the 2022/23 delivery programme when we have greater clarity on future funding, the expectation is that this will be post November 2021.
- 3.11 Should funding received from DfT be higher than the assumed £47M then more schemes from the forward programme will be able to be added to the 22/23 delivery

programme. Similarly, if we receive less funding, headline allocations will be reviewed and a higher number of schemes will be retained within the forward programme for delivery in future years.

4.0 Proposed 2022/2023 Headline Allocations

4.1 Based on the estimated funding of £47m, the following headline allocations are proposed for Highways Capital maintenance funding in 2022/23. A summary of how the overall headline allocations can be found in Appendix A

4.2 **Street Lighting**
The funding will continue the upgrade of the existing street lighting stock. The proposed allocation for 2022/23 is £0.8M

4.3 **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 2022/23 is £2.09M

4.4 **Integrated Transport**
The proposed headline allocation for Integrated Transport for 2022/23 is £1.14M

4.5 **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 pavement investigation and analysis,

Project	2022/23 Allocation /£
Network Condition Surveys (SCANNER / SCRIM / CVI)	350,000
NYCC Traffic Data Collection Contract	70,000
Pavement Investigation and Analysis	300,000
Highway Drainage Assets	40,000
Structures Inspections	220,000
Pre-Planning Application Advice	33,600
Bridges AMX asset management software	12,200
Total Top Slice	1,025,800

4.6 There are further costs associated with the delivery of the Capital Programme. This includes design fees, staffing costs and contractor overhead costs. The proposed allocation for these costs is £7.65M

4.7 **Highway Drainage.**
The proposed allocation is £600K which is in line with previous years.

4.8 **Landslip Schemes**
Landslips can occur at any time of the year although many are identified at an early stage as a consequence of routine Highway Safety Inspections. Area Offices submit

locations which are subsequently prioritised countywide. The proposed allocation is £600K.

4.9 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 allocation is £600K.

4.10 Vehicle Restraint Systems (VRS):

As a consequence 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 2 years to assess condition and assist in prioritising repair works. The proposed allocation is £300K.

4.11 Cattle Grids:

Each Area Office has identified and prioritised an on-going annual programme of cattle grid maintenance schemes. The proposed allocation is £200K.

4.12 Footway Surface Treatment and Schemes

It is intended to continue to fund maintenance of the footway network (approximately 4250km) in line with existing allocations. This level of funding in conjunction with our robust cyclic inspection regime is responsible for the gradual reduction in the number of successful Third Party Insurance claims. Funding for footways surface treatments and schemes is split in to the following categories;

4.13 Category 1a, 1 and 2 footways

The DfT have traditionally monitored 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 is £400K

4.14 Category 3,4 & 5 footways

The scheme based programme for Category 3, 4 & 5 Footways is based upon locations initially identified by Local Area Offices which are subsequently condition surveyed, and assessed in the same way as the heavily used footway network with the resulting schemes prioritised across the whole of the countywide network. As a consequence of introducing a local version of the Footway Network Survey (FNS), whereby the footway condition is identified by Highways Officers during their routine Highway Safety Inspections, Area Offices can now make more objective submissions of locations for assessment and prioritisation. The proposed allocation is £1.0M

4.15 Category 3,4 & 5 Surface Treatments

The Surface Treatment budget acknowledges that many of the lesser used footways (Categories 3, 4 & 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 allocation is £520K.

- 4.16 **Footway Patching**
The patching budget is allocated on the percentage of that category of footway network within the Highways Area Office boundary. The proposed allocation is £100K for Category 1a, 1 & 2 footways and £125K for: Category 3, 4 & 5 footways.
- 4.17 **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 allocation is £60K
- 4.18 **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 for 2022/23 is £200K
- 4.19 **Carriageway Maintenance**
The vast majority, £29.76M 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.
- | | |
|------------------------------|---------|
| Surface Treatment | £9.04M |
| Resurface and reconstruction | £11.38M |
| Patching Schemes | £9.34M |
- 4.20 For Local Roads these budgets have been allocated to each Highways Area and then split for each road hierarchy and treatment type based on the principles of the Highway Maintenance Investment Tool (HMIT) as approved by the Corporate Director BES in consultation with BES Executive Members in June 2018.
- 4.21 For the Strategic Roads the budgets are allocated Countywide with scheme programmes developed to ensure efficient maintenance of the Strategic Network.
- 4.22 The underlying philosophy of this element of the works programme is to maximise the programmes of Surface Treatments (e.g. surface dressing) which are intended to extend the 'useful' life of the pavement and delay the requirement to undertake more major (Resurfacing / Reconstruction) scheme based maintenance activities.
- 4.23 The Resurfacing / Reconstruction and patching schemes are identified as a consequence of analysing road condition data in order to identify 'locations where maintenance should be considered now and soon'. Secondary analysis of the data groups together these locations of defects into homogenous 'scheme' lengths suggested by the local Highways Areas teams to match their HMIT allocations.

5.0 Financial Implications

- 5.1 It is proposed that the 2022/23 core budget is based on the 2020/21 funding settlement of £47M. This is the £52.6M budget minus the £5.6M of funds received as a result of the reallocation of Challenge Fund funding and the previous Pothole Action Fund which finished in 20/21.
- 5.2 Sections 3 and 4 above and Appendix A set out and summarise the financial aspects of this report relative to the 2022/23 capital works programmes.
- 5.3 The contents of this report make no changes to the BES Capital Plan expenditure limits.

5.4 A report will be presented to a future meeting of the Corporate Director BES and Executive Members outlining the 2022/23 delivery programme when we have greater clarity on future funding, the expectation is that this will be post November 2021.

6.0 Equalities Implications

6.1 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.

6.2 A copy of the 'Record of Decision that Equality Impact Assessment is not required' form is attached as Appendix B.

7.0 Legal Implications

7.1 The County 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.

7.2 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.

8.0 Climate Change Implications

8.1 A climate change impact assessment has been carried out, see Appendix C. Steps will be taken during scheme delivery construction to reduce emissions as far as possible

9.0 Recommendation

9.1 It is recommended that the Corporate Director BES in consultation with the BES Executive Members'

- i. Agree the indicative headline structural highways maintenance capital allocations based on current planning assumptions.
- ii. Grant approval to carry out the relevant procurement processes.

BARRIE MASON
Assistant Director - Highways and Transportation

Author of Report; James Gilroy

Background Documents: None

Sources of Funding Statement 2022/23

SOURCES OF FUNDING*			2022/23 £000s
Grant*	Local Transport Plan	Needs base Incentive	23858
		Incentive Element	4959
		Integrated Transport	3023
		Pothole Funding	15160
		LTP Sub Total	47000
Revenue Contribution		Countywide CPE	57
		TOTAL	47057

*All figures are estimates only based on previous years funding

Applications of Funding Statement 2022/23

Applications of Funding		2022/23 £000s
Available Budget		47,000
Carriageway & Footway	In year schemes	34,389
	Top Slice fees	8,676
	Sub Total	43,065
Integrated Transport Schemes	In year schemes	1,045
	Sub Total	1,045
Bridges & Structures	In year schemes	2,090
	Sub Total	2,090
Street Lighting	Allocated Programme Schemes	800
	Sub Total	800
Sub Total of Highways spend		47,000
	Countywide CPE maintenance	57
	TOTAL	47,057

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	BES		
Service area	H&T		
Proposal being screened	BES Executive Member Report – Highways Capital Programme Headline Allocations 2022/23		
Officer(s) carrying out screening	James Gilroy		
What are you proposing to do?	That the Corporate Director, Business and Environmental Services (BES) and BES Executive Members, -Note the indicative 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- IRO £50million 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 NYCC'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	14/04/21		

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 2022/2023
Brief description of proposal	<ul style="list-style-type: none"> i. Agree the indicative headline structural highways maintenance capital allocations for 2022/23 based on current planning assumptions. ii. Grant approval to carry out the relevant procurement processes
Directorate	BES
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	07.04.2021

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 £40M

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

<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 relevant)</p>	<p>No impact (Place a X in the box below where relevant)</p>	<p>Negative impact (Place a X in the box below where relevant)</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 greenhouse gas emissions e.g. reducing emissions from travel, increasing energy efficiencies etc.</p>	<p>Emissions from travel</p>	<p>x</p>		<p>Repairs to existing infrastructure</p>		
	<p>Emissions from construction</p>		<p>x</p>	<p>Some emissions from construction vehicles</p>	<p>Where possible – ensure that vehicle mileage is reduced by planning vehicle movements / diversion routes etc</p>	

APPENDIX C

<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 relevant)</p>	<p>No impact (Place a X in the box below where relevant)</p>	<p>Negative impact (Place a X in the box below where relevant)</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>	
	Emissions from running of buildings		x				
	Other		x				
<p>Minimise waste: Reduce, reuse, recycle and compost e.g. reducing use of single use plastic</p>		x					
<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					

APPENDIX C

<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 relevant)</p>	<p>No impact (Place a X in the box below where relevant)</p>	<p>Negative impact (Place a X in the box below where relevant)</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>
Enhance conservation and wildlife		x				
Safeguard the distinctive characteristics, features and special qualities of North Yorkshire's landscape		x				
Other (please state below)		x				

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	BES
Signature	J Gilroy
Completion date	07.04.2021

Authorised by relevant Assistant Director (signature): Barrie Mason

Date: 14/04/21